FINLAND FUTURES
RESEARCH CENTRE

RESULTS BASED MANAGEMENT: INTRODUCTION

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FINLAND FUTURES RESEARCH CENTRE

Turun yliopisto
University of Turku

- *"Would you tell me, please, which way I ought to go from here?"*

– *"That depends a good deal on where you want to get to," said the Cat.*

– *"I don't much care where ...", said Alice.*

– *"Then it doesn't matter which way you go", said the Cat*

2016

Author: Ka

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Results
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– Concepts

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RESULTS-BASED MANAGEMENT
HANDBOOK

Harmonizing RBM concepts
and approaches for improved
development results at country level

October 2011

UNITED NATIONS
DEVELOPMENT GROUP

Learning objectives & Outline

1) Refresh the understanding of RBM concept and approach

- *What RBM is and why do we do RBM?*

2) Differentiate the key RBM definitions and concepts, as well as their application in programming

- *Different levels of results and constructing the basis for M&E information*

What is Results-based Management (RBM)?

"A management strategy by which all actors on the ground, contributing directly or indirectly to **achieving a set of development results***, ensure that their processes, products and services contribute to the achievement of desired results* **(outputs, outcomes and goals)***. RBM rests on clearly defined* **accountability** *for results and requires* **monitoring** *and* **self-assessment** *of progress towards results, including* **reporting**

on performance."- UNDG, RBM Handbook,2010

- an ongoing process
- RBM life cycle approach: planning, implementation, monitoring, reporting and evaluation
- constant feedback, learning and improving.
- is fundamental for organisations such as UN, WB, ADB, bilaterals (SIDA, MFA of Finland, EU) NGOs etc.

What is Results-based Management (RBM)?

RBM should also contribute to increasing

"efficiency" - making sure that inputs are used towards activities that contribute towards **achieving outputs**.

"effectiveness" that the achieved outputs contribute towards an intended **development change** described in the outcome.

Accountability

Accountability means being **held responsible** for decisions and actions **towards desired results**. It is important to make sure that we achieve the results we planned and committed ourselves to achieving.

SIDA definition

THE MAIN PRINCIPLES OF RESULTS-BASED MANAGEMENT (RBM) ARE:

Broad participation in the planning process – listening to and involving relevant stakeholders including the target groups

Structured and clear plans with clear objectives and allocation of responsibilities

Continuous risk analysis and risk management

Continuous monitoring, not just at the end of the project

Analysis of results during the follow-up and revision of plans where necessary

Effective dissemination of results for positive influence, strategic communication

And finally, continuous and organisational learning

Why do you think it is important to use the RBM approach?

- ❑ A. We can check more efficiently whether we are working to solve the right problems
- ❑ B. We can have better understanding of when corrective actions are needed
- ❑ C. We are faced by intensified calls from donors for accountability on how resources are used and what results are achieved
- ❑ D. With the RBM approach we can have a better understanding of how our programme results could contribute to bringing about progress in the areas of our mandate
- ❑ E. It encourages us to work together with other agencies development partners, international organisations, bilaterals, NGOs
- ❑ F. It helps us to make informed decisions during the implementation of a programme and while preparing new programmes

Why do you think it is important to use the RBM approach? *ANSWERS*

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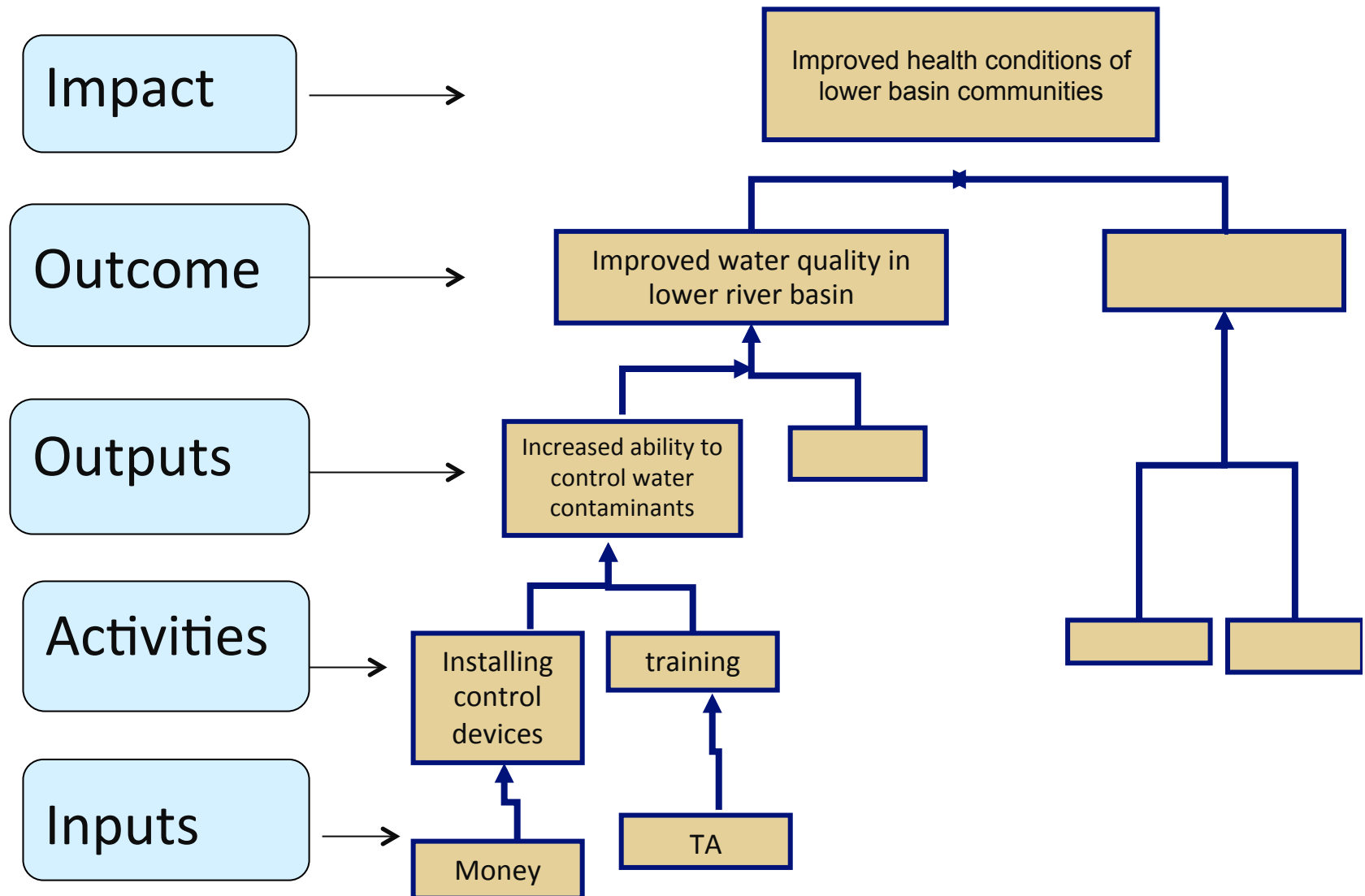
Why RBM continues…?

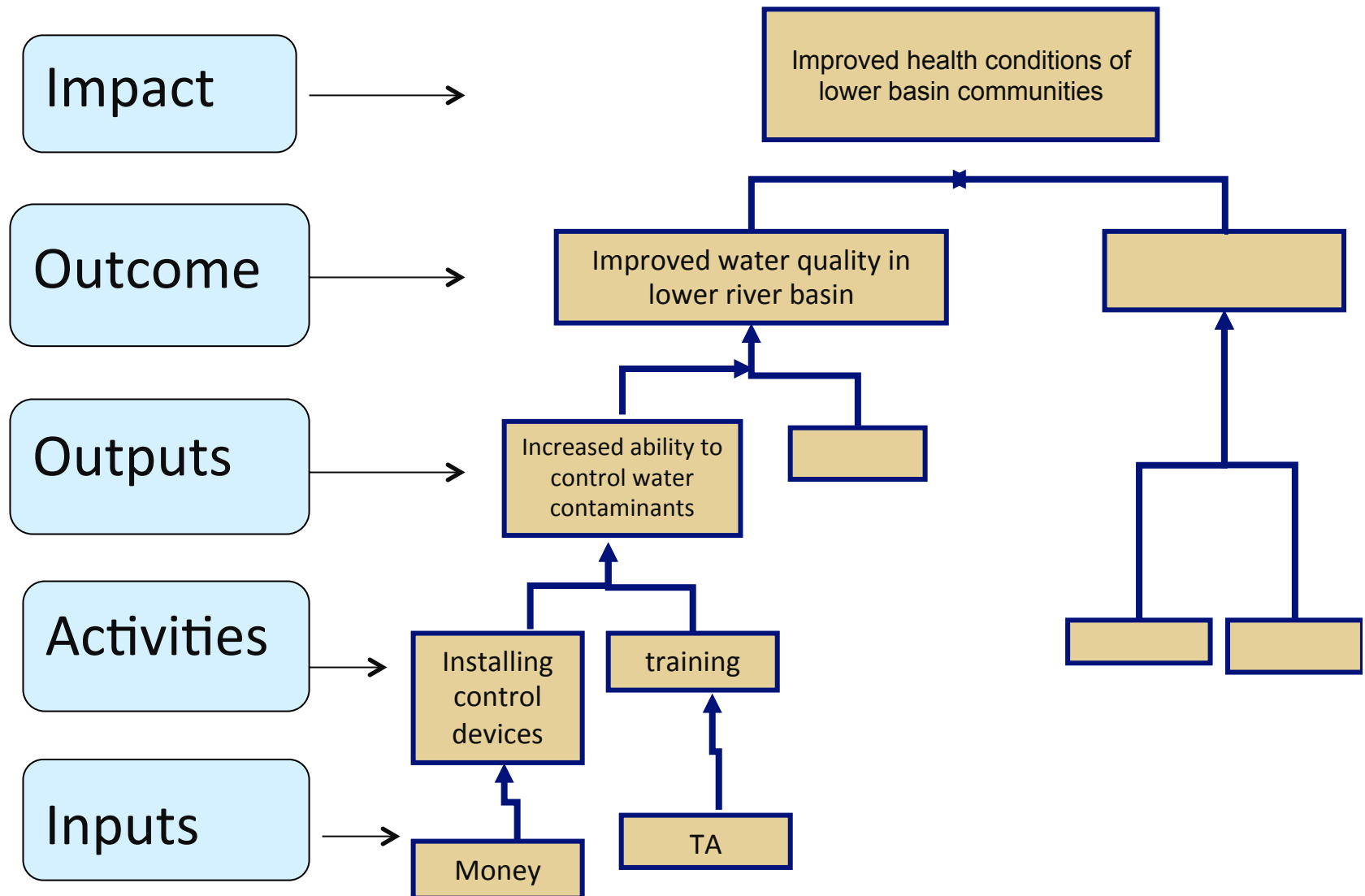RBM provides a <u>coherent framework</u> for strategic planning and management, based on learning and accountability

Helps us move from the complexity of reality

... to a clear Results Framework

Impact →

Improved health conditions of lower basin communities

Outcome →

Improved water quality in lower river basin

Outputs →

Increased ability to control water contaminants

Activities →

Installing control devices

training

Inputs →

Money

TA

..to a clear Results Framework/LogFrame

"Failing to Plan is planning to fail!"

Planning: The process of establishing **results frameworks**, proposing strategies, outlining the implementation arrangements, identifying partners and allocating resources to achieve those goals	**Reporting:** An essential element of an accountability process, where people accountable for performance report on **what has been achieved** compared to expectations.	**Monitoring:** The **ongoing** process by which stakeholders obtain **regular feedback on the progress being made** towards achieving their results.	**Evaluation:** A rigorous **assessment** of completed or ongoing programme to **determine the extent** to which it is **achieving** stated objectives and contributing to decision-making.

Without a clear plan how do you know what to achieve and monitor??

Exercise 2

For an efficient and effective planning process you shouldn't involve many different stakeholders True ❏ False❏

Planning is a pre-requisite for implementation, monitoring, evaluation and reporting True ❏ False❏

To guarantee useful monitoring and evaluation results you carry out the same activities in both processes True ❏ False❏

Exercise ANSWERS

For an efficient and effective planning process you shouldn't involve many different stakeholders True ☐ False ☑

Planning is a pre-requisite for implementation, monitoring, evaluation and reporting True ☑ False☐

To guarantee useful monitoring and evaluation of results you carry out the same activities in both processes True ☐ False ☑

Theory of change

| INPUTS	ACTIVITIES	OUTPUTS	OUTCOMES	OUTCOMES	IMPACT
Investment	*Actions*	*Delivery*	*Short-term (changes in)*	*Medium-term (changes in)*	*Long-term (changes in)*
•*Time* •*Money* •*Partners* •*Equipment* •*Know-how*	•*Training* •*Workshops* •*Field visits*	•*Products, goods services* •*Publications* •*Knowledge, skills* •*Understanding*	•*Attitudes* •*Skills* •*Knowledge* •*Motivation* •*Awareness*	•*Behaviour* •*Practices* •*Policies* •*Procedures*	•*Peoples lives* •*Environmental conditions etc.*

What is the **current situation** that we intend to affect;
What will it **look like** when we achieve the desired situation or outcome;
What **behaviours** need to change for that outcome to be achieved;
What **knowledge or skills** do people need before the behaviour will change;
What **activities** need to be performed to cause the necessary learning; and
What **resources** will be required to achieve the desired outcome.

Results chain

= *the causal or logical sequence of activities, outputs and outcomes illustrating how the intended results of the intervention or activity are expected to be brought about.*

Inputs → Activities → Outputs → Outcomes → Goals

The different components of the results chain explain **what** we want to achieve in the short and medium term

What?

| Inputs | → | Activities | → | Outputs | → | Outcomes | → | Goals |
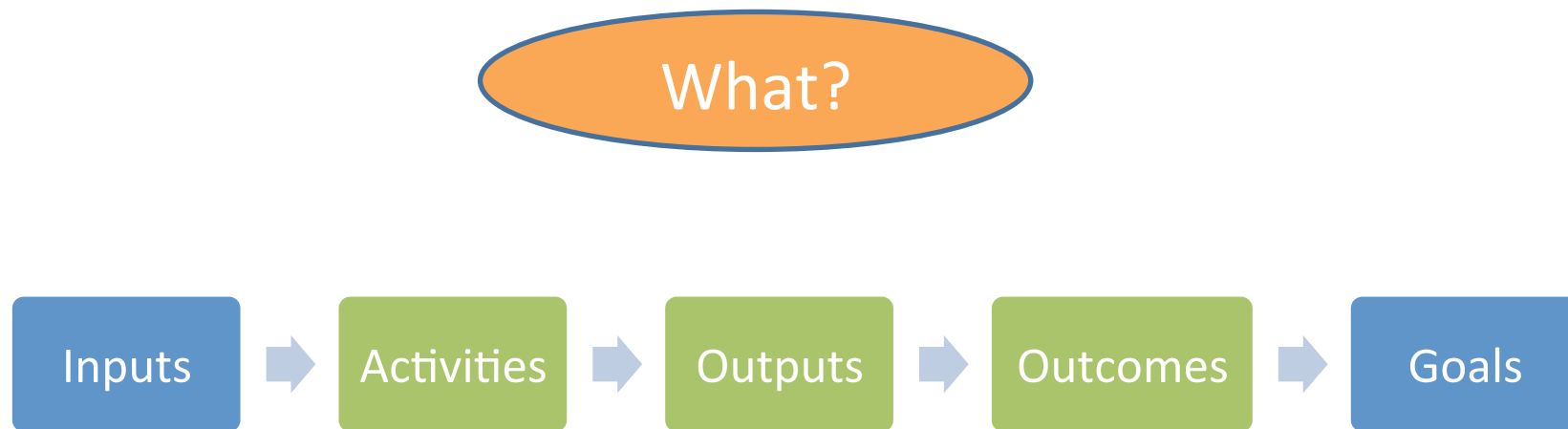
Why we want to do it: to achieve our goals in the medium and long term…

What?

Why?

Inputs ➔ Activities ➔ Outputs ➔ Outcomes ➔ Goals
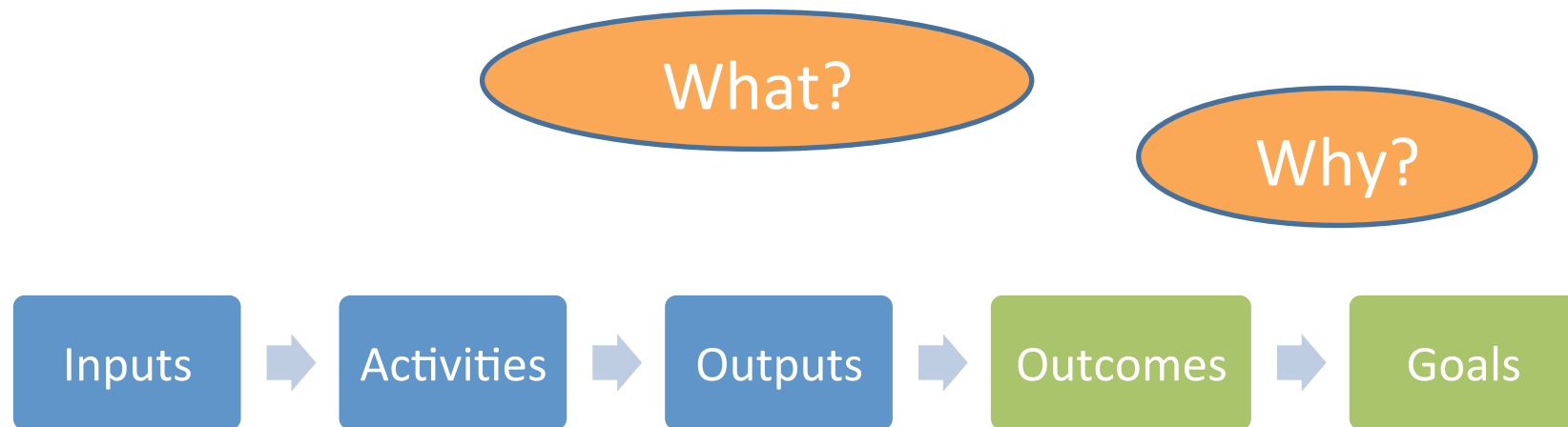
and also **how** we are going to do it. What resources and activities are needed?

How?

What?

Why?

Inputs ➡ Activities ➡ Outputs ➡ Outcomes ➡ Goals
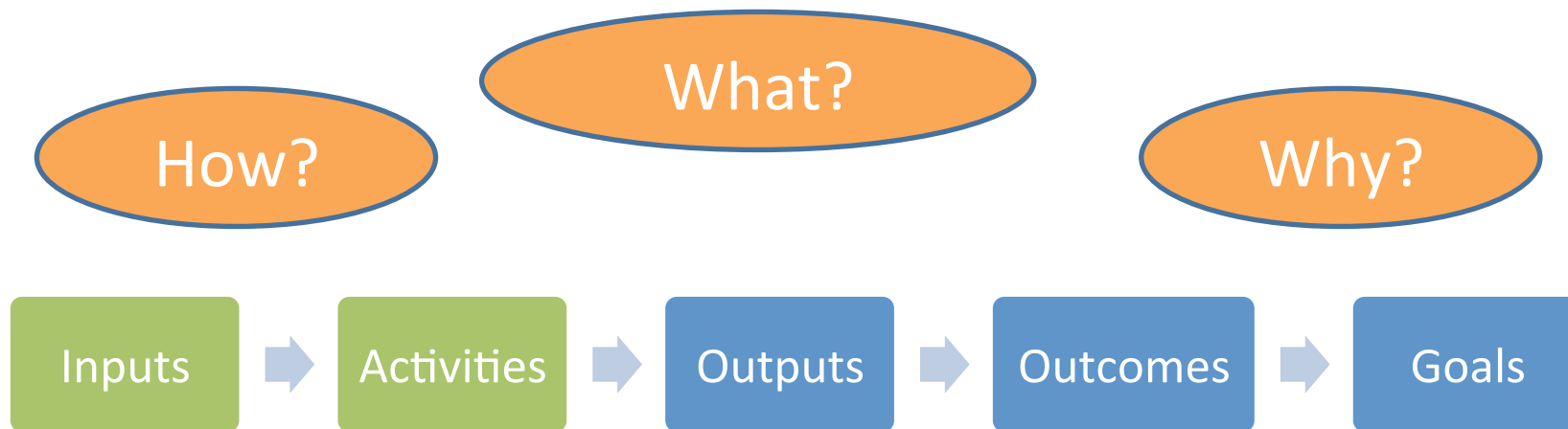
In reality

...achieving a "change" involves a non-linear process - i.e. "2 steps forwards and 1 step back or sideways"

IMPLEMENTATION   **RESULTS**

| Inputs | → | Activities | → | Outputs | → | Outcomes | → | Goals |

← **PLANNING**

Monitoring is the key tool for success

IMPLEMENTATION →
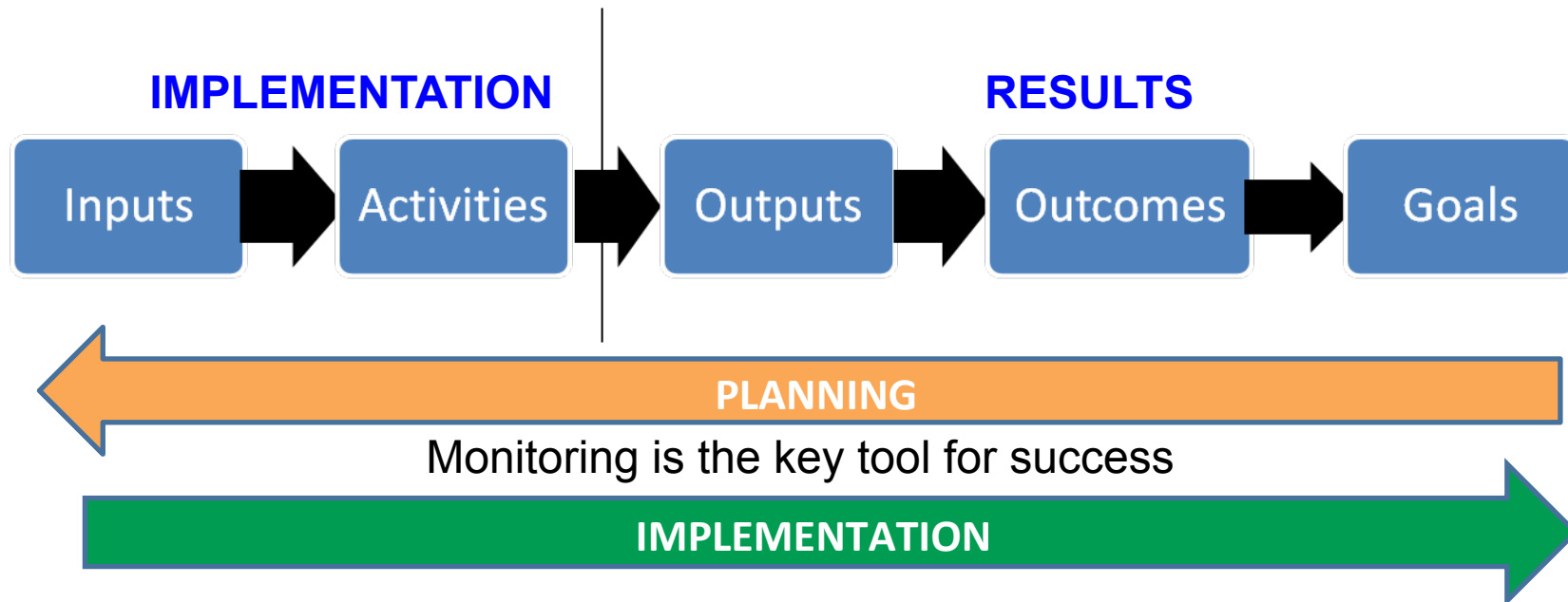
Key components of a Results and Resources Framework (RRF)

Articulates the chain of results, the resources available, and the monitoring and evaluation elements.

The RRF will enable you throughout the programme cycle to know:

- **what** you are doing
- **why** are you doing it
- **how** you are doing it
- what your **resources** are.

RRF format

National development goals or priorities.					
UNDAF Outcomes/ UNDP CP Outcomes					
Results	Indicators, Baseline, Target	MoV	Risks and Assumptions	Implementing partners	Indicative resources by output (per annum, USD)
Outcome					
Output					

The Logical Framework Analysis (LFA)

- **Tool** following the principles of Results-Based Management (RBM)

- Originates in the United States in the 1960s, today used in projects and sectors by public agencies, private companies, municipalities, regions and NGOs and international development organisations

- Many other RBM methods e.g. the **Balanced Scorecard, the SWOT Analysis, Total Quality Management Theory of Change, Outcome Mapping**

- Despite criticism LFA is a comprehensive planning model that covers all stages of the planning process, all the way to a completed project, programme and/or operation plan

The Logical Framework Analysis (LFA)

What Makes a Good Logframe?

- A **sound problem summary** statement key stakeholder agree upon (already covered)

- **Objectives focus on the problem** to be addressed

- **Outcomes show short-term and intermediate changes** needed to achieve the objective

- Outputs lead to the outcomes

- Performance indicators verify the change has happened

THE LFA-METHOD IN BRIEF

- A results-oriented planning method for projects, programmes and operations.

- One of the methods when implementing Results-Based Management (RBM)

- A planning method that leads to a complete plan based on the target group's and other stakeholders' participation in the planning process

- A method that leads to relevant, feasible and sustainable projects and programmes

- A tool that offers the preconditions for sustainable effects through continuous follow-up of results

- An instrument for desk-officers that, in addition to planning, LFA is also used by financing agencies for analysis, assessment and in dialogues with implementing agencies and organisations.

  Hence, what LFA stands for is in accord with the principles behind Results-Based Management (RBM).

The Logical Framework Matrix/ LogFrame

INTERVENTION LOGIC	INDICATORS	MEANS OF VERIFIKATION, (MoVs)	ASSUMPTIONS
Overall objectives	(Indicators)	(Means of verification)	(Empty Box)
Project Objective	Indicators	Means of verification	Assumptions
Intermediate objectives	Indicators	Means of verification	Assumptions
Expected outputs	Activities	Resources	Preconditions

The Logical Framework Matrix/ LogFrame

Project:			Financing Agency:	
Project Implementing Partners:			Project Managers: Phone and mail:	
Country and Region:			Time Frame:	

Intervention logic	Objectives	Indicators	Source of verification (SoV)	Assumptions
The Overall objectives (Expected Impacts)	The project will contribute to:			N/A
The Project Objective (Medium-term outcome)				
	Intermediate objectives (Short-term outcomes)	Indicators per intermediate objective	Source of Verification (SoVs)	Assumptions
Intermediate objective 1				
Intermediate objective 2				
Intermediate objective 3				
Intermediate objective 4				
Expected Outputs	Expected outputs	Activities / Intermediate objective	Resources	Preconditions (prior to project start)
	1.1 1.2 1.3 etc 2.1 2.2 etc.	1. 1 1.2 1.3 etc. 2.1 2.2 etc.	Time: Total budget:	

The LFA planning process

THE PLANNING PROCESS ACCORDING TO LFA

1. **Analysis of the project's context/environment** *(Background information)*

2. **Problem analysis / Situation analysis** *(What main problem shall be solved by the project? Which are the causes and effects of this main problem?)*

3. **Analysis of stakeholders** *(Which individuals and stakeholders are affected by and affect the project?)*

4. **Formulation of objectives** *(What do we wish to achieve with the project? What are SMART objectives?)*

5. **Activity planning** *(Which measures shall be implemented to achieve the objectives?)*

6. **Resources planning** *(Time management, staff, budget and if needed, necessary equipment)*

7. **Indicators and means of verification (MoVs)** *(How do we measure results?)*

8. **Risk analysis and risk management** *(Which factors may affect our results?)*

9. **Analysis of assumptions** *(Prioritisation, what can the project handle and what will other stakeholders handle?)*

Building a problem tree

FOCAL PROBLEM

FOCAL PROBLEM
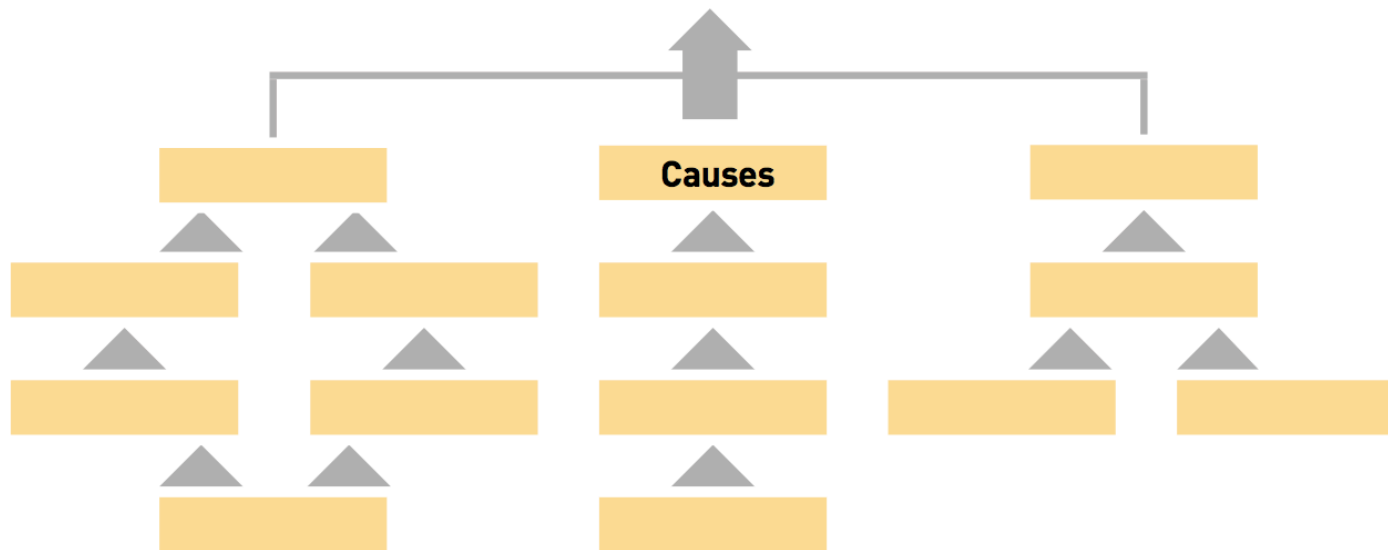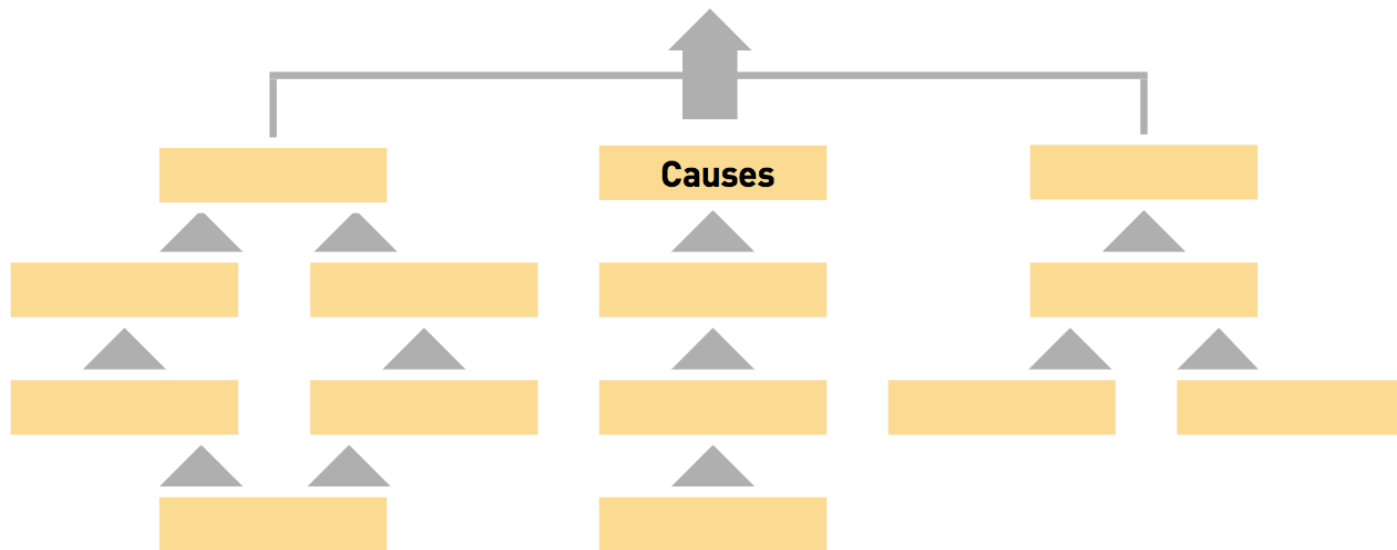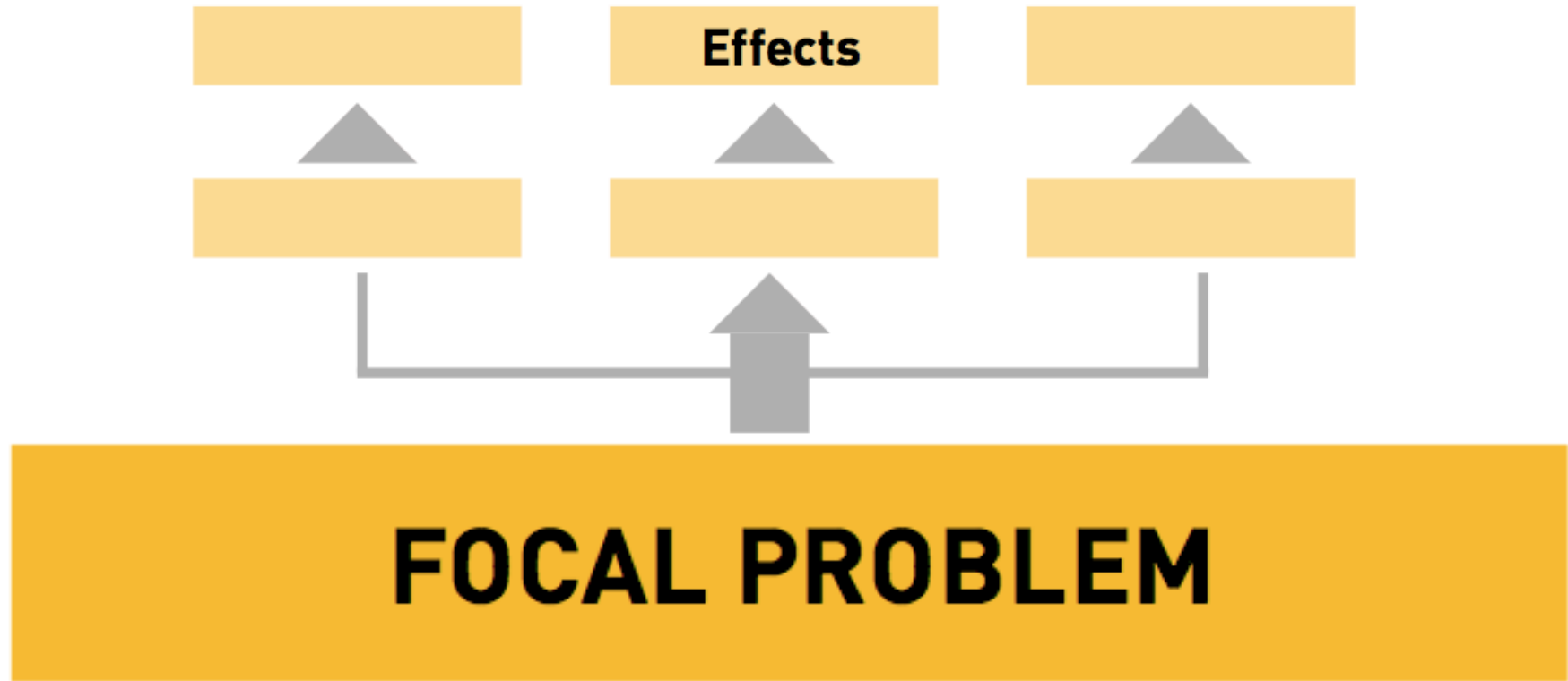
Causes

Effects

FOCAL PROBLEM

Causes

Higher health care costs for disabled persons who have not obtained habilitation support

Poverty, the disabled and their families, stuck in poverty

Effects

Higer level of mental and physical illness among children and adults with disability

Difficult living conditions for persons with disabilities

Difficult for the disabled to manage in life as adults, e.g. difficult to get jobs and live independently

Main problem

Insufficent support for habilitation of children with disabilities age 0–13 years that lives in city X

Few resources, wheelchairs, hearing aids etc adapted for children with disabilities to be found in the country

Target group's parents have no knowledge of habilitation and need for habilitation

No schools in the city with special pedagogy and accessibility

No local production of aids/devices for children

No organised import of aids/ devices for children

Insufficient support in habilitation from Society (the community) for parents

No specially trained educationalists

Health care staff have insufficient competence in habilitation of children

No functioning collaboration or interaction between stake-holders/actors

Higher health care costs for disabled persons who have not obtained habilitation support

Poverty, the disabled and their families, stuck in poverty

Higher level of mental and physical illness among children and adults with disability

Difficult living conditions for persons with disabilities

Difficult for the disabled to manage in life as adults e.g. difficult to get jobs and live independently

Aids/devices for children

Insufficient support for habilitation of children with disabilities*
*Children aged 0–13 years living in city X

Parental knowledge

Specialist teachers

Few resources, wheelchairs, hearing aids etc adapted for children with disabilities to be found in the country

Target group's parents have no knowledge of habilitation and need for habilitation

No schools in the city with special pedagogy and accessibility

No local production of aids/devices for children

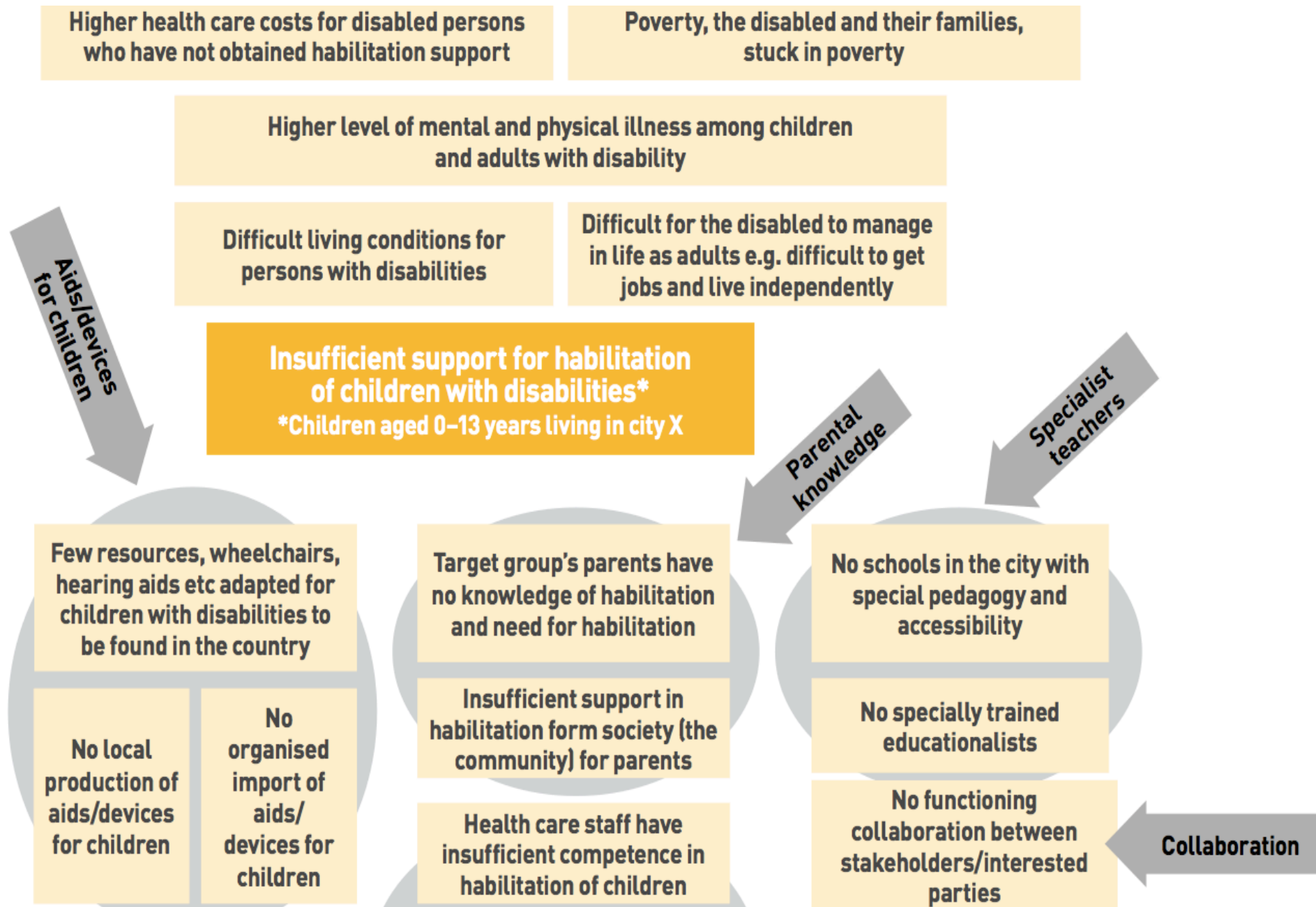**No organised import of aids/ devices for children**

Insufficient support in habilitation form society (the community) for parents
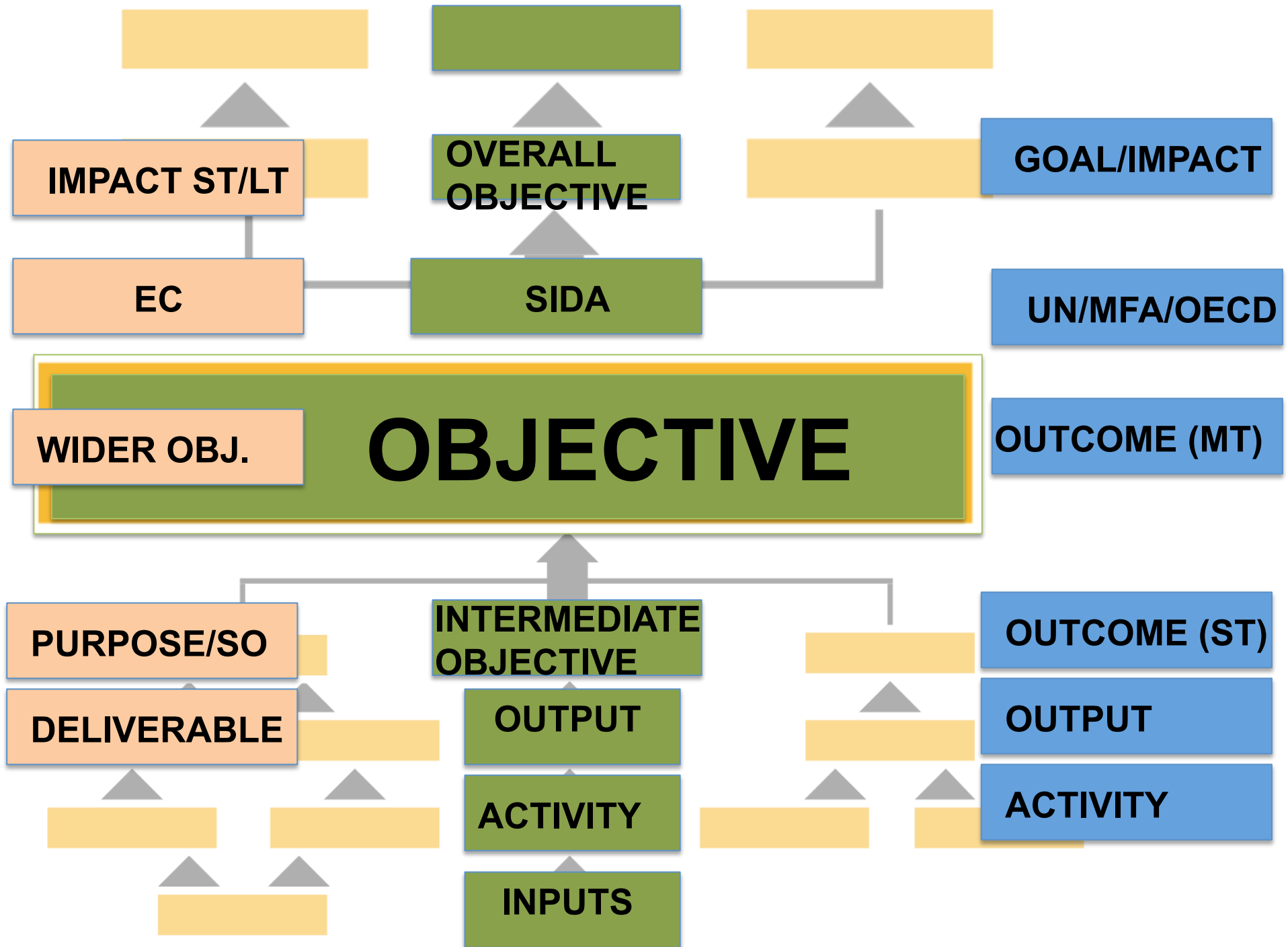
No specially trained educationalists

Health care staff have insufficient competence in habilitation of children

No functioning collaboration between stakeholders/interested parties

Collaboration

Relation of Objectives and Results

At the **highest** level, a **result is the achievement of the objectives** that the Programme has set for itself to help address the problem when the objective is attained. This is what is often called **impact**.

To **achieve that objective**, certain **outcomes have to be obtained** as a consequence of the Programmes work.

The **tangible direct results** of that work are the **outputs** that are produced.

From Problems...

PROBLEM ANALYSIS

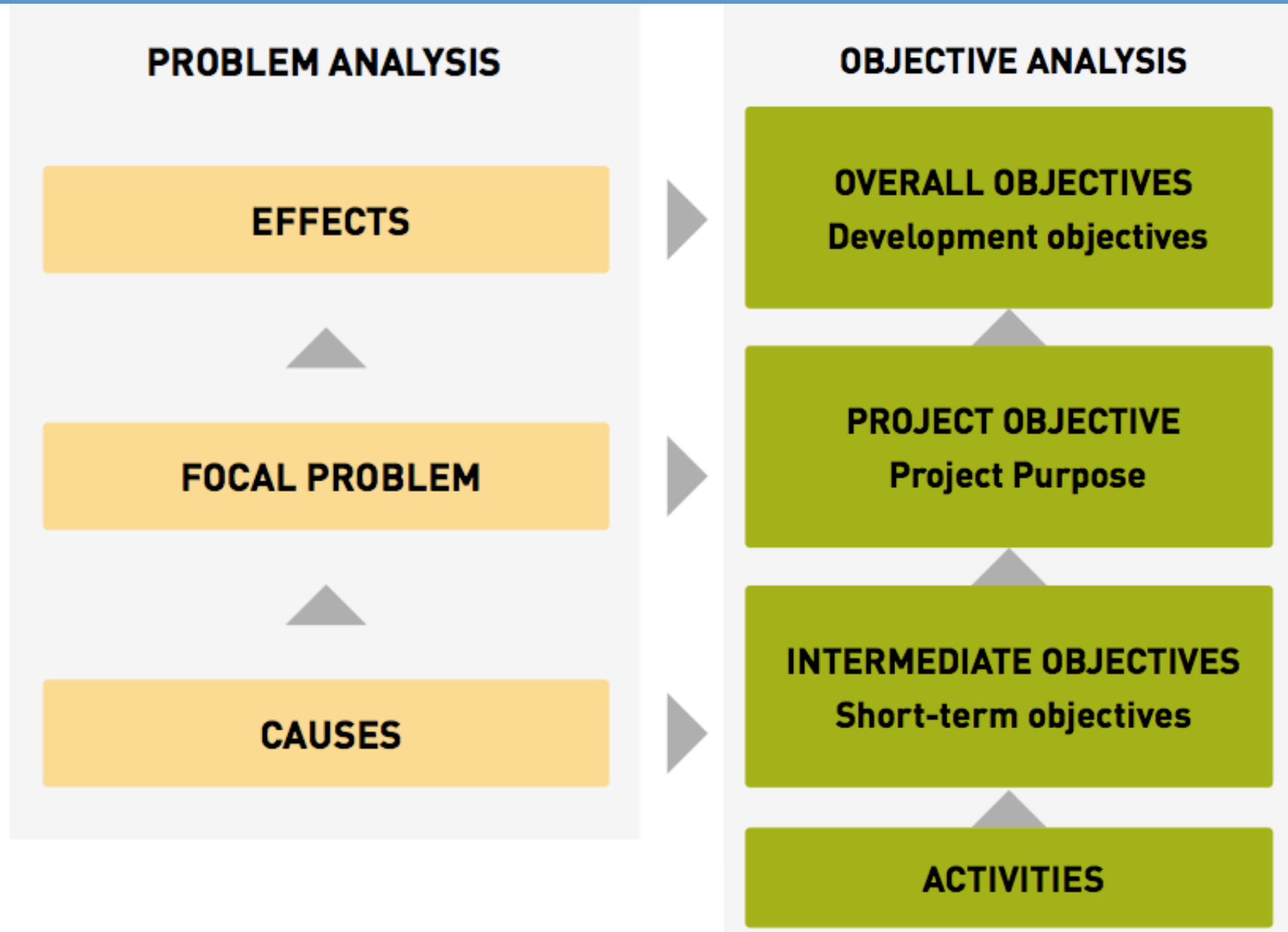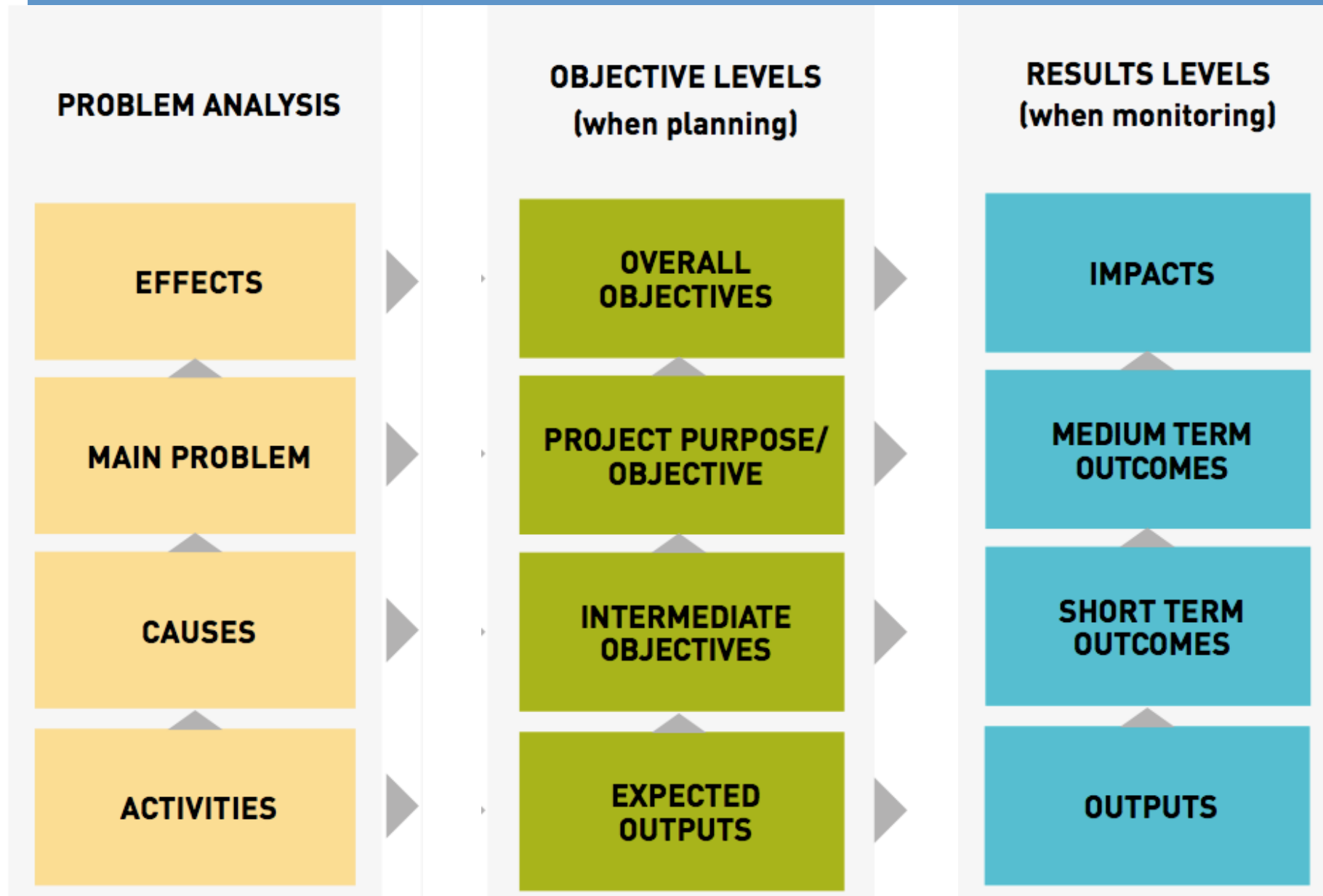| EFFECTS |
|---------|

▲

FOCAL PROBLEM

▲

CAUSES

...to objectives...

PROBLEM ANALYSIS

EFFECTS

FOCAL PROBLEM

CAUSES

OBJECTIVE ANALYSIS

OVERALL OBJECTIVES
Development objectives

PROJECT OBJECTIVE
Project Purpose

INTERMEDIATE OBJECTIVES
Short-term objectives

ACTIVITIES

...to Results

PROBLEM ANALYSIS	OBJECTIVE LEVELS (when planning)	RESULTS LEVELS (when monitoring)
EFFECTS	OVERALL OBJECTIVES	IMPACTS
MAIN PROBLEM	PROJECT PURPOSE/ OBJECTIVE	MEDIUM TERM OUTCOMES
CAUSES	INTERMEDIATE OBJECTIVES	SHORT TERM OUTCOMES
ACTIVITIES	EXPECTED OUTPUTS	OUTPUTS

Results

A result is a <u>development change</u> arising from a <u>cause and effect</u> relationship.

A RESULT IS **NOT** THE COMPLETION OF ACTIVITIES

A result has two components:

- CHANGE
- CAUSALITY

Causality: IF…THEN

IF modern energy sources are available, accessible and affordable, **THEN** there will be decreased time use of women and children in collecting the firewood and more productive time for other uses

THEN…

Change

A CHANGE is a development transformation that can be measured or described, e.g.

- in quality & availability of services
- in status/condition (e.g. poverty, environment)
- in knowledge or skills
- of beliefs, behaviors and practices
- in institutional performance…

Different levels of results

RESULTS=*"changes in a state or condition that derive from a cause-and-effect relationship (intended or unintended, positive and/or negative) – outputs, outcomes and goals"*
-UNDG RBM Handbook

Different levels of results seek to capture the different development changes. These results are **linked together into the results chain (RRF)**.

In RBM we distinguish between three levels of results:
  - **Goals/Impact**
  - **Outcomes**
  - **Outputs**

Different levels of results

2020

Graduation from LDC

7th NSEDP

2015

National Socio-Economic Development Plan

MDGs

UNDAF

UNDP CP

UN Development Assistance Framework

Country Programme

AWP (Annual Work Plan)

Project Document

OUTPUTS → OUTCOMES → GOALS/IMPACT

Source: Khemphone Phaokhamkeo & Iori Kato, 2011
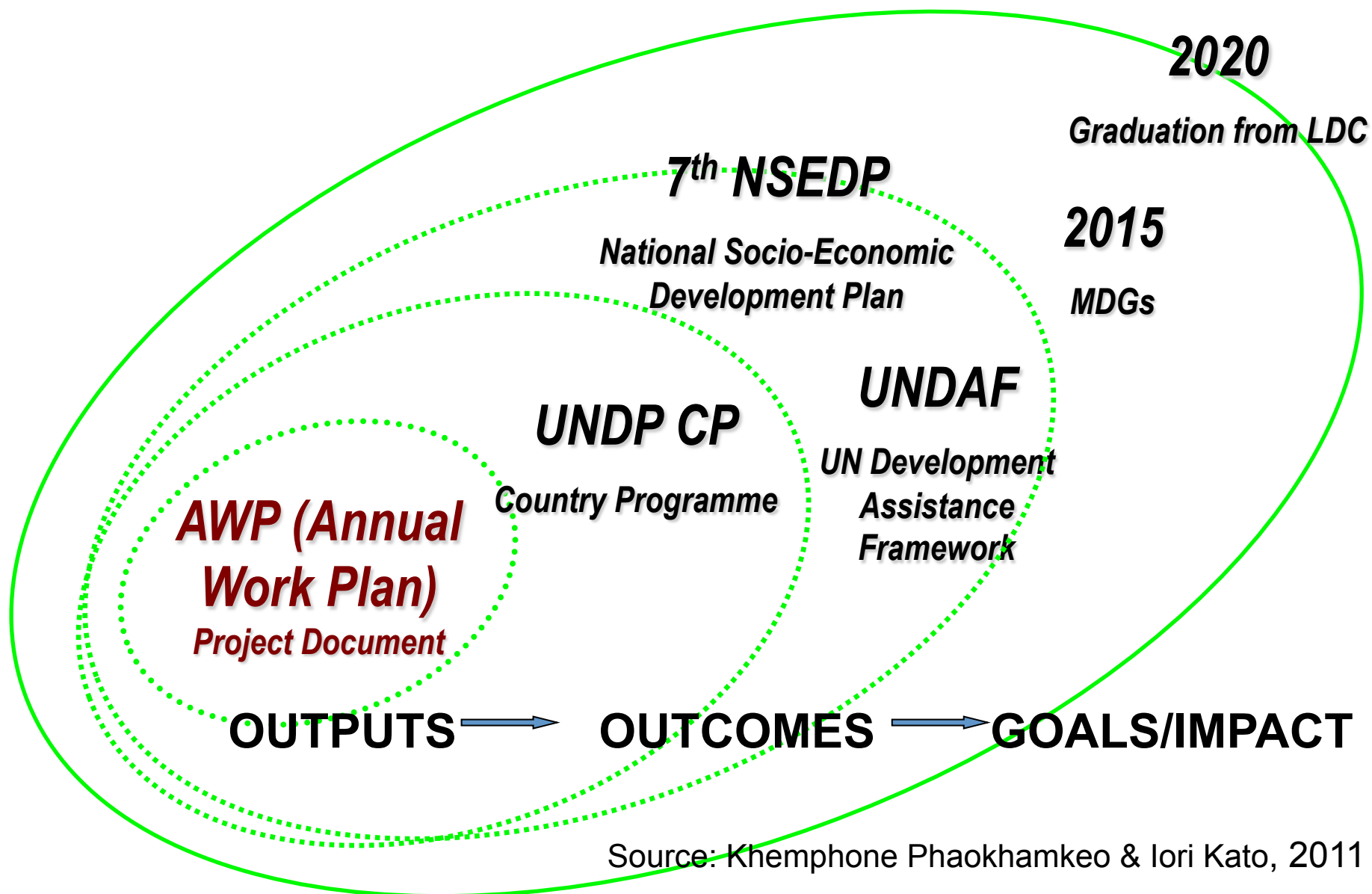
Impact

*"Positive and negative **long-term effects** on identifiable population groups **produced by a development intervention**, directly or indirectly, intended or unintended. These effects can be economic, socio-cultural, institutional, environmental, technological or of other types and **should have some relationship to the MDGs and national development goals."** - UNDG, RBM handbook*

Goals

Goals are the specific end results desired or expected to occur as a consequence (at least in part) of the intervention or activity.

A goal refers to the **'big picture'** changes over **long time periods** and represents the underlying aim of development work.

Goals

Satisfactory examples of goals are:

- Advanced Gender equality in access to resources, goods and services and decision-making in rural areas
- Ensure(d) environmental sustainability

Objectives

Objective, according to OECD/DAC Glossary of Evaluation Terms is:

1) "An overall desired achievement involving a process of change aimed at meeting certain needs of identified beneficiaries within a given period of time." or

2) The situation you will observe at the end of a specific period.

Objectives

Examples (source: SIDA):

"Agricultural educational programmes in sub-Saharan Africa
   are in agreement with African priorities within a framework
   that will produce an adequate number of quality graduates
   working in the agricultural sector."

"To improve context relevance through contextualized
   educational materials development and enhanced delivery
   for graduates to perform effectively in the agricultural
   sector, by 2014." (at the regional research network level)

Outcomes

Outcomes are:

- "The likely or achieved short- and medium-term effects of an intervention's outputs" (OECD/DAC Glossary of Evaluation Terms)

- Situations that will be observed when outputs make changes happen

Outcomes

- **medium- term changes** and effects of a programme or intervention

- normally achieved **beyond the timeframe** of an intervention or programme

- intervention/programme **"contributes"** to achievement of the Outcome along with other initiatives

- intervention or programme should ideally not have more than **one outcome statement**

ASK : Where do we want to be at the end of the project? What must be in place in order for us to achieve our goals and have an impact?

Satisfactory examples of outcomes

- Increased implementation of national development plans and budgets that recognize pro-poor, and environmentally sustainable economic growth
- Increased participation of vulnerable groups (e.g. dalits) in development planning processes at district level
- Increased high-quality data disaggregated by gender available and used for evidence-based decision-making at national and subnational levels
- "At least 50 % of the trained experts use skills learnt to produce learning resources by June 2014"
- "Increased number of researchers linked to the organisation receive funding for new international interdisciplinary and comparative research by (time target) " (global level)

Outcome statements

An outcome statement should:

- avoid phrases such as "to assist/ support/ develop/ monitor/ identify / prepare".

- not describe how it will be achieved and should avoid phrases such as "improved through" or "supported by means of"

- be measurable using indicators

- ideally communicate change in institutional or individual behaviors or quality levels for people

Unsatisfactory examples of outcomes

- To contribute to reducing GHG emissions through improving the access to modern energy sources

- Families and communities are healthy and well educated with access to social protection mechanisms, and are able to contribute to national development

- Government, civil society and community leaders enhance gender equality and promote the rights of women and girls

- At least 50 % of the trained experts use skills learnt to produce learning resources by June 2014

- At least 80% of people in endemic areas sleep under a long lasting insecticidal net

Exercise 3: What is wrong with each of these outcomes?

Unsatisfactory examples of outcomes ANSWERS

- To contribute to reducing GHG emissions through improving the access to modern energy sources

Comment: the outcome should be results-oriented, not a process or action.

Families and communities are healthy and well educated with access to social protection mechanisms, and are able to contribute to national development

Comment: the outcome is too broad and contains multiple components

Government, civil society and community leaders enhance gender equality and promote the rights of women and girls

Comment: there is no clear relationship with our intervention and not results-oriented.

At least 50 % of the trained experts…..At least 80% of people…..

Comment: the two latter ones are not outcomes, but targets

Outputs

Outputs are products, goods and services, systems, change in skills/capacities produced by an intervention or activity.

In general, if the result is mostly **beyond the control or influence** of the project/ programme, it **canno**t be an output

Intervention / programme is **responsible to fully achieve** the outputs within its time period and should ideally not have less then three outputs and not more than five.

Key features of an output

- Clearly identify a product/service/skill/capacity change
- What type of change is implied, what is expected to change (e.g. level of knowledge)
- Who or what is the target for change
- Achieved with resources provided and within time-period specified
- Sufficient to contribute to achievement of the expected outcomes
- Formulated in change language

Output statements

- Avoid broad output statements. They make indicator identification difficult
- Be clear about <u>what is expected to change</u> – a condition, level of knowledge, attitude?
- Be clear about <u>where change should appear</u> – e.g. among individuals, counterpart organizations, communities, regions?
- Specify <u>who or what are the specific targets for change</u>. What kind of individuals, organisations, communities, etc.?

BREAK ?

COMMON OUTPUT MISTAKES

Not specific

e.g.

- Improved availability & utilization of disaggregated data and information

Contains multiple results

- Improved awareness of women's rights at all levels and improved accountability of national policies and systems
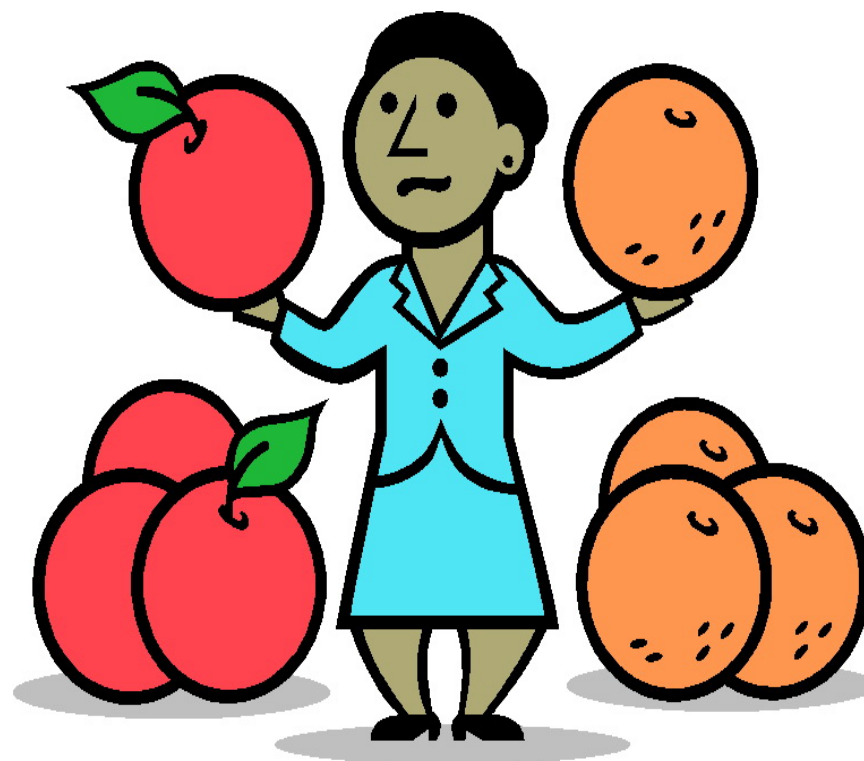
Beyond the mandate
- scale and scope not within control

- Increased national and sub-national capacity to increase availability, accessibility, acceptability, affordability and utilisation of modern and clean energy resources to reduce forest degradation and indoor pollution

Too ambitious

e.g.

- Policies of relevant sectoral ministries are revised to reduce institutional and social barriers to exercising rights and accessing services, for all excluded groups

Too general – could mean anything

e.g.

- An improved multi-sectoral approach at the policy level

- Improved management systems and practices for service delivery

Confusing means and ends

e.g.

- Strengthen the protection of human rights through the creation of an enabling environment that promotes gender equality

Satisfactory output statements

- **Increased awareness** of local communities on ecosystem based climate change adaptation options in the Panchase area in Nepal

- **Improved understanding of** geographic information systems by technical staff of department of land use planning at the Ministry of Planning.

- **Increased evidence** on linkages between poverty and environment available for decision makers in Lao PDR

Unsatisfactory output statements

- Contribute to implementing the national environmental law

- Enhanced national expertise and transfer of technology

Exercise 4 – what is wrong with each of these outputs?

Unsatisfactory output statements - ANSWERS

- Contribute to implementing the national environmental law

There is no clear accountability of THE ACTOR under this output.

- Enhanced national expertise and transfer of technology

Too broad and too ambitious for an output, not specific

Exercise 5 – match the examples with the correct result level

Goal?
Outcome?
Output?

- Population dynamics and its interlinkages with gender equality, sexual and reproductive health and HIV/AIDS incorporated in public policies, poverty reduction plans and expenditure frameworks.

- Systematic use of population dynamics analysis to guide increased investments in gender equality, youth development, reproductive health and HIV/AIDS for improved quality of life and sustainable development and poverty reduction.

- Improved capacity of national planning institutions on population dynamics and their relation to socio-economic development.

Matching examples with result level - ANSWERS

Goal:

- Systematic use of population dynamics analysis to guide increased investments in gender equality, youth development, reproductive health and HIV/AIDS for improved quality of life and sustainable development and poverty reduction

Outcome:

- Population dynamics and its interlinkages with gender equality, sexual and reproductive health and HIV/AIDS incorporated in public policies, poverty reduction plans and expenditure frameworks.

Output:

- Improved capacity of national planning institutions on population dynamics and their relation to socio-economic development.

Activities vs Outputs

Activities are often confused with outputs.

- *Activities* describe the **actions** taken or work performed **through** which **inputs**, such as funds, human resources and other types of resources are **mobilized** to produce specific outputs.

- *Outputs* are the products, goods and services produced by an intervention or activity.

Exercise 6
Are these activities or outputs?

- Improved availability of reliable poverty data, disaggregated by sex and age, at national and provincial levels.

- Networking with village leaders in awareness raising campaign that targets vulnerable groups.

- Introducing an information system to better monitor investments in Phongsaly.

- Comprehensive health services available for all individuals in target areas

- Activity ❑
- Output ❑

- Activity ❑
- Output ❑

- Activity ❑
- Output ❑

- Activity ❑
- Output ❑

Exercise - ANSWERS
Are these activities or outputs?

- Improved availability of reliable poverty data, disaggregated by sex and age, at national and provincial levels.

  - Activity ☐
  - Output ☑

- Networking with village leaders in awareness raising campaign that targets vulnerable groups.

  - Activity ☑
  - Output ☐

- Introducing an information system to better monitor investments in Phongsaly.

  - Activity ☑
  - Output ☐

- Comprehensive health services available for all individuals in target areas

  - Activity ☐
  - Output ☑

Exercise 7 – suggest possible matching outputs and activities

Output	Activity
Improved availability of reliable poverty data, disaggregated by sex and age, at national and provincial levels.	
	Networking with village leaders in awareness raising campaign that targets vulnerable groups.

What could the specific/intermediate objectives be in this case?

Exercise 7 – suggest possible matching outputs and activities

Output	Activity
Improved availability of reliable poverty data, disaggregated by sex and age, at national and provincial levels.	Support the capacity of statistics department to collect detailed poverty data in the next national census
Increased awareness on climate induced disasters among vulnerable groups living in flood prone areas of Panchase sub-district	Networking with village leaders in awareness raising campaign that targets vulnerable groups.

E.G
- Improved knowledge of statistics department on national poverty situtation
- Better preparedness of low-land communities to prepare for climate related events

Inputs

Inputs are the financial, human and material resources used for the intervention or activity.

Exercise 8 – which of the following are inputs? Tick all that apply.

- Available regular (core) and other financial resources ❑
- Professional staff and administrative staff ❑
- Offices and facilities ❑
- Information and Communications Technology (ICT) infrastructure ❑
- Transportation vehicles, especially in conflict and post-conflict areas ❑
- Related institutional knowledge and experiences ❑

Exercise – which of the following are inputs? Answers.

- Available regular (core) and other financial resources ☑
- Professional staff and administrative staff ☑
- Offices and facilities ☑
- Information and Communications Technology (ICT) infrastructure ☑
- Transportation vehicles, especially in conflict and post-conflict areas ☑
- Related institutional knowledge and experiences ☑

Constructing the M&E information

Indicators

- **Quantitative and qualitative** variables that provide a simple and reliable means to measure achievement
- Gives you and indication whether on track to achieve the planned results?
- Output (YOU responsible) vs. Outcome indicator (source e.g. UNDAF, CPAP, national/sub-national plans, development programmes)

ASK:
- As direct as possible to **reflect the outcome/output** (or proxy)
- Sufficiently **precise** to ensure objective measurement?
- The most **practical and cost effective** collection of data?
- Is **data available** and who is responsible for collection of *data?*
- Can **national systems or indicators** be used? (Outcome)

Indicators (2)

The **CREAM** of good INDICATORS

Clear precise and unambiguous

Relevant appropriate to the subject

Economic available at a reasonable cost

Adequate provide a sufficient basis to assess performance

Monitorable amenable to independent validation

The **SMART** of good TARGETS

Specific to the objective is supposed to measure

Measurable (quantitatively of qualitatively?

Attainable at a reasonable cost

Relevant to the information needs of the managers

Time-bound to know when the targets will be achieved

Indicators (3)

The project objective and the intermediate objectives should be "SMART".
A SMART objective is:

- **S**pecific *(clear)*

- **M**easurable *(it should be possible to set indicators and means of verification for the objectives,*

- **A**ccepted *(by the project group and the project owner, which could be e.g. a ministry)*

- **R**ealistc *(on the basis of conditions such as mandate and resources)*

- **T**ime limited *(the objectives should be achieved during the project period)*

Indicators (4)

- Can be a mix of qualitative and quantitative indicator types (sometimes likely to be more effective)

- Sufficient to measure the breadth of the changes happening

- Piloting your indicators is essential!!!

The "BOTTOM LINE", indicator must

Work: must show change if change occurs.

Be Objective: ("Objectively Verifiable") and

Be Practical: can / will we "do" it.

Indicators (4)

TABLE 4. Indicators

QUANTITATIVE INDICATORS	QUALITATIVE INDICATORS
• measures of quantity • number • percentage • ratio	• perception • opinion • judgements
Examples: • # of women in decision-making positions • employment levels • wage rates • education levels • literacy rates	Examples: • women's perception of empowerment • satisfaction with employment or school • quality of life • degree of confidence in basic literacy
Means of verification	
formal surveys or questionnaires	public hearings, testimonials, focus groups, attitude surveys, participant observation

Baseline

*"Information gathered at the **beginning** of a project or programme from which variations found in the project or programme are measured"-UNDG*

HMM… in common sense baseline gives us the **first measurement** of an indicator and tells us **where we are now** in relation to the outcome we are trying to achieve

Building baseline information

For each of the indicators, define:

1. Data to be collect
2. Source(s) of data
3. Method of collection
4. Who should collect the data
5. When to collect data

Building baseline information

Informal and less structured vs. **Formal and more structured**

Data collection

Depends on the Cost - Accuracy - Appropriateness

Indicator	Data source	Data collection method	Who will collect data?	Frequency of collection	Cost and difficulty to collect	Who will analyse data?	Who will report data?	Who will use the data?
1.								
2.								
3.								

Building baseline information

Data Collection Strategy				
Performance Indicators in the RBM Logframe	**Data Source**	**Data Collection Method**	**Who**	**When**

Building baseline information

Data sources can include **primary or secondary data**:

- Reports, internal and external that are generated by the programme
- Policy statements related to the programme
- Regular statistical series, including baseline data
- Administrative documents of the programme
- People who can be interviewed through surveys or focus groups
- Observation on-site during missions

Building baseline information

Data Collection Methods can include e.g.

- Content analysis
- Use of existing statistical series Focus groups/ interviews
- Surveys
- Field visits
- Case studies …

Target

"Specifies a particular value for an indicator to be accomplished by a specific date in the future" - *UNDG, RBM Handbook*

Required for outcomes, outputs and main activities. Indicates what the situation is expected to be at set intervals or the end of a programme/activity (can be short (annual) or long term)

Photo: Alastair Bradstock, IIED

Target

Baseline indicator level + **Desired level of improvement** = **Target performance**

For whom? Where? How much? By when?

Exercise 9 – Indicator, Baseline or Target? Tick the right one

	I	B	T
1) In 2011, 55% of the local government plans do not address climate change	❑	❑	❑
2) By 2008, at least 40% of stray cats vaccinated	❑	❑	❑
3) Number of youth between 15-25 years who have access to free education	❑	❑	❑
4) Level of institutionalised mechanisms in place	❑	❑	❑
5) Inexistence of EIA guidelines in national language	❑	❑	❑
6) Decrease the number of bad policies to combat climate change	❑	❑	❑
7) By 2020, halve the proportion of people living in poverty	❑	❑	❑

Exercise 9 – Indicator, Baseline or Target ANSWERS

	I	B	T
1) In 2011, 55% of the local government plans do not address climate change	☐	☑	☐
2) By 2008, at least 40% of stray cats vaccinated	☐	☐	☑
3) Number of youth between 15-25 years who have access to free education	☑	☐	☐
4) Level of institutionalised mechanisms in place	☑	☐	☐
5) Inexistence of EIA guidelines in national language	☐	☑	☐
6) Decrease the number of bad policies to combat climate change	☐	☐	(☑)
7) By 2020, halve the proportion of people living in poverty	☐	☐	☑

Building M&E information:
Outcome, indicators, baselines and targets

Outcome statement	Indicators	Baselines	Targets
1. Increased implementation of National and Provincial Investment strategies			
2. Job opportunities for youth improved			

Building M&E information: Outcome, indicators, baselines and targets

Outcome statement	Indicators	Baselines	Targets
1. Increased implementation of National and Provincial Investment strategies	1. Per cent of implemented activities of NIS/ PIS action plan		
2. Job opportunities for youth improved	2. Per cent of school leavers are in full-time work		

Building M&E information: Outcome, indicators, baselines and targets

Outcome statement	Indicators	Baselines	Targets
1. Increased implementation of National and Provincial Investment strategies	1. Per cent of implemented activities of NIS/PIS action plan	1. In 2012, 0 per cent of activities identified in the action plan of NIS/PIS implemented	
2. Job opportunities for youth improved	2. Per cent of school leavers are in full-time work	2. In 2009, 60 per cent of 18-26 year olds	

Building M&E information: Outcome, indicators, baselines and targets

Outcome statement	Indicators	Baselines	Targets
1. Increased implementation of National and Provincial Investment strategies	1. Per cent of implemented activities of NIS/PIS action plan	1. In 2012, 0 per cent of activities identified in the action plan of NIS/PIS implemented	By 2018, 80 per cent of the recommended NIS/PIS activities implemented
2. Job opportunities for youth improved	2. Per cent of school leavers are in full-time work	2. In 2009, 60 per cent of 18-26 year olds	By 2016, 70 to 75 per cent of 18-26 year olds

Analysis of Assumptions

a. What is the project's relationship with other development efforts being made in the sector? What other relevant projects/ operations are being implemented in the sector by the Government, by NGOs (non-governmental organisations) and other projects? Is there **any danger of duplication or conflict**?
b. Are the project's **results dependent on other projects** or external actors' actions? Are there any decisive assumptions, external actions needed, for the project's success, such as a new legislation or regulations, financial support, staff assignments etc. from e.g. a local Government?
c. Can the project team **monitor the assumptions, actions/ problems/situations** which other stakeholders are assumed to be responsible to solve?

Analysis of risks

a. **What factors, risks, both internal and external, could potentially prevent, constrain, or delay the implementation of the project?** How and to what extent might these factors affect the project?

b. Can these risks be handled by the project? **How can we mitigate these risks** (a risk management plan)?
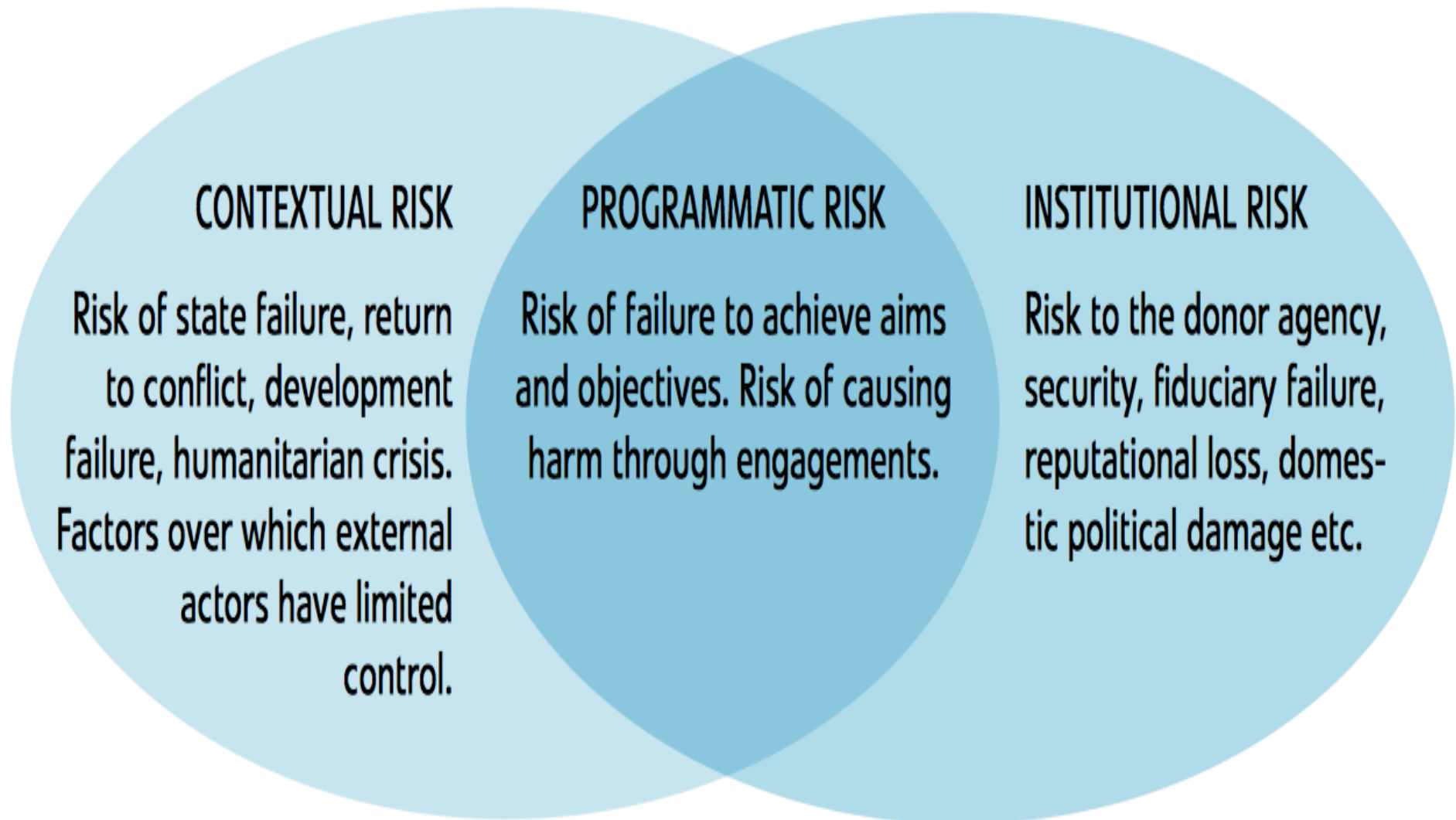
c. Is there any one factor that is a **precondition** for the success of the project, or, conversely, a "killing factor"? What are the plans of the cooperating country to deal with any such factors?

d. Might the project lead to any **negative side-effects**?

e. Are continuous **risk analysis and risk management an integrated part of the project design**? Is the plan flexible enough and are those involved willing to make revisions in the plan, such as changing planned activities, if necessary?

f. Can be categorised to contextual, programmatic and Institutional

Analysis of risks

CONTEXTUAL RISK

Risk of state failure, return to conflict, development failure, humanitarian crisis. Factors over which external actors have limited control.

PROGRAMMATIC RISK

Risk of failure to achieve aims and objectives. Risk of causing harm through engagements.

INSTITUTIONAL RISK

Risk to the donor agency, security, fiduciary failure, reputational loss, domestic political damage etc.

Analysis of risks

RISKS	PROBABILITY (that the risk will occur)	CONSEQUENCES (For the results)	RISK VALUE (column 2 and 1 multiplied)	RISK MANAGEMENT
1. High turnover of trained staff, they leave (e.g. braindrain)	4	5	20	a. More training b. Develop manuals c. Institute internal training, training of trainers (ToT) d. Avoid dependence on one person, shared responsibility for training
2. Deliveries delayed	1	2	2	No measure required due to low risk value

Group Exercise: Problem tree 30 minutes

- **Form three groups**

- **Assign a secretary and rapporteur**

- **Select an intermediate problem for the focal problem problem**

- **Define key corresponding/related problems to your problem**

PESTECV

Group Exercise: Problem tree
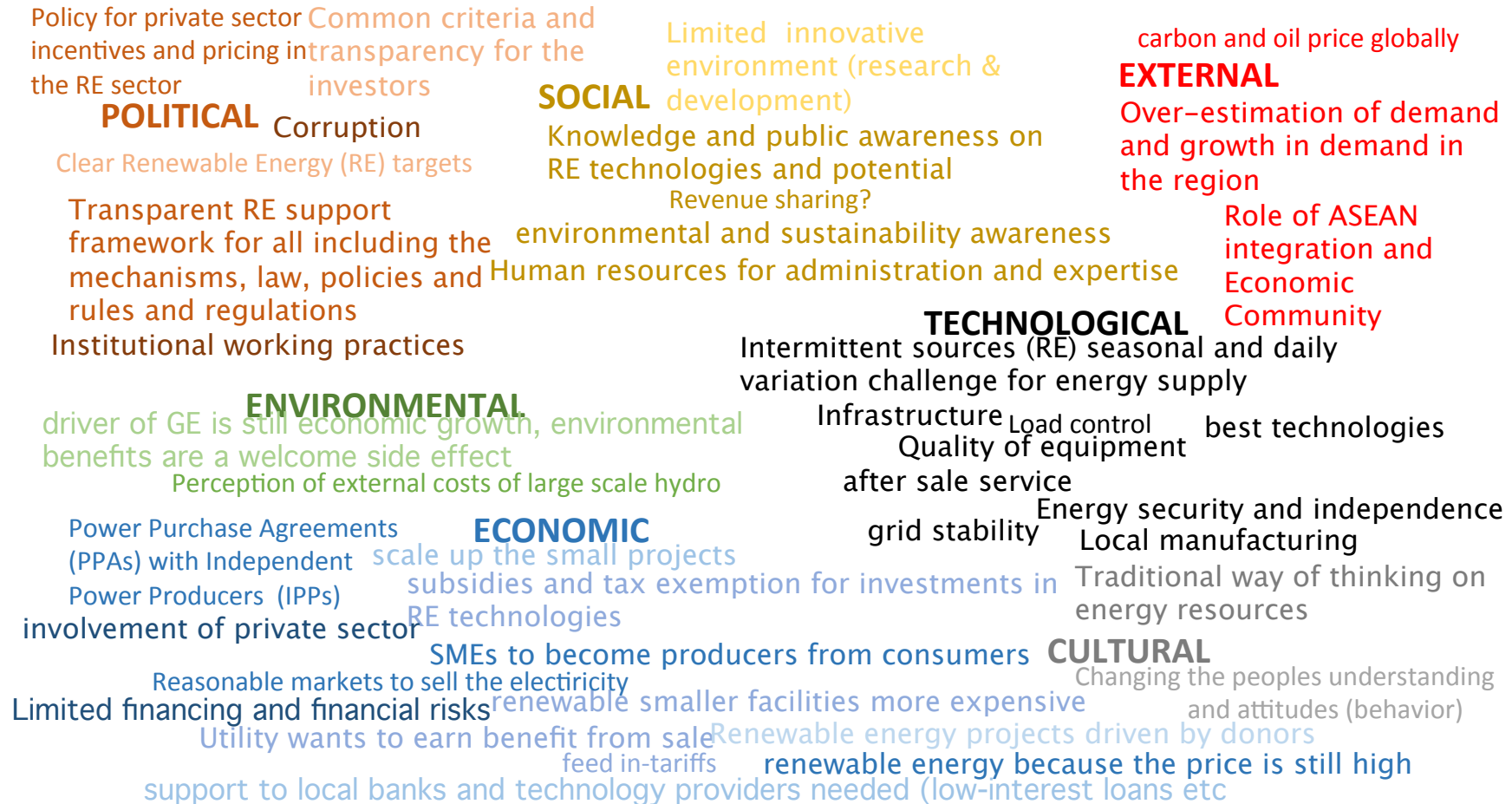
Group Exercise: Objective tree (45 minutes)

- **Transform your focal problem into a project Objective**

- **Define at least intermediate objectives to reach to the focal objective**

- **Define key activities and inputs needed you to achieve the intermediate objectives**

- **What are your long/medium/ short term outcomes and outputs?**

- **What happens if you are able to reach to your project objective (overall objective, impact)**

Summarizing findings (30 mins)

- **Present your work to other groups showing your intermediate problem and respective objectives, outcomes and outputs, activities and inputs**

- **Present at least one long-term outcome/ impact that you have a contribution to when reaching your core objective**

Summary: Doing it right from the beginning

- **Planning** (with involvement of stakeholders) and a **clear RRF/LogFrame** articulating the chain of results is the **key** to achieving outputs, outcomes, goals and impact

- Outcome & and Outputs statements tell you what the success/achievement/result will look like and whether you reach your intended objectives YOU can't develop indicators, targets and baselines without them

- Indicators need baselines and targets, without them they are irrelevant

IF YOU CAN MEASURE IT ,

YOU CAN MANAGE IT

THANK YOU,

AWKUN

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