



Canadian International  
Development Agency

Agence canadienne de  
développement international

# TRAINING WORKSHOP INTRODUCTION TO RESULTS-BASED MANAGEMENT

PREPARED BY □  
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## **GENERAL PRESENTATION OF THE PROGRAM**

### **THE CONTEXT OF THE TRAINING PROGRAM**

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This training program was designed to provide CI DA managers, Canadian Executing Agencies and other CI DA Canadian and field partners with a training tool introducing Results-Based Management applied to the management of CI DA International programs and projects.

RBM was introduced in the Canadian Government in 1992. It was then introduced in CI DA following the Strategic Management Review that addressed the need to “establish a results-oriented and accountable style of operation” and “improve transparency of results reporting” in line with Treasury Board requirements.

### **THE ORIENTATIONS OF THE TRAINING PROGRAM**

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This program was developed to provide all interested stakeholders with a training tool on RBM key concepts and major management tools. Using definitions, examples and practical exercises, the training should facilitate a common understanding and integration of major concepts, which are the basis for a more efficient planning, management and monitoring of CI DA funded projects and programs.

## **THE LEARNING OBJECTIVES**

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The training should facilitate:

- To provide an overview of CI DA's RBM policy and principles.
- To deepen participant's understanding of the results-chain, indicators and the performance measurement framework.

## **THE PEDAGOGICAL APPROACH**

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The workshop combines presentations by the facilitator with practical small group exercise to reinforce key concepts and tools.

## THE PROPOSED SCHEDULE

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9:00 - 9:30:	Introduction and presentation of the program
9:30 - 10:00:	<b>Module 1</b> : RBM Policy, principles and characteristics
10:00 - 10:15:	Coffee break
10:15 - 11:15:	<b>Module 2</b> : RBM Key Concepts and Tools
11:15 - 12:15:	Exercise: Building the chain of results
12:15 - 13:30:	Lunch
13:30 - 14:30:	Exercise: Assumptions and risks (plenary session)
14:30 - 15:00:	<b>Module 3</b> : Developing a Measurement Performance Framework
15:00 - 15:15:	Coffee break
15:15 - 16:00:	Exercise: Identifying indicators
16:00 - 16:30:	<b>Module 4</b> : Using the information provided by the Performance Management Framework
16:30 - 16:45:	Evaluation of the session.

# MODULE 1

## THE CONTEXT, POLICY AND PRINCIPLES OF RBM

### THE LEARNING OBJECTIVES

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-  To get familiarised with the context and rationale for RBM
-  To better understand the policy, the principles and the characteristics of RBM.

### CONTENT

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#### ➔ The context:

- ⇒ Why implementing RBM?
- ⇒ The context in the public sector
- ⇒ International trends

#### ➔ RBM Policy and Framework

- ⇒ CI DA RBM Policy
- ⇒ The characteristics of RBM
- ⇒ RBM principles

### METHODOLOGY

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-  Presentation by the facilitator
-  Case study
-  Quiz

### PEDAGOGICAL SUPPORT

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-  Overheads
-  RBM Policy Statement

## **1. THE CONTEXT**

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### **WHY IMPLEMENTING RBM AT CIDA?**

CI DA decided to adopt Results-Based Management for two major reasons:

- It was becoming clear that there was a need to define more precisely and rigorously the development objectives of our programs and projects, and that this should be done in close co-operation with our partners in Canada and in the field, in order to improve the performance of the Canadian development aid program.
- By introducing RBM, we should be better able to demonstrate the effectiveness of our aid programs and increase our capacity to report on the results achieved to the Canadian Parliament and the public.

### **THE CONTEXT OF THE PUBLIC SECTOR**

The implementation of RBM is not specific to CI DA. The whole Canadian Public Sector is concerned with this new approach. By adopting RBM, the Canadian Government follows a global tendency for a more competitive global economy and public sector at the International level, which is reflected by:

- The reduction of the national debt.
- The imperative of becoming more efficient and accountable for the results achieved.
- The public demand for more accountability for the use of tax dollars.

### **INTERNATIONAL TRENDS**

This is a global trend among all key donors: USAID, UN Agencies, etc., which is due to shrinking aid dollars and increasing demand to better demonstrate results. RBM is part of efforts invested in promoting increased accountability of all major stakeholders in the attainment of results.

## 2. RBM POLICY AND PRINCIPLES

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### RBM POLICY AT CIDA

The 1993 OAG Report identified the need to:

- Clarify strategic policy framework
- Establish a results-oriented and accountable style of operation
- Improve internal management procedures and practices
- Improve transparency of results reporting.

CI DA is committed to improving the impact of its work and to achieving greater efficiency and effectiveness in attaining that impact . CI DA launched its Corporate Renewal initiative in 1994 with these aims in mind. CI DA's adoption of results-based management (RBM) as its main management tool will allow it to systematically address these commitments.

CI DA has always pursued development results. The RBM approach will assist CI DA in its efforts towards continuous improvements in results-orientation, focus, efficiency, and accountability. RBM will also be an important element in CI DA's continuous development as a learning organization.

### **CHARACTERISTICS :What is results-based management**

**By result we mean:**

*A RESULT IS A DESCRIBABLE OR MEASURABLE CHANGE  
RESULTING FROM A CAUSE AND EFFECT RELATIONSHIP.*

**By results-based management, we mean:**

1. Defining realistic expected results, based on appropriate analysis.
2. Clearly identifying program beneficiaries and designing programs to meet their needs.
3. Monitoring progress towards results with the use of appropriate indicators.

4. Identifying and managing risks.
5. Increasing knowledge by learning lessons and integrating them into decisions;
6. And reporting on results achieved and the resources involved.

## THE PRINCIPLES

The implementation of RBM is based on six principles.

*Three of them represent the basics of this new policy:*

### **1. Partnership**

RESULTS-BASED MANAGEMENT AND PARTICIPATORY DEVELOPMENT APPROACHES ARE COMPLEMENTARY.

For RBM to be a success, expected results must be mutually defined and agreed upon by all major stakeholders through a consensus building process.

Mutually agreed upon results can enhance stakeholders sense of ownership and subsequent commitment to continuous performance monitoring, annual performance appraisal and management for results.

Participation can improve the quality, effectiveness and sustainability of development action.

### **2. Accountability: Sharing Responsibility for Results**

Participation is a key element of accountability in the implementation of a project. The stakeholders will accept to be accountable if decision and management authority is clearly defined and agreed upon.

CANADIAN PARTNERS, DEVELOPING COUNTRY PARTNERS AND CIDA ARE SHARING RESPONSIBILITY FOR RESULTS ACHIEVEMENT, INCLUDING HOW RESULTS ARE PLANNED AND REPORTED.

**CIDA program management** dovetails with corporate responsibilities for results at the program level.

**CIDA project managers** are primarily accountable for the overall achievement of project results. They must ensure that project partners plan for and produce cost-effective results and that reports on results indicate clearly what progress is

being made and when CI DA needs to take action to enhance results.

**Canadian partners** (Executing agencies, NGOs, NGI s, institutions, etc) are mainly accountable to implement development processes by providing high quality services. This means that executing agencies are accountable for the implementation of the activities leading to the attainment of results at the **output level**. They are also responsible for managing the risks and ensuring that the conditions are met to produce **the outcomes**. They are also responsible of informing CI DA on the factors of success and obstacles that occurred while implementing the project.

**Developing country partners** are accountable for ensuring that planned results are relevant to development priorities, and those processes are appropriate for the context. They are also accountable for their own contributions to the attainment of the results identified by all the stakeholders.

### **3. *Transparency***

It is now deemed necessary that results reporting be transparent. That is why it is important to clearly identify the expected results and the corresponding indicators so that results are measurable. The implementation of a Measurement Performance Framework will generate data that will be used in the preparation of better-documented reports that will be used for efficient decision-making.

*The three other principles are related to the implementation of RBM at CI DA:*

### **4. *Simplicity: Make it simple***

The RBM approach implemented by CI DA must be easy to understand and simple to apply. Too much complexity in the data collection system and performance measurement is the major obstacle to the efficient implementation of RBM. It is better to start with a limited number of results statements and indicators in order to better measure and monitor the expected results.

### **5. *Learning by doing***

CI DA will implement RBM on an iterative basis, refining approaches as we learn from experience. Practical experience, often based on the trial and error approach, is a

necessary exercise for capacity development and for improving the implementation of RBM methods and tools.

## **6. Broad Application**

CI DA will apply the RBM approach to all its programs and projects. All new projects will be designed on the basis of a Performance Framework identifying results related to the objectives of CI DA program in the country. On-going projects (that did not complete mid-term implementation stage) should be adapted to RBM requirements.

### 3. MEASURES TAKEN BY CIDA TO IMPLEMENT RBM POLICY

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Since 1994, CI DA took six important measures to implement RBM policy:

1. The development of an *Accountability Framework*.
2. The introduction of RBM policies and orientations in the *Geographic Programs Roadmap* in 1997.
3. The development of the *Framework on Results and Key Success Factors*.
4. The development of *Strategic Region Program Frameworks*.
5. The development of RBM Branch tools such as the *Logical Framework*, the Canadian Partnership Branch *Planning Sheet* and *Reporting Format*.
6. The training of all CI DA personnel as well as Canadian and developing countries partners.

## TEST YOURSELF

**1. What is a result?**

- a) The administrative and management product achieved within the Agency
- b) A change which is felt in the countries we work with
- c) A describable or measurable change resulting from a cause and effect relationship

**2. Which of the following is a developmental result?**

- a) 300 persons/days of training provided
- b) Annual performance reports submitted within 1 month of fiscal year end
- c) 2 persons/years of long-term technical assistance delivered
- d) 2, 500 new one-room schools staffed and fully operational in rural communities

**3. One of the major principles of RBM is the shared responsibility among the various stakeholders involved in the implementation of a project. Identify which of the following responsibilities should be endorsed by the Canadian partners/executing agencies?**

- a) The Executing Agencies must ensure that the projects address developing country's national priorities
- b) The Executing Agencies are accountable for the achievement of the outputs of the projects.
- c) The Executing Agencies are accountable of the management of risks.
- d) The Executing Agencies are responsible of ensuring that the conditions to achieve outcomes are met.

# MODULE 2

## CONCEPTS AND TOOLS

### **THE LEARNING OBJECTIVES**

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-  To develop a common understanding on RBM approaches and key concepts.
-  To facilitate better use of the RBM management tools

### **CONTENT**

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- ➔ Definition of the key concepts: results, chain of results, reach, assumptions, risks.

### **THE METHODOLOGY**

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-  Presentation of the concepts by the facilitator
-  Exercise on the Chain of Results
-  Exercise on identifying the Assumptions
-  Quiz test

### **PEDAGOGICAL SUPPORT**

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-  Overheads
-  Documentation on the Case Study
-  Handouts

## 1. WHAT IS RBM

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### What is RBM?

RBM is a team-based and participatory approach to management that seeks to focus an organization's or project's effort on expected results

### RBM can make a difference when?

- results are mutually defined and agreed upon;
- a participatory approach ensures buy-in, commitment and a common understanding of what a project or program is trying to achieve;
- iteration and flexibility allowed to change strategies during mid-stream to ensure development results are achieved.

## 2. WHAT IS A RESULT?

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Results are consequences of actions taken to meet certain purposes.

*" An effect arising from something"*

*" The success or benefit obtained from a course of action"*<sup>1</sup>

**A RESULT IS A DESCRIBABLE OR MEASURABLE CHANGE  
RESULTING FROM A CAUSE AND EFFECT RELATIONSHIP**

### **Two major elements to remember:**

The notion of CHANGE which involves a visible transformation in the group, the organization or the society or country where CI DA works.

The notion of CAUSALITY illustrating the cause and effect relationship between an action and the results achieved.

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<sup>1</sup> The Webster Encyclopedic Dictionary

A result should be:

- S** Specific (it should specify the nature of the change, the target groups, the target region, etc.)
- M** Measurable (it can be measured by using indicators)
- A** Achievable (it is realistic)
- R** Relevant (it is an answer to the identified need)
- T** Time bound (it can be achieved in the time frame of the project)

The statement of results should illustrate the type and level of human transformation that occurred from CI DA's intervention in a given context, such as:

- An improvement (in the health conditions)
- An increase (of the revenues of a given group or community)
- An increase (in the Gross National Product)
- A strengthening (of the capacities of local NGOs)
- An increase (in the girls' scholarship rate)
- A reduction (in the infant mortality rate)
  
- Or it can illustrate a transformation in the attitudes, practices or behaviour of a given group (Adoption of contraceptive methods by the women of a region, and acceptance of control-birth methods by the men).





There are two types of results:

### **1. Operational results**

These results are the administrative and management product achieved by a program or project.

### **2. Developmental results**

These results demonstrate the transformation that occurred in a program or project. They correspond to the **Outputs, Outcomes,** and **Impact** of CI DA's intervention in a developing country. These three levels of results form the Chain of results.

## **2. WHAT IS A RESULT CHAIN?**

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A results chain is a logically linked set of results, some immediate, others more distant. Results at each level aggregate to produce the results at the next higher level. The results chain includes:

- Immediate results called **OUTPUTS** that are the consequences of completed activities.
- End-of-project results called **OUTCOMES**, which are the consequence of the achievement of a set of outputs.
- A long-term result called **IMPACT**, that is the logical consequence of the achievement of the outcomes.

**Example:**

The expected results in a basic education project could be the following:

IMPACT : ***Improved*** quality of the basic education system.

OUTCOMES : ***Increased*** number of children attending primary school in the district who complete the primary level of education.

OUTPUTS : ***Enhanced*** school curriculum in primary schools in the targeted district.

***Increased pedagogical capacities*** of teachers.

***The parents are sensitised*** to the importance of sending their children (more specifically girls) to primary school.

***Increased number of female teachers*** at the primary level.



### 3. WHAT IS THE EXPECTED REACH OF THE PROJECT OR PROGRAM?

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The Reach refers to the groups who will benefit directly from, or be affected by, the results of the project. According to the nature of the project, it refers to:

- the Southern partner organization (governmental or non-governmental)
- other organizations or institutions involved in the thematic of the project
- intermediary organizations (NGO, local or regional association, consulting firm) and their clientele
- direct beneficiaries
- other project stakeholders

For each of the identified target groups, it is important to determine:

- **Gender desegregation:** 50 female teachers among the 125 teachers identified.
- **Who, within these groups,** will benefit from the project or will be involved directly in project activities (for example: 125 teachers from 15 primary schools in the province X who will receive training on new pedagogical methods).

The **Why** expresses the expected result related to the orientations of the local Government and with CI DA Strategic Programming Framework for the country.

The **What** expresses the developmental results at the level of the Outputs and the Outcomes that the project tries to achieve.

The **How** expresses in which way (through what type of resources and activities) the project will attain the expected results.

The **With Whom** specifies the Reach.



For example, an institutional strengthening project will often contribute to strengthen the management capacities of local associations or community groups (*intermediaries*) in order for them to provide better services to their clientele (*users - beneficiaries*) who will then improve their living conditions (*society*).

**For example**

Support to the implementation of a tax collection system Project:

IMPACT (users) :

The citizens of a community benefit from improved municipal services

OUTCOME (intermediary group):

Increased municipal revenues from tax collection

OUTPUT:

Increased capacity of **municipal agents** to manage the tax collection system.

ACTIVITIES:

Training in the management of the tax collection system

Computerisation of the tax collection system

## 4. IDENTIFYING ASSUMPTIONS AND RISKS

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### **The assumptions**

The assumptions describe the necessary conditions that must exist for the cause-effect relationship between the different levels of results to behave as expected. It also describes the necessary conditions for ensuring that the activities will produce results.

The assumptions include both internal and external conditions to the program or project:

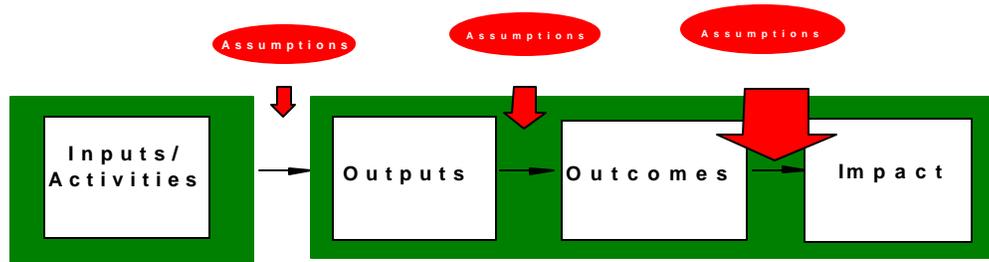
#### Examples of internal conditions:

- Capacity of trained personnel to master the acquired knowledge and tools introduced by the project.
- The different stakeholders share a common vision of the project's objectives.
- Capacity of the partner institution to implement the required changes and to mobilize adequate financial and human resources.

#### Examples of external conditions:

- Political will to implement the proposed taxation reform
- Political, economic, and social stability in the country

## *Identifying Assumptions*



Program/Project Management



## Risk level

For each assumption identified, it is important to specify the expected level of risk, based on the analysis of the context.

Risk analysis determines the probability that the identified conditions will not be present. The level of risk is rated *high, medium* or *low risk*.

Generally, the assumptions related to the transformation of the activities into outputs, present a low level of risk, considering that managers have a greater control on the achievement of the activities.

The assumptions related to the transformation of the outputs into outcomes present a higher level of risk, considering that various elements may interfere on the achievement of results, throughout project implementation.

It is considered as normal, that the assumptions ensuring the transformation of the outcomes into impact present an even higher level of risk, since these assumptions are related to the context and often involve investments external to the project.

### For example:

**Assumption:** The parents who were sensitised to the importance of sending their children to school, and more specifically girls, will have the financial resources to do so.

**Risk:** Considering the analysis of the context, the stakeholders must determine if this condition presents a high, medium or low risk.

## WHY IS RISK ANALYSIS IMPORTANT?

You may want to consider strategies that can reduce your level of risk;

Resources may also need to be reallocated to reduce risk or to ensure the sustainability of a project.

## 6. BALANCING THE THREE R'S (REACH, RESOURCES, RESULTS)

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After identifying the expected results, reach and available resources, it is important to examine strategic trade-offs:

- Are the expected results realistic considering the targeted beneficiaries and the available resources?
- As a consequence:
  - Should we decrease coverage of beneficiary groups (for example: the number of beneficiaries or the number of regions of intervention) or should we increase it in order to achieve better results?
  - Can resources be increased, decreased, or reallocated?

## TEST YOURSELF

**1. What is a result chain?**

- a) The regulations governing required results
- b) The link between objectives and outcomes
- c) Results chain is the term used to refer to the links between inputs, activities and results.
- d) A circular process that links all participants in a project

**2. What is an "output"?**

- a) Outputs are short-term developmental results that are the logical consequence of project activities.
- b) A medium-term result
- c) Human, organizational and physical resources necessary to achieve project activities
- d) None of these answers

**3. When should the risk analysis be undertaken?**

- a) At the planning stage of the project
- b) During implementation of the project
- c) At the end of the project, during the evaluation phase, so as to draw lessons from it.
- d) None of these answers

# MODULE 3

## BUILDING THE PERFORMANCE MEASUREMENT FRAMEWORK

### **THE LEARNING OBJECTIVES**

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-  To get familiarised with the Performance Measurement Framework
-  To learn how to identify indicators

### **CONTENT**

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- ➔ What is a Performance Measurement Framework?
- ➔ Key elements of the Performance Measurement Framework: indicators, sources of data, data collection methods, frequency and responsibilities.
- ➔ Definition and selection of performance indicators
- ➔ Completing the Performance Measurement Framework

### **METHODOLOGY**

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-  Presentation by the facilitator
-  Exercise on identifying indicators
-  Quiz test

### **PEDAGOGICAL SUPPORT**

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-  Case study and overheads

## **1. WHAT IS A PERFORMANCE MEASUREMENT FRAMEWORK?**

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*THE PERFORMANCE MEASUREMENT FRAMEWORK* is an RBM tool used to plan systematically the collection of data on performance information.

### *WHY ESTABLISHING A PERFORMANCE MEASUREMENT FRAMEWORK?*

- To document the major elements of the performance monitoring system so as to better inform the various stakeholders in Canada and in the field.
- To assess the level of achievement of the expected results: outputs, outcomes and impact.
- To ensure the regular and timely collection of performance information.

## **2. KEY ELEMENTS OF THE PERFORMANCE FRAMEWORK**

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### *WHAT DOES IT INCLUDE?*

- Selected Performance Indicators for each result statement
- Data sources
- Methods/techniques for data collection
- Frequency of data collection (monthly, quarterly, or yearly)
- Roles and Responsibilities for collecting data

**THE PERFORMANCE  
MEASUREMENT FRAMEWORK**

<b>PERFORMANCE FRAMEWORK</b>	<b>Performance Indicators</b>	Data Sources	Collection Methods	Fre- quency	Resp.
<b>Impact</b>					
<b>Outcomes 1</b>					
<b>2</b>					
<b>3</b>					
<b>Outputs 1</b>					
<b>2</b>					
<b>3</b>					
<b>4</b>					
<b>5</b>					

### 3. DEFINITION AND SELECTION OF PERFORMANCE INDICATORS

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#### *WHAT IS AN INDICATOR?*

*An indicator is a "pointer" that helps you to measure progress towards achieving results.*

There are two types of indicators: quantitative indicators and qualitative indicators

## Types of Performance Indicators

### ■ Quantitative statistical measures:

- Number of
- Frequency of
- % of
- Ratio of
- Variance with

### ■ Qualitative judgments or perceptions:

- Congruence with
- Presence of
- Quality of
- Extent of
- Level of

Some examples:

Quantitative indicators	Qualitative indicators
1. Number of women in the decision-making positions	1. Level of satisfaction of the beneficiaries.
2. Comparative (women and men) rate of employment in the public sector	2. Quality of the service provided.
3. Ratio of men and women in decision-making positions in the Government	3. Perception of men on women's participation in the local Committee.
	4. Coherence between the management tools developed and the absorptive capacity of the beneficiaries.

Often, qualitative indicators may be quantified. For example, we may quantify the number of people *very satisfied*, *moderately satisfied* or *unsatisfied*, with the service provided. Although, the level of satisfaction remains a subjective indicator.

**BASIC PRINCIPLE:**

The indicators must be developed in a participatory fashion including all major stakeholders, whenever possible.

**SELECTION CRITERIA:**

1. **Validity:** Does the indicator allows you to be precise in measuring the results (quantity, quality, timebound)
2. **Reliability:** Do the indicators measure **trends over time** (for example: the absenteeism rate of children in primary school may vary according to the time of the year, in relation with the calendar of agricultural activities)? To be reliable, the information must always be collected at the same time period.
3. **Representativity:** Do the indicators provide a desegregated information by sex, age group, etc.)?
4. **Simplicity:** Is the information available and will it be feasible to collect and analyse it?
5. **Affordability:** Can we afford to collect and analyse this information?

## 4. COMPLETING THE PERFORMANCE MEASUREMENT FRAMEWORK

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### Data Sources

#### ■ What are the data sources?

- Data sources are the individuals or organizations from which the data is obtained;
- Data sources i.e. organizations, may require some capacity building in data collection;
- Switching data sources i.e. individuals or organizations may jeopardize data reliability;
- Identify a data source for each indicator.

### Method & Techniques of Data Collection

#### ■ What to consider?

- Data collection methods and techniques: Participatory Rural Appraisal (PRA), Participatory Learning and Action (PLA), self-assessment, testimonials, focus groups, participant observation, case studies, individual and group interviews, surveys, frequency counts, documentary content analysis, etc.



## Roles & Responsibilities

- What to consider?
  - Who will collect the data?
  - Who will analyze the data and prepare the performance information?
  - Who will present the performance information to stakeholders? When?
  - Who will have decision-making authority based on performance?

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## TEST YOURSELF

### 1. What is a Performance Measurement Framework?

- a) The Performance Measurement Framework is the new tool that replaces the logical framework when planning a project.
- b) The Performance Measurement Framework is a tool being used primarily to help CI DA managers to produce the annual project progress report.
- c) The Performance Measurement Framework is a tool that is used to systematically plan the data collection on the level of achievement of results.
- d) None of these answers apply

### 2. What does the Performance Measurement Framework include?

- a) The performance indicators
- b) The data sources
- c) The data collection methods
- d) The frequency of data collection
- e) The budget

### 3. Should the level of satisfaction of a given group in relation with an expected result be considered as?

- a) A qualitative indicator
- b) A quantitative indicator
- c) It is not an indicator

# MODULE 4

## USING PERFORMANCE INFORMATION

### **THE LEARNING OBJECTIVES**

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-  To encourage participants in using performance information to manage, monitor and report on program and project results.

### **CONTENT**

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- ➔ Rationale for using the Performance monitoring system
- ➔ Using performance information to examine strategic trade-offs
- ➔ Using performance information to enhance organisational learning
- ➔ Using performance information to strengthen cause-effect links

### **METHODOLOGY**

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-  Presentation of the overheads by the facilitator

### **PEDAGOGICAL SUPPORT**

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-  Overheads

## **1. RATIONALE FOR USING THE PERFORMANCE MONITORING SYSTEM**

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Using the information on performance to ensure the monitoring of your project.

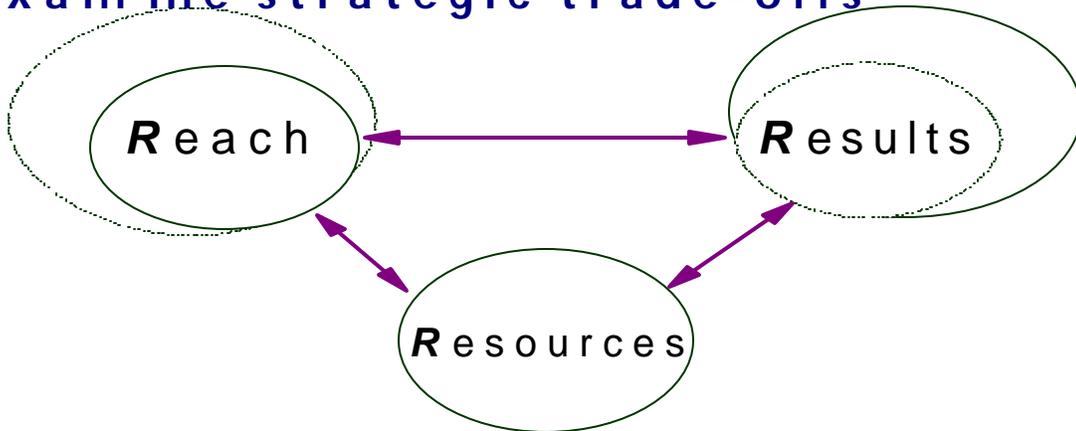
The monitoring process allows you to compare what was achieved by the project with what was planned in the past period of time.

### **What to consider when using performance information?**

- **When will performance information be appraised by stakeholders;**
- **What type of performance information will be presented to stakeholders:  
outcomes, outputs, reach, resources,  
etc.**
- **How will stakeholders make decisions  
based on the performance information.**

## 2. USING PERFORMANCE INFORMATION TO EXAMINE STRATEGIC TRADE-OFFS

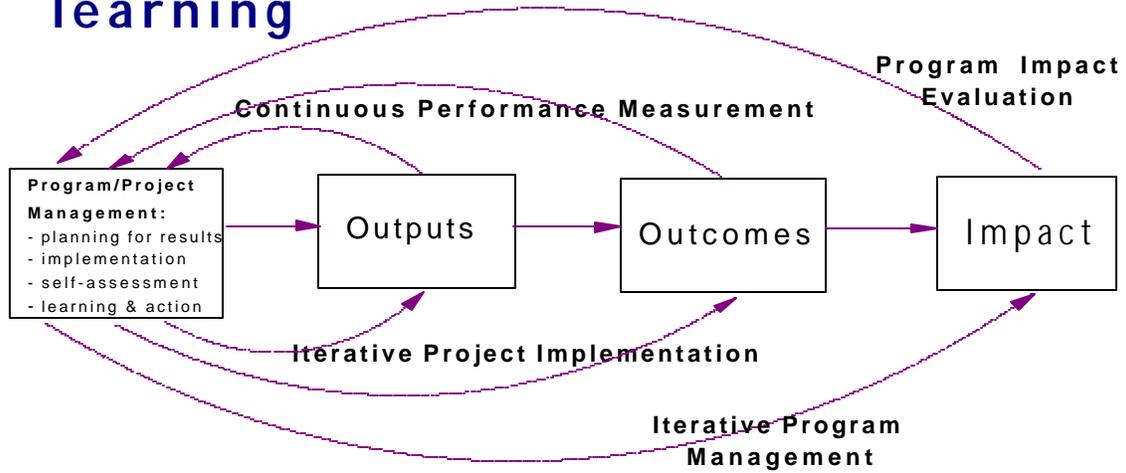
Use performance information to examine strategic trade-offs





**3. USING PERFORMANCE INFORMATION TO ENHANCE ORGANISATIONAL LEARNING**

# Use performance information to enhance organizational learning



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<b>TEST YOURSELF</b>
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- 1. For whom is the Performance Measurement Framework most useful?**
- a) For CI DA as primary stakeholder accountable for the results of the project
  - b) For the Executing Agency/Canadian partner that must inform CI DA on the evolution of the project and on its performance in terms of achievement of results
  - c) For the developing country partners since they are the ones most directly concerned by the achievement of the results.
  - d) None of these answers apply.

**APPENDIX I**

**CASE STUDY**  
**LITERACY AND COMMUNITY**  
**DEVELOPMENT PROJECT**

## **THE CONTEXT**

The remote north of the country is disadvantaged both economically and educationally. Exchange rates, inflation and volatile changes in market prices for local crops such as groundnuts and corn have stymied economic renewal. There has been some ethnic unrest in recent years but a peace agreement is now in place. Road travel is difficult especially in the rainy season. Bicycles and motorbikes wear out quickly. Telephone communication is at best intermittent but absent from most villages. Transportation is often non-existent.

The national literacy policy calls for children to be educated in their mother tongue for the first three years of primary school but due to a lack of resources nationally and locally, few ethnic groups have access to government programs. The smaller language groups are virtually shut out from any education. They are mostly an oral society with no tradition of acquiring writing and reading skills and consequently running businesses.

## **THE EXPECTED RESULTS**

The project aims to improve the living conditions of 13 small ethnic groups as well as facilitating their economic, social, and political integration into mainstream society. The objective is to teach the members of these 13 ethnic groups to read and write in their own language. The functional literacy project will also provide basic education in subjects such as hygiene, health care, numeracy, agriculture, and entrepreneurship. The project will strengthen local community based organizations' capacity to provide ongoing basic literacy training programs and become self-sustaining through managing income generating projects.

The expected results are the following:

1. 100 local persons are capable of teaching literacy skills and basic education in ethnic languages.
2. 50 income generating micro projects are operating.
3. The CBOs are able to efficiently manage basic literacy programs
4. A literacy and basic education program is developed.
5. The CBOs are able to efficiently manage income generating micro projects.
6. The members of the 13 ethnic groups living in a remote area of a Sahelian country will have improved their well being.

7. 70% of the members of the 13 ethnic groups apply the skills acquired
8. Local CBOs are self-sustaining and capable of contributing to the socio-economic development of their communities.
9. 13 local community organizations are consolidated.
10. The families that benefited from the micro projects have increased their revenues.
11. Ethnic groups sensitized to the advantages of literacy.
12. A literacy and basic education program is developed.

## **IMPLEMENTATION STRATEGY**

The project will be implemented by local community organizations and coordinated by the National Institute of Linguistics and Literacy. The National Literacy Institute collaborates with the Language Studies Department at the National University and with the Non Formal Division of the Government Mass Literacy Programs, Ministry of Education.

Small income generating projects will be operated under the supervision of local community organizations. Projects such as corn mills could benefit all women in the area. Food storage projects could benefit all villagers in the dry season when food prices are high.

The first phase of the project is scheduled for five years and has been approved for \$ 3,000,000 Canadian to cover the costs of personnel, materials, equipment, training, transportation, travel, capital expenditures, administration/management, monitoring and evaluation. Direct beneficiaries will be about 2,000 adults (about 50% are women). 100 volunteer teachers, former illiterates themselves, will instruct them.

## **Exercise on Results-Chain**

 Read the case study

- Using the proposed result statements found in an envelope, sort these statements identifying the impact, 3 outcomes and at least 6 outputs.
- Using the masking tape, tape your answers on the wall.
- Ensure that there is a clear cause and effect relationship between the different levels of results.



**RESULTS CHAIN**  
**LITERACY AND ECONOMIC DEVELOPMENT PROJECT**

Activities	Reach	Outputs	Outcomes	Impact
<ul style="list-style-type: none"> <li>• Institutional support to the National Literacy Institute</li> <li>• Recruiting and training of 100 volunteers</li> <li>• Literacy programs designed and adapted to the needs of the clientele</li> <li>• Literacy sessions delivered to the members of the ethnic groups.</li> <li>• Support in management in literacy program for CBOs.</li> <li>• Micro project management mechanisms established</li> <li>• Micro project identified and selected</li> <li>• Training in management of micro projects for CBOs and beneficiaries.</li> </ul>	<ul style="list-style-type: none"> <li>• National Literacy Institute</li> <li>• 100 volunteer trainers</li> <li>• Local community organizations</li> <li>• 2,000 adults (women and men) members of 13 ethnic groups from a Sahelian country remote area</li> </ul>	<p>1.1 Ethnic groups sensitized to the advantages of literacy.</p> <p>1.2 13 community organizations are consolidated.</p> <p>2.1 A literacy and basic education program is developed and delivered.</p> <p><b>2.2 100 local persons are capable of teaching literacy skills and basic education in ethnic languages.</b></p> <p>3.1 The CBOs are able to efficiently manage basic literacy programs.</p> <p>3.2 The CBOs are able to efficiently manage income generating micro projects.</p> <p>3.3 50 income generating micro projects are operating.</p>	<p><b>1. Local CBOs are self sustaining and capable of contributing to the socio-economic development of their communities.</b></p> <p><b>2. 70% of the members of the 13 ethnic groups apply the skills acquired.</b></p> <p><b>3. The families that benefited from the micro projects have increased their revenues.</b></p>	<p>The members of the 13 ethnic groups living in a remote area of a Sahelian country will have improved their well being.</p>

**RBM LOGICAL FRAMEWORK  
LITERACY AND COMMUNITY DEVELOPMENT PROJECT**

Summary	Results	Performance Indicators	Assumptions and risks
<p><b>Goal:</b></p> <p>To improve the well being of the members of 13 ethnic groups living in a remote area.</p>	<p><b>Impact:</b></p> <p>The members of the 13 ethnic groups living in a remote area of a Sahelian country will have improved their quality of life and living conditions</p>	<ul style="list-style-type: none"> <li>• % of increase in the revenues of the small ethnic groups</li> <li>• Way increased revenues are being used by the families</li> <li>• Infant mortality rate</li> <li>• Rate of school attendance by women and men</li> <li>• Access to decision making for women</li> </ul>	<ul style="list-style-type: none"> <li>• Effective use of the revenues generated by the micro projects for promoting the interests of the family.</li> </ul>
<p><b>Objective:</b></p> <p>To increase the capacity of local community organizations to support the development of ethnic groups.</p>	<p><b>Outcomes:</b></p> <p><b>1. Local CBOs are self sustaining and capable of contributing to the socio-economic development of their communities.</b></p>	<ul style="list-style-type: none"> <li>• Number of people involved in CBO activities: number of women vs. men</li> <li>• Types of programs developed by the CBOs</li> <li>• Sources of financing of CBOs</li> <li>• Level of self-financing of CBOs</li> </ul>	<ul style="list-style-type: none"> <li>• Targeted ethnic groups' continued support to community organizations.</li> <li>• CBOs' commitment to inclusive programs</li> <li>• Maintained commitment by the volunteers to delivering the literacy program.</li> <li>• CBOs have social space to undertake their development activities</li> <li>• Institutional framework facilitating CBOs' development work.</li> </ul>

<p>To increase the literacy rate and livelihood skills among the members of the 13 ethnic groups</p>	<p><b>2. 70% of the members of the 13 ethnic groups apply the skills acquired.</b></p>	<ul style="list-style-type: none"> <li>• Number of literate people (women and men) capable of reading basic material among targeted ethnic groups.</li> <li>• Number of literate people applying the acquired knowledge in their day-to-day activities.</li> <li>• Relevance of programs to community issues.</li> <li>• Concordance between the skills acquired and opportunities for sustainable livelihood.</li> <li>• Satisfaction of trainees with literacy sessions: women and men.</li> </ul>	<ul style="list-style-type: none"> <li>• Opportunities to apply the skills acquired in the literacy and basic education program.</li> <li>• Targeted populations learn to read and write more easily in their local language.</li> <li>• Facilities/funding to continue training</li> </ul>
	<p><b>3. The families that benefited from the micro projects have increased their revenues.</b></p>	<ul style="list-style-type: none"> <li>• Level of family revenues among the families benefiting from the project.</li> <li>• Size of livestock or the productive resources</li> </ul>	<ul style="list-style-type: none"> <li>• Disbursement of the planned financial counterparts for the implementation of the micro projects.</li> <li>• Existence of market opportunities for the local products generated by the micro projects.</li> <li>• Micro projects actually generate income.</li> </ul>

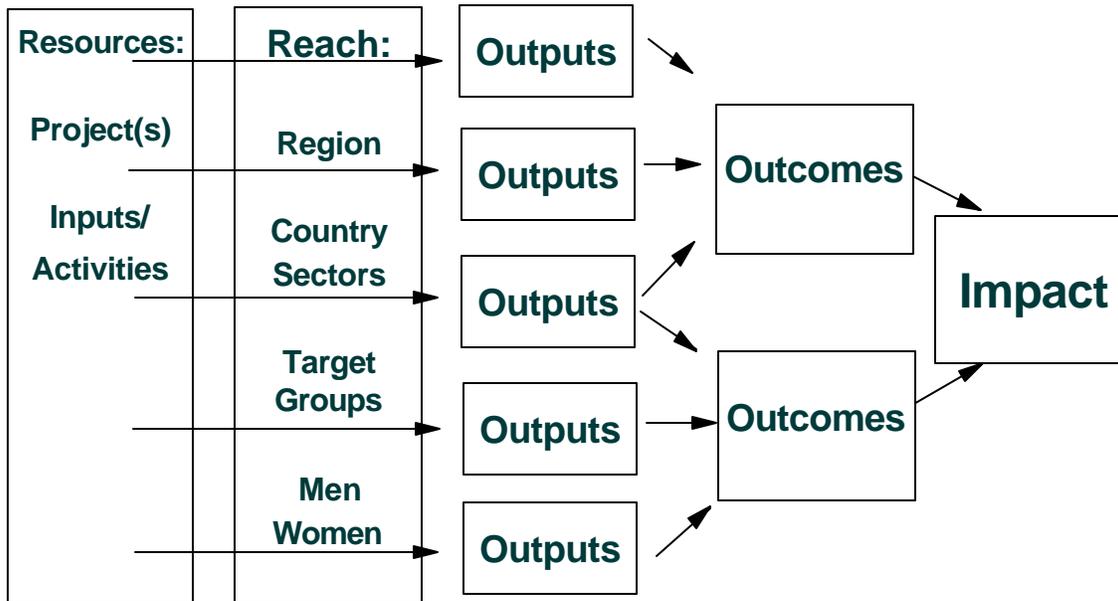
## Exercise on Performance Measurement Framework

- In plenary, determine which group will develop the performance framework for ONE impact, outcome or output statement.
- Brainstorm 3 performance indicators for one of the result statements ensuring that you have one quantitative indicator, one qualitative indicator and one other indicator.
- Based on the indicators you have selected, complete the remaining row of the Performance Measurement Framework.

### PERFORMANCE MEASUREMENT FRAMEWORK

<b>Results</b>	Performance Indicators	Data Sources	Collection Methods	Frequency	Responsibilities
<b>Impact :</b>					
<b>Outcome :</b>					
<b>Output :</b>					

*Exercise: Examine Causality  
in the Performance Framework*



**APPENDIX II**

**RBM IN CIDA:  
POLICY STATEMENT**

# RESULTS-BASED MANAGEMENT IN CIDA

## Policy Statement

### Introduction

*Canada in the World* establishes four clear commitments for Canada's ODA program<sup>2</sup>:

- a clear mandate and set of six ODA priorities;
- strengthened development partnerships;
- improved effectiveness; and
- better reporting of results to Canadians.

CIDA is committed to improving the impact of its work and to achieving increased efficiency and effectiveness in achieving that impact. CIDA launched its Corporate Renewal initiative in 1994 with these aims in mind. CIDA's adoption of results-based management (RBM) as its main management tool will allow it to systematically address these commitments.

CIDA has always pursued development results. The RBM approach will assist CIDA in its efforts towards continuous improvement in results-orientation, focus, efficiency and accountability. RBM will also be an important element in CIDA's continuing development as a learning organization. The process of developing RBM will be iterative and will build on pilot programs now in progress across the Agency.

The purpose of this Policy Statement is to outline:

- the basic RBM policy and principles for CIDA; and
- a common vocabulary on RBM (Annex A).

This policy should be viewed in conjunction with CIDA's Accountability Framework.

### What is results-based management?

A result is a describable or measurable *change* resulting from a cause-and-effect relationship. By results-based management, we mean:

- defining realistic expected results, based on appropriate analyses;
- clearly identifying program beneficiaries and designing programs to meet their needs;
- monitoring progress towards results and resources consumed, with the use of appropriate indicators;
- identifying and managing risks, while bearing in mind expected results and the necessary resources;
- increasing knowledge by learning lessons and integrating them into decisions; and
- reporting on results achieved and the resources involved.

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<sup>2</sup> In addition, CIDA recently welcomed the international assistance program for the Former Soviet Union/Central and Eastern Europe (FSU/CEE).

## P Policy Statement

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**Results-based management is integral to the Agency's management philosophy and practice. CIDA will systematically focus on results to ensure that it employs management practices which optimize value for money and the prudent use of its human and financial resources. CIDA will report on its results in order to inform Parliament and Canadians of its development achievements.**

## P Scope

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Best efforts will be made to ensure that this results-based management policy and its principles will be applied to all Agency programs and operations. RBM will guide all managers and staff, bearing in mind the changing circumstances facing CIDA in the developing world and the role played by CIDA's partners in achieving results.

## P Principles

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### **P Simplicity**

The RBM approach implemented by CIDA will be easy to understand and simple to apply.

### **P Learning by Doing**

CIDA will implement RBM on an iterative basis, refining approaches as we learn from experience. CIDA will prepare all CIDA managers and staff to implement RBM by providing appropriate, timely and cost-effective training.

### **P Broad Application**

CIDA will identify expected results and performance indicators for its programs and projects, where feasible, while striving to find a pragmatic balance between the use of qualitative and quantitative indicators. It will develop cost-effective means to monitor and measure results and learn from the best practices of the international community.

### **P Partnership**

CIDA will identify, in collaboration with our partners, our respective roles and responsibilities. CIDA will share the responsibility for achieving results at the program and project levels with our partners in Canada and in developing countries. CIDA will work with its partners to ensure a common understanding of the principles of RBM.

### **P Accountability**

**P**

CIDA will provide a work environment where individuals accept that their accountability includes delivering on results. An essential feature will be that managers will promote a focus on results in a manner that is resource efficient.

- **Transparency**

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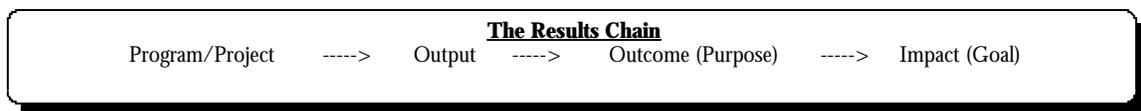
CIDA's implementation of RBM will lead to better reporting on more clearly identified development results.

# ANNEX A

## Key RBM Definitions

### P Results

- P Result.** A result is a describable or measurable change in state that is derived from a cause and effect relationship.
- P Developmental result<sup>3</sup>.** The output, outcome and impact of a CIDA investment in a developing country.
- P Operational result.** The administrative and management product achieved within the Agency.
- P Input.** The resources required, including money, time or effort, to produce a result.
- P Results chain.** Generally seen to correspond to the output, purpose and goal levels of a logical framework analysis (LFA).<sup>4</sup>



- P Output.** The immediate, visible, concrete and tangible consequences of program/project inputs.
- P Outcome.** Result at the LFA purpose level, constituting the short-term effect of the program/project. This is generally the level where the beneficiaries or end-users take ownership of the program/project and CIDA funding comes to an end.
- P Impact.** Broader, higher level, long-term effect or consequence linked to the goal or vision.

### P Performance measurement

- P Baseline data.** The set of conditions existing at the outset of a program/project. Results will be measured or assessed against such baseline data.
- P Performance indicators.** Specific performance measures chosen because they provide valid, useful, practical and comparable measures of progress towards achieving expected results.
- **Quantitative indicators.** Measures of quantity, including statistical statements.
- P Qualitative indicators.** Judgments and perceptions derived from subjective analysis.
- P Performance assessment.** Self-assessment by program branches/units, comprising program, project or institutional monitoring, operational reviews, end-of-year reporting, end-of-project reporting, institutional assessments and special studies.
- **Performance review.** A comprehensive corporate review of a given program theme and ODA priority across all Agency program branches.

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<sup>3</sup> Given its international assistance mandate, the FSU/CEE Branch will adopt modified definitions of terms such as developmental results suited to its purpose.

<sup>4</sup> **Purpose.** a level of objective within the control of program/project activities and which explains **what** service is being provided, **who** is the direct beneficiary of the service and **why** or to what higher goal the project is contributing.

**Goal.** A level of objective immediately above that of program/project purpose which links the program/project to a wider set of strategies being undertaken to address a specific problem.

**APPENDIX III**  
**REFERENCE DOCUMENTS**  
**ON RBM**

## **List of CIDA RBM Documents**

*Results-Based Management in CIDA: An Introductory Guide to the Concepts and Principles*, CIDA, Results-Based Management Division, Performance Review Branch, January 1999.

*Guide to Project Performance Reporting: for Canadian Partners and Executing Agencies*, CIDA, Results-Based Management Division, Performance Review Branch, May 1999.

*Lessons Learned from Implementing Results-Based Management (RBM) in CIDA*, CIDA Results-Based Management Division, Performance Review Branch, June 1998.

*Framework of Results and Key Success Factors*, CIDA Results-Based Management Division, Performance Review Branch, July 1999.