RESULTS BASED MANAGEMENT APPROACH

PRINCIPLES AND PRACTICAL APPLICATION

BY

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RBM Background
and Principles

WHY RBM (1)

Historically, governments and organizations have focused their attention on:

- inputs (what they spend),
- activities (what they do), and
- outputs (what they produce)

WHY RBM (2)

- When we simply focus on:
    - Inputs (spend),
    - Activities (do), and
    - Outputs (goods and services produced)

- We are blind; we don't know our destination so we can't see when we've gone off course.

- We can only take corrective action, we can only MANAGE, when we know where we are going.

- This requires looking beyond activities and outputs and focusing on actual results.

RBM DEFINITION (I)

- "Results-based management is a life-cycle approach to management that integrates strategy, people, resources, processes and measurements to improve decision-making, transparency and accountability.

- The approach focuses on achieving outcomes, implementing performance measurement, learning
and adapting, as well as reporting performance"

Source: *Results-based management (RBM) Policy Statement*, CIDA, 2008

RBM DEFINITION (2)

- BY RESULT WE MEAN: A describable or measurable change resulting from a cause and effect relationship
- BY RESULTS BASED MANAGEMENT WE MEAN:
- Defining realistic expected results based upon analysis
- Clearly identifying programme beneficiaries and designing programme to meet their needs
- Monitoring progress towards results with the use of appropriate indicators
- Identifying and managing risks
  - Increasing knowledge by learning lessons and integrating them into decisions
  - Reporting on results achieved and the resources used

RBM PURPOSES AND KEY TOOLS

- Defining realistic expected results, based on appropriate analyses;

- Clearly identifying program beneficiaries and designing programs to meet their needs;

- Monitoring progress towards results and resources consumed, with the use of appropriate indicators;

- Identifying and managing risks, while bearing in mind expected results and the necessary resources;

- Increasing knowledge by learning lessons and integrating them into decisions; and

- Reporting on results achieved and the resources involved.

WHAT IS A RESULT

- **A result** is a describable or measurable **change** in state derived from a **cause-and-effect** relationship.

- Results are the same as Outcomes and are further qualified as immediate, intermediate or ultimate.

- Development Results reflect the actual changes in the state of human development that are attributable, at least in part, to an investment in a developing country or region.
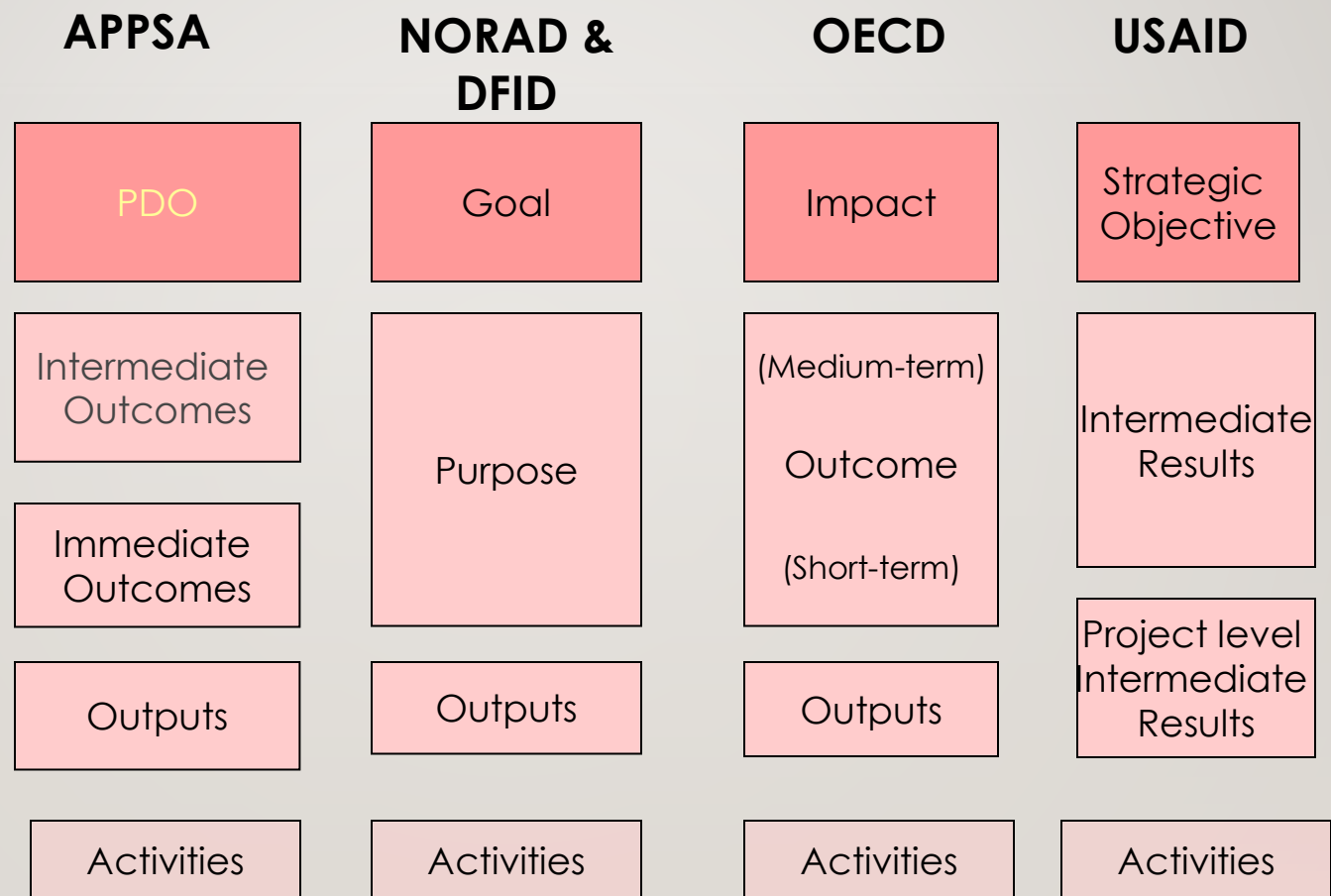
RESULTS DEFINITION

- TWO MAJOR ELEMENTS TO REMEMBER:
- The notion of CHANGE which involves a visible transformation in the group, the organization or Member States
- The notion of CAUSALITY illustrating the cause-and-effect relationship between an action and results achieved

A RESULT SHOULD BE:

- S: Specific (it should specify the nature of change, the target groups, the target region, etc
- M: Measurable (it can be measured by indicators)
- A: Achievable (it is realistic)
- R: Relevant (it is an answer to the identified need)
- T: Time bound (it can be achieved in the time frame of the project)

RBM TERMINOLOGY USED AROUND THE WORLD

APPSA	NORAD & DFID	OECD	USAID
PDO	Goal	Impact	Strategic Objective
Intermediate Outcomes	Purpose	(Medium-term) Outcome (Short-term)	Intermediate Results
Immediate Outcomes			
Outputs	Outputs	Outputs	Project level Intermediate Results
Activities	Activities	Activities	Activities

RESULTS AND CHANGE

OBJECTIVES VS RESULTS

OBJECTIVES

An intention

- To increase implementation of relevant, quality pedagogical practices by teachers in 7 municipalities of Department X

RESULTS

An Expectation

- Increased implementation of relevant, quality pedagogical practices by teachers in 7 municipalities of Department X

Actual Results: During the life of the project and at the end of the project we measure whether or not we achieved the expected result. Thus, an actual result will capture the project's achievement.

OBJECTIVES VS RESULTS

OBJECTIVES

An intention

- To contribute to improved soil fertility in Lesotho and Angola through introduction of common bean genotype with symbiotic N_2 fixation traits

RESULTS

An Expectation

- Improved soil fertility through introduction of common bean genotype with symbiotic N2 fixation traits in Angola and Lesotho

Actual Results: During the life of the project and at the end of the project we measure whether or not we achieved the expected result. Thus, an <u>actual result</u> will capture the project's achievement.

THE RESULTS STATEMENT AND CHANGE

A results statement outlines what a policy, program, or investment is expected to achieve.

A **result statement** or **outcome** describes the **change** stemming from a contribution to a development activity in cooperation with others.

Different types of change:
- Change in state
- Change in circumstances
- Change in behaviour or practices
- Change in functioning or performance
- Change in knowledge and awareness
- Change in skills

ILLUSTRATION: MANAGING FOR ACTIVITIES VS. MANAGING FOR RESULTS

Element	Management by Activities	Management for Results
Objective	To increase the number of extension workers in the Kumasi District to train farmers on agricultural practices	Stated as an **expected result:** "Increased capacity of smallholder farmers to apply recommended agricultural practices."
Indicators	# of EW deployed in the district	# of farmers capacitated Yield for different key crops in the region Farmer incomes from different enterprises
Completed Activities (Implementation)	EW deployed in the district	Number of farmers trained on best agricultural practices
Performance Measurement	Using indicators, we would confirm that EWs were deployed as planned	Using indicators, we would confirm whether farmers have been trained and have adopted best agricultural practices and yields have improved
Change/Results Achieved by the end of Project	Most farmers continue with the usual subsistence practices	Improved capacity to apply best agricultural practices
Accountability	Could not hold organization accountable for any lack of change in production	The organization would be held accountable in a different way: for the increase in production of different crops

WRITING RESULTS STATEMENTS

WRITING RESULTS STATEMENTS

A results statement should illustrate the type and level of human transformation that occurred from intervention in a given context such as:

- An improvement (in health conditions)
- An increase (in agricultural production or productivity)
- A strengthening (capacity of NGOs)
- An increase (in girls scholarship rate)
- A reduction (in the infant mortality)
- A transformation in attitudes or behaviour (adoption of contraceptive methods by women of a region and acceptation of birth control methods by men)

WRITING RESULTS STATEMENTS

- Increased implementation of relevant, quality pedagogical practices

- Improved quality of education

- Increased implementation of relevant, quality pedagogical practices by teachers in 7 municipalities of Department X

LANGUAGE OF CHANGE

Change is signified by such words:

- Improved (availability of information on bean innovations)

- Increased (new bean products are traded in the local market)

- Strengthened (capacities for gender responsive bean research)

- Reduced (vulnerability)

- Enhanced (utilization of bean research)

Defining Results

- Results need to be defined through a joint planning process between the partner and its counterparts in the country

- Stakeholders and participants should be consulted so that it is clear the project meets their needs

- Clear, measurable, *realistic* results should be identified

- A good practice - one idea per result!!!

When Developing Gender Equality Results

3 Key Areas:

1) **Decision-making**. More equal participation of women with men as decision-makers.

2) **Rights.** Women and girls more able to realize their full human rights.

3) **Development Resources and Benefits**. Reduced inequalities in access and control to resources (agricultural, credit, technologies).

Gender-Sensitive Results Reflecting Change

- Strengthened capacity of partner institutions to promote, design and implement policies that reflect the needs, priorities and interests of both men and women;

- Increased sharing of household responsibilities between boys and girls;

- Elimination of gender stereotypes in school curriculum;

- Greater awareness by women and girls of their economic, social, civil, political rights;

- Increased access to resources like credit, training or technology.

THE RESULTS CHAIN

RESULTS AND A RESULTS CHAIN

- Three different levels of results seek to capture the developmental changes that occur:

  - Immediate Outcomes (short-term results): Changes in ability, skill, awareness and knowledge

  - Intermediate Outcomes (medium-term results): Changes in behavior and practice; and

  - Ultimate Outcome (long-term results): Changes in state for the ultimate participant

- These results are linked together into what is commonly referred to as a results chain.

EXAMPLES

The expected results in a basic education project could be:

- IMPACT: Improved quality of basic education
- OUTCOMES: Increased number of children attending primary school in the district who complete primary education
- OUTPUTS: Enhanced school curriculum in primary schools in the district; increased number of female teachers at the school; parents sensitized of the importance of primary schools for girls

EXAMPLES CONT

A borehole project in town short of water can achieve the following:

IMPACT: Improved health for citizens

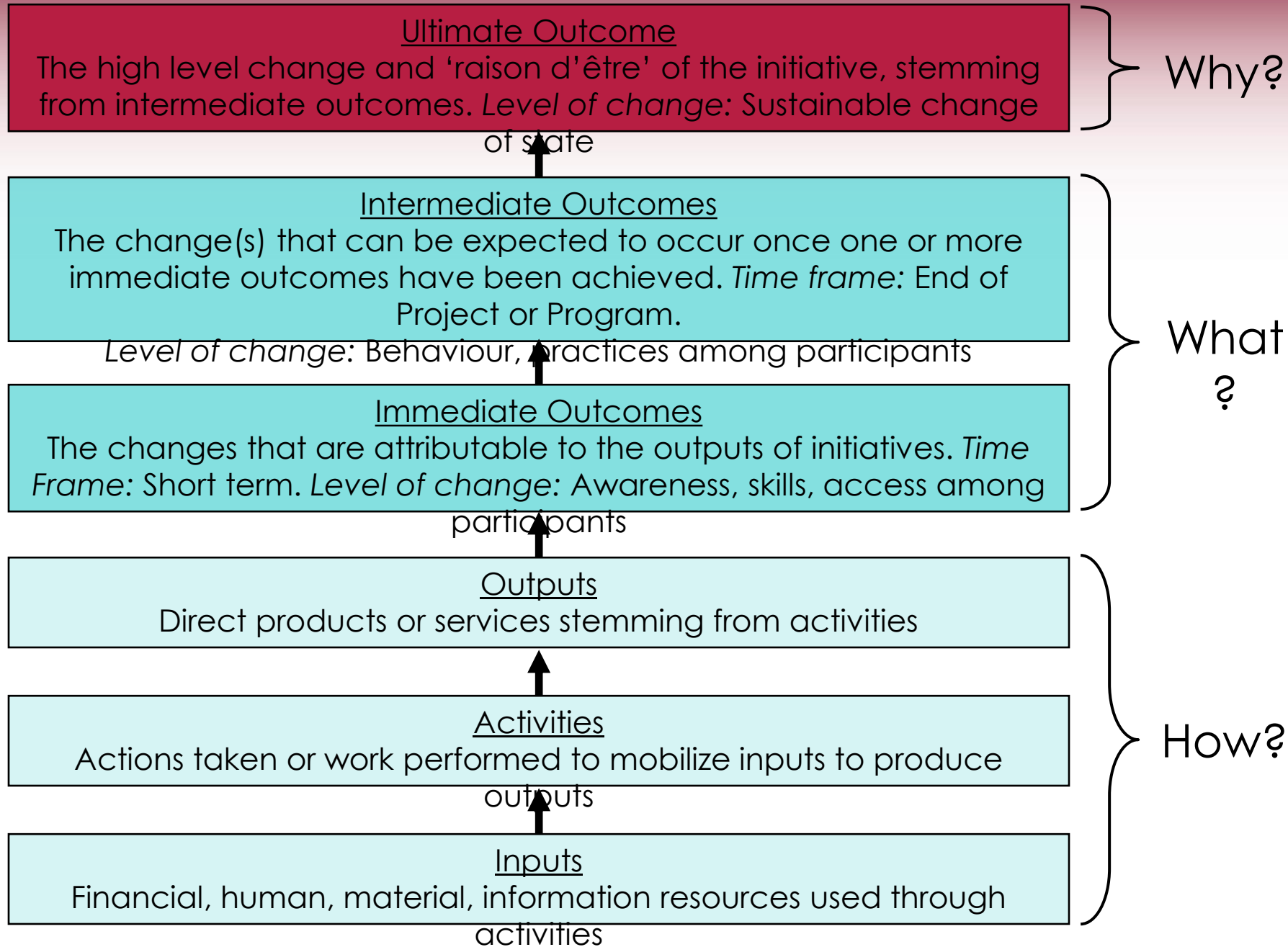ULTIMATE RESULT: Reduced death from water-borne diseases

INTERMEDIATE RESULT: Reduced incidences of water-borne diseases

IMMEDIATE RESULT: Increased access to clean water

OUTPUT: Boreholes in place, Pump minders trained

ACTIVITIES: Drilling of boreholes, training of pump minders, etc

INPUTS: $50 million, Drilling rigs, technical staff

Ultimate Outcome
The high level change and 'raison d'être' of the initiative, stemming from intermediate outcomes. *Level of change:* Sustainable change of state

Why?

Intermediate Outcomes
The change(s) that can be expected to occur once one or more immediate outcomes have been achieved. *Time frame:* End of Project or Program.
Level of change: Behaviour, practices among participants

What?

Immediate Outcomes
The changes that are attributable to the outputs of initiatives. *Time Frame:* Short term. *Level of change:* Awareness, skills, access among participants

Outputs
Direct products or services stemming from activities

Activities
Actions taken or work performed to mobilize inputs to produce outputs

How?

Inputs
Financial, human, material, information resources used through activities

Results Chain(s) (causal snapshot)

When planning, start with the desired ultimate outcome (or intermediate outcomes) & then define the needed immediate outcomes and outputs

Once a results chain is done, analyze and ensure validity of the cause & effect relation-ships between result levels

Ultimate Outcome

Intermediate Outcome

Intermediate Outcome

Immediate Outcome

Immediate Outcome

Immediate Outcome

Immediate Outcome

Output

Output

Output

Output

Output

Activities

Activities

Activities

Activities

Activities

Inputs

Inputs

Inputs

Inputs
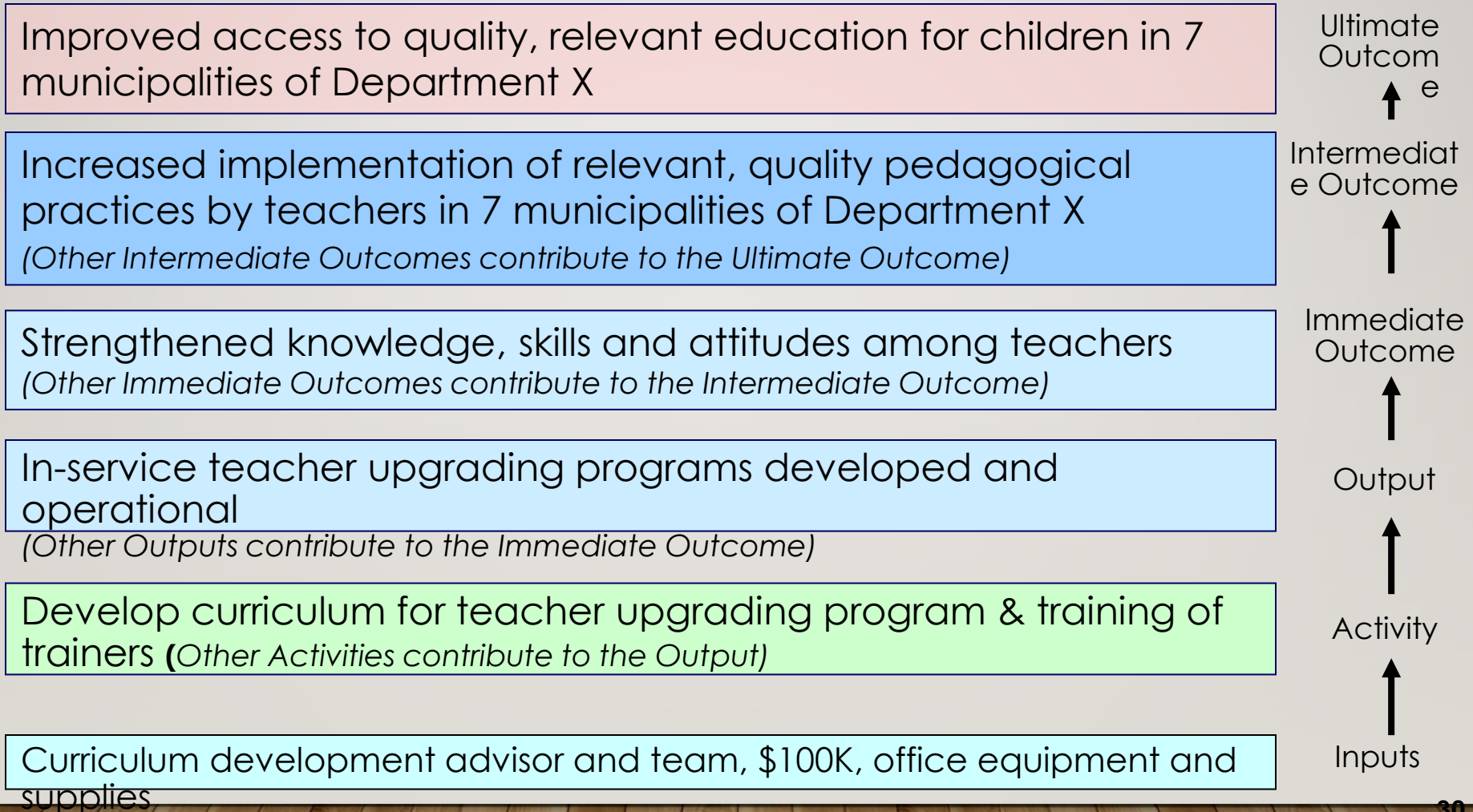
Inputs

Remember: Lower level results are building blocks for higher level results.
There has to be a clear cause and effect relationship between the different levels of results.

Results Chain Example

Improved access to quality, relevant education for children in 7 municipalities of Department X	Ultimate Outcome
Increased implementation of relevant, quality pedagogical practices by teachers in 7 municipalities of Department X *(Other Intermediate Outcomes contribute to the Ultimate Outcome)*	Intermediate Outcome
Strengthened knowledge, skills and attitudes among teachers *(Other Immediate Outcomes contribute to the Intermediate Outcome)*	Immediate Outcome
In-service teacher upgrading programs developed and operational *(Other Outputs contribute to the Immediate Outcome)*	Output
Develop curriculum for teacher upgrading program & training of trainers (*Other Activities contribute to the Output)*	Activity
Curriculum development advisor and team, $100K, office equipment and supplies	Inputs

Indicators

How do we know we are making a difference?

- Once expected results are established, we need to plan to gather evidence to assess whether or not we are making a difference = achieving results. Such evidence supports ongoing project management decisions.

- We need a 'measuring stick' = performance indicators

- Indicators are used to monitor progress by enabling us to measure a change of state at different points in time.

WHAT IS AN INDICATOR?

- ***An indicator is a pointer (a measurement, number, fact, opinion or perception) that helps to measure changes in a situation or condition over time.***

- Indicators should be **neutral**, not specifying the change or its direction (e.g. 'number of' rather than 'increase in the number of' or 'change in the number of')

TYPES OF INDICATORS

Indicators can be:

- **<u>Quantitative</u>**

- Number of,
- Frequency of,
- Ratio of,
- Variance with,
- % of,
- etc.

- **<u>Qualitative</u>**

- Attitudes,
- Behaviours,
- Skills,
- Perceptions of,
- Quality of,
- Level of (understanding),
- Participants' opinion,
- Extent of,
- Congruence with,
- Presence of,
- etc.

SOME EXAMPLES OF INDICATORS

Quantitative

1. Number of women in decision-making positions in governance management structures.

2. Number of women and men capable of applying bean technologies.

3. Ratio of women and men researchers.

4. Number of projects that are gender responsive.

5. % of workshop participants m/f with an understanding of RBM.

Qualitative

1. Perception of women and men of women's participation in governance management structures.

2. Level of satisfaction (as defined by quality and timeliness of services) of the beneficiaries or researchers.

3. Quality of the research provided.

4. Coherence between the research undertaken and the absorptive capacity of the M/F beneficiaries.

5. Perception of women and men about their understanding of gender responsive bean research.

INDICATOR SELECTION CHECKLIST

1. Measure the expected results	☐
2. Show trends over time	☐
3. Present appropriately disaggregated information	☐
4. To the extent possible use available information	☐
5. Be cost effective and be feasible to collect and analyze	☐
6. Need to measure positive as well as potential negative directions (all indicators must be neutral)	☐
7. Be developed in a participatory fashion	☐
8. Have two to three indicators per result: at least one qualitative and one quantitative	☐
9. One of the indicators per result measures sex-disaggregated data and /or advances in gender equality.	☐

Few Basic Principles/Tips for Indicator Selection

- The indicators must be developed in participatory fashion including all major stakeholders, whenever possible.

- The number of indicators for measuring each result must be limited.

  - *Use maximum 2-3 indicators per result. At least 1 qualitative and 1 quantitative.*

- Projects (and Programs) require baseline data that enable comparisons to be made over time, and help determine the change resulting from an investment or contribution.

SELECTING INDICATORS AT EACH OF THE OUTCOME LEVELS

Ultimate Outcome
What measures can verify the change in the lives of program/project participants (women and men)?

Intermediate Outcome
How will you measure a change in **behaviour** and performance of stakeholders?

Immediate Outcome
How will you know whether there is a change in the **capacity** of the stakeholders?

Result vs. Indicator vs. Target

- Often there is confusion between results, indicators, and targets:

  - **Results**: are precise statements of what is to be accomplished:
    - Increased access to micro-nutrient-rich bean varieties and products in the diets of vulnerable women, children and PLWHA.

  - **Indicator:** specifies exactly what is to be measured <u>along a scale or dimension</u>, but does not indicate the direction of change (i.e. increased or decreased)
    - # of micro-nutrient bean varieties

  - **Target:** specifies a particular value for an indicator to be accomplished by a specific date in the future
    - Micro-nutrient bean varieties benefiting women to reach 80% by 2013

Establishing a Performance Measurement Framework

PERFORMANCE MEASUREMENT

- It is a vital component of the RBM approach.

- When undertaken on a continuous basis during the implementation of a project it empowers managers and stakeholder with "real-time" information to adjust as necessary.

- This information allows to determine: use of resources, extent of the project's sphere of influence and progress towards the achievement of expected results (from products to immediate outcomes to intermediate outcomes).

CURRENT TRENDS

- Emphasis on a continuous process of performance self-assessment
- carried out in collaboration with participants and stakeholders

- It includes the assessment of processes, products and the progress towards expected results

- Individuals and organizations improve their learning and understanding

- It contributes to the wider goal of accountability

- This performance self-assessment approach is complemented

When lion runs and looks back, it is not that he is afraid, but to see the distance he covered. (African Proverb) 🐾

PERFORMANCE MEASUREMENT FRAMEWORK (PMF)

- To assist with performance measurement functions, it is important to establish a structured **plan for data collection** and analysis.

- This plan must describe who will do what, when and how.

- A *Performance Measurement Framework* (also known as Performance Monitoring Framework, Project Monitoring Plan) helps to structure the answers to these questions.

PERFORMANCE MEASUREMENT FRAMEWORK (PMF)

- The plan should be **simple**, to the extent possible rely on **existing information**, be selective, **realistic** and pragmatic

- Its main components are often organized in a matrix format as illustrated in the next slide

PERFORMANCE MEASUREMENT FRAMEWORK (PMF)

Expected Results	Indicators[1]	Baseline Data	Targets[2]	Data Sources	Data Collection Methods	Frequency	Responsibility
Ultimate Outcome (Long term)							
Intermediate Outcome (Medium term)							
Immediate Outcome (Short term)							
Outputs							

1. Gender and Environment where possible
2. Including Time Range (where posible)

What is Baseline data?

Baseline is a clearly defined starting point (point of departure) from where implementation begins, improvement is judged, or comparison is made.

What to do when the baseline has not been done?

Targets

- An object, such as a padded disk with a marked surface, that we anticipate hitting to test accuracy (i.e. rifle, darts or archery practice).

- ◎

- Something aimed or fired at.
- A desired goal.

DATA SOURCES

- Data sources are the individuals, organizations or documents from which data about your indicators will be obtained.

- Examples of data sources include: participants, partner organizations (local and international), government documents and statistical reports, human development reports

- The source of performance data is very important to the credibility of reported results; try to incorporate data from a variety of sources to validate findings.
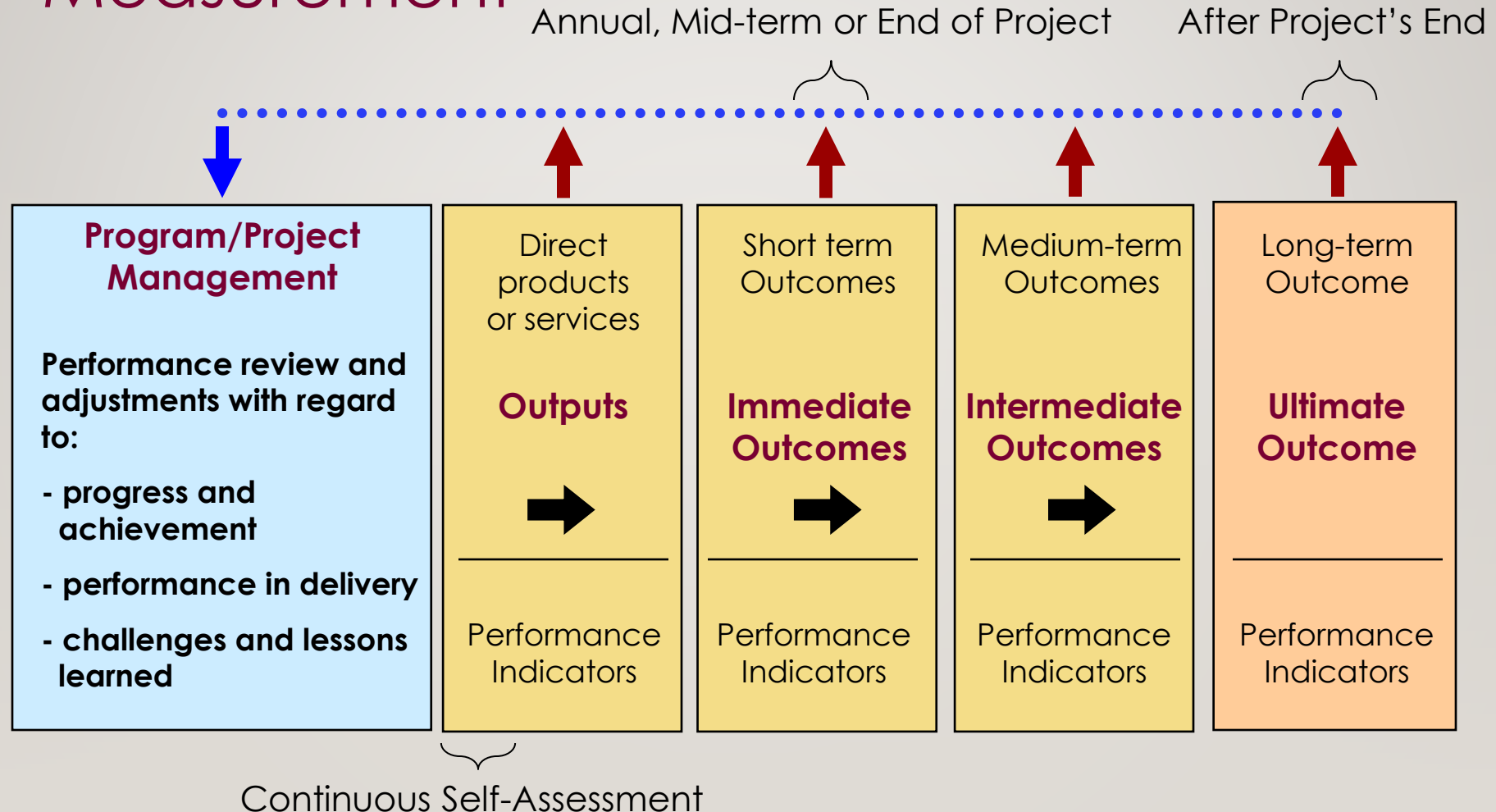
DATA COLLECTION METHODS
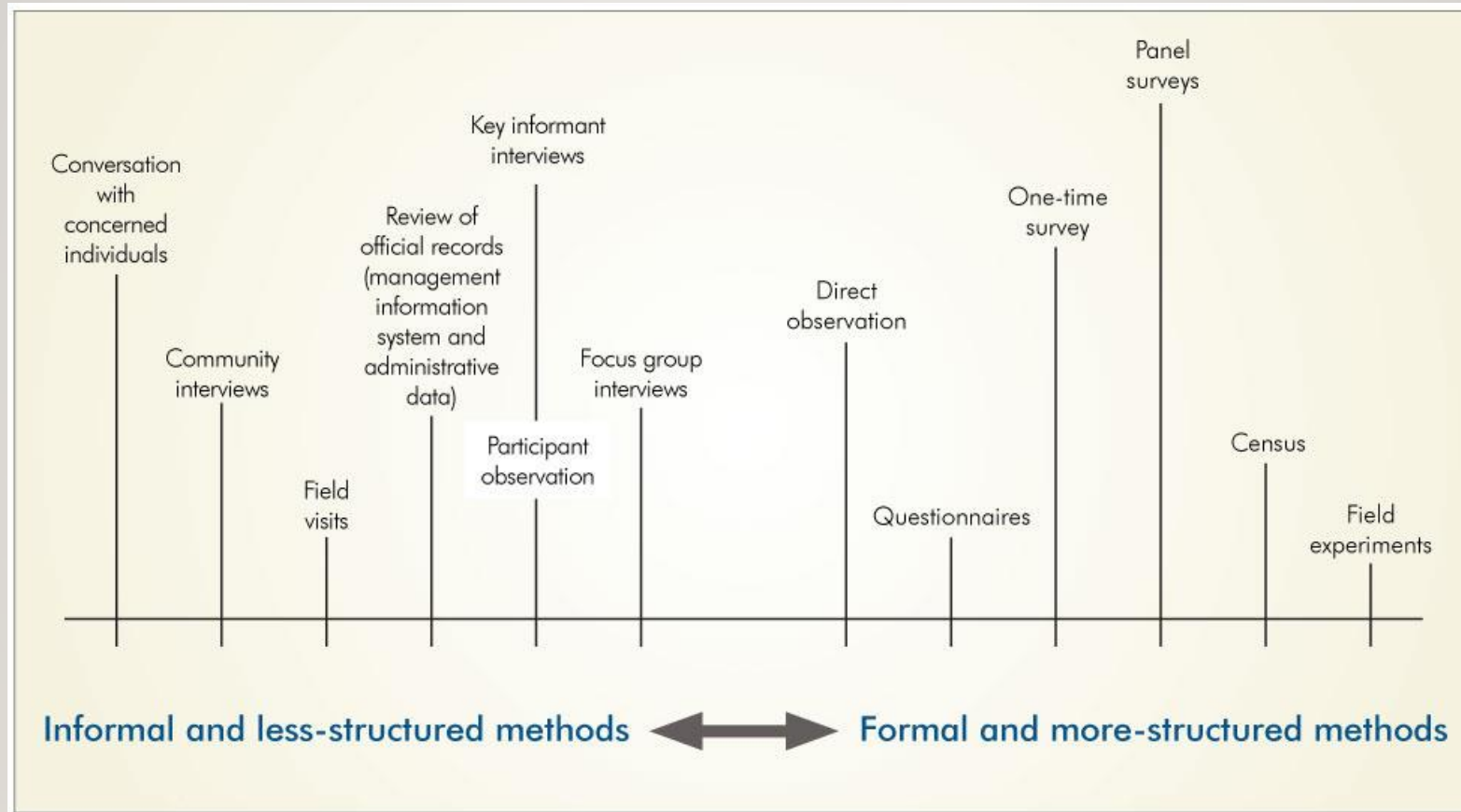
Taken from: *Ten Steps to a Results-Based Monitoring and Evaluation System: A Handbook for Development Practitioners*, Jody Zall Kusek, Ray C. Rist, World Bank Publications, 2004

Frequency of Performance Measurement

Annual, Mid-term or End of Project   After Project's End

| **Program/Project Management**

Performance review and adjustments with regard to:

- progress and achievement

- performance in delivery

- challenges and lessons learned | Direct products or services

Outputs

➡

—————

Performance Indicators | Short term Outcomes

Immediate Outcomes

➡

—————

Performance Indicators | Medium-term Outcomes

Intermediate Outcomes

➡

—————

Performance Indicators | Long-term Outcome

Ultimate Outcome

—————

Performance Indicators |

Continuous Self-Assessment

- # Continuous Learning and Reporting

QUALITY RESULTS-BASED REPORTING

- What does a quality results-based report look like?

- What is the value of results-based reporting to stakeholders?

QUALITY RESULTS-BASED REPORTING

- What do you think should be the criteria for quality results-based reporting?

CHALLENGES IN REPORTING

- <u>Results & Reporting:</u>

- We are still having challenges in reporting on results:

  - Focus of reports (in many cases) is still on completed activities, products developed, and services delivered

  - Very elaborate "high level" type of result statements

  - Specific actual result statement, but no evidence to support or examples to illustrate what was really achieved

  - Others…

Reporting the Performance Story

- To tell a performance story:

  - Set results in context – status before, changes in current situation, implications for result achievement

  - Measure & report on progress and achievements (actual results) vs. expected results stated in the results framework

  - Use performance information you have collected related to indicators to support reporting on achievements

  - Explain variance between planned & actual results (e.g. discuss challenges and issues)

  - Integrate reporting on cross-cutting issues (e.g. gender, others as applicable)

  - Suggest lessons learned & improvements

  - Use reporting internally to strengthen performance management and externally to track investment progress

HOW TO STRENGTHEN RESULTS-BASED REPORTING?

- Result:

- **Increased access to improved bean varieties, new farming techniques and micro-nutrient rich bean-based products.**

-

- Common beans are an important crop for food, cash and agro-ecosystems improvement in many countries in Eastern, Central and Southern Africa. The crop is mainly grown by small scale farmers with limited access to agricultural inputs.
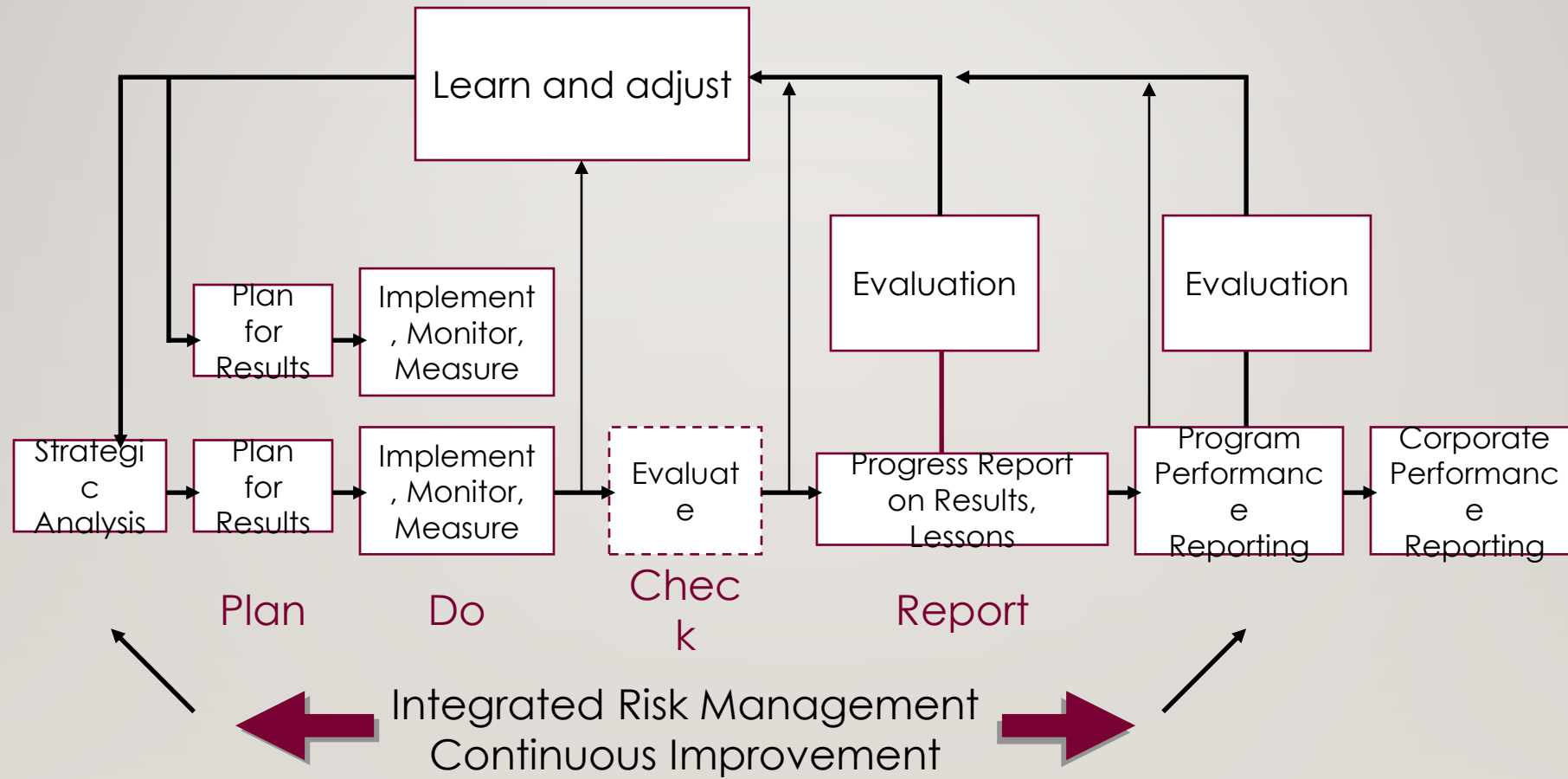
HOW TO STRENGTHEN RESULTS-BASED REPORTING?

• Result:

• **Increased access to improved bean varieties, new farming techniques and micro-nutrient rich bean-based products.**

• Mrs. Aidah Abia, Chairperson of Balla Women and Youth Bean Seed Producers in Northern Uganda, testifies that growing beans for seed has changed her life. She emphasized that her income increased from the sale of beans allowed her to send children to school, meet medical expenses and purchase household items such as paraffin and soap.

# Performance Management and Learning Cycle

RBM AND PLANNING

Outcome	Output	Main activity	Subactivity/Task	Budget	Responsible Officer
Increased market access for agricultural products (crops, livestock and natural resources)	Integrated Agricultural Information Management System (AIMS) to support marketing and trade of agricultural products developed	Develop an Integration Agricultural Information Management System (AIMS) incorporating National AIMS	Engage a Consultant to develop AIMS Convene a validation workshop for AIMS	20,000 100,000	

•Conclusion

Implementation for Results

- Expected results are clearly defined at the beginning of any intervention and form the point of departure for any ongoing management decisions

- The expected results set the direction and outline the horizon for project implementation

- Reporting focuses on the comparison of expected results established in the beginning of the project against the actual results being achieved. The latter constitute the project's *raison d'être*

Expected Results

Corrective Actions

Inputs, Activities, Outputs

Actual Results
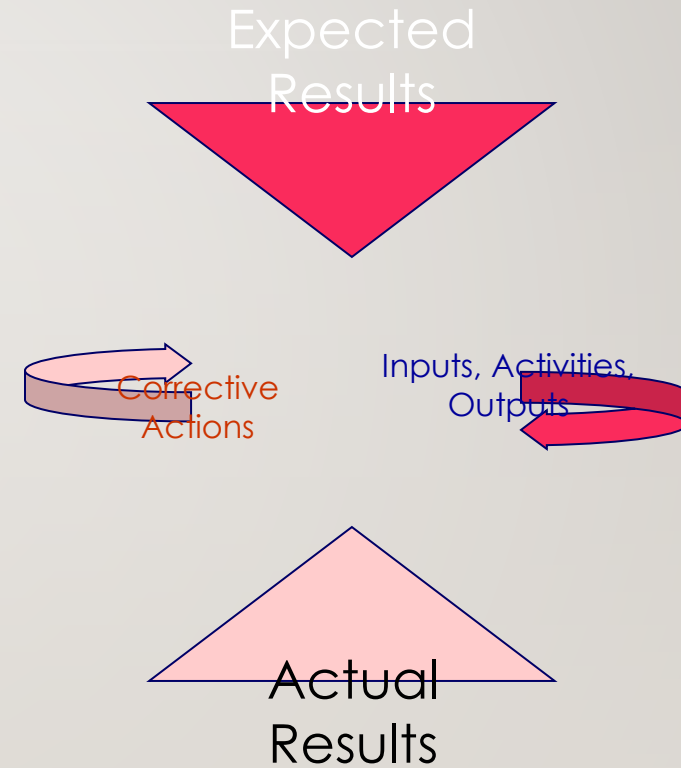
RBM Definition

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CONCLUSION

- The frameworks & formats presented should not be viewed as **straightjackets** that prevent people from communicating in ways that work for them. Nor should they be considered an impediment to iterative programming.

- The RBM approach … is intended to support management and iterative planning in a systematic way, and to give development partners the latitude we need to make adjustments and re-focus our work in ways that better contribute to **RESULTS.**