
Results-Based Management at UNFPA

<http://www.unfpa.org/results/docs/rbminfomaterials.doc>

**Office for Results-Based Management (ORM)
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I. Background

This update of the "Introduction to Results-Based Management at UNFPA", issued by ORM in November 1999, introduces UNFPA staff to the basic concepts and definitions and the implications for institutionalizing and implementing a results-based approach in the organization.

Context

A results-based approach is not a new concept at UNFPA. The Fund has been moving towards results-based management (RBM) by introducing policy and programme changes to improve the quality and increase the impact of its programmes. UNFPA has a clearly defined mandate, reflected in its mission statement and in its definition of priority programme areas based on the ICPD goals. The setting of clear, focused and mutually supportive programme priorities, and the development of appropriate indicators, is an essential first step towards a results-based approach. The introduction of the logical framework (logframe) for the development and management of country programmes and subprogrammes has been a crucial factor in this move.

These developments at UNFPA are taking place in the context of a broad trend among public sector institutions towards RBM. Canada, the Netherlands, UK, and the US have been forerunners in adopting RBM, in response to a growing demand from their constituents to demonstrate more clearly the results they are achieving, and to ensure that resources are used in the most effective and efficient ways to achieve these results. Multilateral agencies, including UNDP, UNICEF, and the World Bank, are also adopting RBM. The shift towards results-based programming and management is crucial for development agencies to improve performance management and accountability. It is hoped that this will also increase the confidence of donors and other partners, and reverse the recent decline in development assistance.

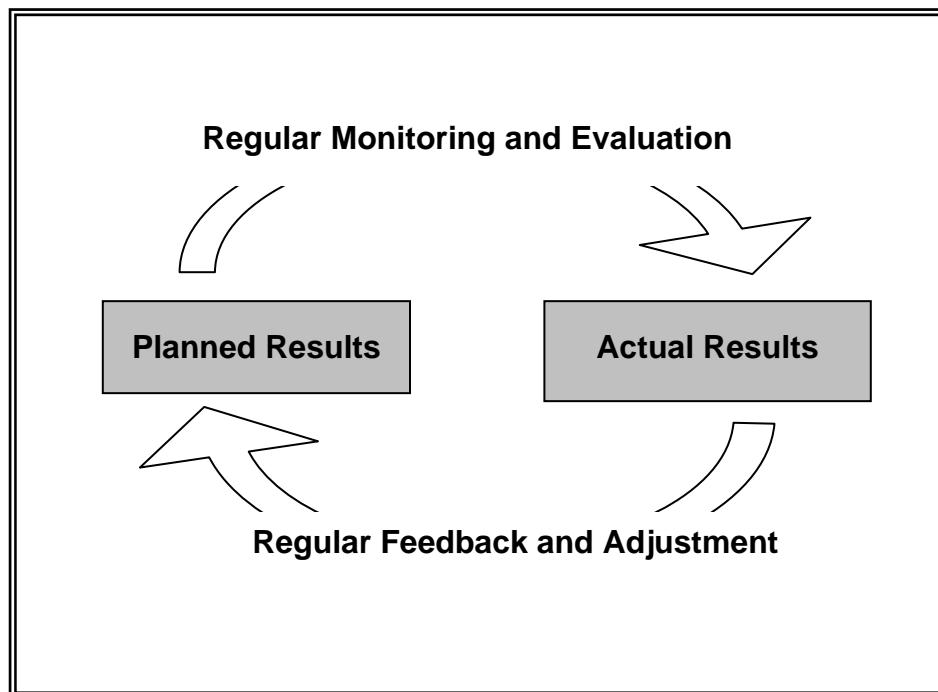
II. Results-Based Management, Logframe and Multi-Year Funding Framework (MYFF)

Concepts and definitions

What is Results-Based Management (RBM)?

UNFPA defines a **result** as a describable or measurable change in state that is derived from a cause and effect relationship¹. Results-Based Management (RBM) is an approach to improve programme and management effectiveness and accountability and is oriented towards achieving results. It uses results as a basis for planning, management and reporting, and aims to improve performance by comparing and analyzing actual results against planned results through regular monitoring, evaluation, reporting, feedback and adjustments. A simple RBM process is presented below.

A Simple RBM Process



¹ Definition used by Canadian International Development Agency (CIDA).

At UNFPA, RBM means:

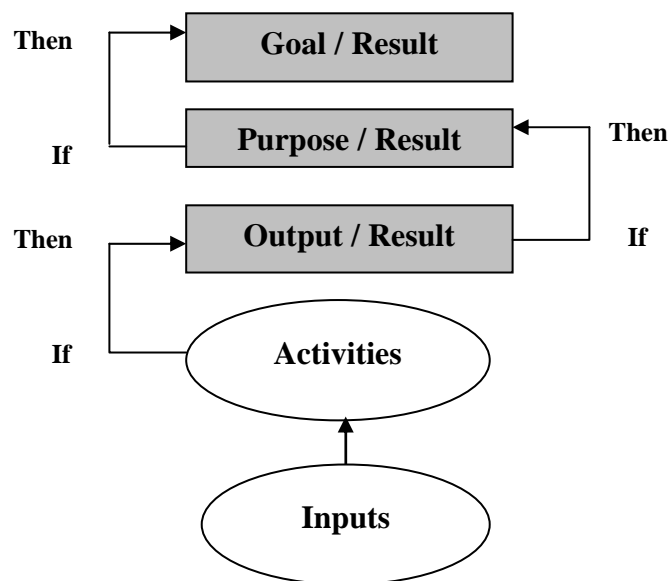
- Strengthening partnership, participation and teamwork at all levels and stages;
- Working with stakeholders to make a comprehensive situation analysis;
- Jointly defining the results we contribute to and the results we are accountable for;
- Identifying a set of qualitative and quantitative indicators with baselines and targets for all planned results;
- Defining the strategies to achieve these results;
- Regular monitoring to track progress towards achieving these results;
- Evaluation of performance to assess what works and what does not work, and why;
- Reporting on performance to enhance accountability and communication with partners;
- Feeding lessons learned back into improving performance and refining results, indicators and strategies.

RBM can improve programme planning and management, facilitate monitoring, increase our knowledge of what works and does not work, provide accessible and relevant information for reporting, strengthen working partnerships and national ownership, and help us prioritize and plan in a context of declining resources.

RBM and the Logframe

The introduction of RBM in UNFPA builds on and strengthens an already existing results-based programme planning and management tool - the logframe. The logframe shows the logical sequence of cause-effect relationships among four levels of aims, of which three (goals, purposes, and outputs) are results. It shows what UNFPA is accountable for contributing to (goals and purposes) and what UNFPA is accountable for delivering (outputs). Activities in the logframe are the process by which inputs are transformed to achieve outputs. The following diagram shows the logframe as an "if-then chain of results."

Diagram 1: Logframe as If-Then Chain of Results



RBM, the Logframe and the Multi-Year Funding Framework (MYFF)

UNFPA's gradual move towards RBM accelerated when the Executive Board, in its decision 98/24, requested UNFPA to develop a Multi-Year Funding Framework (MYFF) with the objective of increasing core resources. The first MYFF for 2000-2003 was presented to the Board at the second regular session in April 2000². The Board welcomed the MYFF's strategic direction and requested UNFPA to implement the MYFF, while continuing to develop and refine it as a strategic management tool at corporate and country levels, taking into account experiences gained during its implementation.

The MYFF is a four-year framework composed of two interlinking elements: a) a results framework and b) an integrated resources framework. The **results framework** outlines two levels of results—goals and outputs—that the Fund is committed to work towards achieving in the period 2000-2003 (see Appendix 1 for 2000-2003 MYFF results framework). In the MYFF, a **goal** is defined as a basic condition of well-being for individuals, families and communities to which UNFPA contributes. The MYFF goals and their indicators reflect the ICPD Programme of Action, ICPD+5 Key Actions³, the Fund's mission statement, and programme priority areas, Common Country Assessment (CCA) and Basic Social Services for All (BSSA) indicators. **Outputs** are the time-bound results that UNFPA can be considered accountable for delivering through programmes and other activities at headquarters, regional and country levels, and that contribute directly to the attainment of goals. The selected outputs and their indicators were identified through a review of existing logframes and extensive internal consultations.

The results framework also includes UNFPA's key programme **strategies**—ways in which resources are deployed to achieve the results. The strategies were also drawn from the country programme logframes. The four strategies presented in the MYFF are

- Advocacy;
- Strengthening national capacity;
- Building and using a knowledge base, and
- Promoting, strengthening and coordinating partnerships.

In the implementation of the MYFF, the details of these strategies will be regularly evaluated to see what works and what does not work at country, regional and global levels. If necessary, they will be modified or new strategies will be introduced.

The MYFF presentation to the Executive Board also includes an integrated resources framework to indicate the level of resources required to achieve the stated results.

² See DP/FPA/2000/6.

³Key Actions for Further Implementation of the Programme of Action of the International Conference on Population and Development (A/RES/S-21/2) adopted at the United Nations General Assembly Special Session (UNGASS) on the ICPD+5 Review and Appraisal, July 1999

Although the terminology corresponds to the logframe, the MYFF results framework is not a logframe. It is a summary of widely shared goals and outputs in the Fund's work worldwide, and is not meant to restrict country programmes. Country and intercountry programme logframes will continue to be developed with four levels of aims (goals, purposes, outputs, and activities), based on country priorities and needs. Programme monitoring will increasingly be based on indicators and results identified in logframes, and information provided through monitoring and evaluation remains a crucial input for individual country offices and national partners for performance management at all levels.

III. Institutionalizing Results-Based Management

Implications for programme planning, monitoring, evaluation, internal management, and reporting

Institutionalizing RBM will involve taking steps to manage and be accountable for results at a number of levels, including: programme planning, monitoring, evaluation, internal management and reporting. It requires the support and commitment of management to promote a learning culture and create an enabling environment for RBM. The following section highlights important implications for Country Offices (COs), Country Technical Services Teams (CSTs), and Headquarter units.

Programme Planning

- ***Defining results.*** In adopting RBM, country programme management will increasingly focus on the analysis of actual results compared to planned results, and on feeding back knowledge and lessons learned for present and future decision-making. For COs, CSTs and Headquarter units alike, defining programme results and planning subprogrammes and component projects to achieve these results call for the strengthening of strategic thinking and teamwork. The programme planning process begins with problem analysis with stakeholders, as outlined in the logframe approach. This is the cornerstone for good planning and the basis for designing component projects. Strategic and logical thinking, informed by knowledge of what works and does not work, is crucial in designing programmes and component projects that will directly contribute to achieving the results laid out in the logframe.

Teamwork begins with the situation analysis and jointly defining the expected results, which must be mutually agreed upon by all stakeholders. For COs, an inclusive process of participation of all UNFPA staff, government counterparts, NGOs, bilateral and UN agencies should be sought in identifying the goals, purposes, outputs and activities in formulating the logframe. CSTs are key technical resources for strengthening RBM capacity in countries.

- **Selecting indicators.** An **indicator** is a measure or pointer that helps to quantify or describe achievement of results. It helps to demonstrate progress when things go right and provides an early warning signal when things go wrong. Indicators only indicate—they do not tell the whole story. For example, indicators do not explain why progress did or did not occur. Selecting the “right” indicators is critical. Data for indicators must be reliable and consistent over time, sensitive to progress toward results, feasible and affordable to collect and analyze, and useful for decision making. In selecting logframe indicators, COs should clearly identify data sources, methods, responsibilities and funding for data collection and analysis, and frequency of data collection.
- **Establishing baseline data and targets.** Once the indicators are selected, a **baseline** must be established. The lack of baseline data for the indicators in the logframes will make it difficult to demonstrate progress in achieving results. Without baselines, it is not possible to set reasonable **targets** against which to monitor progress. Establishing baseline data will be given priority in the programme, recognizing that this can pose real challenges in countries where there are shortcomings in the availability, reliability, and periodicity of data. At the beginning of a new programme cycle, it is essential that data generation and analysis and establishment of baselines are an integral part of the projects. It is also critical to join hands with government, civil society, and UN partners in establishing a national data system.

Monitoring and Evaluation

RBM is a system that puts a premium on learning. Monitoring and evaluation are both necessary for programme and project management, although they produce different kinds of performance information. Monitoring uses indicators to track actual against planned results, and provides systematic, periodic information on progress towards expected results. Evaluation uses information collected through monitoring and other sources (studies, reviews, research etc.) within and outside UNFPA to examine the validity of underlying theories and assumptions in programme design, to determine the impact of interventions, and to assess the appropriateness and effectiveness of strategies in achieving results.

- **The logframe as a monitoring tool.** The logframe not only identifies a hierarchy of results and the indicators that describe progress towards these results, but also provides the basis for monitoring results. So far there have been only limited opportunities to do so, but the logframe will increasingly be used as a monitoring tool. Monitoring should go beyond the level of inputs and activities, to monitor progress towards achieving outputs—UNFPA “deliverables” at the end of the programme cycle—and in contributing with other partners towards the achievement of purposes and goals. The logframe provides the basis for a **monitoring plan** through which staff and partners will collect and analyze data to assess progress by measuring actual results against planned results, and make joint decisions based on this analysis. It is important to remember that the logframe is a dynamic tool. It should be revised and modified based on the findings from regular monitoring.

- **Strengthening learning.** Evaluation provides answers to the questions "What has worked, what has not worked, and why?" UNFPA already has in place several mechanisms for evaluation, including thematic, programme, and project evaluations. RBM also encourages participatory and self-evaluations that enable programme managers and national partners to learn from experience, and to feed this knowledge back into improving performance. COs and CSTs are strongly encouraged to develop participatory and community-based evaluation methods, to organize joint evaluations with stakeholders, and to tap and apply learning from research and review findings, and the experience of other countries and other organizations. UNFPA needs to establish mechanisms to share, process and disseminate knowledge at country, regional and global levels, and to foster a learning and knowledge-based culture.

Internal Management

- **Office work plans.** As a logframe is to the programme, a work plan is a management tool to plan and manage office activities towards achieving certain results, at country, regional and headquarters levels. Results-based work plans should include the management of risks and assumptions identified in the logframes, and thus strengthen the link between programming and management. The office work plan will identify key management outputs, for example in the areas of improved teamwork, feedback, and learning, and indicators to monitor progress towards these results. The joint identification of office results should reinforce the ownership of the workplan by all involved. An annual review of all organizational unit's work will be introduced and, in the case of country offices, will form part of the annual report to headquarters; all annual reports will be results-oriented. An annual management review will assess performance and provide feedback.
- **Information management.** The full transition to a learning organization that is accountable for results requires the building, promotion and utilization of an integrated approach to managing information and sharing knowledge. The development and use of a knowledge base within UNFPA depends on a management information system that ensures timely provision of and access to programme and financial data. The new Resource Management System (RMS), currently being developed, will aim to integrate information on programmes and financial resources that will be accessible to all headquarters and country offices.
- **Human resources management.** RBM will build on and strengthen the actions recommended by the Workforce Planning Exercise to create a competency- and merit-based system that will make optimal use of staff skills, knowledge and experience to achieve desired programme and management results. RBM should contribute to the enabling environment and organizational culture that will make this possible.

Reporting

In RBM, reporting will focus on progress towards results and analysis of performance based on regular monitoring and evaluation, and not on inputs, activities, and events. Internal reporting and feedback among COs, CSTs and headquarters will strengthen the process of incorporating lessons learned into future planning. External reporting will improve accountability to stakeholders and communications with partners.

- **Programme reporting.** Annual project, subprogramme and programme review reports, and mid-term reports will increasingly use logframe indicators to report on and analyze progress towards results. The reports will be analyzed, and feedback will be provided to and from all levels.
- **Annual reporting.** Annual reporting will be more focused on results and more analytical in nature⁴. For COs and the CSTs, the logframes will be the basis of reporting on the results for programmes, and office workplans will be the basis for management outputs. The annual report should analyze the results achieved in the previous year in both programme and non-programme areas. In reporting on results, country offices are also expected to report on the goals, outputs and indicators included in the MYFF, when these are appropriate. It is anticipated that there will be a significant overlap between the goals and outputs in the country logframes and those in the MYFF. Reliable and timely national data are essential for country planning purposes, yet efforts to implement data systems are often dispersed. UNFPA must work together with donor agencies to strengthen national data systems that will also provide essential information for systematic monitoring and reporting on results.

It will be important to identify those responsible at Headquarters for reviewing and analyzing the annual reports from the field and providing feedback. Headquarter units will also report on achievements according to their work plans and, where appropriate, progress towards results of the Intercountry Programme.

- **MYFF reporting.** The Fund is required to report to the Executive Board on the MYFF goals, outputs and their indicators, as part of the Executive Director's annual report at the June session of the Board. The central component of annual MYFF reporting will be organizational performance at the level of outputs. When data are available on progress towards the MYFF goals in any given year, these will also be reported. Countries will also be requested to report on their experience in implementing strategies in achieving results, with a focus each year on one of the four strategies identified in the MYFF. Annual reporting will also include the status of financial implementation of the resources framework.

⁴ Executive Director's circular UNFPA/CM/97/35 Add.1; UNFPA/REP/97/41 Add.1; UNFPA/RR/97/41 Add.1.

- In the first years of the MYFF cycle, special attention will be given to the process of MYFF implementation, including the effective utilization of logframes, and COs will be encouraged to report on successes and constraints in implementing and reporting on the MYFF, and in introducing a RBM approach. A first necessary step will be to establish baselines and targets for output indicators. The experience of MYFF implementation will allow the refinement of outputs and indicators, and of the linkages between strategies, outputs and goals.
- In the final year of the MYFF cycle, a more detailed report to the Executive Board on the MYFF period will include an in-depth analysis of the Fund's overall progress in realizing the outputs and contributing towards the goals, and a review of strategies employed to achieve results. MYFF reporting to the Board will draw on annual reports from COs and CSTs, evaluation reports, MTR reports, and reports from Headquarter units, including the Intercountry Programme. A focus on lessons learned during the MYFF period will contribute to the design of the next MYFF cycle.

MYFF 2000-2003 Results Framework—UNFPA Goals, Outputs, Indicators and Strategies

Goal	Goal Indicators ⁵	Outputs	Output Indicators ⁶
1) All Couples and individuals enjoy good reproductive health, including family planning and sexual health, throughout life.	(a) Unmet need for family planning (b) Maternal mortality ratio (c) Proportion of births assisted by skilled attendants (d) Adolescent fertility rate ⁷ (e) HIV prevalence in persons aged 15-24 ⁸ (f) Infant mortality rate (g) National mechanisms to monitor and reduce sexual violence	i) Increased availability of comprehensive reproductive health services.	(a) Percentage of service delivery points (SDPs) offering at least three of the following reproductive health services: - Modern family planning methods; - Maternal health and assisted delivery; - Prevention and management of RTIs, including STDs, and HIV/AIDS; - Management of the consequences and complications of unsafe abortion; - Information, education and counselling on human sexuality and reproductive health, including family planning (b) Percentage of SDPs offering information, education, counselling and access to services to adolescents ⁹
		ii) Improved quality of reproductive health services.	(a) Percentage of SDPs offering at least three modern methods of contraception (b) Percentage of SDPs providing quality RH services in accordance with established protocols ¹⁰
		iii) Improved environment for addressing practices that are harmful to women's health.	(a) National policy in place to address harmful practices
2) There is a balance between population dynamics and social and economic development.	(a) Life expectancy at birth by sex (b) Annual population growth and GNP per capita growth rates	iv) National development plan and sectoral plans in line with ICPD Programme of Action.	(a) Intersectoral mechanisms to review development and sectoral plans (b) Number of government officials who have attended learning programmes addressing gender issues

⁵ For the purpose of MYFF reporting, the number of countries in which some positive movement in the variables occurred will be reported.

⁶ For the purpose of MYFF reporting, the number of countries in which some positive movement in the variables occurred will be reported

⁷ UN Population Division data on the number of births per 1,000 women aged 15-19 will be used.

⁸ UNAIDS data on HIV prevalence in 15-24 year old pregnant women will be used

⁹ Older adolescents between the age of 15-19.

¹⁰ Protocols include minimum standards developed in partnership with WHO.

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		v) Increased availability of sex-disaggregated population-related data.	(a) National database of sex-disaggregated population-related data, with plans to update at regular intervals
3) Gender equality and empowerment of women are achieved.	(a) Gender gap in enrolment rates at the primary and secondary level (b) Adult female literacy rate (c) Proportion of women parliamentarians	vi) Increased information on gender issues.	(a) Percentage of primary and secondary schools that have adopted gender-sensitive RH curricula (b) Number of information materials on gender issues targeted specifically to men

Strategies

Advocacy - Strengthening National Capacity - Building and Using a Knowledge Base - Promoting, Strengthening and Coordinating Partnerships