RBM approach: a Programming Framework

1. RBM approach
2. Results chain
3. Situation analysis
4. Expected Results
5. Reach
6. Resources
7. Implementation strategy

The second module called "RBM approach: a Programming Framework" will be divided into the following parts:

1. Results-Based Management Approach.

2. Results chain.

3. Situation analysis.

4. Expected Results.

5. Reach.

6. Resources.

7. Implementation strategy.

United Nations Educational, Scientific and Cultural Organization

Results-**B**ased **M**anagement is a participatory and team-based approach to Management designed to improve delivery programme and management **e**ffectiveness, **e**fficiency and **a**ccountability that focuses on achieving defined **results,** and should be applied at **all stages of programming.**

This approach **integrates** implementation strategy, people and resources through measurements to **improve** decision making, transparency and accountability.

BSP: 34 C/5   Module 3: RBM approach: a Programming Framework   1

Rev.1

1. Results-**B**ased **M**anagement is a participatory and team-based approach to Management designed to improve delivery programme and management **e**ffectiveness, **e**fficiency and **a**ccountability that focuses on achieving defined **results,** and should be applied at **all stages of programming.**

2. This approach integrates implementation strategy, people, and resources, through measurements to improve decision making, transparency and accountability. It focuses on the definition of results via a situation analysis, a stakeholder analysis and a resource analysis. It is essential to first specify the needs to be answered, analyze who will benefit from your intervention and with whom you will be working, taking into account the resources available in order to define the results to be attained. This process will carry out improvements in decision-making, transparency and accountability as Responsible Officers will have full knowledge of the facts. Well-defined results will improve the performance of the Organization.

The Results-Based Management approach can be further understood using the Splash and Ripples illustration.

RBM approach:

The splash and ripples analogy:

Inputs: The person and the rock available resources

Result: The ripples long-term effect which induces change

Intervention(s): Dropping the rock act undertaken

Output: The splash first effect which contributes to attaining the result

PLAN:NET LIMITED
September 2003

BSP: 34 C/5   Module 3: RBM approach: a Programming Framework   2

Rev.1

1. When a person drops a rock into a pond, it creates a splash which ripples.

2. The person and the rock represent the inputs. An input corresponds to the available resources (human, financial or others) used to produce the outputs.

3. The act of dropping the rock represents an intervention, it is the act undertaken.

4. The output is the splash, the first effect of the intervention. By using the available inputs and undertaking the interventions, you will produce outputs. The outputs must contribute to the attainment of the result, to be meaningful.

5. The ripples represent the result (outcome in the C/4), a long-term effect which induces change. The ripples describe the important social changes produced by an intervention. When you programme an activity or a project, the inputs, interventions and outputs can easily be defined. However one has lesser control over the results (the ripples). The more you know about the ripple effect of your work, the easier it becomes to refine your activities and thus to define and attain the appropriate results.

Results-**B**ased **M**anagement is a participatory and team-based approach to Management designed to improve delivery programme and management **e**ffectiveness, **e**fficiency and **a**ccountability that focuses on achieving defined **results,** and should be applied at **all stages of programming.**

This approach entails:
- Emphasis on **results.**
- Shifting the **focus** from how things are done to **what is accomplished.**

1. The Results-Based Management approach aims at placing greater emphasis on results when programming, budgeting, managing, monitoring, reporting and evaluating and replacing the focus from how things are done to what is accomplished.

2. Implementing the Results-Based Management approach, entails asking yourselves specific questions when programming an element: Why? What for? and How? The programming framework is a tool designed to guide you when programming your element.

Programming framework

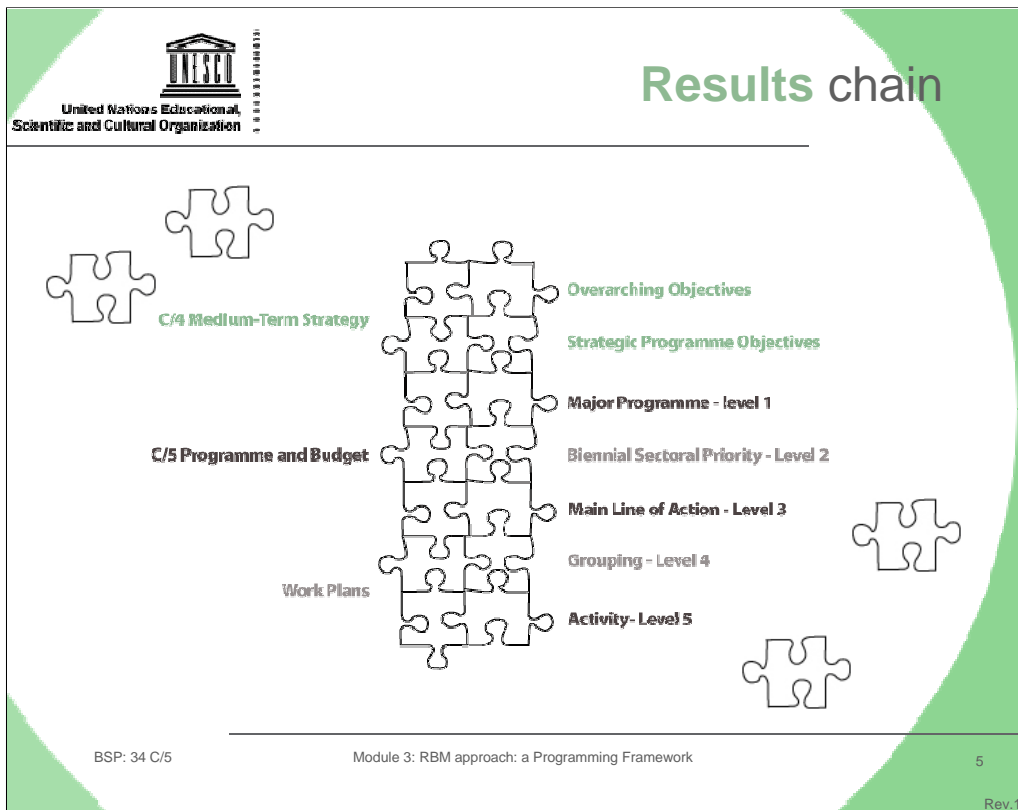The programming framework ensures that you:

- Identify the contribution to the 34 C/4 **outcomes** and 34 C/5 expected **results**
- Asses the **issues** to be addressed
- Formulate **expected results** to be attained in clear and measurable terms
- Define **performance indicators** and **benchmarks** for the results
- Identify key **stakeholders** involved and concerned
- Estimate the **resources** available
- Develop a **strategy** for implementation and the attainment of results

BSP: 34 C/5   Module 3: RBM approach: a Programming Framework   4

Rev.1

---

1. The programming framework consists of the following steps:

2. Identifying the 34 C/4 outcomes and 34 C/5 expected results to which the activity or project will contribute. This allows to ensure that you place the activity in a logical relationship so as to adequately contribute to the attainment of the results defined at the higher levels. **(Why?).**

3. Indicating the specific issues to be addressed by your intervention via a needs assessment. **(Why?).**

4. Formulating expected results in clear and measurable terms. **(What for?).**

5. Defining performance indicators and benchmarks per expected results, specifying what is to be measured. **(What for?).**

6. Identifying the key stakeholders involved and concerned such as the target/beneficiary groups and partners. **(How?).**

7. Estimating the Resources available such as staff (all types of contracts including consultants and interns) and budget (both RP and EXB). **(How?).**

8. Developing strategy for implementation and the attainment of results indicating how you will proceed to go from the current situation to the expected one. **(How?).**

9. The programming framework provides you with a clear picture on the change to be produced, the interventions to be undertaken and the resources required.

How do you proceed and where to start?

Results chain

BSP: 34 C/5 — Module 3: RBM approach: a Programming Framework — 5 — Rev.1

1. The quality of the element does not only depend on its internal logic but first and foremost on its contribution to the expected result of the level above. This link established between the expected results of the C/5 levels and operational levels (work plans) and the expected outcomes of the C/4 levels forms a results chain, ensuring that the Organization focuses its resources on attaining the results defined at the highest levels.

Thus, identifying how you will contribute to the expected results or outcomes of the level above is the starting point for programming your element.

2. The identification of the expected results is a top-down process.

For example, the expected results of the Main line of Action (MLA) are the starting point for the identification and formulation of Activities. Therefore the expected results of the Activity level are to contribute to the attainment of the expected result of the Main line of Action (MLA) level.

The aggregation of the results at the Activity level under a specific expected result of a MLA should make it possible to achieve it.
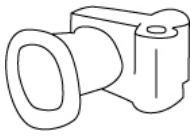
This process constitutes the results chain.

If a programming element cannot find its place in UNESCO's results chain, it should be dropped even if it answers to concrete needs in the Field.

Please remember that only the Major Programme, Main Line of Action and Activity constitute the programming levels of the 34 C/5.

Analysis of the **situation prevailing** before the intervention in order to identify the **issues** to be addressed within UNESCO's areas of competence.

1.It is essential to document the situation prevailing before the intervention takes place, to be able to identify the best activity among the numerous ones that could be implemented in this area. A situation analysis will help you identify the issues to be addressed and define the needs; the population who could benefit from your intervention; the partners on the ground, from the regional and international arena you could be working with; the obstacles you might encounter thus allowing to formulate the expected result(s).

2.This analysis will provide you with a concise description of the issues to be tackled (real and perceived), and influence the interventions and outputs you will decide to undertake within UNESCO areas of competence.

If the beneficiaries and partners are involved right from this early stage, it will favour ownership.

1. An expected result describes a concrete, visible and measurable change in state, induced by your intervention. The expected results focus on what is to be different rather than what is to be done.

2. The result is the final step of a transformation process. The inputs available and the interventions undertaken will produce outputs. These should contribute to the attainment of the expected result of the element.

3. When defining expected results you need to take into account the duration of the biennium and the resources available. Please note that in some cases, showing that a situation has not worsened can be considered as a result.

Completed activities are not results. Results are the actual benefits of completed activities.

4. For an activity entitled "Increasing opportunities for quality basic education for children in Community X"

5. The inputs, which represent the available resources, could be "UNESCO Staff, the funds available, the participation of other partners in the activity".

6. An intervention could be "Develop a situation analysis".

7. One of the produced output could be a "baseline study and Gender analysis produced and disseminated".

8. As the result describes a concrete and visible change its statement could be "Community members use the centres to improve their basic education skills."

United Nations Educational,
Scientific and Cultural Organization

Expected **results** and related **performance** indicators and **benchmarks**

Formulation of results need to be **SMART**:

Specific: it needs to express the nature of the change expected

Measurable: the level of attainment can be measured with qualitative or quantitative characteristics

Achievable: realistic

Relevant: it has to respond to the identified needs

Time-bound: achievable within a specific timeframe

BSP: 34 C/5   Module 3: RBM approach: a Programming Framework   8

Rev.1

1. When formulating an expected result, you need to express the change induced. It is important that you visualize your result by imagining how the new state of the situation will be different. Certain criteria have been identified to assist Responsible Officers with the formulation of the results. A result needs to be SMART:

2. Specific: it needs to express the nature of the change expected in an exact, distinct and clear manner.

Measurable: the level of attainment can be measured with qualitative or quantitative characteristics

Achievable: realistic within the human and financial resources available.

Relevant: it has to respond to the identified needs and contribute to the higher level results/outcomes and UNESCO's mandate.

Time-bound: achievable within a specific timeframe

3. As an example for the expected result: "Quality of primary education improved", you may ask yourself the following questions:

Specific: what does "quality" mean? Are we working at a global level or are we focusing on one region/community?

Measurable: can I find manageable performance indicators that can give indication on the level of achievement?

Achievable: do I have enough resources to attain it?

Relevant: is it contributing to the expected result at the higher level, is it answering to perceived needs?

Time-bound: is it feasible within a given timeframe?

4. Remember, to ensure that a result is relevant, it is important to include the stakeholders in its formulation which also certifies their commitment to the activity.

Expected **results** and related **performance** indicators and **benchmarks**

"Change" language versus **"Action"** language

+ *Young children and women have access to school facilities and learn to read and write*

- ~~*To promote literacy by providing schools and teaching materials*~~

+ *People in undersupplied areas have increased knowledge of how to benefit from the use of a computer and have access to a computer*

- ~~*To promote the use of computers*~~

BSP: 34 C/5   Module 3: RBM approach: a Programming Framework   9

Rev.1

When formulating a result, you need to focus on the change rather than on the action undertaken.

1. As an example, "Young children and women have access to school facilities and learn to read and write" emphasises the change on the beneficiaries' condition.

2. On the opposite, "To promote literacy by providing schools and teaching materials" only expresses an intervention without conveying any change.

3. You should not describe an activity, or focus on its completion when formulating a result, but express the change in state.

4. In the same manner, when you read "People in undersupplied areas have increased knowledge of how to benefit from the use of a computer and have access to a computer", you can visualize the improvement.

5-6. Whereas "to promote the use of computers" does not emphasise the end result. Promoting the use of computers is not the final objective. It is just a means to enable a change.

Performance indicator

Expected **results** and related **performance** indicators and **benchmarks**

A performance indicator is a parameter used to **assess** and **measure** the **progress** related to an expected result or an aspect of it. It will provide you with a means to **verify** if part or all of your expected **result** has been attained and will enable you to identify to what extent target groups have been reached.

- **V**alidity: does it measure what it is intended to?
- **R**eliability: is it a measure that will last over time?
- **S**ensitivity: if the situation changes, will it be sensitive to these changes?
- **S**implicity: will the information be easy to collect and analyze?
- **U**tility: will it be useful for decision-making and learning?
- **A**ffordability: is it cost effective?

- % of teachers following the curriculum development
- % of pupils passing the final exam and rates (disaggregated per gender)

BSP: 34 C/5   Module 3: RBM approach: a Programming Framework   10

Rev.1

1. The formulation of performance indicators will assist you in ensuring that the expected result is measurable. You may have up to three performance indicators per result.

A performance indicator is a parameter used to assess and measure the progress related to an expected result or an aspect of it. It will provide you with a means to verify if part or all of your expected result has been attained and to identify to what extent target groups have been reached.

These parameters or unit of measurements are like snapshots as they reflect one dimension of the problem. Combining all performance indicators should allow you to capture the essence of the expected result.

You may use two types of performance indicators:

- Quantitative indicators based on statistical measures, numbers, frequency, ratios.

- Qualitative indicators based on judgment and perception.

Depending on the way they are conceived and used, indicators can be objective or subjective.

2-7. An indicator should respond to the following criteria:

- Validity: does it measure what it is intended to?

- Reliability: is it a measure that will last over time?

- Sensitivity: if the situation changes, will it be sensitive to these changes?

- Simplicity: will the information be easy to collect and to analyze?

- Utility: will it be useful for decision-making and learning?

- Affordability: is it cost effective?

8-9. An example of expected result and related performance indicators:

"Community members use the centres to improve their basic education skills."

A related performance indicator is:

- % of teachers following the curriculum development or

- % of pupils passing the final exam and rates (disaggregated per gender).

Expected **results** and related **performance** indicators and **benchmarks**

A benchmark is a verifiable standard to be achieved at the end of the biennium. It represents a **reference point** against which performance can be assessed.
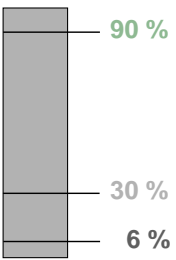
60% of pupils passing the final exam and rates

Country X

% ever enrolled

% reached grade 5

% know how to read and write

90 %

30 %

6 %

BSP: 34 C/5   Module 3: RBM approach: a Programming Framework   11

Rev.1

1. Once you have defined a performance indicator, you may associate to it one benchmark.

It is a verifiable standard to be achieved at the end of the biennium. It represents a reference point against which performance can be assessed. It is ideally accompanied by baseline data that describe the situation before the intervention thus allowing assessments of attainments and comparisons.

2. As an example, the benchmark "60%" could be associated to the performance indicator "% of pupils passing the final exam and rates" thus becoming "60%" of the pupils have passed the final exam".

To get a comprehensive picture, you need to use a range of performance indicators and associated benchmark.

3-6. Let's look at the expected result defined previously: "*Young children have access to school facilities and learn to read and write"*.

If the following performance indicator "% of children enrolled" associated with a benchmark of "95%" reaches 90% after implementation of the activity, it might give the impression that the expected result is almost attained. However, if you add the following two performance indicators "% of children reach grade 5" and "% of children know how to read and write" you might discover that your expected result is in fact not close to being attained as only "7% of these children know how to read and write". You might also gather information allowing to understand why it is so, "30% of these children reach grade 5".

Combining all performance indicators and their associated benchmarks should allow you to capture the essence of the expected result and either ensure that it is attained or understand the reasons why it is not.

Reach

Identify the **reach** of the element:

- **Target** groups:
  - Groups, organisations (including UNESCO Priorities)
  - Working **for** and **with** direct and indirect beneficiaries

- **Partnerships**
  - Intellectual cooperation
  - Financial cooperation

- **Geographical** scope:
  - Global, all regions concerned
  - Regional, at least one region
  - Sub-region/Group of countries, at least one sub-region/group
  - National, specific countries

BSP: 34 C/5   Module 3: RBM approach: a Programming Framework   12

Rev.1

1. When defining an intervention, you will have to identify the reach of your element:

2. Who are the individuals targeted,

3. Who are your partners,

4. What are the geographical scope and countries benefiting from the implementation of the element?

4. Beneficiary groups, also called Target groups, refer to the groups or organizations who, will benefit directly or indirectly from the intervention (e.g. Disadvantaged and excluded groups, Most vulnerable segments of society including Indigenous populations). Direct beneficiaries represent those for which the element is primarily organized. Indirect beneficiaries refer to those who are affected by the element.

When identifying the target groups, you need take into account UNESCO's Priorities: Priority Africa, Priority Gender Equality, Specific Interventions in favour of priority groups and groups of countries (i.e. Youth, LDCs, SIDS).

5. An element needs to be programmed for and with the targeted populations. Beneficiaries need to be active players throughout the process from programming to evaluation to ensure ownership and thus actual success. They need to understand what are the interventions scheduled and their purpose. A beneficiary group can also be at the same time a partner.

Partnerships:

it is essential to identify the strategic partners (civil society, private sector, academia, etc.) with whom you will work and define how they will contribute to the implementation of your element.

There are different categories of partnerships:

You can establish partnerships with external partners such as Non-Governmental Organizations (NGOs), Ministries, Universities, Intergovernmental Organisations (IGOs), International Organisations or with internal partners such as National Commissions (a constituent element of UNESCO and unique in the UN system). The network of National Commissions for UNESCO has the capacity to facilitate contact and promote interface between Member States and the intellectual and professional communities in each country in order to forge broader alliances as well as to extend the outreach of UNESCO in each Member State. National Commissions contribute significantly to the pursuit of the Organization's objectives and the conceptualisation, implementation and delivery of its programmes at the regional, sub-regional and national levels.

2-3. Partnerships can take the form of an intellectual cooperation, to get in-depth knowledge on the ground. It can also take the form of a financial cooperation. Other UN agencies working in the same field of competence or the private sector can provide to UNESCO additional funds (e.g. extrabudgetary funds). UNESCO can also provide funds, such as to National Commissions, for the implementation of part of an activity or a project.

Geographical scope:

6. An activity or a project can have a global, regional, sub-region/group of countries or national scope.

7. An element is considered as global in scope if all regions are concerned.

8. If the activity or project concerns at least one region, the scope of the element is regional, at least one sub-region/group of countries: it is sub-regional.
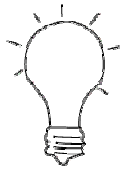
9. The Responsible Officer will choose the last option if the intervention has a national scope. Such interventions may concern more than one country.

10. After defining the scope of the activity, the Responsible Officer needs to specify for the activities with a national scope the concerned countries along with the estimated amount benefiting from the implementation of the activity. The latter is very important as it is reported upon to Member States.
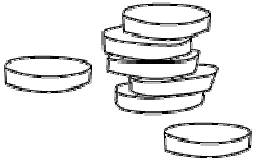
13

You need to define the means available for attaining the results.

There are different types of resources:

1. Human resources refer to the colleagues from your unit, from another Division or Sector (at Headquarters or in Field Offices/Institutes), whom will provide assistance and expertise. It is important to identify specifically which of the UNESCO experts will contribute and thus form the Team of the activity or project. Human resources cover the staff costs and other staff such as temporaries, and consultants, which you will need to finance from other funds.

The human resources represent the team you will be working with. It gives an overview, on the cost and the profile of the team.

2-4. In addition to the human resources, the overall budget is to be defined. You need to evaluate what is the financial contribution that you expect to receive from the Regular Programme and what will be the appropriate amount to be raised from extrabudgetary funds. You also need to define the different types of expenditures foreseen during the implementation of the element, e.g. rent of conference room, publication of material, consultants, travel costs, temporary assistance, etc. You may associate the expenditures to the list of objects of expenditures for Regular Programme and to the one of commitment items for Extrabudgetary projects.

Implementation strategy

The implementation strategy explains how to **move from** the **current situation to** the one described in the **result statement.** It should be action-oriented, specifying the rationale of the interventions to be undertaken, the major stakeholders concerned and the outputs to be produced.

Results

Reach

Resources

Implementation Strategy

1. The implementation strategy defines the scheme designed to attain a specific expected result.

It explains how you will be able to go from the current situation to the one described in the expected result statement, including modalities of action, foreseen during the implementation phase.

An implementation strategy should be action-oriented, specifying the rationale of the interventions to be undertaken, the major stakeholders and the outputs to be produced. As a part of the implementation strategy, sunset clauses and/or exit/transition strategies need to be formulated. Sunset clause is a statement within an activity/project stipulating its termination on a specified date unless it is deliberately renewed. Exit/transition strategy is a statement indicating the way: 1. you intend to gradually phase out external support and have national partners take over; 2. you will change the modality of implementation. Once the foundations of the project or activity are established, the sustainability is driven by other players. UNESCO needs to ensure the transfer of competencies and the smooth running of the activity.

2-5. The implementation strategy links the results, the reach and the resources of your element. Once formulated, you may wish to improve the design by verifying that the balance of the 3 Rs has been reached via the following questions:

Does the expected result formulated contribute to the one defined at the level above?

Does the implementation strategy allow to reach the appropriate beneficiaries?

Are the resources defined enough to apply the implementation strategy?

It is difficult to construct a logical results-based design in one setting. The Design usually comes together progressively. Try to move back and forth along the project structure and ensure that the logical links between the expected Results, the Reach and the Resources are established.

An intervention is always planned on the basis of assumptions. Certain conditions need to be in place for the implementation of the element. According to the risks foreseen, you may need to review the implementation strategy.

Key points

- A **programming framework** answers the following questions: **W**hy?, **W**hat for?, **H**ow?

- Starting point: Expected **result** of the level **above**

- **Situation** analysis: **documents** the situation prevailing before the intervention takes place

- Expected **result:** a concrete, visible and measurable **change in state**

- Implementation **strategy:** the **rationale** of the **interventions** and **outputs**.

1. The programming framework ensures that you answer the following questions:

Why?, What for?, How?

2. First you need to identify the result of the level above to which you will contribute.

3. The situation analysis documents the situation prevailing before the intervention takes place which will assist you in identifying the issues to be addressed.

4. The expected result describes a concrete, visible and measurable change in state.

5. An implementation strategy should be action-oriented, specifying the rationale of the interventions to be undertaken, the major stakeholders, the outputs and when relevant sunset clauses and exit/transition strategies.

Geographical scope

http://ercintranet.unesco.org/erc/erclists/divListeMS.asp?lg=E&tip=1 (intranet)

RBM

http://www.unfpa.org/results/docs/rbmguide.doc (UNFPA)

RBM

Http://intranet.unesco.org/bsp/cairo/workshop_presentations/RBM_Cairo_works hop_May_2006.ppt (intranet)

RBM training programme

http://portal.unesco.org/en/ev.php-URL_ID=36931&URL_DO=DO_TOPIC&URL_SECTION=201.html

For additional information you may consult the websites indicated.