Results-Based Management (RBM)

Guiding Principles

INDEX

1. PREFACE

It is said that if you do not know where you are going, any road will take you there. This lack of direction is what results-based management (RBM) is supposed to avoid. It is about choosing a direction and destination first, deciding on the route and intermediary stops required to get there, checking progress against a map and making course adjustments as required in order to realise the desired objectives.

For many years, the international organizations community has been working to deliver services and activities and to achieve results in the most effective way. Traditionally, the emphasis was on managing inputs and activities and it has not always been possible to demonstrate these results in a credible way and to the full satisfaction of taxpayers, donors and other stakeholders. Their concerns are straightforward and legitimate: they want to know what use their resources are being put to and what difference these resources are making to the lives of people. In this line, RBM was especially highlighted in the "2005 Paris Declaration on Aid Effectiveness" as part of the efforts to work together in a participatory approach to strengthen country capacities and to promote accountability of all major stakeholders in the pursuit of results.

It is usually argued that complex processes such as development are about social transformation, processes which are inherently uncertain, difficult, not totally controllable and - therefore - which one cannot be held responsible for. Nonetheless, these difficult questions require appropriate responses from the professional community and, in particular, from multilateral organizations to be able to report properly to stakeholders, and to learn from experience, identify good practices and understand what the areas for improvements are.

The RBM system aims at responding to these concerns by setting out clear expected results expected for programme activities, by establishing performance indicators to monitor and assess progress towards achieving the expected results and by enhancing accountability of the organization as a whole and of persons in charge. It helps to answer the "so what" question, recognizing that we cannot assume that successful implementation of programmes is necessarily equivalent to actual improvements in the development situation.

This paper is intended to assist in understanding and using the basic concepts and principles of results-based management.

General information on RBM concept in this document is based on materials of some UN agencies. Bearing in mind that different RBM terminology is used by different actors due to each and everyone's specific context, it is important to ensure that the definitions are clear to all involved in the result based management within an organization. Inspite of different terminology used by different actors, the chain itself proceeds from activities to results/impacts.

2. BRIEF HISTORICAL BACKGROUND

As such, the concept of RBM is not really new. Its origins date back to the 1950's. In his book "The practice of Management", Peter Drucker introduced for the first time the concept of "Management by Objectives" (MBO) and its principles:

- Cascading of organizational goals and objectives,
- Specific objectives for each member of the Organization
- Participative decision-making
- Explicit time period
- Performance evaluation and feedback

As we will see further on, these principles are very much in line with the RBM approach.
MBO was first adopted by the private sector and then evolved into the Logical Framework (Logframe) for the public sector. Originally developed by the United States Department of Defense, and adopted by the United States Agency for International Development (USAID) in the late 1960s, the logframe is an analytical tool used to plan, monitor, and evaluate projects. It derives its name from the logical linkages set out by the planners to connect a project's means with its ends.

During the 1990s, the public sector was undergoing extensive reforms in response to economic, social and political pressures. Public deficits, structural problems, growing competitiveness and globalization, a shrinking public confidence in government and growing demands for better and more responsive services as well as for more accountability were all contributing factors. In the process, the logical framework approach was gradually introduced in the public sector in many countries (mainly member States of the Organization for Economic Co-operation and Development (OECD). This morphed during the same decade in RBM as an aspect of the New Public Management, a label used to describe a management culture that emphasizes the centrality of the citizen or customer as well as the need for accountability for results.

This was followed by the establishment of RBM in international organizations. Most of the United Nations system organizations were facing similar challenges and pressures from Member States to reform their management systems and to become more effective, transparent, accountable and results-oriented. A changeover to a results-based culture is however a lengthy and difficult process that calls for the introduction of new attitudes and practices as well as for sustainable capacity-building of staff.

3. WHAT IS RBM?

Results -based management (RBM) can mean different things to different people/organizations. A simple explanation is that RBM is a broad management strategy aimed at changing the way institutions operate, by improving performance, programmatic focus and delivery. It reflects the way an organization applies processes and resources to achieve interventions targeted at commonly agreed results.

Results-based management is a participatory and team-based approach to programme planning and focuses on achieving defined and measurable results and impact. It is designed to improve programme delivery and strengthen management effectiveness, efficiency and accountability.
RBM helps moving the focus of programming, managing and decision-making from inputs and processes to the objectives to be met. At the planning stage it ensures that there is a necessary and sufficient sum of the interventions to achieve an expected result.
During the implementation stage RBM helps to ensure and monitor that all available financial and human resources continue to support the intended results.

To maximize relevance, the RBM approach must be applied, without exceptions, to all organizational units and programmes. Each is expected to define anticipated results for its own work, which in an aggregative manner contributes to the achievement of the overall or high-level expected outcomes for the organization as a whole, irrespective of the scale, volume or complexity involved.

RBM seeks to overcome what is commonly called the "activity trap", i.e. getting so involved in the nitty-gritty of day-to-day activities that the ultimate purpose or objectives are being forgotten. This problem is pervasive in many organizations: project/programme managers frequently describe the expected results of their project/programme as "We provide policy advice to partners", "We train journalists for the promotion of freedom of expression", "We do research in the field of fresh water management", etc., focusing more on the type of activities undertaken rather than on the ultimate changes that these activities are supposed to induce, e.g. in relation to a certain group of beneficiaries.

An emphasis on results requires more than the adoption of new administrative and operational systems, it needs above all a performance-oriented management culture that supports and encourages the use of new management approaches. While from an institutional point of view, the primordial purpose of the RBM approach is to generate and use performance information for accountability reporting to external stakeholders and for decision-making, the first beneficiaries are the managers themselves. They will have much more control over the activities they are responsible for, be in a better position to take well-informed decisions, be able to learn from their successes or failures and to share this experience with their colleagues and all other stakeholders.

The processes or phases of RBM

The formulation of expected results is part of an iterative process along with the definition of a strategy for a particular challenge or task. The two concepts – strategy and expected results - are

closely linked, and both have to be adjusted throughout a programming process so as to obtain the best possible solution.

In general, organizational RBM practices can be cast in twelve processes or phases, of which the first seven relate to results-oriented planning.

1) Analyzing the problems to be addressed and determining their causes and effects;

2) Identifying key stakeholders and beneficiaries, involving them in identifying objectives and in designing interventions that meet their needs;

3) Formulating expected results, in clear, measurable terms;

4) Identifying performance indicators for each expected result, specifying exactly what is to be measured along a scale or dimension;

5) Setting targets and benchmarks for each indicator, specifying the expected or planned levels of result to be achieved by specific dates;

6) Developing a strategy by providing the conceptual framework for how expected results shall be realized, identifying main modalities of action reflective of constraints and opportunities and related implementation schedule;

7) Balancing expected results and the strategy foreseen with the resources available;

8) Managing and monitoring progress towards results with appropriate performance monitoring systems drawing on data of actual results achieved;

9) Reporting and self-evaluating, comparing actual results vis-à-vis the targets and reporting on results achieved, the resources involved and eventual discrepancies between the "expected" and the "achieved" results;

10) Integrating lessons learned and findings of self-evaluations, interpreting the information coming from the monitoring systems and finding possible explanations to eventual discrepancies between the "expected" and the "achieved".

11) Disseminating and discussing results and lessons learned in a transparent and iterative way.

12) Using performance information coming from performance monitoring and evaluation sources for internal management learning and decision-making as well as for external reporting to stakeholders on results achieved.

4. WHAT IS A RESULT?

A result is the "raison d'être" of an intervention. A result can be defined as a describable and measurable change in state due to a cause and effect relationship induced by that intervention. Expected results are answers to problems identified and focus on changes that an intervention is expected to bring about. A result is achieved when the outputs produced further the purpose of the intervention.
It often relates to the use of outputs by intended beneficiaries and is therefore usually not under full control of an implementation team.

5. HOW TO FORMULATE AN EXPECTED RESULT?

<u>Formulate the expected results from the beneficiaries' perspective</u>

Formulating expected results from the beneficiaries' perspective will facilitate focusing on the changes expected rather than on what is planned to be done or the outputs to be produced. This is particularly important at the country level, where UNESCO seeks to respond to the national development priorities of a country. Participation is key for improving the quality, effectiveness and sustainability of interventions. When defining an intervention and related expected results one should therefore ask:

- Who participated in the definition of the expected results?
- Were key project stakeholders and beneficiaries involved in defining the scope of the project and key intervention strategies?
- Is there ownership and commitment from project stakeholders to work together to achieve identified expected results?

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8

<u>Use "change" language instead of "action" language</u>

The expected result statement should express a concrete, visible, measurable change in state or a situation. It should focus on what is to be different rather than what is to be done and should express it as concretely as possible. Completed activities are not results, results are the actual benefits or effects of completed activities.

Action language	Change language
<u>… expresses results from the provider's perspective</u>:	<u>…describes changes in the conditions of beneficiaries</u>:
• To promote literacy by providing schools and teaching material.	• Young children have access to school facilities and learn to read and write.
<u>… can often be interpreted in many ways</u>:	<u>... sets precise criteria for success</u>:
• To promote the use of computers.	• People in undersupplied areas have increased knowledge of how to benefit from the use of a computer and have access to a computer.
<u>… focuses on completion of activities</u>:	<u>... focuses on results, leaving options on how to achieve them (how this will be achieved will be clarified in the activity description)</u>:
• To train teachers in participatory teaching.	• Teachers know how to teach in a participatory way and use these techniques in their daily work

<u>Make sure your expected results are SMART</u>

Although the nature, scope and form of expected results differ considerably, an expected result should meet the following criteria (be "SMART"):

- <u>S</u>pecific: It has to be exact, distinct and clearly stated. Vague language or generalities are not results. It should identify the nature of expected changes, the target, the region, etc. It should be as detailed as possible without being wordy.
- <u>M</u>easurable: It has to be measurable in some way, involving qualitative and/or quantitative characteristics.
- <u>A</u>chievable: It has to be achievable with the human and financial resources available ('realistic').
- <u>R</u>elevant: It has to respond to specific and recognized needs or challenges and to be within mandate.
- <u>T</u>ime-bound: It has to be achieved in a stated time-frame or planning period.

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9

Once a draft expected results statement has been formulated, it is useful to test its formulation going through the SMART criteria. This process enhances the understanding of what is pursued, and is of help in refining an expected result in terms of their achievability and meaningfulness.

Example: if we consider a work plan to be undertaken in a specific country that includes the expected results statement "Quality of primary education improved", the application of the SMART questioning could be as follows:

1. Is it "Specific"?

What does "quality" actually mean in this context? What does an "improvement" of quality in primary education amount to concretely? Who are the relevant stakeholders involved? Are we working on a global level, or are we focusing on a particular region or country?
In responding to the need of being specific, a possible expected result formulation could finally be:
"Competent authorities in Country X adopted the new education plan reviewed on the basis of international best practices and teachers and school personnel implement it."

2. Is it "Measurable"?

Can I find manageable performance indicators that can tell about the level of achievement?
Possible Performance Indicators could be:
- % of teachers following the curriculum developed on the basis of the new education plan (baseline 0%, benchmark 60%)
- % of schools using quality teaching material (baseline 10%, benchmark 90%)

3. Is it "Achievable"?

Do I have enough resources available to attain the expected result? I need to consider both financial and human resources. If the answer is negative, I have to either reconsider and adjust the scope of the project or mobilize additional resources.
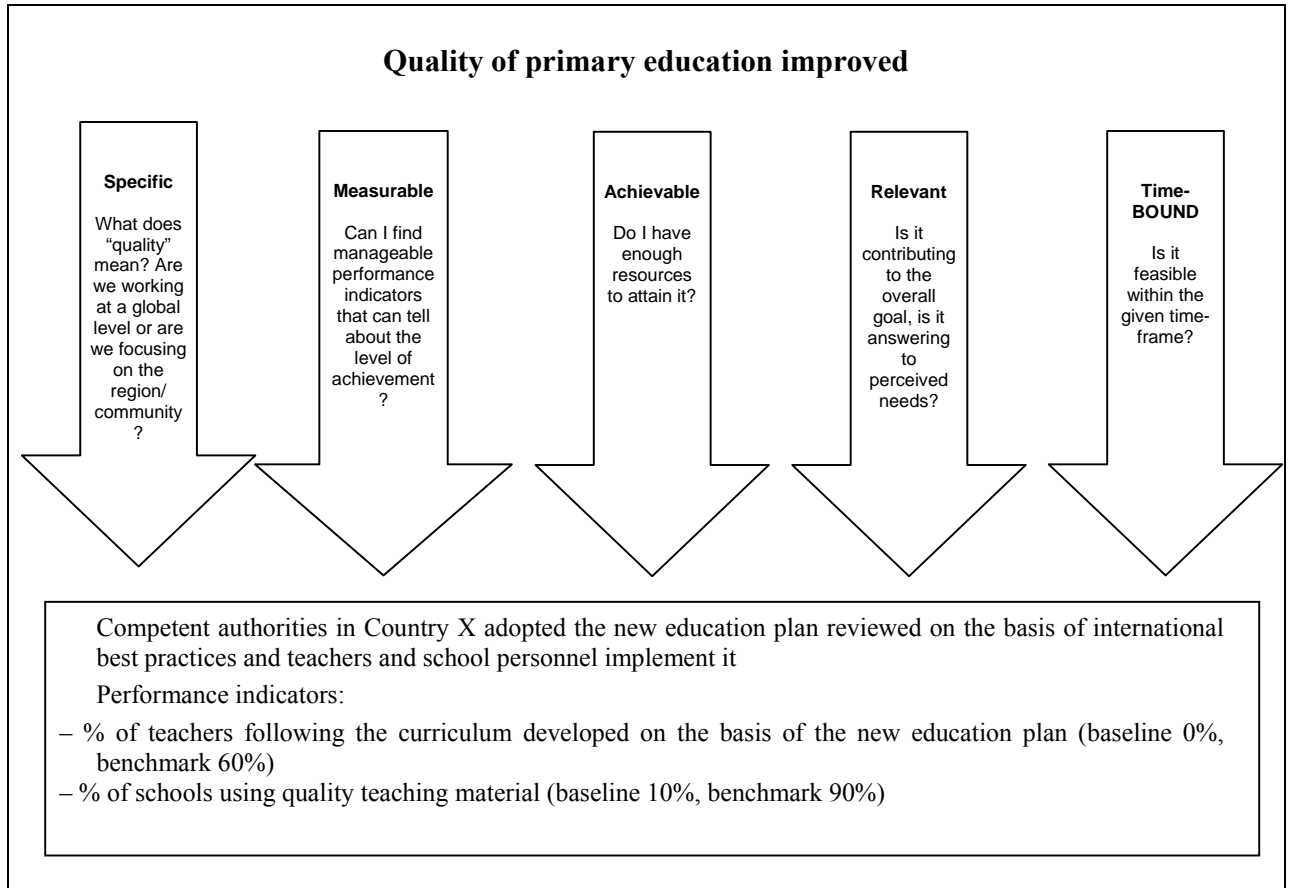
4. Is it "Relevant"?

Is the expected result coherent with the upstream programming element based on. of its domains?
If the answer is negative I should drop the activity.

5. Is it "Time-bound"?

The expected result should be achievable within the given timeframe for programming processes this period.

Improving the results formulation: the SMART process

Quality of primary education improved

Specific	Measurable	Achievable	Relevant	Time-BOUND
What does "quality" mean? Are we working at a global level or are we focusing on the region/ community?	Can I find manageable performance indicators that can tell about the level of achievement?	Do I have enough resources to attain it?	Is it contributing to the overall goal, is it answering to perceived needs?	Is it feasible within the given time-frame?

Competent authorities in Country X adopted the new education plan reviewed on the basis of international best practices and teachers and school personnel implement it

Performance indicators:

– % of teachers following the curriculum developed on the basis of the new education plan (baseline 0%, benchmark 60%)
– % of schools using quality teaching material (baseline 10%, benchmark 90%)

Find a proper balance among the three Rs

Once an intervention is formulated, it can be useful to check and improve its design against yet another concept – namely, establishing a balance between three variables Results (describable and measurable change in state that is derived from a cause and effect relationship), Reach (the breadth and depth of influence over which the intervention aims at spreading its resources) and Resources (human, organisational, intellectual and physical/material inputs that are directly or indirectly invested in the intervention).

Unrealistic project plans often suffer from a mismatch among these three key variables. It is generally useful to check the design of a project by verifying the three Rs by moving back and forth along the project structure and by ensuring that the logical links between the resources, results and the reach are respected.
It is rather difficult to construct a results-based design in one sitting. Designs usually come together progressively and assumptions and risks have to be checked carefully and constantly along the way.

6. WHAT IS THE RELATIONSHIP BETWEEN INTERVENTIONS, OUTPUTS AND RESULTS?

Interventions, outputs and results are often confused. Interventions describe what we do in order to produce the changes expected. The completion of interventions leads to the production of outputs. Results are finally the effects of outputs on a group of beneficiaries. For example, the implementation of training workshops (activity) will lead to trainees with new skills or abilities (outputs). The expected result identifies the behavioral change among the people that were trained leading to an improvement in the performance of, say, an institution the trainees are working in, which is the ultimate purpose of the activity.

If we move our focus from what we do to what we want the beneficiaries to do after they have been reached by our intervention, we may realize that additional types of activities could be necessary to make sure we will be able to achieve the expected results.

It is important that a project is driven by results and not activities.

Defining expected results:

- is not an exact science;
- includes a solid understanding of the socio-economic, political and cultural context;
- is influenced by available resources, the degree of beneficiary reached and potential risk factors;
- requires participation of key stakeholders.

The following examples may help to understand the relationship between interventions, outputs and results, but should not be seen as a generally applicable master copy as every intervention is different from another.

TITLE OF THE ACTIVITY	INTERVENTIONS	OUTPUTS	RESULTS
Capacity building for sustainable development in the field of water management	• Compilation of best practices in the field of water information management. • Develop Internet-based information systems/web pages and databases and other tools (software, guidelines, databases) to transfer and share water information. • Organization of Water Information Summits.	• Best practices for management of water information collected and disseminated. • Software, guidelines, database, etc. available to the institutions concerned. • Water Information Summits attended by policy makers and representatives of institutions concerned. • Relevant institutions assisted for the	• Relevant institutions have adapted and implemented best practices for water information management.

	• Provision of technical assistance.	implantation of best practices.	
Contribution to a reconstruction programme for the education system in country X	• Assessing the situation with regard to the national education system • Organization of workshops for decision-makers and experts to discuss and select a new education plan. • Definition of an education plan ensuring an adequate learning environment in country X. • Provision of technical assistance • Organization of training workshops for teachers and school personnel • Development of teaching and learning material.	• Situation analysis reportcompleted. • Workshops attended by relevant decision-makers and experts. • Education plan developed and available to local counterparts. • Teachers and school personnel trained. • Implementation capacities of local counterparts improved. • Teaching and learning materials delivered.	• Relevant authorities have adopted the new education plan and teachers and school personnel implement it.
UNESCO Prize for Tolerance	• Selection and information of jury. • Preparation of brochures, information material. • Development and organization of an Information campaign. • Advertising the prize. • Development of partnerships for the identification of a list of candidates. • Organization of the award ceremony. • Organization of press conferences. • Follow-up and assessment of media coverage.	• Jury nominated and agreeable to main stakeholders. • Brochures, leaflets, videos produced and disseminated. • Information campaign implemented • List of candidates completed and agreeable to main stakeholders. • Prize-winner nominated. • Press Conference organized and attended by identified journalists. • Media coverage of	• Concept of tolerance spread among the general public in a country/region/globally.

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13

		the event.	
Promotion of the UNESCO Universal Declaration of Cultural Diversity	• Develop guidelines on the application of the Declaration in different fields. • Inform about the Declaration. • Organization of workshops on the Declaration for policy-makers and key decision-makers.	• Guidelines on the application of the Declaration in different fields produced. • Workshops on the Declaration organized and guidelines on the Declaration distributed to persons attending the workshops.	• Decision-makers put to practice the guidelines on the application of the Declaration in different fields.
Increasing access to quality basic education for children through community learning centres	• Discussions with local authorities. • Assessing the feasibility of community-based learning centre in community X. • Preliminary discussions with local stakeholders. • Sensitization seminars for local leaders and community members. • Curriculum development of community-based learning centres. • Selection of training personnel among the local community. • Adapting training material • Training of personnel. • Production of information material for local authorities. • Meetings with local authorities for the replication of such centres. • Provision of	• Principle agreement by local authorities. • Feasibility study completed and gender analysis produced and disseminated. • Principle agreement by community leaders. • Community Centre proposal completed and submitted to local authorities and community leaders. • Personnel selected. • Curriculum and training material for community-based learning centres developed. • Managers and teachers have the necessary skills to implement their functions. • Brochures & videos developed and disseminated. • Local leaders and community members informed, sensitized and convinced.	• The centre is operational and is an integral part of the community life. • Steps are taken by local authorities for replicating this initiative in other communities.

	technical assistance to local authorities for replicating such centres in other communities.		

We can anticipate a few challenges in this process:

- The nature of expected results: it is obvious that the nature, magnitude, meaning of "expected results" cannot be the same among the different levels. Nevertheless, it is crucial that all these results build a chain of meaningful achievements, bridging the gap between the mandate and the strategic objectives of the organisation actually achieves in its daily operations.

- Reconciling global and local dimensions: RBM stresses results and greater focus; this should be done without sacrificing the organisation's global mandate and its commitment to decentralisation and responsiveness to country needs and priorities: a good balance has to be found between global and field-oriented approaches.

7. MONITORING OF IMPLEMENTATION

Monitoring can be described as "a continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing (…) intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds" (Source: OECD RBM Glossary).

The function of a monitoring system is to compare "the planned" with "the actual". A complete monitoring system needs to provide information about the use of resources, the activities implemented, the outputs produced and the results achieved. What we are focusing on here is a results-based monitoring system: at the planning stage, through its monitoring system, the officer in charge has to translate the objectives of the intervention in expected results and related performance indicators and to set the baseline and targets for each of them. During implementation, he needs to routinely collect data on these indicators, to compare actual levels of performance indicators with targets, to report progress and take corrective measures whenever required.

As a general rule, no extra resources (neither human, nor financial) will be allowed for monitoring tasks, hence the responsible person has to ensure that these tasks can be undertaken with the budget foreseen (as a general rule of thumb, about 5% of the resources should be set aside for this purpose).

Selection and formulation of performance indicators

Monitoring is done through the use of appropriate performance indicators. When conceiving an intervention, the responsible officer is also required to determine appropriate performance indicators

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15

that will allow to track progress and assess the effectiveness of our intervention, i.e. if it was capable of producing the intended results. Indicators support effectiveness throughout the processes of planning, implementation, monitoring, reporting and evaluation.

Indicators may be used at any point along the chain inputs, interventions, outputs, results, but a results-based monitoring system does not address compliance to the rate of expenditure or to the implementation plan (answering the question: "have we done it?"), but on the actual benefits that our interventions were actually able to bring to the targeted populations (answering the question: "we have done it, so what?"). Performance indicators are aimed at giving indications of change caused or induced by the intervention. This core purpose does not require sophisticated statistical tools, but reliable signals that tell, directly or indirectly, about the real facts on which one undertakes to have leverage. A fair balance is to be sought between the cost - both in terms of time and money - to collect the information required and its capacity to reflect the desired changes. Even a carefully selected, clearly defined indicator is of little use unless it is actually put to use. A critical test of an indicator is how practical it is to monitor. Thinking about an indicator is one thing, actually finding, recording and presenting the data is another. Indicators need to be approached as a practical tool, not merely as a conceptual exercise.

Performance indicators are signposts of change. They enable us to verify the changes the interventions we are dealing with seek to achieve. The purpose of indicators is to support effective programme planning, management and reporting. Indicators not only make it possible to demonstrate results, but they can also help produce results by providing a reference point for monitoring, decision-making, stakeholder consultations and evaluation.

We should bear in mind, however, that indicators are only intended to indicate, and not to provide scientific "proof" or detailed explanations about change. In addition, we should avoid the temptation to transform the measurement of change into a major exercise with a burdensome workload. Measuring change should not take precedence over programme activities that generate the changes to be measured.

The critical issue in selecting good indicators is credibility, not the number of indicators, nor the volume of data or precision in measurement. The challenge is to meaningfully capture key changes by combining what is substantively relevant with what is practically feasible to monitor.

At the end of the day, it is better to have indicators that provide approximate answers to some important questions than to have exact answers to many unimportant questions.

Selecting substantively valid and practically possible performance indicators presupposes an in-depth understanding of the situation and of the mechanisms subtending change. Therefore, the use of pre-designed or standardised performance indicators is not recommended, as they often do not address the specificities of the situation in which the intervention is carried out. Performance indicators have to be designed on the basis of the ambition of an intervention, its scope and the environment they are implemented in.

Failing to design good indicators often means that the results are not clearly defined or that they are too wide-ranging. The process of selecting indicators can help identify the core issues of the intervention and translate often intangible concepts into more concrete and observable elements.

A result and its indicator should not be mixed up. The result is the achievement. Indicators should tell about the achievement.

Indicators for "soft assistance" activities

The experience of a number of development cooperation agencies with the shift to a results-based approach has shown that, unless guarded against, there could be a tendency for country operations to focus more explicitly on quantifiable initiatives. It is therefore critical that the organization guard against the development of any disincentives that would prevent it from focusing on capacity-building and advocacy work, both of which are complex and long-term and against which it may be much more difficult to assess results than it is in other sectors.

The term "capacity" in this framework refers to the abilities, skills, understandings, attitudes, values, relationships, knowledge, conditions and behaviours that enable organizations, groups and individuals in a society to generate benefits and achieve their objectives over time. Capacity also reflects the abilities of these actors to meet the needs and demands of the stakeholders for whom they were established or to whom they are accountable. These attributes cover formal, technical and organizational abilities and structures and also the more human, personal characteristics that allow people to make progress.

Quantitative vs. qualitative indicators

Indicators can comprise a variety of types of "signals" such as numbers, ranking systems or changes in the level of user approval. A signal also features a "scale" of observation. For example, the indicator "65 per cent of enrolled students graduate primary school" features a percentage signal with a scale of 65 per cent.

Signals and scales lend themselves to indicators that express qualitative and/or quantitative information. Quantitative indicators are numerical. Qualitative indicators use categories of classification, based on individual perceptions.

The concept of quantitative versus qualitative indicators has been a subject of frequent discussion over the past few years. The common belief is that quantitative indicators are measurements that stick to cold and hard facts and rigid numbers and there is no question about their validity, truth and objectivity while qualitative indicators are seen as subjective, unreliable and difficult to verify. No one type of indicator or observation is inherently better than another; its suitability depends on how it relates to the result it intends to describe. There should be a shift away from the approach that indicators should be quantitative rather than qualitative. It is expected to select the type of indicator that is most appropriate for the result being measured. If a qualitative indicator is determined to be most appropriate, one should clearly define each term used in the measure, make sure to document all definitions and find possible ways (such as using rating scales) to minimize subjectivity.

For example, if the result under consideration is in the area of improving the functioning of the government, in particular concerning its preparation to respond to local needs, we could measure the degree of results achievement through indicators measuring the change in levels of end-user approval (or client satisfaction).

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17

Possible indicators could therefore be:

- Average rate of perceived responsiveness of the government to the needs of population, on a scale from 1 to 10.
- Proportion of people who perceive local government management as "very participatory". If this proportion increases from 40 per cent to 65 per cent over a certain period of time, this increase provides some measure of the degree of qualitative change. This kind of numerical expression of qualitative considerations may also be obtained through indicators that use rating systems that rank, order or score given categories of attributes.
- Proportion of people who rate central government adequateness to their own needs 6 or more.

Qualitative indicators are particularly helpful - for example - when the actions involve capacity development for service delivery. The perceptions of end-users regarding service delivery gets straight to the issue of whether the services are wanted, useful and effectively delivered. The satisfaction of end-users (or clients) has the advantage of some comparability. Results may be compared and data disaggregated by kind of service, location, time, etc.

This approach is not without its problems, however. The only way of getting this information may be through a survey that may reveal itself too costly, clients may not always be easy to identify, and their perceptions of satisfaction with services is subject to influences other than the service itself.

Types of Performance Indicators

Several types of performance indicators can be used to assess progress towards the achievement of results:

a) Direct Statistical Indicators

Direct statistical indicators show progress when results are cast in terms of readily quantifiable short-term changes. For example, if the result is "Nominations of cultural and natural properties from regions or categories of heritage, currently under-represented or non-represented on the World Heritage List increased", it should not be difficult to secure direct quantifiable data about the number of new nominations over the time period of a biennium (or less). Care must be taken to ensure that the time span of the result lends itself to the collection of such data for use in review.

b) Proxy Indicators

Proxy indicators are normally quantitative, but do not directly relate to the result. A proxy is used to show progress. It should be used when getting the full data is too time-consuming, or when the timeliness of complete data would fall outside the need for review. However, there must be a prima facie connection between the proxy and the result. For example if the result is "Public recognition improved of the importance of the mathematical, physical, and chemical sciences for life and societal development", a good Proxy Indicator might be the improvement of the media coverage concerning these issues.

c) Narrative Indicators

When the results are not easily quantifiable (changing attitudes, building capacities, etc.) over the time period of the biennium, and the number of recipients is not too big, a non-statistical approach can be envisaged to develop an indication of "progress". Narrative indicators largely focus on the "process of change".

This technique works especially well in instances where capacity building, training, conferences, network development and workshops are the planned interventions. However, when dealing with stakeholders, care needs to be taken to avoid a focus simply on "satisfaction". Rather, the focus should be on what happened (or at least on what the recipients have planned to do) as a result of the intervention/participation. For example if the expected result is "National capacities in educational planning and management strengthened", then a valid narrative indicator might be a follow-up questionnaire to be circulated among those individuals who participated in training, or conferences or other activities to ask them what they did (or what they have planned to do) in their countries.

Narrative indicators enable an organization to begin to explore complex interrelationships among factors without recourse to extremely expensive statistical research.

Risks when identifying performance indicators:

There are a number of risks when defining and using performance indicators. The most frequent are:

- Oversimplification and misunderstanding of how development results occur and confusion over accountability for results;
- Overemphasis on results that are easy to quantify at the expense of less tangible, but no less important results;
- Mechanical use of indicators for reporting purposes in ways that fail to feed into strategic thinking and organizational practices.

In the following table, possible performance indicators are added to the previously introduced examples completing the RBM planning and monitoring cycle.

TITLE OF THE ACTIVITY	OUTPUTS	RESULTS	PERFORMANCE INDICATORS
Capacity building for sustainable development in the field of water management	• Best practices for management of water information collected and disseminated. • Software, guidelines, database, etc. available to the institutions concerned. • Water Information Summits attended by policy makers and	• Relevant institutions have adapted and implement best practices for water information management.	• Number and "importance" of institutions represented at the Water Information Summits. • "Profile" of representatives participating at the Water Information Summits. • Number of

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19

	representatives of institutions concerned. • Relevant institutions assisted for the implantation of best practices.		institutions where there is evidence that best practices are being implemented. • Access (disaggregated per country) to Internet-based information systems/web pages and databases, etc.. • Number of institutions officially requesting technical assistance for the implementation of best practices
Contribution to a reconstruction programme for the education system in country X	• Situation analysis report completed. • Workshops attended by relevant decision-makers and experts. • Education plan developed and available to local counterparts. • Teachers and school personnel trained. • Implementation capacities of local counterparts improved. • Teaching and learning materials delivered.	• Relevant authorities have adopted the new education plan and teachers and school personnel implement it.	• New education plan adopted • Percentage of schools in country X where the new education plan is being implemented • Attendance rates of schools implementing the new education plan
UNESCO Prize for Tolerance	• Jury nominated and agreeable to main stakeholders. • Brochures, leaflets, videos produced and disseminated. • Information campaign implemented • List of candidates completed and agreeable to main stakeholders.	• Concept of tolerance spread among the general public in a country/region/globally.	• Media coverage of the prize

	• Prize-winner nominated. • Press Conference organized and attended by identified journalists. • Media coverage of the event.		
Promotion of the UNESCO Universal Declaration of Cultural Diversity	• Best practices for management of water information collected and disseminated. • Software, guidelines, database, etc. available to the institutions concerned. • Water Information Summits attended by policy makers and representatives of institutions concerned. • Relevant institutions assisted for the implantation of best practices.	• Relevant institutions have adapted and implement best practices for water information management.	• Number and "importance" of institutions represented at the Water Information Summits. • "Profile" of representatives participating at the Water Information Summits. • Number of institutions where there is evidence that best practices are being implemented. • Access (disaggregated per country) to Internet-based information systems/web pages and databases, etc.. • Number of institutions officially requesting technical assistance for the implementation of best practices
Increasing access to quality basic education for children through community learning centres	• Situation analysis report completed. • Workshops attended by relevant decision-makers and experts. • Education plan developed and available to local counterparts. • Teachers and school personnel trained.	• Relevant authorities have adopted the new education plan and teachers and school personnel implement it.	• New education plan adopted • Percentage of schools in country X where the new education plan is being implemented • Attendance rates of schools implementing the new education plan

	• Implementation capacities of local counterparts improved. • Teaching and learning materials delivered.		

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22

8. ANNEXES

RBM GLOSSARY

DEFINITIONS	ОПРЕДЕЛЕНИЯ
▪ **ACHIEVEMENT**: Result(s), or part of the result(s) accomplished at a given point in time	▪ **ДОСТИЖЕНИЕ -** результат(ы) или часть результат(ов), которые получены в определенный момент времени.
▪ **BACKGROUND**: Context and history (local, national, sectoral etc...) of the intervention and its specified area and beneficiaries (local, institutional, ...).	▪ **ИСХОДНЫЕ ДАННЫЕ –** контекст и исторические сведения (местные, национальные, секторальные т.д.) об интервенции, ее конкретной сфере и бенефициарах (местных, институциональных,).
▪ **BASELINE DATA**: Data describing the situation before the implementation of the intervention, related to each result, at each level. It is the starting point from which progress towards expected results will be measured.	▪ **БАЗОВЫЕ ДАННЫЕ -** данные, описывающие ситуацию до осуществления интервенции, связанные с каждым результатом и на каждом уровне. Они являются отправной точкой для измерения движения к ожидаемому результату.
▪ **BENCHMARK(S):** Reference points or Standards set in the recent past by an institution or by other comparable organizations against which performance or achievements can be assessed.	▪ **КОНТРОЛЬНЫЕ ПОКАЗАТЕЛИ -** ориентиры или стандарты , созданные в недавнем прошлом учреждением или другими организациями, с помощью которых можно оценивать успешность достижений. В ЮНЕСКО мы используем термин «контрольные показатели» как цели, достижимые за двухлетний период и измеряемые с помощью соответствующего индикатора эффективности.
▪ **BENEFICIARIES:** The individuals, groups, or organizations, whether targeted or not, that benefit, directly or indirectly, from the	▪ **БЕНЕФИЦИАРИЙ** – человек, группа людей, организация, которые являются прямыми или косвенными получателями выполнения

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23

intervention.	программы\ работы.
▪ **CONSTRAINTS:** Factors external to the intervention that could jeopardize its success and that need to be taken into account when defining the implementation strategy as well as when assessing the results achieved.	▪ **ОГРАНИЧЕНИЯ** – внешние по отношению к интервенции факторы которые могут помешать успеху и которые необходимо учитывать при выработке стратегии, а также при оценке полученных результатов.
▪ **EVALUATION:** The systematic and objective assessment of an on-going or completed project, programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfillment of objectives, development efficiency, effectiveness, impact and sustainability.	▪ **ОЦЕНКА** - систематическая и объективная оценка осуществляемого или завершенного проекта, программы или политики, того, как он построен, как выполняется и с какими результатами. Цель заключается в том, чтобы определить, насколько верно поставлены задачи и как они выполнены, а также действенность их развития, эффективность, их воздействие и устойчивость.
▪ **EX-ANTE EVALUATION:** An evaluation that is performed before implementation of a development intervention.	**ПРЕДВАРИТЕЛЬНАЯ ОЦЕНКА** - оценка, которая осуществляется до осуществления интервенции или разработки интервенции.
▪ **EX-POST EVALUATION**: Evaluation of a development intervention after it has been completed. Note: It may be undertaken directly after or long after completion. The intention is to identify the factors of success or failure, to assess the sustainability of results and impacts and to draw conclusions that may inform other interventions.	▪ **ОКОНЧАТЕЛЬНАЯ ОЦЕНКА** - оценка разработки интервенции после ее завершения. Примечание: ее можно провести сразу после завершения или через определенное время после завершения. Цель заключается в том, чтобы выявить факторы успешности или неуспешности, оценить устойчивость результатов и воздействий и сделать выводы, полезные для других интервенций.
▪ **EXTERNAL EVALUATION**: The evaluation of a development intervention conducted by entities and/or individuals outside the donor and implementing organizations.	**ВНЕШНЯЯ ОЦЕНКА (External evaluation)** – оценка разработанной интервенции и осуществленной предприятиями или отдельными лицами, не являющимися донорами или организациями-подрядчиками.

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24

▪ **SELF-EVALUATION**: An evaluation by those who are entrusted with the design and/ or planning and/ or delivery of a programme, project, activity.	**САМООЦЕНКА –** оценка теми, кому была доверена разработка, или планирование, или осуществление программы, проекта, мероприятия.
▪ **FUNCTIONS:** The range of functions that the organization performs.	▪ **ФУНКЦИИ -** ряд функций, которые выполняет организация.
▪ **IMPACT(S)**: The positive and/or negative, long-term effects produced by an intervention, directly or indirectly, intended or unintended.	▪ **ВОЗДЕЙСТВИЕ(Я) –** позитивный или негативный долговременный эффект, произведенный интервенцией – прямой или опосредованный, намеренный или непреднамеренный.
▪ **IMPLEMENTATION STRATEGY**: The plan, method and the series of interventions designed to achieve a specific expected result.	▪ **СТРАТЕГИЯ ОСУЩЕСТВЛЕНИЯ –** план, метод или серия интервенций, нацеленных на то, чтобы достигнуть каких-либо определенных результатов.
▪ **INDICATOR**: see Performance Indicator.	▪ **ИНДИКАТОР -** см. показатель эффективности выполнения
▪ **MILESTONE**: A significant stage or event in the progress or development of a society or a project.	▪ **ЭТАП -** важная часть или событие в развитии общества или выполнении проекта.
▪ **OPPORTUNITIES**: The factors external to the intervention that can be utilized by the intervention in order to improve the effectiveness of the activities implemented. Need to be taken into account when defining the implementation strategy.	▪ **ВОЗМОЖНОСТИ** – внешние по отношению к интервенции факторы, которые можно использовать при интервенции для повышения эффективности осуществляемых мероприятий. Необходимо учитывать при выработке стратегии

	осуществления.
▪ **OUTCOMES**: The medium-term effects/ results	▪ **РЕЗУЛЬТАТЫ** – среднесрочные эффекты программ
▪ **OUTPUTS:** The products, capital goods and services produced by the intervention, which are necessary for the achievement of results.	▪ **ПРОДУКТЫ** – продукты, капиталы, товары и услуги, произведенные в результате интервенции, которые необходимы для достижения результатов.
▪ **PERFORMANCE INDICATORS**: The objectively verifiable units of measurement that are used for assessing and measuring progress – or lack thereof - towards a Result. Using indicators is essential for managing, monitoring and reporting as well as for evaluating the implementation of programming elements.	▪ **ИНДИКАТОРЫ ЭФФЕКТИВНОСТИ ВЫПОЛНЕНИЯ** – поддающиеся объективной проверке единицы измерения, которые используются для оценки и измерения прогресса – или отсутствия такового – необходимого для получения результатов. Использовать индикаторы важно с точки зрения управления, мониторинга и отчетности, а также для оценки осуществления элементов программы.
▪ **RATIONALE**: The justification for the intervention itself as well as for its specific characteristics (e.g. timing, resources allocated, delivery mechanisms chosen, defined expected results).	▪ **ОБОСНОВАНИЕ** – обоснование самого вмешательства, а также его специфических характеристик (напр. график осуществления, ресурсы, выбранные механизмы поставок и определенные конечные результаты).

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26

▪ **REACH**: The people, groups or organizations who will benefit directly or indirectly from, or who will be affected by the results of the intervention.	▪ **ОХВАТ** – люди, группы или организации, которые получат прямую или непрямую выгоду или те, на кого будут воздействовать результаты интервенции.
▪ **RESOURCES**: Organisational, intellectual, human and financial inputs necessary for the implementation of an intervention.	▪ **РЕСУРСЫ** – организационный, интеллектуальный и финансовый вклады, необходимые для выполнения интервенций.
▪ **RESULT**: The describable and measurable change in state that is derived from a cause and effect relationship.	▪ **РЕЗУЛЬТАТ** – изменения состояния, которые можно измерить и описать и которые обусловлены причинно-следственной связью.
▪ **EXPECTED RESULTS**: The expected results statement should refer to a result expected to be achieved by the organization interventions, within the working period and with the available resources.	▪ **ОЖИДАЕМЫЕ РЕЗУЛЬТАТЫ** - определение ожидаемых результатов должно относиться к результатам, которые ожидаются вследствие интервенций организации в течение рабочего периода и при наличии ресурсов.
▪ **RESULTS CHAIN**: The design of an "expected result" is required for each programming element, at any programming level. These results should form part of a chain of results: those of downstream elements combine to produce the result of the element to which they relate, a mechanism that swirls bottom up throughout the programming tree.	▪ **ЦЕПЬ РЕЗУЛЬТАТОВ** - модель «ожидаемые результаты» необходима для каждого элемента программы и на любом уровне программы. Эти результаты должны составлять часть цепочки результатов: нижестоящие элементы скомбинированы и дают результат элемента, к которому они относятся – механизм, который поворачивает все вверх дном на протяжении всего дерева программы.
▪ **STAKEHOLDERS**: Agencies, organisations, groups or individuals who have a direct or indirect interest in the development intervention or its evaluation.	▪ **ЗАИНТЕРЕСОВАННЫЕ СТОРОНЫ** – агентства, организации, группы или отдельные лица, которые заинтересованы прямо или косвенно в разработке интервенции или в ее оценке.

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27

▪ **TARGETS**: Quantitative and qualitative levels of performance indicators that an intervention is meant to achieve at a given point in time (e.g. at the end of the biennium).	▪ **ЦЕЛИ** – количественные и качественные уровни индикаторов качества выполнения того, что должна достичь интервенция в определенный момент времени (например, в конце двухлетнего периода).

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28

RBM MODULES

Background and RBM Fundamentals

Module 1

What is RBM?

a) A Management Tool
b) A frame of mind
c) RBM = Really Boring Monologue
d) A waste of time

RBM is…

- Management tool to improve management effectiveness and accountability in achieving results

What does RBM involve?

a) Identifying results (inputs, outputs, outcomes, impacts) and their causal relationships
b) Developing indicators to measure success
c) Identifying assumptions or risks that may influence success or failure
d) Measuring performance to inform decision-making and for reporting
e) All of the above

RBM involves…

- Involves identifying strategic elements:
  - Results (inputs, outputs, outcomes, impacts) and their causal relationships,
  - indicators to measure success
  - assumptions or risks that may influence success or failure
- Measuring performance
- Decision-making and reporting

Why RBM ? (1)

- There is an increasing demand to better demonstrate results

- Donors want efficiency and effectiveness of aid

- The public wants better services

Why RBM? (2)

- Problems frequently encountered in projects and programmes

- Do not achieve objectives
- Lack of clear statement of objectives & performance indicators
- Lack of clear roles and responsibilities
- Lack of participation in project design from the operating levels
- Projects not related to programme objectives / programmes not related to national objectives

Advantages of RBM (1)

Provides
- **Integrated management strategy - project – program – organisational - sector – country**

Shows
- **Partners/donors commitment by presenting the programme and the rationale in a concise manner**

Advantages (2)

- Clarifies for all stakeholders what the project aims to achieve
- Provides a common framework to discuss project performance
- By necessity it intensifies communication between all project partners
- (Should) Lead to a reduction in the length of reports and an improvement of content

True or False?

- **RBM can be brought into an organization quickly, in a short-time frame**

- **There is only one way to apply RBM**

Challenges

- **It requires fundamental change – organizational culture and technical skills/systems**
- **It takes years to complete**
- **It has financial implications**
- **It's a tool - not a panacea**
- **Should not be applied rigidly**

Some Lessons Learned

- Common vision
- Ownership and Partnership
- Capacity Building
- Reform of budget processes and financial management
- Realistic outcomes and simplicity
- Devolution of authority
- Learning and decision-making

RBM Fundamentals

Presentation is based on UNIFEM materials

Management Cycle

Analysis & Needs Assessment
Strategic Planning
Operational Planning
Continuous Learning
Reporting and Review
Implementation
Monitoring
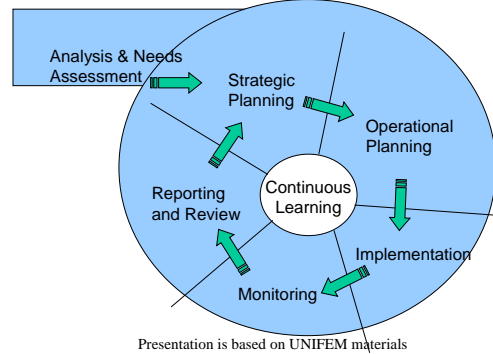
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MfDR in the Management Cycle

Analysis & Needs Assessment
Strategic Planning
Operational Planning
Continuous Learning
Reporting and Review
Implementation
Monitoring
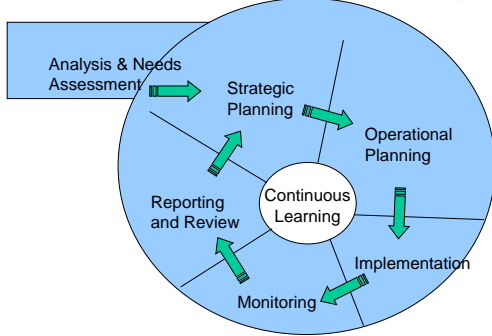
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Analysis & Needs Assessment

• Context & Client Needs Analysis
Strategic Planning
Operational Planning
Continuous Learning
Reporting and Review
Implementation
Monitoring
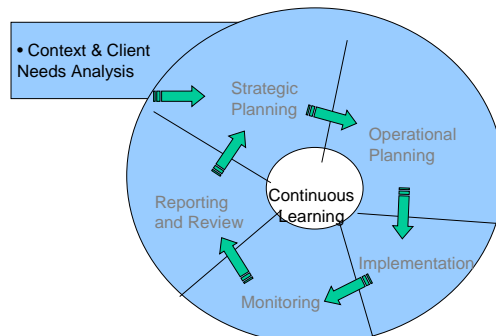
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Strategic Planning

- Results Chain
- Risks
- Indicators

Analysis & Needs Assessment · Operational Planning · Reporting and Review · Continuous Learning · Implementation · Monitoring
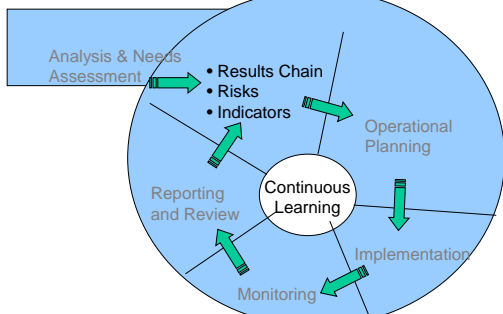
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Operational Planning
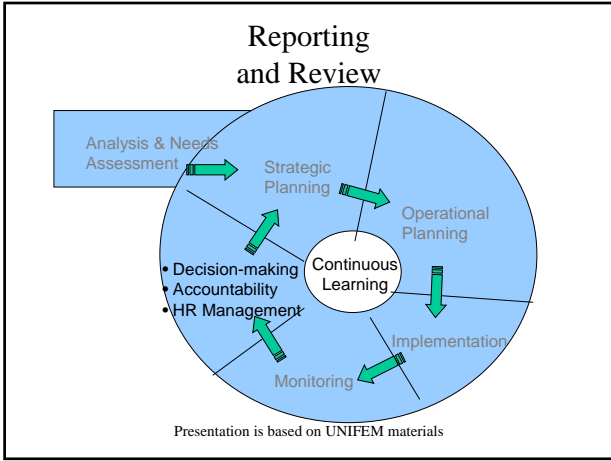
- Refined Results & Indicators
- Detailed Outputs & Activities
  - Performance Measurement System Set-up

Analysis & Needs Assessment · Strategic Planning · Reporting and Review · Continuous Learning · Implementation · Monitoring
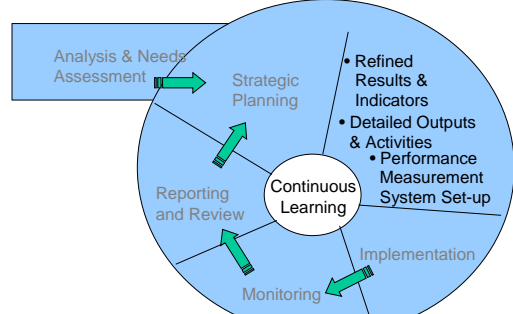
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Implementation

- Activities Undertaken
- Outputs Delivered

Analysis & Needs Assessment · Strategic Planning · Operational Planning · Reporting and Review · Continuous Learning · Monitoring
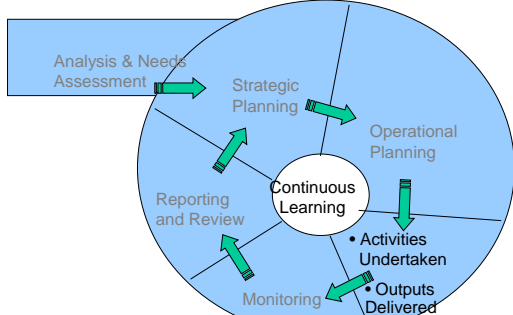
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Monitoring

- Indicator Data Collected & Analyzed

Analysis & Needs Assessment · Strategic Planning · Operational Planning · Reporting and Review · Continuous Learning · Implementation

Presentation is based on UNIFEM materials

Reporting and Review

MfDR in the Management Cycle

Learning in MfDR
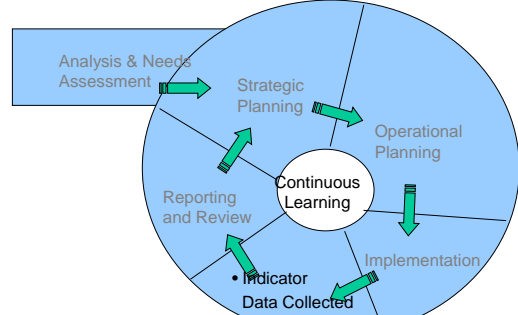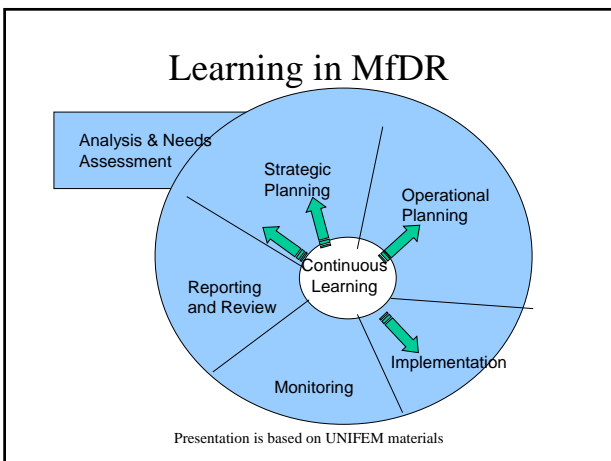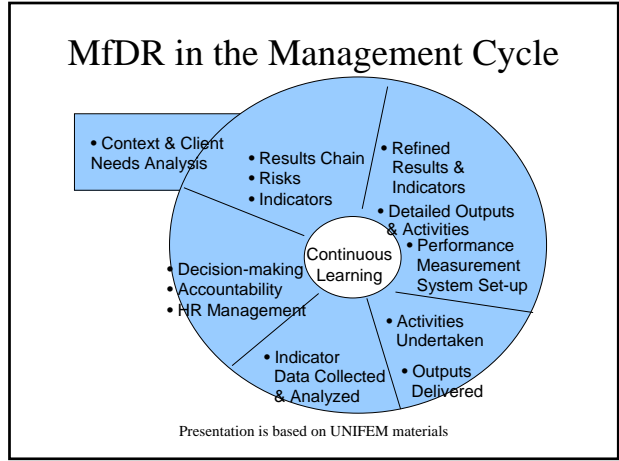
Using Performance Information

- Often the last consideration, but should be the first

- The need for this information should drive the MfDR process
  - Management
  - Decision-making
  - Resource Allocation
  - Learning
  - Reporting and Accountability

Developing Results

- Results should be:
  - Situated in a framework that shows their causal relationship between one and another
  - Developed in a participatory process
  - Linked to project / program context and overall goals
  - Clearly worded specifying what is expected to be achieved

Measuring Results

- Results are measured by indicators
- Indicators are not useful unless they are linked to results
- Indicators provide data that can be analyzed to gauge performance against expected results
- Measurement includes unexpected or unplanned results

Performance Measurement

- A system is need to collect data
- Processes need to be developed
- Human and financial resources need to be assigned
- Measurement activities needed to be planned and time allocated for them

Module Summary

- RBM has particular advantages and disadvantages and must be applied appropriately
- Each stage of the management cycle requires particular RBM interventions

Context Analysis

Module 2

Module Objectives

- Understand the role of the context analysis in formulation of results and identifying assumptions and risks

---

Context Analysis

- **Qualitative and quantitative description of a given issue**
- **Helps identify:**
  - **strategic areas of intervention and capacity gaps for 1) rights holders and 2) duty bearers**
  - **specific issues to be addressed hence results to be achieved**
  - **major challenges or risks**
  - **indicators and targets**
  - **assumptions and risks**
- **Can be used as baseline (but not always)**

Module 2 Summary

- Brief description of a situation
- Should include gaps in capacity RH and DB
- Should refer to conventions, etc.
- Helps identify, results, indicators, assumptions and risks
- Sometimes serves as a baseline

Results Definition

The Results Chain
Module 3

Module Objectives

- To understand the different levels of results and linkages between them
- To understand and practice how to create results chains
- To learn how to represent complex results chains in a logic model or results tree

Articulating Results

If you don't know where you are going, any road will take you there

(Unknown)

A word on results

- Outputs - short-term change, beyond completed activities, usually specified annually (ex. skills, knowledge acquired)
- Outcomes - medium term change, directly influenced by Outputs, drawn from/linked to MYFF, around end of time period (ex. skills knowledge applied)
- Impacts - long term change, contributed to by Outcomes (in addition to many other factors), taken from MYFF, post time period, country/sector level (ex. increased right for women in....)

The Results Chain

- A series of expected achievements, "linked" by causality
- Continuum from inputs/resources to final impact divided up into segments / links
- Expressed horizontally or vertically
- Each link in the chain is characterized by:
  - Increased importance of achievement with respect to the program goal
  - Decreased control, accountability, and attribution

The presentation is based on UNIFEM materials

Inputs ➡ Activities ➡ Outputs ➡ Outcomes ➡ Impacts

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Training (by itself)

Outputs	➡	Outcomes	➡	Impacts
Knowledge		Application in organization		Organizational Performance
Skills				
Abilities				

Example:

| Training in RBM | ➡ | Use of RBM by trainees | ➡ | More successful programming |

The presentation is based on UNIFEM materials

Policy Advocacy

Outputs	➡	Outcomes	➡	Impacts
Knowledge		Buy-in		Results of Policy Implementation
Awareness		Policy Change		

The presentation is based on UNIFEM materials

Capacity Building with Single Organization

Outputs	➡	Outcomes	➡	Impacts
Knowledge		Organizational Capacity		Results of improved Performance
Skills				
Systems		Performance		
Processes				
Policies				

<u>Example:</u>

| Increased / improved _____ in program management | ➡ | Enhanced ability to manage program | ➡ | Improved program results for women |
| | | Improved management of program | | |

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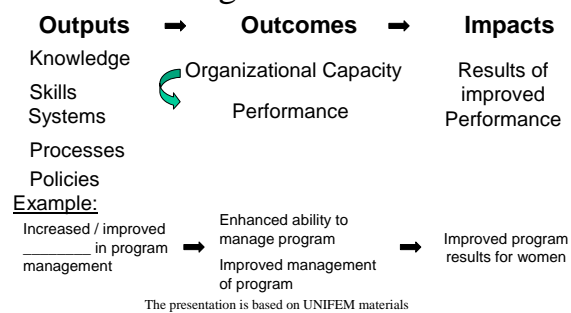
Wording should show change:

- Improved
- <u>Increased technical capacity of …</u>
- Enhanced
- Greater
- Higher
- Diminished
- Presence / Absence

Should not use – through, for (in order to), by (how), ie no "causality" in the statement

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Wording should include:

- What - <u>ensure equality provisions within inheritance laws</u>
- Duty bearer or rights holders - <u>Ministry of Revenue</u>
- Location - <u>in country X</u>(where not obvious)
- Normative term - <u>appropriate equality provisions</u>
- Timeframe - <u>by 2008</u>
  – May not be appropriate for all results
  – Outcome – timeframe is end of project

The presentation is based on UNIFEM materials

Risks and Assumptions

Module 4

What are Assumptions?

- Positive conditions that are necessary to ensure program success and that we assume will be in place for:
  - The planned activities to produce expected outputs
  - The outputs to directly influence the outcomes
  - The outcomes to contribute to the impact
- Our program design is based on the assumption that these things will remain true

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What is Risk?

- Risk refers to the uncertainty that surrounds future events
- Risks are negative factors that would limit / reduce / or interfere with project success
- If the risk comes to pass then the success of the results is threatened
- Risks can be internal or external to the program

Example: Assumptions and Risks

- An Assumption could be: Rural women (rights holders) will participate in advocacy activities
- A Risk could be: After next elections, local government (duty bearer) may not support the program

Identifying Assumptions

Source: Results-Based Management in CIDA: An Introductory Guide to the Concepts and Principles

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When to include?

- Include assumptions that are:
  - Key positive success factors you are depending on
  - Factors that have a high likelihood of remaining true throughout the program
- Don't include assumptions that are:
  - Relatively minor in nature
  - Negative factors with a high likelihood of coming to pass (they should be incorporated in program design)

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When to include - Risks

- Include Risks that are:
  - Low or medium likelihood and medium or high effect
- Do not include risks that are:
  - Low likelihood and low effect

- High likelihood, high effect risks should be incorporated in program design

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Risk Analysis

- If Low Likelihood and Low Effect, no need to state
- If High Likelihood and Significant Effect, needs to be taken into account in the program design

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Analysis and Monitoring

- Assess the likelihood and impact of each risk

- Need to develop risk mitigation strategies

- Need to periodically review assumptions and risks

Developing and Selecting Indicators

Module 5

Indicators…

Not everything that counts can be measured, and not everything that can be measured counts

(A. Einstein)

WHAT IS AN INDICATOR?

Instrument to measure evidence of progress towards a result or that a result has been achieved

- Establishes the level of performance necessary to achieve results
- Specifies the elements necessary to establish whether expected results were achieved

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Indicators

- Performance against results is measured through the use of indicators
- Indicators play an important role by establishing the status of expected results
- Indicators tell us how we will know when we have been successful in progress towards results

Performance and Results Levels

Stated Outcomes
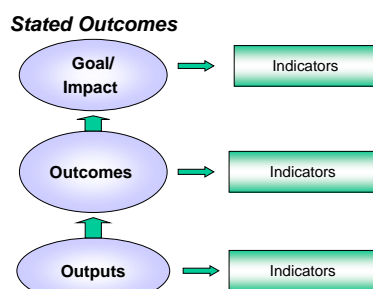
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Usefulness of Indicators

- Tell us how we will recognize success

- Force us to clarify what we mean by our objectives/expected result

- Provide a measurable basis for monitoring and evaluation

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Considerations

- Indicators do not exist in a vacuum – they should always be related to results
- Indicators should measure:
  - Improvements in the capacities of rights holders and duty bearers to realize rights
  - Improvements in the enjoyments of rights
- Need a balance of quantitative and qualitative
- Some results are more suitable for indicators than others

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Quantitative vs. Qualitative Indicators

Can be directly counted and expressed as a number

- % of …
- # of …
- Frequency of …
- Ratio of …
- Amount of …
- Timeliness of …

Involve perception, can be analysed quantitatively

(Level of)

- Congruence with …
- Satisfaction with …
- Knowledge of …
- Ability to …
- Appropriateness of...
- Importance of …

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Quantitative vs. Qualitative Indicators

Quantitative

- % of participants who are employed
- # of women in decision-making positions
- % of women parliamentarians

Qualitative

- Congruence of policy changes with advocacy messages
- Level of commitment to CEDAW
- Quality of GEL formulation

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Qualitative Indicators

Require further measurement criteria

- Congruence of policy changes with advocacy messages
  - Reflection of key words in policy document
  - Inclusion of key messages with different wording
  - Key messages taken into account but not fully adopted
- All these are different levels of congruence

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Example of Proxy/ Indirect Indicator

- Use a "proxy indicator when you cannot directly measure a result"

- Result: Decreased trafficking of women and girls from country X.
  - Direct Indicator: # of women and girls moved across the border against their will or under false pretences per year
  - Proxy Indicator: ?

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Deconstructing Indicators

Indicator

<u>80</u> % of NGO Recommendations Adopted

Target   **Measure**

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Measures, Indicators, Targets

Measures (The "What")

Quantitative or qualitative result attributes that must be measured in order to determine the performance of a program or initiative.

Indicator

<u>80</u> % of NGO Recommendations Adopted

Target   Measure

Indicators (The "How")

The quantification or qualification of a performance measure.
A statistic or parameter that, tracked over time, provides information on trends in the condition of a phenomenon.

Targets or Standards (The "How Much")

Specific quantitative or qualitative goals against which actual outputs or outcomes will be compared.
Targets imply a desired goal that may be more ambitious than a standard.
Targets are not appropriate for all types of indicators

Examples

- Measure
  - Satisfaction of citizen with the complaints mechanism
- Indicator
  - % of citizen who are satisfied complaint mechanism
- Target
  - Percentage of citizen who are very satisfied with complaint mechanism is 50%

Examples

- Measure
  - Female ownership of land
- Indicator
  - % of land owned by females
- Target
  - Proportion of land owned by women is 40%

Examples

- Measure
  - Knowledge of NGO workers on advocacy campaign tactics
- Indicator
  - Level of knowledge of NGO staff of 3 key advocacy tactics
- Target
  - 90% of NGO trainees can fully describe the 3 key advocacy tactics

Guidelines for Developing Indicators

- Brainstorm all possible indicators and then select best
- Limit the number of indicators (2 to 3 per result)
- Measure realization and enjoyment of rights
- Always sex-disaggregate
- Develop in participatory fashion
- Indicators must be relevant to needs of the user

Criteria for Selecting Best Indicators

- Does the indicator measure the result (accuracy, certainty, & exactness)?
- Is it a consistent measure over time?
- When the result changes, will the indicator be sensitive to those changes?
- Will it be easy to collect and analyze the information?
- Can you use the data the indicator provides for decision-making and learning?
- Can you afford to collect the information?

Does the indicator measure the result?

- Questions to ask:
  1. How would you know if the result was successfully achieved? What would you measure? (Is this the selected indicator?)
  2. Is it possible that the result could change but there would be no change in the indicator?
  3. Is it possible that the indicator could change due to something other than the result?
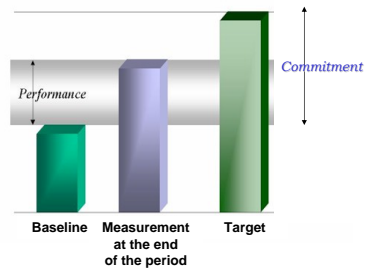
Baseline

- A description (qualitative or quantitative) of the situation prior to the intervention against which progress can be assessed or comparison made
- Used as a benchmark for assessing programme induced outcomes or impacts
- Often the first data collected for an indicator is the baseline
- Baseline data are gathered before or shortly after project implementation begins

BASELINE, TARGETS , PERFORMANCE

The concept of performance indicator includes the notions of:

- **baseline** (to establish the situation at the outset)
- **target** (to set commitment for result)
- **achievement** (actual result)

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The Logical Framework

Module 6

The LFA

- LFA = Logical Framework Analysis
- Widely adopted by donor community
- Many different flavours but common features are:
  - Causal logic
  - Objectives, indicators, assumptions

Results Based - LFA

- The three levels of the results chain are aligned with the "old" goal, purpose, and input levels
- The RB-LFA should be iterative, modified regularly to reflect changes in the programme as it evolves (Output, Outcome, not Impact)
- Adoption of RB-LFA format was to shift the orientation of projects from managing by Inputs/Outputs to managing for Results

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An Example of LFA

Expected results statement	Indicators	Means of measurement/verification	Assumptions/risks
Goal – taken from MYFF	Taken from global MYFF		Outcome to Impacts
Outcome – drawn from/linked to MYFF	Drawn from or linked to global/regional MYFF or sub-regional strategy		Outputs to Outcomes
Output	Drawn from regional MYFF, sub-regional strategy or programme document		Activities to Outputs
Activity	No indicators needed		None Required

Strengths

- (Almost) Everything you need to know about project in one place
- Indicators easily line up with results
- Assumptions at each stage of causal logic are clear
- Risks are identified

Weaknesses

- Causal logic hard to follow in LFA
- The first column is a bit redundant
- Hard to represent outputs that are inputs to other outputs
- Some but not all of the data collection information

Performance Measurement

Module 7

Performance Measurement

- A plan for data collection is needed
- A Performance Monitoring Framework (PMF) contains the details of the plan

The Performance Monitoring Framework

- A tool to plan the collection of performance information
- The PMF will help to ensure the regular and timely collection of comparable performance information
- The PMF must be designed and completed by the project with input from stakeholders

Performance Measurement

- Build in adequate time and resources for collection and analysis of performance measurement data so that progress is reviewed and assessed
- Tie performance monitoring into reporting processes

PMF Data Gathering Questions

- From what source will the data be collected?
- What methodology will be used? (see handout in binder)
- How often will the data be collected?
- Who will be responsible for collecting the data?

An Example of PMF : Planning for Monitoring

Expected Results	Indicators	Means of measurement/ verification	Collection methods (with indicative timeframe & frequency)	Baseline (with indicative timeframe)	Responsibilities
From LFA	From LFA	Where is the data	How are you going to get and when	What is the starting point	Who is going to get it

Reporting and Learning

Module 8

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Performance Information

- Performance measurement should yield good information that can be used during project implementation to adjust strategies
- If performance information is not being used actively, then RBM is not being applied!

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Key Questions

- Who will be collating and analysing the data ?
- Who will performance information be reported to ?
- How will the data be reported and how often ? (formats + frequencies)
- How much detail needs to be reported?

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Reasons for Reporting Results

- To determine if results achieved
- Accountability
- To learn and apply lessons for the future

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Results Based Reporting

Reporting for Evaluation
and Learning

Stakeholder
Consultations and
Reviews

Annual MYFF
Review

Donor Reporting

Donor Reporting

- **Accountability**
- **Contributes to / detracts from**
  - ‣ **Ability to raise funds in future**
  - ‣ **Reputation**

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Why Reporting?

- **Links evaluation**
- **To learning**
- **Feeds back into programming**

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Risks and Assumptions
Advancing Implementation of Gender Equality Legislation in Employment and the Public Workplace

Expected results statement	Assumptions/Risks
Impact: Increased equality for women in employment and the public workplace	**Assumptions:** While there may be gaps in the provisions of existing GEL-WRI, such gaps do not preclude the implementation of GEL-WRI. GEL-WRI implementation improves workplace equality. **Risks:** Political instability in Southeast Europe and Ukraine might prevent attention to gender equality in general, and to GEL-WRI implementation in particular. Immediate/ short-term political priorities do not include gender equality and women's right issues in employment and workplace There is lack of reliable statistics to measure changes/ progress/ regress that could better inform decision-making for improved implementation of GEL-WRI.
Outcome 1: Improved CSO advocacy and outreach services for GEL-WRI implementation	**Risks:** Political climate in Southeast Europe might not be able to support a space for sustained NGO advocacy fully CSOs do not have sufficient resources to undertake sustained advocacy campaigns. **Assumption:** Women have sufficient confidence to access GEL-WRI enforcement mechanisms based on track record established for cases aided by trained CSOs and lawyers **Risk:** Access to relevant mechanisms is limited for some groups of women (ethnic groups, rural women, low skilled/ low educated women, poor women)
Output 1.1 Increased advocacy skills of 100 CSOs and 25 lawyers on GEL-WRI implementation	

Risks and Assumptions
Advancing Implementation of Gender Equality Legislation in Employment and the Public Workplace

Expected results statement	Assumptions/Risks
Activities 1.1.1 Design of training, based on needs assessment, for 100 CSOs and 25 lawyers on advocacy skills for GRL-WRI implementation 1.1.2 Conduct of training for 100 CSOs and 25 lawyers on advocacy skills for GRL-WRI implementation	
Output 1.2 Increased knowledge and skills of 10 CSOs and 25 lawyers to provide outreach services to women whose rights on WRI are not protected or are violated	
Activities 1.2.1 Design of training, based on needs assessment, for 10 CSOs and 25 lawyers on provision of outreach services to women on GEL-WRI issues 1.2.2 Conduct of training for 10 CSOs and 25 lawyers on provision of outreach services to women whose rights on WRI are not protected or are violated	
Outcome 2: More effective GEL-WRI implementation by ministries and judiciary in Croatia, Bosnia & Ukraine	**Risks:** Governments have difficulty in providing and sustaining adequate resource allocation to enable relevant ministries and the judiciary to implement programmes in support of GEL-WRI implementation. Geographical distribution/ quality of these services at local level is uneven causing problems with access to services for some groups of women
Output 2.1 Increased capacity of relevant ministries and judiciary for GEL-WRI implementation	

Risks and Assumptions
Advancing Implementation of Gender Equality Legislation in Employment and the Public Workplace

Expected results statement	Assumptions/Risks
Activities 2.1.1 Review of existing provisions of GEL-WRI including responsibilities of ministries and judiciary 2.1.2 Design of training for better understanding of GEL-WRI issues and importance of resource allocation for GEL-WRI implementation by relevant ministries and the judiciary 2.1.3 Conduct of training for relevant ministries and 200 public prosecutors and judges 2.1.4 Provide technical support to relevant ministries in developing new services for women in line with their responsibilities to implement GEL-WRI 2.1.5 Develop, publish and update knowledge base on GEL and CEDAW implementation relating to WRI	
Output 2.2 Increased capacity of relevant ministries and the judiciary to ensure their accountability for GEL-WRI implementation	
Activities 2.2.1 Develop monitoring & reporting tools to assess GEL-WRI implementation by relevant ministries and the judiciary 2.2.2 Analyze reports 2.2.3 Disseminate reports	

Annex I

Logical Framework Analysis
Phase II: Strengthening Organizations of Home Based Workers in South and Southeast Asia

GOAL: Ensuring the full realization of human rights of women home-based workers (HBWs) in Asia.			
OUTCOME 1: Existence of sustainable organizations of HBWs and their networks at national and sub-regional levels in South and Southeast Asia.	**INDICATORS:** • HomeNets South and Southeast Asia exist. • Increased visibility of HBWs and their networks. • HBW networks are implementing programmes. • HBW networks are meeting membership needs and demands. • Growing membership within HBW networks. • Financial resources for the sub-regional and national HBW networks are forthcoming. • Institutional procedures, systems and mechanisms exist within the sub-region and national networks. • Recognition and inclusion of HomeNets in national, regional and international forums.		**MEANS OF VERIFICATION (MOVs):** • Constitutions/Annual reports of each sub-regional and national HBW network. • Extent of participation of HBW networks in consultations/ policy forums etc. • Consult HBW Networks' work plans • Feedback on HBW networks' programmes. • Comparison of current membership numbers to that of previous years. • Donor commitments/ expression of interest/ agreements • References to HBW Networks in media and government reports.
OUTPUTS	**INDICATORS**	**MOVs**	**ACTIVITIES**
1. Strong, representative, financially sustainable networks are legally established which are able to successfully achieve their mandates at the sub-regional and national levels in South and Southeast Asia.	• HomeNet Southeast Asia is legally registered. • Autonomous and consolidate HomeNet South Asia exists. • HBW national networks participate in skills enhancement workshops. • National governments recognize the national HBW networks by soliciting their feedback, inputs, & participation on issues affecting HBWs and/or the informal sector. • HBWs and associated groups continue their membership with the sub-regional and national networks. • Increased ownership of networks by HBWs. • Increased representation of HBWs by HBWs themselves at national and international levels.	• Certification of legal registration for HomeNet Southeast Asia. • Government reports • NGO reports. • Reports and documents generated by HBW networks. • Minutes of government meetings, taskforces, committees. • Feedback from government officials.	1.1. Legally establish HomeNet Southeast at its new base in Manila and HomeNet South Asia (in Delhi) with appropriate structures in place (such as a bank account and sound accounting capacities) to undertake its mandate. 1.2. Support the election of HBW Network governing body representatives in all 8 countries and 2 sub-regions. 1.3. Support the professionalisation and organizational development of the HBW networks in all 8 countries through training in organizational, personnel and project management, leadership, networking, lobbying, resource mobilization, etc. in an effort to develop the skills required to manage their own organizations. 1.4. Conduct entrepreneurship and enterprise development training for organized home workers' groups in both sub-regions and all 8 countries. 1.5. Support HomeNets South Asia and Southeast Asia in establishing appropriate policies, procedures, and mechanisms to guide operations of the network, such as membership procedures, and mechanism for decision-making and representation. 1.6. Forge linkages at local, national and regional levels with organizations such as trade unions, Chambers of Commerce, corporate houses, academics, women's groups and government agencies.

2. HBWs in both sub-regions expand their regional and national membership bases towards institutional sustainability.	• Increased number of members in sub-regional and national HBW networks. • New countries explored for potential membership. • New HomeNet is established in Lao.	• Consult membership database in all countries. • Reports from exploratory missions.	2.1 Strengthen expansion efforts among home workers' groups in Laos. 2.2 Conduct exploratory discussions with HBWs and associated groups in Vietnam and Cambodia (funding permitted) and in parts of South Asia. 2.3 Continue mapping the HBW sector and undertake research initiatives at both sub regional and national levels in South and Southeast Asia, in an effort that the results contribute to greater visibility, legislative reform and empowerment of HBWs.
3. Sub-regional and national HBW networks have skills in resource mobilization (RM) in order to build towards their own financial sustainability.	• RM strategy exists and is implemented for each of the HBW networks. • Increase in amount of resources that are mobilized from sources other than UNIFEM. • Trainings in RM take place. • Staff/members of HBW networks participate in trainings offered.	• Physical observation that RM strategy exists. • HBW Networks' budgets (and sources of funds).	3.1 Support HBW sub-regional and national networks in developing linkages with NGO, government, bilateral and multilateral partners, liaison and networking. 3.2 Support the HBW sub-regional and national networks in developing a 'resource mobilization strategy' in all 8 countries.
4. Knowledge sharing, networking and cross-regional and national learning contribute to enhanced capacities of sub-regional and national networks.	• Tangible links between HomeNets South Asia and Southeast Asia exist. • Inter and intra regional study visits, trainings and research take place. • Regional databases on HBWs and associated groups exist. • Number of members that benefit from inter and intra-regional knowledge sharing and networking events. • Number of 'hits' on HomeNet website • Increased organizational effectiveness of HBW networks.	• Feedback from training & Study tour participants. • HBW Network reports • HomeNet website counter • Feedback from HBW Network members, partners, donors on effectiveness of HBW networks. • Project progress and evaluation reports.	4.1 Support sub-regional and national networks in all 8 countries in information and cross-regional learning through regular updating of the HomeNet Southeast Asia website, HomeNet South Asia's and Southeast Asia's newsletter, study visits, documentation and dissemination of best practices, tools, manuals, and resources. 4.2 Conduct sub regional and national workshops on social protection, lobbying, advocacy, networking, marketing, information technology (e.g., e-commerce), and other felt needs of home worker groups in both sub-regions. 4.3 Support the development and dissemination of a directory of HBWs and associated organizations in South Asia.
OUTCOME 2: Existence of enabling policy environment for women HBWs / Informal Sector workers in South and Southeast Asia.	**INDICATORS:** • HBWs **and their concerns addressed** in policies, laws and government programmes. • Increased willingness to discuss issues relevant to women HBWs by government and policy makers. • Local, provincial and national governments solicit feedback, inputs and participation on issues related to women HBWs. • Increase in number and types of laws being discussed, proposed and/or passed affecting women HBWs.		**MEANS OF VERIFICATION (MOVs):** • Existing and proposed laws/policies. • Feedback from government departments, officials. • Feedback from HBW networks regarding their participation on gov't initiated committee, taskforces, reports, etc.
OUTPUTS	**INDICATORS**	**MOVs**	**ACTIVITIES**
5. Increased consensus amongst government on the nature of policy and legislative measures for promoting the rights of	• Increased willingness by government to discuss issues pertaining to women HBWs • Increased agreements by regional level bodies such as SAARC, ASEAN, APEC.	• Government reports • Feedback from government officials. • Media reports	5.1 Promote informal-sector friendly microfinance policies and programs, child-care and other social services, as well as scholarships and other forms of assistance to benefit working children in the Philippines. 5.2 Advocate for more widespread implementation of the Country

women HBWs all 8 countries and two sub-regions..	• Increased numbers of regional dialogues on issues affecting women HBWs, bringing together national governments, regional bodies and multilateral partners.	• Regional agreements • Documents from SAARC, ASEAN and APEC	Program for the Informal Sector in the Philippines, particularly in local government units. 5.3 Strengthen the National Steering Committee on Home workers in Indonesia. 5.4 Liaise and network with the Ministry of Labor and Transmigration for enabling HBW-friendly policies in Indonesia. 5.5 Through signature campaigns and similar initiatives, support the passage of laws favorable to HBWs – e.g., Magna Carta for the Informal Sector in the Philippines and the draft Labour Protection law in Thailand. 5.6 Establish linkages in South Asia with regional bodies such as SAARC, ASEAN and APEC for the ratification and implementation of the ILO Convention. 5.7 Undertake advocacy on the enforcement of minimum wages for home workers and then enforce minimum wages at the national level in South Asia.
6. HBWs and their networks are better able to advocate for legislative reform with regards to HBWs' economic and social rights in all 8 countries.	• Increased number of HBWs participating in advocacy training. • Increased interest in and/or commitments by government for legislative reform vis-à-vis HBWs' social and economic rights. • Increased number of successful HBW-led advocacy and lobbying campaigns take place.	• Reports from training workshops. • Information from HBW networks. • Feedback from government officials, departments. • Media reports	6.1 Build capacity of HBW groups in the areas of effective lobbying, advocacy and networking in South and Southeast Asia. 6.2 Continue working with the Central Bureau of Statistics (CBS) to sustain the collection of home workers statistics in the CBS household survey and the CBS socio-economic census in Indonesia. 6.3 Network with national agencies, local government units, banks and other private business for financial and technical assistance, as well as access to other resources in South Asia. 6.4 Launch, maintain, and expand access of home workers in various areas to microfinance programs in South and Southeast Asia. 6.5 Continue to build alliances and networks at local, national and regional levels to support policy advocacy on laws and policies concerning fair trade and other macro-economic issues in Southeast Asia. 6.6 Establish linkages with organizations supporting fair labour practices in South Asia such as IFAT, ITF and ETI. 6.7 Establish issue-based linkages with various partners in areas such as occupational health, housing, identity cards, etc.
7. Increased public and government awareness of and commitment to HBWs' rights to social protection and healthy working conditions.	• Increased media attention on HBW rights to social protection and better working environments. • Increased number of government-initiated dialogues on issues related to women HBWs' rights to social protection and better working environments.	• Media reports • Surveys/polls on public awareness of and sentiments on HBWs rights to social protection and better working conditions. • Government reports	7.1 Develop strategic linkages and partnerships with census departments and national government statistics departments in an effort to produce more accurate information on the size and scope of HBWs and their contribution to the economy in Southeast Asia. 7.2 Document and disseminate the learnings from pilot projects in both sub-regions with NGOs, governments and other relevant groups to generate interest and awareness in HBW issues. 7.3 Undertake advocacy campaigns around the issue of 'decent work', particularly in the area of occupational safety and health and

	• Greater public demand to address women HBWs' rights to social protection and better working conditions. • HBW issues appear as priorities in multilateral processes such as PRSPs, CCAs, UNDAFs.	• Promises made publicly by government on HBW issues. • Country specific CCAs, UNDAFs, PRSPs.	minimum wages. 7.4 Promote HBW issues in South Asia by connecting them with advocacy campaigns on related issues such as HIV/AIDs, and trafficking. 7.5 Engage in multilateral processes such as the PRSP, CCAs, UNDAFs and MDGs in an effort to raise awareness of HBW issues with multilateral partners in South Asia. 7.6 Support people's representatives to take up home workers' issues and concerns in public hearings at local and provincial levels in Indonesia. 7.7 Organize exposure and study visits of government organizations to home workers' sites in Southeast Asia. 7.8 Raise awareness on various aspects of decent work (including occupational safety and health) towards their observance in all production processes. 7.9 Within the principles of 'decent work', promote a more holistic approach to the One-Tambon-One-Product (OTOP) in Thailand, in an effort to include occupational safety and health and other basic rights.
OUTCOME 3: Improved response from government and private sector on social protection measures and schemes for HBWs.	**INDICATORS:** • Increased acknowledgment and involvement by government in addressing women HBWs' need for social protection. • Increased acknowledgement and involvement by private sector on issues related to women HBWs access to social protection schemes. • Increased interaction between government and private sector on issues related to women HBWs and their access to social protection schemes. • Increased number of HBWs have access to and are accessing formal and indigenous social protection schemes.		**MEANS OF VERIFICATION (MOVs):** • Government reports • Feedback from private sector organizations • Government and private sector databases on numbers of HBWs having access to and actually accessing social protection schemes. • HBW Network databases.
OUTPUTS	**INDICATORS**	**MOVs**	**ACTIVITIES**

8. Women HBWs and their associated groups are better informed regarding the different types of social protection schemes.	• Relevant stakeholders (i.e. HBWs, their networks, policy makers, etc) are (a) aware of social protection schemes currently available in their respective countries, (b) able to articulate the pros and cons of each type of scheme, and (c) able to articulate which schemes would benefit HBWs the most. • Lobbying and advocacy campaigns highlight the above information to governments and private sector organizations. • Advocacy campaigns highlight the above information to HBWs and the general public.	• Consult studies that have been undertaken by HBWs, their networks, government, private sector, etc. • Information on advocacy and lobby campaigns undertaken by HBWs and their networks.	8.1 Conduct and disseminate research on ways to improve access of HBWs to formal and indigenous social protection schemes in South Asia, particularly at the local level.
9. Improved capacity of home based workers to advocate for and participate in different social protection schemes in SE Asia.	• Increased numbers of HBWs participating in social protection schemes. • Number of HBWs trained in the area of social protection and the various schemes available.	• HBW Network databases • Feedback from HBWs • Information from social protection scheme providers.	9.1 Promote the extended coverage of HBWs in national social security schemes, assert the participation of their organizations in decision-making bodies running these schemes, and wherever possible (e.g. Philippines), work for their accreditation as collecting agents for such schemes.
10. Improved consensus amongst government and private sector on the need for social protection for HBWs in South Asia.	• Increased number of policy dialogues between government and private sector take place on the issue • Increased number of partnerships are forged between government and private sector on the issue. • Government and/or private sector led initiatives exist for the provision of social protection to HBWs.	• Information solicited from private-sector social protection scheme providers. • Information from governments.	10.1 Organize a large, high profile regional round table with stakeholders – 'a post Katmandu meeting' on social protection; lobbying, advocacy, and networking; marketing, information technology and other felt needs of home based worker groups in the South Asia region. 10.2 Support the sub-regional and national HBW networks in South Asia in campaigning for new, user-friendly, and demand-responsive social security schemes for HBWs. 10.3 Promote linkages and strategic partnerships with different stakeholders in South Asia, including the private sector insurance companies and banks.