Results-Based Management

Training for RCPAR Network members

ITC/ILO Training Centre, Turin, Italy

May 2010

Bratislava Regional Center Management Practice
Your Needs & Expectations

Key Findings of the online Survey

• 24 responses
Your Skills
Please assess your skills on programme and project management

- Others (please specify below)
- Negotiation of Partnerships Agreement
- Project Monitoring and Evaluation
- Project Budgeting & Financial Reporting
- Project Implementation
- Log Frame/Results Framework formulation
- Project Document Drafting/formulation

Legend:
- Very Good
- Good
- Fair
- Limited
- No Experience
Your Expectations and Needs
Please rate by order of importance the topics that you think would need speci...
Session Objectives

Results-based Management (RBM) Introduction
- The Logic Model and Results Chain
  - Understanding the RBM Typology
  - Differentiating outcomes and outputs
  - Indicators, baseline and targets

Applying RBM
- Case Study - Results Framework
  - Formulating results
  - Formulating qualitative and quantitative indicators
- Monitoring techniques and tools
What is a Result?

A describable or measurable change resulting from a cause and effect relationship

- UNDG agreed RBM terminology
What is results based management?

RBM is a management approach aimed at ensuring that activities achieve desired results.

A key component of RBM is performance monitoring which is to objectively measure how well results are being achieved, and report on measures taken to improve them.
Why RBM?

Stated rationale/intended gains:

- Improved focus on results instead of activities
- Improved transparency
- Improved accountability
- Improved measurement of programme achievements
  (performance rather than utilization)
- Enhanced strategic focus
- Industry standard
- To get more funds!!
Results-Based Management in practice

In your table groups, discuss and agree…

What are the 3 main problems you have seen in trying to monitor and assess results as part of your work?

- one concern/problem per card/post-it
General problems: Applying RBM

Difficult to apply

Difficult to learn

Difficult to integrate

Difficult to revise (... or reluctance to revise?)

Difficult to measure

Difficult to ‘attribute’

(at outcome level, the UN is accountable but not fully responsible)
More specific problems

- Results not logically linked
- Results not sufficiently specific
- Results are composites of several results
- Results don’t express change (e.g. support provided to strengthen....)
- Results statements are too wordy
- Confusion between levels of results

Indicators
- Not logically linked to the result
- Not measurable
- Are new results
Common elements of RBM

- Problem analysis to understand causes
- Structuring of programmes around a chain of desired results - addressing causes
- Causality in the chain of results (if... then logic)
- Use of ‘change language’ (future conditional)
- Reliance on indicators to measure performance
- Costing of results rather than isolated activity budgeting
Principles of RBM

- “If-Then” causality between levels of results
- Common results language to describe changes
- Collective accountability increases as you move up the chain of results towards outcomes and impacts (*Key message → No agency can do it alone!*)
- A results matrix is a means not an end
- A results matrix is contextual
The RBM life-cycle approach
## Logframe

<table>
<thead>
<tr>
<th>Results</th>
<th>Measurable Indicators</th>
<th>Means of Verification</th>
<th>Risks and Assumptions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Goal</td>
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<tr>
<td>Purpose</td>
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<tr>
<td>Outputs</td>
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<tr>
<td>Activities</td>
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</tbody>
</table>

Management Practice - BRC

May 2010
<table>
<thead>
<tr>
<th>Intended Outcome as stated in Country Programme:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Outcome indicators as stated in the CPAP, including baseline and target.</td>
</tr>
<tr>
<td>Partnership Strategy</td>
</tr>
<tr>
<td>Project Title and number</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Intended Output</th>
<th>Output Targets for (year)</th>
<th>Indicative Activities</th>
<th>Inputs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Output 1</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Baseline</td>
<td></td>
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<td></td>
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<tr>
<td>Indicators</td>
<td></td>
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<td></td>
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<tr>
<td>Output 2</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Baseline</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Indicators</td>
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</tr>
</tbody>
</table>
A few caveats

- The results matrix is a storyline

- It is a reductive, linear description of a programme or project strategy

- Shows the *intended* paths we think are required to achieve desired results

- The storyline comprises *subjects* (duty bearers, claim holders) *results*, *indicators* and *assumptions & risks*

- The story will change
Results Chain

Inputs
- Experts; equipment; funds
- People capacities improved; Laws/policies drafted

Outputs
- Policies adopted; Laws enacted;
- Conditions improved health/longevity

Impact

Partnerships and other interventions
Results Chain

Impact: Human Change

Outcome: Institutional & Behavioural Change

Outputs: Products & Services Skills & Abilities

Reduced infant and maternal mortality by 2015

Improved provision of public sanitary services to rural communities by 2013

National Public Works Agency has the management systems, equipment, and skills to provide sanitation services to rural communities
A Typology for RBM

- **Results**
  - Like...
  - Focus
  - @ Timeframe

- **Impact**
  - HIV incidence reduced

- **UN Outcome**
  - Leadership empowered

- **Output**
  - Skills of Nat’l Aids Comm. strengthened

- **Activity**
  - Train 250 district AIDS officers

**Assumptions**
- **Institutional/Behavioural**
  - 5 yrs
- **Operational/skills, abilities, products & services**
  - <3 yrs
- **Collective Accountability**
  - <1 yr

**Collective Accountability**
- more
- less
A Typology for RBM: Governance

- **Results**
  - Like...
  - More transparent governance

- **Impact**
  - Focus
  - Human!
  - 5-10 yrs

- **Outcome**
  - National capacity to implement governance reforms increased
  - Institutional/Behavioural
  - 5 yrs

- **Output**
  - Legislative code for local self-governance developed
  - Operational/skills, abilities, products & services
  - <5 yrs

- **Activity**
  - Training legislators
  - National consultation
  - Assessment of laws.
  - <1 yr

More

Collective Accountability

Less
A Typology for RBM: Poverty Reduction (1)

- **Results**
  - **Like…**
  - Poverty reduced
  - Focus
  - @ Timeframe
- **Impact**
  - Poverty reduced
  - Human!
  - 5-10 yrs
- **Outcome**
  - Employment and income generation increased
  - Institutional/Behavioural
  - 5 yrs
- **Output**
  - Regulatory environ. proposed to drive small enterprise development
  - Operational/skills, abilities, products & services
  - <5 yrs
- **Activity**
  - Economic assessment
  - Training for chambers of commerce
  - National consultation
  - <1 yr

Collective Accountability: more

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A Typology for RBM: Poverty Reduction (2)

Results
- Like...
  - Poverty reduced
  - Employment and income generation increased
  - 7 model business incubators operational in poorest provinces
  - Acquire facilities
  - Staff training
  - Micro-credit provision...

Focus
- Human!
- Institutional/Behavioural

Timeframe
- @ 5-10 yrs
- 5 yrs
- <5 yrs
- <1 yr

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A Typology for RBM: Environment

- CBO training orientation
- Small grants provision
- Community engagement

Operational/Programmatic gains:
- Skills, abilities, products & services
- Engage and mobilize communities

Performance increases:
- If

Outcomes:
- Loss of environmental resources reversed
- Human
- Institutional

Impacts:
- Like...

Activity:
- Results

Outcome

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Focus

Timeframe

Collective Accountability

Accountability

Less

more

<1 yr

<5 yrs

5 yrs

5-10 yrs
A Typology for RBM: Conflict Prevention

- Results
  - Impact
    - There is good governance
    - Governance reforms for conflict prevention institutionalized
  - Outcome
    - Cross-border communities able to discuss causes of conflict and solution
    - CBO training
    - Community orientation
    - Small grants provision
  - Output
    - Activity
      - Institutional/Behavioural
        - Operational/skills, abilities, products & services
      - Human!
        - 5 yrs
      - 5-10 yrs
      - <5 yrs
      - <1 yr

Focus

Timeframe

Collective Accountability

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A Typology for RBM: Disaster Management

Results

Like…

Focus

@ Timeframe

Impact

There is good governance

Human!

5-10 yrs

Outcome

National disaster assistance services modernized

Institutional/ Behavioural

5 yrs

Output

Local gov. and communities conduct risk assessments

Operational/ skills, abilities, products & services

<5 yrs

Activity

- CBO/ local gov training
- Community consultations
- Small grants provision

<1 yr

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Outcomes

Let’s look at some examples...
Outcomes:

Outcomes are actual or intended changes in development conditions that interventions are seeking to support.

Some guides:

1. Avoid action verbs – ”Strengthening”, “enhancing”, etc
2. Avoid intentions – “To assist the government…”,
3. Use completed verbs: “…reduced”, “improved”, “have greater access to”, etc
4. Must signal that something has changed
5. The something which has changed must be important to the country/region/community, not just UNDP.
6. Avoid UN speak: gender mainstreamed
Typical pitfalls

- Wordy (..and no change language)
  To promote equitable economic development and
democratic governance in accordance with international
norms by strengthening national capacities at all levels and
empowering citizens and increasing their participation in
decision-making processes

- Too ambitious
  Strengthened rule of law, equal access to justice and the
promotion of rights

- Containing multiple results
  The state improves its delivery of services and its
protection of rights—with the involvement of civil society
and in compliance with its international commitments
Typical pitfalls

- Wishy-washy (ie. Support provided to improve..)
  Support to institutional capacity building for improved governance

- So general, they could mean anything
  To promote sustainable development and increase capacity at municipal level

- Overlapping with National goals/ MDGs (impacts)
  Substantially reduce the level of poverty and income inequality in accordance with the MDGs and PRSP

- Confusing means and ends
  Strengthen the protection of natural resources through the creation of an enabling environment that promotes sound resources management
Examples

- Legal and regulatory framework reformed to provide people with better access to information and communication technologies.
- The poor in x region have better access to capital and other financial services.
- Reduction in the level of domestic violence against women by 2016
- Increased regional and sub-regional trade
- Higher and more sustainable employment and income for urban slum dwellers.
Examples

- **By the end of 2009, user-friendly and sustainable health care and nutrition services are provided in compliance with international standards at national and sub-national levels.**

- **Increased access to and completion of basic education, especially for girls.**

- **By 2009, increased and more equitable access to and utilization of quality, integrated and sustainable basic services by the poor and vulnerable.**

Let’s look at [a checklist](#)...
Outputs

Tangible, deliverable, promises
Outputs: Definition & key features

Outputs are deliverables/end-project results

- Operational changes: new skills or abilities, the availability of new products and services
- Must be achieved within the project period
- Managers have a high degree of control
  \[\text{If the result is mostly beyond the control or influence of the programme or project, it cannot be an output}\]
- Failure to deliver is failure of the project
- 4 to 6 outputs per agency outcome
- Unless under a joint programme, outputs are NOT collective results
Measuring Outputs

- Easier to measure than outcomes (*tangible*)
- Indicators usually coming from existing data, assessments, analysis or from routine progress reports
- Indicators can be ‘yes-no’
- Or qualitative
- 1 to 4 indicator enough - the fewer the better to reduce costs

*Promises!*  
(*...and a critical insurance policy with donors*)
Refining results...

To strengthen the capacity of civil servants to do X by undertaking Y,…

The capacity of civil servants is strengthened to do X by undertaking Y,…

The capacity of civil servants in the 4 poorest districts is strengthened to do X by undertaking Y,…

Civil servants in the 4 poorest districts are better able to X

Let’s use results language to emphasise the future condition we want to achieve.

All civil servants, everywhere? Can you be more specific? Are there particularly weak or under-resourced civil servants we should emphasise?

We can take out information that relates to either strategy or activities.

Now, let’s try bringing the subject of change to the front, and shifting from passive to active language.
Typical pitfalls

- Wordy
- Unclear logic and confused indicators
- Over-ambitious
- Passive voice and wishy-washy wording
  (ie. Support provided to improve, including but not limited to..)
- Overlapping with CP outcomes or repeating activities
Output 2.2.4
Strengthened capacities of central public authorities to develop, implement and monitor long term and linked mid term policies and programmes, including investment promotion and debt management

Suggest...
Output 2.2.4
Central level authorities are better able to make and monitor investment promotion and debt management policies
Over-ambitious(?) and mixed indicators

CP Outcome 3.1
All children, especially the most disadvantaged, enjoy access to early childhood programmes and enjoy full completion of quality basic education.

3.1.3 Children and youth, including especially vulnerable young people, receive appropriate LSBE within the mandatory school curricula and through non-formal programmes.

(1) % schools with at least one teacher who has taught subject during past academic year
(2) # Children and youth covered by LSBE

Suggest...
3.1.3 LSBE is incorporated into the mandatory school curriculum and into non-formal education programmes.

(2) % School age children covered by LSBE
- The disadvantaged?

- LSBE in approved curriculum (y/n)
(1) % schools with at least one teacher who has taught subject during past academic year
Good Outputs examples (?)

- Market-based vocational training programme developed

- A legislative framework and code for local self governance is drafted

- National budget process more effectively incorporates inputs from local governance structures

- All immunization centers have a functioning cold-chain, and adequate supply of vaccines and Vitamin A.

- Advocacy campaign implemented, targeting key parliamentarians, judges, ministers and regional governors to promote more aggressive prevention, response and municipal funding in relation to VAW

Let’s look at a checklist…
Good Output examples (cont’d)

- National electoral body has adequate personnel, equipment and skills to administer free and fair national and local level elections by 2012.
- Study of environment-poverty linkages completed
- Police forces and judiciary trained in understanding gender violence
- National, participatory forum convened to discuss draft national anti-poverty strategy
- National human development report produced
- Revised electoral dispute resolution mechanism established
- Business processes reengineered
- Compliance mechanisms established
Indicators

Measures of performance

Monitoring = How are we doing?

Indicators = How do we know?
Indicators

- Indicators describe how the intended results will be measured - accountability
- Objectively verifiable, repeatable measures of a particular condition
- They force clarification of what is meant by the result ……the fine print!
- Must be accompanied by baselines and targets
## Food for thought...

<table>
<thead>
<tr>
<th>Substantive</th>
<th>Process</th>
<th>Proxy</th>
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<tbody>
<tr>
<td><strong>Quantitative</strong></td>
<td><strong>Qualitative</strong></td>
<td><strong>Quantitative</strong></td>
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<tr>
<td>- Income disparities</td>
<td></td>
<td>Household consumption</td>
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<tr>
<td>between regions</td>
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<td>- Number of new</td>
</tr>
<tr>
<td>- Economic growth rates</td>
<td></td>
<td>cellphone users</td>
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<td>in targeted areas</td>
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<tr>
<td><strong>Qualitative</strong></td>
<td><strong>Qualitative</strong></td>
<td><strong>Qualitative</strong></td>
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<tr>
<td>- Perception among</td>
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<td>poor communities that</td>
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<tr>
<td>small business</td>
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<td>incentives are</td>
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<td>appropriate to</td>
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<td>their needs and</td>
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<tr>
<td>financial situation</td>
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<tr>
<td><strong>Combined (quan &amp; qual)</strong></td>
<td><strong>Combined (quan &amp; qual)</strong></td>
<td><strong>Combined (quan &amp; qual)</strong></td>
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<tr>
<td>Nº and quality of pro-</td>
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<tr>
<td>poor economic reform</td>
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<td>laws enacted</td>
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</tbody>
</table>
What to specify for each indicator?

- Unit of analysis;
- Existing baseline information;
- Target for subsequent comparison;
- Expected perceptions or judgments of progress by stakeholders;
- Detailed description of expected conditions or situations to be observed;
- 1-4 indicators for each result are adequate – fewer the better to reduce cost.
Indicators ‘indicate’ that change is happening or not happening

They can

– Clarify the scale and scope of a result in the results framework
– Demonstrate progress when things go right
– Provide early warning when things go wrong
– Assist in identifying changes that need to be made in strategy and practice
– Inform decision making
– Facilitate effective evaluation
Indicators, Baseline, Target and Source of Data

**Indicators:**
- # and proportion of the population with access to the Internet, disaggregated by gender
- % of population with computers and telephones
- Extent to which key policies on information technology are revised and promulgated

**Baseline:**
-(based on analysis, capacity assessment, reports, national statistics etc)

**Target:** actual value corresponding to each indicator, defined per year

**Source of Data:**
- National Statistics
- Monitoring reports
- Surveys

Legal and regulatory framework reformed to provide people with better access to information and communication technologies.
## Types of indicators

### Factual indicators
- Factual (yes/no)
- Existence (yes/no)
- Classes (x/y/z)
- Policy recommendation submitted
- Constitution passed by Parliament
- Chamber of Commerce established
- Existence of free electronic media: free, partly free, not free

### Numeric indicators
- Number
  - No. of government officials trained
  - No. of regional networks on aid effectiveness created
  - No. of regional CSOs attending regional conference on human rights
- Percentage
  - % of government budget devoted to social sectors
  - % of population with access to basic health care
- Ratio
  - Ratio of female to male school enrolment
  - Ratio of doctors per 1,000 people
### Qualitative indicators

- Process change
- Behavioral changes
- Attitudinal changes

### Examples

- **Inclusive and participatory** policy making processes in place in 10 countries in the region
- **Presence of a functional network** of local governance practitioners in the region
- **Pro-poor policies formulated**

**Increased level of awareness** on human rights among CSOs and governments in the region

- **Quality of judiciary processes improved**
- **Improved perception** of public on existence of free electronic media
- **Extent of involvement** of CSOs representing indigenous groups in national planning processes
- **Quality of public-private partnership in the preparation of national plan of action on SME development**
Direct indicators are preferable. However, they do sometimes not exist, are too expensive or inefficient to obtain. In such cases, indirect indicator have to be used.

<table>
<thead>
<tr>
<th>Purpose</th>
<th>Direct indicator</th>
<th>Proxy indicator as substitute</th>
</tr>
</thead>
<tbody>
<tr>
<td>Improvements in the national judicial system</td>
<td>❑ Quality of judicial cases improved -&gt; difficult and expensive to obtain</td>
<td>❑ Number of judicial cases challenged in the higher courts ❑ Ratio of cases filed to the cases processed in the judicial courts</td>
</tr>
<tr>
<td>Increase in per capita family income in the poorest state</td>
<td>❑ household income -&gt; household income survey needed -&gt; not frequent enough</td>
<td>❑ changes in local retail sales ❑ Increase in the total number of cell phone users in the state</td>
</tr>
<tr>
<td>To increase per capita income of small farmers</td>
<td>❑ Crop sales and food consumption -&gt; survey needed -&gt; too expensive</td>
<td>❑ purchase of typical consumer items ❑ improvement in buildings (e.g. roof) of life style (consumption of meat per week)</td>
</tr>
</tbody>
</table>
Focus on **what is critical** to see happen:

- “Number of audit recommendations implemented”

Versus

- “Number of critical audit recommendations implemented”

or

- “# of persons provided with information on HIV/AIDS…”

Versus

  - “# of persons who say they have changed behaviour based on information received on HIV/AIDS”

Or

  - “Number of government ministries that have an HIV/AIDS sector strategy”

Versus?
## OUTPUT INDICATORS

<table>
<thead>
<tr>
<th>District school teachers have improved teaching skills</th>
<th>Number of teachers trained by end 2010</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>% of teachers trained that were rated as more effective in doing their jobs 1 year later</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Quality national human development report produced, disseminated, and used to inform public policy.</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Number of copies of NHDR distributed</td>
</tr>
<tr>
<td>2. Percentage of Parliamentarians who receive copy</td>
</tr>
<tr>
<td>3. Extent to which findings of NHDR were used to inform high-level policy discussions and decisions</td>
</tr>
<tr>
<td>4. Extent to which NHDR findings have influenced major new programmes/initiatives or influenced budget allocation</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Civil society and community organizations in xxx regions have resources and skills to contribute to monitoring of local poverty reduction strategies</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Number of NGO staff completing training courses in poverty analysis by end 2009</td>
</tr>
<tr>
<td>2. Percent of NGO staff who believe they are more effective in undertaking poverty analysis after they received training.</td>
</tr>
<tr>
<td>3. Percentage of districts with functioning Monitoring Committees (MCs)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Draft New Policy on Climate Change formulated and submitted to Parliament</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Progress made in drafting new policy.</td>
</tr>
<tr>
<td>2. Stakeholder satisfaction with quality of draft new policy.</td>
</tr>
</tbody>
</table>
Indicators and Means of Verification

1. A key test in ensuring whether an indicator is SMART, is to define “means of verification” for each indicator;

2. Are data sources available?

3. What does it take to obtain the data? Who needs to be involved? How much will it cost to obtain the data?

4. If means of verification are unclear or unrealistic, the indicator and, possibly, the result need to be revisited;

5. The definition of results, indicators and means of verification is an iterative process.
The indicator should be neutral
- No direction of change in the indicator
- No increase or decrease in the indicator
- The target is what signals how much change and in what direction

The baseline and target should use the same unit of measurement as the indicator
<table>
<thead>
<tr>
<th>Indicator</th>
<th>Baseline</th>
<th>Target</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>IMPACT: Increased public participation in national and local elections, particularly by women, indigenous populations and other traditionally marginalized groups</strong></td>
<td></td>
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</tr>
<tr>
<td>Overall proportion of eligible voters who vote in the national (or local) elections</td>
<td>2006: 42% of eligible voters voted in national elections</td>
<td>2010: 70% of eligible voters vote in national elections</td>
</tr>
<tr>
<td>Percentage of eligible women who vote in the elections</td>
<td>2006: 0% voted (women were not allowed to vote)</td>
<td>2010: 50% of eligible women vote in national elections</td>
</tr>
<tr>
<td>Percentage of eligible indigenous people who vote in elections</td>
<td>2006: 15% voted (no efforts were made to encourage or support voting by indigenous people living in the interior)</td>
<td>2010: 45% of eligible indigenous persons vote in national elections</td>
</tr>
<tr>
<td><strong>OUTCOME: Electoral administrative policies and systems reformed to ensure freer and fairer elections and to facilitate participation by marginalized groups</strong></td>
<td></td>
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</tr>
<tr>
<td>Percentage of public that believe that the electoral management process is free and fair</td>
<td>2006: 30% (based on last survey conducted)</td>
<td>2010: 80%</td>
</tr>
<tr>
<td>Percentage of women and minorities aware of their rights under the new electoral administration laws</td>
<td>2007: 20% of minorities said they were aware of their rights (survey done by [specify agency]; note: women were not allowed to vote)</td>
<td>2010: 70% of women and minorities aware of their rights</td>
</tr>
<tr>
<td>Percentage increase in number of women registered to vote</td>
<td>2007: 0% of women registered to vote (women were not allowed to vote)</td>
<td>20% annual increase in percentage of eligible women registered to vote</td>
</tr>
<tr>
<td>Percentage increase in number of indigenous people registered to vote</td>
<td>2007: 30% of eligible minorities registered to vote</td>
<td>20% annual increase in percentage of eligible minorities registered to vote</td>
</tr>
<tr>
<td>Ratio of voter registration centres per population in rural areas</td>
<td>2006: 1 centre to 11,000 people</td>
<td>2010: 1 centre to 4,000 people</td>
</tr>
<tr>
<td><strong>OUTPUT 1: Draft new policy on electoral reform formulated and submitted to Cabinet</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Progress made in drafting new policy</td>
<td>2008: Agreement reached between major political parties on need to revamp electoral legislation</td>
<td>2009: 5 major public consultations held and white paper prepared on new policy</td>
</tr>
<tr>
<td><strong>OUTPUT 2: National electoral management agency has systems, procedures and competencies to administer free and fair elections</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Percentage of electoral centres using multiple forms of voter identification measures</td>
<td>2006: 0% of centres used multiple forms of voter identification</td>
<td>2009: 70% of centres use two or more forms of voter identification, including fingerprint identification (annual targets may be set)</td>
</tr>
<tr>
<td>Number of centres that are headed by trained, publicly recruited professional staff</td>
<td>2006: 20% of centres were run by publicly recruited professional staff (based on study done by [specify agency])</td>
<td>2009: 80% of centres run by professional staff recruited through public recruitment process</td>
</tr>
<tr>
<td>Percentage of electoral management office staff who believe that their agency is more professional and better run than 1 year ago</td>
<td>No baseline exists; survey to be introduced for the first time in 2008</td>
<td>2009: 70% of staff believe their agency is more professional and better run than 1 year ago</td>
</tr>
<tr>
<td>Percentage of electoral management office staff and volunteers trained in techniques to reduce voter fraud</td>
<td>2006: 0%</td>
<td>2009: 80%</td>
</tr>
</tbody>
</table>
EXERCISE 4: INDICATOR CONSTRUCTION (1 hour)

- Review examples of indicators in tables 8, 9 and 10 (pages 65, 66, and 67.)
- Review your CPD and try to improve/develop 3 outcome indicators
- Try to improve/develop 3 output indicators
- Presentation and discussion of examples
- ½ for exercise, ½ for groups to present.
The “SMART” way...

Specific

Measurable

Attainable

Relevant

Trackable
What are good indicators?

SPECIFIC
- The indicator needs to be as specific as possible in terms of **quantity**, **quality**, **time**, **location**, **target groups**, **baseline** and **target for the indicator**

MEASURABLE
- Will the indicator show desirable change?
- Is it a reliable and clear measure of results?
- Is it sensitive to changes in policies & programmes?
- Do stakeholders agree on exactly what to measure?

ACHIEVABLE
- Are the result(s) realistic and based on risk assessment, partnership strategy and other factors contributing to the underlying result

**Other options: CREAM** (Clear, Relevant, Economic, Adequate, Monitorable)
What are good indicators? ...Cont’d

RELEVANT
- Is it relevant to the intended result?
- Does it reflect the expectations and success criteria for change in the target groups?

TRACKABLE
- Are data actually available at reasonable cost & effort?
- Can proxy indicators be used?
- Are data sources known?
Risks Management
Assumption: A Definition

- A necessary condition for the achievement of results at different levels.
- Part of the cause-effect logic
- Stated as though it is actually the case
- Less probable at the higher level of the hierarchy
- Can help identify additional results or outputs
Risk: A Definition

- A potential event or occurrence beyond the control of the programme/project that could *adversely affect* the achievement of the desired results
- A threat to success
- Not just the negative of an assumption
- A trigger for reconsideration of strategic direction
Assumptions and Risks

- Increased standards of living among fishing communities
  - then
  - Rate of fishing is sustainable
  - and if
  - Inflation reduces value of income

- Family & company incomes increase from previous year
  - then
  - There is good distribution system
  - and if
  - Unable to comply with international food regulations

- if
- if

65 tons of fish caught each day
Project-level risks

- Risk is a major factor to be considered in designing and managing any project.
- In order to contribute to a project's success, risks must be identified, assessed and prioritized. Then the possible actions to deal with these risks need to be considered and an appropriate action plan needs to be developed.
Risk Management cycle

Risk analysis

1. Identify risks
2. Evaluate risks (probability, impact)
3. Identify response (prevent, reduce, transfer, accept, contingency)
4. Select response (cost of action vs likelihood and impact)

Risk management

1. Monitor & report
2. Plan & resource
# Managing Risks as part of the Project Cycle

## Risks Log

<table>
<thead>
<tr>
<th>#</th>
<th>Description</th>
<th>Category</th>
<th>Impact &amp; Probability</th>
<th>Countermeasures / Mgmt response</th>
<th>Owner</th>
<th>Author</th>
<th>Date Identified</th>
<th>Last Update</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Enter a brief description of the risk</td>
<td>Environmental Financial Operational Organizational Political Regulatory Security Strategic Other</td>
<td>Describe the potential effect on the project if this risk were to occur Enter probability on a scale from 1 to 5 P =</td>
<td>Who has been appointed to keep an eye on this risk</td>
<td>Who submitted the risk</td>
<td>When was the risk first identified</td>
<td>When was the status of the risk last checked</td>
<td>e.g. dead, reducing, increasing, no change</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td></td>
<td>Environmental Financial Operational Organizational Political Regulatory Security Strategic Other</td>
<td>P =</td>
<td></td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>3</td>
<td></td>
<td>Environmental Financial Operational Organizational Political Regulatory Security Strategic Other</td>
<td>P =</td>
<td></td>
<td></td>
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<tr>
<td>4</td>
<td></td>
<td>Environmental Financial Operational Organizational</td>
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</tr>
</tbody>
</table>
## Exercise: Result Chain

<table>
<thead>
<tr>
<th>Input</th>
<th>Activity</th>
<th>Output</th>
<th>Outcome</th>
<th>Impact</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sector-specific expertise in disaster preparedness developed</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Income of low-income families increased</td>
<td></td>
<td></td>
<td></td>
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<td>To train community members in book keeping</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>By 2010, livelihoods of urban slum dwellers are more secure</td>
<td></td>
<td></td>
<td></td>
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</tr>
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<td></td>
<td></td>
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<td></td>
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<tr>
<td>Capacities created for an extended response to HIV/AIDS epidemic</td>
<td></td>
<td></td>
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<tr>
<td>New businesses and jobs are created in targeted, poor rural and urban areas</td>
<td></td>
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<td></td>
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<tr>
<td>Organize study tours</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>National and local policies and plans are responsive to gender issues</td>
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<td></td>
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<td>By 2015, HIV/AIDS adult prevalence rate is less than 10 percent</td>
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<td>Low-income families acquired the skills necessary to sustain micro-enterprises</td>
<td></td>
<td></td>
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<td></td>
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<tr>
<td>Policy and regulatory environment improved for small enterprises</td>
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<td></td>
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<td></td>
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<tr>
<td>Pro-poor policies drafted</td>
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Group Activity

Using the set of cards provided, develop a results framework...

National priority/goal

UN Outcome
  - Output
  - Output

UN Outcome
  - Output
  - Output

UN Outcome
  - Output
  - Output

In Groups…

- Develop 2 outputs with indicators
- Use the checklist to verify
- Run the ‘if-then’ logic with the agency & UNDAF outcomes
For more information...

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This presentation is using slides/inputs from training materials developed by the UN Staff College

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