United Nations Development Group
Results-Based Management Handbook

Strengthening RBM harmonization for improved development results

The Handbook is spearheaded by the
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(FAO, WFP, UNAIDS, UNSSC, UNDP, UNIFEM, UNICEF, UNFPA)

Clean Draft Version, 24 March 2010

Acronyms

CCA	Common Country Assessment
CPAP	Country Programme Action Plan
CPD	Country Programme Document
CSO	Civil society organization
DAC	Development Assistance Committee of the OECD
MDG	Millennium Development Goals
M & E	monitoring and evaluation
MfDR	Managing for development results
NGO	Non-governmental organization
PLA	Participatory, learning and action
OECD	Organisation for Economic Co-operation and Development
RRA	Rural, rapid appraisal
RBM	Results-based management
RC	Resident Coordinator
SWAP	Sector wide approaches
TCPR	Triennial comprehensive policy review of operational activities for development
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
UNEG	United Nations Evaluation Group
WGPI	Working Group on Programming Issues

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Introduction

In the late 1990s, the UN system adopted results-based management (RBM) to improve the effectiveness and accountability of UN agencies. This shift towards RBM was accompanied by increasing UN interagency collaboration and interaction that seek to respond to UN reform and the greater harmonization of UN programmes with national priorities.

Results orientation, UN reform and alignment to national priorities are typically viewed by Member States as inextricably linked to one another. Most recently, the triennial comprehensive policy review (TCPR) resolution of 2007 stressed that "The purpose of reform is to make the United Nations development system more efficient and effective in its support to developing countries to achieve the internationally agreed development goals, on the basis of their national development strategies, and stresses also that reform efforts should enhance organizational efficiency and achieve concrete development results."[1] The commitment of the UN development system working together as a whole to achieve results in line with national priorities is part and parcel of its shared identity and an important aspect of its legitimacy.

In addition, the Paris Declaration on Aid Effectiveness, Accra Agenda for Action and the 2005 Summit Outcome document stress the alignment of policies, coherence at country level, harmonization of systems, ownership, mutual accountability and supporting countries to manage for development results to achieve the internationally agreed development goals, including the Millennium Development Goals (MDGs).

The UN and OECD/DAC understanding of national ownership and results orientation overlaps and complements each other. The UN approach of contributing to nationally owned results focuses on strengthening national capacities, reinforcing national leverage and widening policy choice. For the UN, RBM, when coupled with coherent UNCTs and UN programming, can improve the effectiveness with which outcomes may be pursued. Similarly, Paris Declaration principles encourage the use of national implementation systems in order to strengthen national ownership.

A solid RBM system rests on what is commonly referred to as a 'life cycle' where 'results' are central to planning, implementation, monitoring and evaluation, reporting and ongoing decision-making. By focusing on 'results' rather than 'activities', RBM helps UN agencies to better articulate their vision and support for expected results and to better monitor progress using indicators, targets and baselines. Results-based reports also help the organization(s), stakeholders and funders to better understand the impact that a given programme or project is having on the local population.

Purpose of the Handbook

The purpose of the Handbook is to provide UN agencies with common ground for supporting national programme planning and implementation efforts based on best practices in the RBM field.

The Handbook responds to the evolving dynamics of RBM in line with TCPR commitments while taking note of recent developments within OECD/DAC, such as the Paris Declaration and the Accra Agenda for Action. Towards this objective, the Handbook:

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[1] TCPR resolution A/C.2/62/L.63, paragraph 9. See also paragraph 33, which stresses, "results-based management, accountability and transparency of the United Nations development system are an integral part of sound management."

1) Contributes to harmonizing and simplifying UN business practices around contribution to national efforts for achieving development results;

2) Provides a common framework for interagency collaboration to support countries in programme design, implementation and managing for development results, including monitoring, evaluation and reporting;

3) Increases the quality and effectiveness of UN-supported interventions for achieving sustained results.

The Handbook is intended to be user-friendly and explain concepts and tools in ways that will facilitate operationalizing the use of RBM by various parts of the UN system as well as national actors, including governments at various levels, international and national NGOs, and other parties responsible for various elements of programmes at country level for achieving developmental results. Key concepts, principles and terminology are presented along with different frameworks, such as the results matrix, the risk mitigation framework and the results-based reporting framework, with the aim of improving the application of RBM among UN agencies.

Basically, the RBM Handbook is a brief resource intended to provide a common denominator for the use of RBM for all UNCT members and stakeholders when developing and implementing their UNDAFs. It is not meant to be exhaustive. Web links are provided, whenever possible, to resources that provide greater detail.

Audience of the Handbook

The Handbook is addressed to all UN staff, at country, regional and headquarters levels and especially those responsible for RBM – its planning, implementation, monitoring and evaluation, managing and reporting.

National authorities at various levels (central, local, etc.) may also find this Handbook useful as it introduces key RBM concepts, tools and instruments used by the UN system in the UNDAF and all parts of programme and project cycles.

Organization of the Handbook

The Handbook is organized in six parts corresponding to the various dimensions of the programme and project cycle.

Part one provides an overview of RBM, explaining the importance of accountability, national ownership and inclusiveness as a backdrop for undertaking effective results-based management. This is discussed in the context of the rapidly changing aid environment with nationally owned, driven results and the UN viewed predominantly as a contributor to achieving sustained national results.

Part two examines RBM in the planning stages, presenting various planning tools, such as the results matrix, the monitoring and evaluation plan, and the risk mitigation strategy framework.

Part three explores the importance of the management function of RBM. The focus here is on 'managing for results'.

Part four presents how monitoring is an essential component in assessing results on an ongoing basis.

Part five presents evaluation and its role in assessing overall performance.

Part six encourages the reader to more effectively report on results by focusing particularly on outputs and outcomes rather than activities.

Finally, part seven discusses how to use RBM for learning, adjusting and decision-making.

Part One: Overview of RBM

1.1. What is Results-Based Management?

Results-based management is a management strategy by which all actors on the ground, contributing directly or indirectly to achieving a set of development results, ensure that their processes, products and services contribute to the achievement of desired results (outputs, outcomes and goals). RBM rests on clearly defined accountability for results and requires monitoring and self-assessment of progress towards results, including reporting on performance.

RBM is seen as a life-cycle approach starting with elements of planning, such as setting the vision and defining the results framework as seen in figure 1. Once it is agreed to pursue a set of results through a programme, implementation starts and monitoring becomes an essential task to ensure results are being achieved. Finally, monitoring and evaluation provide invaluable information for decision-making and lessons learned for the future.

Figure 1. The RBM life-cycle approach
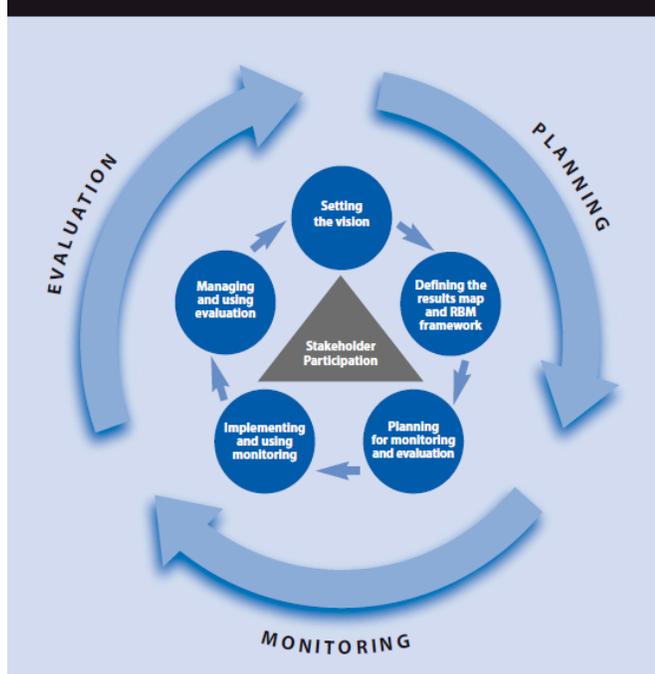
Source: UNDP, Handbook on Planning, Monitoring and Evaluating for Development Results, 2009.

There are three salient features of RBM: accountability, national ownership and inclusiveness. These features should be embodied in results-based management from beginning to end.

Six important principles are required for a UN organization to contribute effectively to managing for results.

1) *Foster senior-level leadership from all organizations with national actors playing a major lead* in results-based management;
2) *Promote and support a results culture*, particularly:
   -informed demand for results information;
   -supportive country/national systems, procedures and incentives;
   -a results oriented accountability regime and;
   -fostering learning and adjusting;
   -clear roles and responsibilities for RBM.
3) *Build results frameworks* with clearly defined ownership on the part of national actors at all levels, and the contribution roles of UN clearly agreed upon;
4) *Measure sensibly and develop user-friendly RBM information systems*
5) *Use results information* for learning and managing, as well as for reporting and accountability;
6) *Build an adaptive and RBM regime* through regular review and updating of frameworks.

Source: Best Practices in RBM: A Review of Experience, July 2007, pp.3-4. (hyperlink)

1.2. Accountability, National Ownership and Inclusiveness

Accountability

Along with results-based management, the issue of accountability has assumed increasing importance over the last decade.

TCPR resolutions have long stressed the need for UN development operations to achieve and uphold the highest levels of accountability as they support partner countries in pursuing national development outcomes.[2] More recently, OECD/DAC has

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[2] See, for instance, GA resolution 62/208, paragraph 61, which calls on "the organizations of the United Nations development system, within their organizational mandates, to further improve their institutional accountability mechanisms." Paragraph 113 further calls "to continue to harmonize and simplify their rules and procedures, wherever this can lead to a significant reduction in the

promoted the principle of 'mutual accountability'. Indeed, the Paris Declaration indicators and related targets are a combination of expectations from both national governments and donors. Parties that subscribe to the terms of the Paris Declaration are presumed to commit to their respective roles in this arrangement.

The language of accountability and results are often used interchangeably to the confusion of users. It is therefore helpful to try and unpack the applied meaning of accountability at different levels of engagement, as follows:

■ Governments serve as the primary owner and executing agents of programmes of cooperation and are accountable to their people, through their parliaments, for delivering on national development objectives (sometimes referred to as national goals, national outcomes, etc.). Results that occur at this level should be primarily attributable to the Government, although circumstances may vary.

■ UN funds, programme and specialized agencies collaborate with national counterparts to determine the outcomes of UN support. The outcomes of UN support are framed in UNDAFs and derive from national development objectives. UNCT members are accountable to partner governments for their overall contribution to national development objectives, including the achievement of UNDAF-level outcomes.[3] Since UNDAF outcomes are the contributions of the UN to national development objectives, UNDAF outcomes should be primarily attributable to the UNCT.

administrative and procedural burden on the organizations and national partners, bearing in mind the special circumstances of programme countries, and to enhance the efficiency, accountability and transparency of the United Nations development system."

[3] Introduction of a UN report to the partner government is intended to be an expression of a UNCT's accountability to the partner government, as well as to strengthen national oversight of UN support. See the recently issued "Standard Operational Format and Guidance for Reporting Progress on the UNDAF". (hyperlink text)

■ UN funds, programmes and specialized agencies are at the same time accountable to their governing bodies. Upward reporting to governing bodies does not focus on national development performance. Instead, it focuses on the contributions made by a UNCT to national development objectives. Specifically, the subject of upward reporting on performance to governing bodies concentrates on UNDAF outcome-level performance (and sometimes outputs), and on the plausible influence of these efforts on national objectives. In other words, the accountability for results of UNCT members to governing bodies is limited to the level at which results can be attributed to the UNCT.

■ An actor that has an implementation role is accountable to the executing agency for the delivery of goods and services. Typically, implementing agents are primarily accountable for the achievement of outputs. Likewise, the achievement of outputs can be primarily attributed to an implementing partner.

■ Finally, providers of inputs, such as vendors and contractors, are accountable to implementing agents for the satisfactory delivery of specified items.

At each level, there is an expectation that an accountable party has the capacity to undertake its responsibilities to make its contributions to results. If this capacity is not in place, then either capacity needs to be developed or, where applicable, alternative arrangements sought.

The above describes 'respective accountability' and delineates individual accountability within an overall flow of activity leading towards higher-level outcomes, with attributable contributions established at each level. UNCTs may wish to consider the above as a way to clarify accountabilities within their UNDAFs.

National Ownership

A second important feature of results-based management is ownership within the UN system and how it needs to contribute to national development priorities and strategies. UN supported programmes and projects are based on national priorities and local needs so that national ownership is maximized. "This requires leadership and engagement of all relevant stakeholders, in all stages of the process, to maximize the contribution that the UN system can make, through the UNDAF, to the country development process". (Insert reference)

National ownership does not mean control over resources or a commitment to donor interests, to which the UN attaches support to achieve results in specific areas. The UN attaches the highest importance to national ownership (included but not limited to government ownership) and therefore the results at higher level, e.g., at the impact and outcome levels, are predominantly owned by national actors. The role of the UN at that level is predominantly to 'contribute' to such results.

Inclusiveness

Finally, inclusiveness is another important RBM feature. RBM must involve all relevant stakeholders, including, whenever possible, different levels of government, social partners and civil society, such as indigenous peoples, minorities and direct beneficiaries. One should not expect stakeholders to be responsible for results and indicators they did not define, negotiate or agree on. Stakeholder engagement is not only necessary for partnership but also sustainability. Increasing evidence shows that sustainability is more likely when stakeholders are involved in the development process from the onset: country analysis, defining results and indicators, implementation, and monitoring and evaluation of programmes and projects.

1.3. RBM in the Context of Managing for Development Results

{redraft} In the Accra Agenda for Action, Managing for Development Results (MfDR) commitments include the provisions that: (a) Developing countries will strengthen the quality of policy design, implementation and assessment by improving information systems, including, as appropriate, disaggregating data by sex, region and socioeconomic status; (b) Developing countries and donors will work to develop cost-effective results management instruments to assess the impact of development policies and adjust them as necessary; (c) Donors will align their monitoring with country information systems; they will support and invest in strengthening national statistical capacity and information systems, including those for managing aid; and (d) All partners will strengthen incentives to improve aid effectiveness by systematically reviewing and addressing legal or administrative impediments to implementing international commitments on aid effectiveness. Donors will pay more attention to delegating sufficient authority to country offices and to changing organizational and staff incentives to promote behaviour in line with aid effectiveness principles.

In RBM, like MfDR, 'results' are understood to go beyond management (systems, scorecards, metrics, reporting) and should be dynamic and transformative so that results inform decision-making and lead to continuous improvement and change.

1.4. Basic Terminology

Differences in terminology can often trip up stakeholders. The basic terminology used in this Handbook is inspired from the UNDG Results-based Management Terminology 2003. Where this terminology may be lacking, the OECD/DAC Glossary of Key Terms in Evaluation and Results-based Management is used, given its international

recognition.[4] It should also be recognized that while many UN agencies' terminology differs the concepts are analogous. UNDG suggests that UN agencies use the terms in Table 1, thereby contributing to greater coherence and consistency among UN agencies and with national governments.

1.5. What is a Result?

A result is a describable or measurable change in state that is derived from a cause-and-effect relationship. There are three types of such changes (intended or unintended, positive and/or negative) which can be set in motion by a development intervention that generates outputs, outcomes and impact. While it is expected that RBM will lead to positive outcomes, since efforts most often try to improve the socio-economic conditions of poor people, this is not always the case. Change can sometimes lead to unintended consequences or negative impact. Thus, it is important to manage for results that can truly have a real and meaningful improvement on people's lives.

Moreover, results within the UN system correspond to three elements: the outputs of a programme/project, as well as to the outcomes and impacts of UNDAF.

1.6. Getting Started: How to Define Results?

When results form part of a national vision, strategy, plan, etc, they are more likely to be achieved and their effects sustained over time. Defining results begins with analysis of the country situation, review of the comparative advantages of the UNCT, a stakeholder analysis and a vision of desired outcomes.

The national development plan or strategy will help orient and guide UN supported interventions so that these interventions respond to country priorities and needs. Results should support the planning, management and monitoring of development activities.

The following diagram sets out the key stages in formulating results statements.
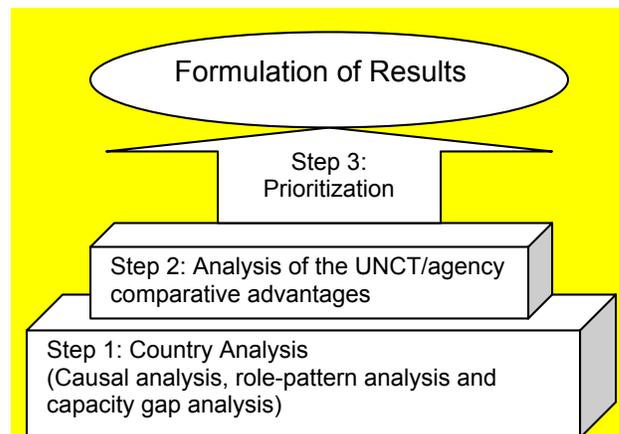
Step 1a: The first step involves gathering information on the situation so that you are fully apprised of the political, economic, social and cultural situation that influences your environment. This includes a review of existing national analysis to determine the UNCT's analytical contribution. (JA)

(Explain role pattern analysis)

Step 1b: An assessment is made of the situation that may shortlist major development problems or opportunities for deeper analysis.

Step 1c: Involves an analysis of the root causes, relationships between duty bearers and rights holders,[5] and capacity gap issues. This includes enriching the analysis though the lens of the five programming principles and other thematic issues where applicable.[6] (JA)

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[5] (a) Rights-holders are individuals and groups who have valid human rights entitlements; (b) Duty-bearers are primarily state authorities, and others who have an obligation to respond. For information on how to conduct HRBA and other programming principles, see (link).

[6] Guidance Note: Application of the Programming Principles to the UNDAF. (link)

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[4] See: www.undg.org/rbm

Step 2: Given the relative funding and capacity of the UNCT or agencies, it is important to assess the UNCT or agency comparative advantages to determine the specific areas in which the UNCT or agency focuses their development assistance in the coming programming cycle. In this process, it helps to undertake a stakeholder analysis in order to map out different stakeholders' engagement in support of the national government's effort to achieve the MDGs.

Step 3: The UNCTs or agencies often need to go through a prioritization process based on Steps 1 and 2 in order to create a consensus on the strategic areas of focus for their development assistance. This could be a workshop or more informal discussion with the government and other development partners.

After you have completed Steps 1-3, you are ready to formulate your results of a desired future. For detailed information on conducting country analyses and stakeholder analysis, refer to the UNDAF guidance package and the UNDG Toolkit.

Figure 2 shows the types of changes that can be typically achieved within the timeframe of a programme. Naturally, the situation may vary from country to country depending on the local situation, the level of capacity and how fast change can realistically happen. Confusion has sometimes been noted between how to articulate and state activities vs. results. Activities use action words or verbs that reflect what will be done in a given programme or project (e.g., organize regional meetings, plan international conferences, prepare curriculum, undertake gender analysis, etc.). Results matrices often carry only limited information and, unless they represent the collective actions of all stakeholders, it must be remembered that the actions described at lower levels 'contribute' to the results at higher levels, but

by themselves will not be sufficient to achieve the results in their entirety.

Results are about change. It is important to use "change language" rather that the customary 'action language'. *Change language* has three characteristics: (a) it describes changes in the conditions/quality of life of people; (b) it sets precise criteria for success; and (c) it focuses on results, leaving options on how to achieve them – hence the need to avoid expressions such as "through this and that" or "by doing this and that".

Action language, on the other hand, (a) expresses would-be results from the providers' perspective – and usually starts with "to do this or that"; (b) can be interpreted in may ways because it is not specific or measurable (e.g., "to reduce HIV transmission"); and (c) focuses only on the completion of activities (e.g., "to establish 25 new youth-friendly centers").

Examples of results in the change language include the following:
- At least 80% of people in endemic areas sleep under a long lasting insecticidal net;
- Child mortality from AIDS and related causes decreased from 80% to 40% by 2011;
- 90% of identified orphans and vulnerable children in model districts are accessing social safety net packages by 2008;
- Female gross enrolment rate in primary school increased from 55% to 95% in 1200 primary schools by 2012

UNDAF outcomes should be specific, strategic and clearly contribute to national priorities. UNDAF outcomes must also be linked to project or programme outputs.

Box 1. What kind of Results Can One Expect Responding to a Humanitarian Crisis?

In a humanitarian response and recovery context, the purpose of development interventions might not be to bring about 'change' as much as to maintain the "status quo". The purpose of development interventions is traditionally to improve conditions of the affected population. However, there are times when life saving measures and relief supplies are aimed at saving people's lives and assets and could be considered "status quo" activities. More specifically, when humanitarian agencies work in complex environments with militias and militaries, politically such partnerships could be described as alliances with the 'status quo'. The definition of 'results' in a humanitarian context might not be "measurable change derived from a cause and effect relationship" but rather "maintaining social, economic and environmental gains by urgent life and asset saving interventions".

Figure 2: Changes Reflected in Results at Different Levels

Changes in conditions
Results are primarily nationally owned

IMPACT	MDGs	Social	Economic		Cultural	Civil Society
			Environmental	Political		

Changes in capacity and performance of the primary duty-bearers
UN contributes at this level

OUTCOME	Changes in Behaviours & Attitudes	Social Action	Viability	UN contributes
	Institutional	Policy Formulation	Decision-making	NORMS, Knowledge
	Efficiency	Competencies	Opinions	Standards

What all implementers produce
National actors, UN and donors

OUTPUTS	Goods & Services	Change in Skills & Capabilities	Systems
	Evaluations	New products	Reports	Publications produced

What all implementers do
Primarily national, often supported by UN and other partners

ACTIVITIES	Develop Curriculum	Train	Evaluate	Recruit Procure
	Facilitate	Develop Action Plans	Work with Media, etc.

What all stakeholders invest in
Led by national actors

INPUTS	Human or Financial Resources	Personnel	Equipment
	Technology	Time	

Table 1: Definition of Terms {UNEG to review}

Activity

Actions taken or work performed through which inputs, such as funds, technical assistance and other types of resources are mobilized to produce specific outputs.

Baseline
Information gathered at the beginning of a project or programme from which variations found in the project or programme are measured.

Benchmark
Reference point or standard against which progress or achievements can be assessed. A benchmark refers to the performance that has been achieved in the recent past by other comparable organizations, or what can be reasonably inferred to have been achieved in similar circumstances.

Development intervention

An instrument for partner (donor and non-donor) support aimed to promote development. A development intervention usually refers to a country programme (CP), programme/thematic component within a CP or a project.

Goal
The higher-order national objective to which a development intervention is intended to contribute.

Impact (Not used in the UNDAF guidelines. Should come under 'Goal')

Positive and negative long-term effects on identifiable population groups produced by a development intervention, directly or indirectly, intended or unintended. These effects can be economic, socio-cultural, institutional, environmental, technological or of other types and should have some relationship to the MDGs and national development goals.

Inputs

The financial, human, material, technological and information resources used for development interventions.

Managing for development results (MfDR)
Include or remove?

Outputs

The products and services that result from the completion of activities within a development intervention within the control of the organization.

Outcome

The intended or achieved short-term and medium-term effects of an intervention's outputs, responding to national priorities and local needs and UNDAF outcomes. Outcomes represent changes in development conditions that occur between the completion of outputs and the achievement of impact.

Outcome evaluation

Outcome evaluations investigate whether a programme or project caused demonstrable effects on specifically defined target outcomes.

Performance

The degree to which a development intervention or a development partner operates according to specific criteria/standard/guidelines or achieves results in accordance with stated plans.

Performance indicator

A performance indicator is a unit of measurement that specifies what is to be measured along a scale or dimension but does not indicate the direction or change. Performance indicators are a *qualitative* or *quantitative* means of measuring an output or outcome, with the intention of gauging the performance of a programme or investment.

Performance monitoring

A continuous process of collecting and analyzing data for performance indicators, to compare how well a development intervention, partnership or policy reform is being implemented against expected results (achievement of outputs and progress towards outcomes).

Results

Results are changes in a state or condition that derive from a cause-and-effect relationship. There are three types of such changes (intended or unintended, positive and/or negative) that can be set in motion by a development intervention – outputs, outcomes and impacts.

Results based management (RBM)
A management strategy by which an organization ensures that its processes, products and services contribute to the achievement of desired results (outputs, outcomes and impacts). RBM rests on clearly defined accountability for results and requires monitoring and self-assessment of progress towards results, and reporting on performance.

Results chain
The causal sequence for a development intervention that stipulates the necessary sequence to achieve desired objectives – beginning with inputs,

moving through activities and outputs, and culminating in outcomes, impacts and feedback. In some agencies, reach is part of the results chain. It is based on a theory of change, including underlying assumptions.

Results framework or matrix
The results matrix explains how results are to be achieved, including causal relationships and underlying assumptions and risks. The results framework reflects a more strategic level across an entire organization for a country programme, a programme component within a country programme, or even a project.

Target
Specifies a particular value for an indicator to be accomplished by a specific date in the future. *Total literacy rate to reach 85% among groups X and Y by the year 2010.*
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Part 2. RBM in Planning

RBM has been most used in the planning phase by organizations for their strategic frameworks, programmes and projects. A number of tools are used in the planning phase: results matrix, monitoring and evaluation plan, and risk mitigation strategy. This section begins by first discussing the results chain and then discusses these tools.

2.1. The Results Chain

A results chain will always be embedded in a given context that reflects the overall situation, needs, issues, priorities and aspirations of key stakeholders. A diversity of factors – economic, political, social, environmental or cultural – will affect the achievement of results. This is why results chains may vary from country to country. What may be an output in one country may be an outcome in another country suffering a humanitarian crisis, where government structures may be weak or the capacity may be decimated or inadequate. Thus, one size does not fit all.

There is also a tendency to be ambitious with results statements. It is necessary to make sure that results are commensurate with the environment, existing and potential capacities and resources. If not, there will be a need to adjust the result statements.

The results chain in Table 2 shows the chain of connections or causality and attribution between input and activities and the results that are generated in the form of outputs, outcomes and impact. One should be able to see clearly the results that are generated from the inputs and the activities they require. Results should represent the change caused through the cause and effect relationship between inputs and activities and outputs, outcomes and impact. While inputs, activities and outputs are elements of the project/programme, outcomes and impacts are elements at a higher level, such as national outcomes. If it is not possible to clearly show either attribution or contribution, then it is not an appropriate result for the results framework.

Table 2. The Results Chain

Implementation			Results		
➔	➔	➔	➔	➔	➔
Inputs	**Activities**		**Outputs**	**Outcome**	**Impact**
Actions taken or work performed through which inputs, such as funds, technical assistance and other types of resources are mobilized to produce specific outputs.	Actions taken or work performed through which inputs, such as funds, technical assistance and other types of resources are mobilized to produce specific outputs.	➔	The products and services which result from the completion of activities within a development intervention.	The intended or achieved short-term and medium-term effects of an intervention's outputs, usually requiring the collective effort of partners. Outcomes represent changes in development conditions which occur between the completion of outputs and the achievement of impact.	Positive and negative long-term effects on identifiable population groups produced by a development intervention, directly or indirectly, intended or unintended. These effects can be economic, socio-cultural, institutional, environmental, technological or of other types.
Example					
Financial resources, technical expertise	Preparation of emergency preparedness plans	➔	Emergency preparedness plans operational at the national and district level and yearly review mechanism in place by the end of 2011.	Improved Government disaster risk reduction and emergency management systems and practices for efficient response	Reduced risks and increased safety among the local population.

2.2.   Developing the Results Matrix

The results matrix is the management tool used for planning, monitoring and evaluation, and reporting by various implementing agencies, including those providing contributions to the achievement of results such as UN agencies. The results matrix provides a snapshot or story of the programme or project funded, highlighting the national development results that will help achieve major national goals that the programme or project contributes to and the related UNDAF outcome and programme and project outputs. The results matrix should depict those aspects that stakeholders determine are important and essential for showing the effects of the development intervention.

This Handbook presents a simplified results matrix in that it basically presents a table with column and rows that distinguish outputs from outcomes. At the outcome level, projects or programmes should contribute to an UNDAF outcome and the national development priorities or goals.[7] Five other columns distinguish this matrix:

   (1) Indicators, baselines and targets;
   (2) Sources of information for those indicators;
   (3) Risks and assumptions;
   (4) Role of partners and
   (5) Indicative resources.

This results matrix integrates both the results and monitoring and evaluation elements, thus reflecting a commitment to RBM. UN agencies are expected to either

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[7] See 2010 UNDAF package to support roll-out countries: How to Prepare an UNDAF: Part (I) Guidelines to UNCTs; How to Prepare an UNDAF: Part (II) Technical Guidance for UNCTs; UNDAF Action Plan Guidance Note, including technical annexes; and the Standard Operational Format and Guidance for Reporting Progress on the UNDAF. (See UNDAF guidance package)

achieve the outputs they are responsible for or contribute to the UNDAF or national outcomes aligned to national priorities.

The results matrix crystallizes the essence of a programme or project in one to two pages clearly articulating the outputs and outcomes and other elements of the results matrix. It thus provides a very useful tool for implementing, monitoring and evaluation and reporting.

Table 3: The Results Matrix with Outcome and Output Levels

National Development Priorities or Goals:					
	Indicators , Baseline, Target	Means of Verification	Risks and Assumptions	Role of Partners	Indicative Resources
Outcome 1 : *(List contributing UN agencies for each of the outcomes and highlight the outcome convener)*					
Output 1.1					
Output 1.2					
Outcome 2					
Output 2.1					

Source: Results matrix Option 1b in "How to Prepare an UNDAF: Part (I) Guidelines for UN Country Teams", January 2010

The results matrix should be developed from the top down – with the national development priorities and goals and then the outcomes – so that the UNDAF outcomes contributing to the national development priorities are derived predominantly from the UN supported interventions in the country. These national development priorities and goals will in turn influence UNDAF outcomes, which represent the joint vision of UN agencies along with other key stakeholders operating in the country. Only afterwards are lower-level results statements, such as outputs, developed.

The results matrix is used throughout the life cycle of the programme – from planning and implementation to monitoring, evaluation and reporting. At the planning stage, the results matrix allows stakeholders to articulate what their goals and results will be – based on the country situation and context and the vision set out for a harmonized UN programme and agency outcomes in line with national priorities or goals.

> UNDAF Outcomes are the collective strategic results for UN system cooperation at the country level, intended to support achievement of national priorities.

Studies have revealed that UNDAF outcomes need to be more specific, strategic and contribute more directly to national priorities. Outputs should be linked to those accountable for them and the results chain should have a much stronger internal logic. Indicators should also help to measure UNDAF outcomes on a regular basis so that decision-making is informed by relevant data.

2.2.1. Programming Principles of CCA and UNDAF

Since 2007 the UN has identified five programming principles:

(1) Human rights-based approach;
(2) Gender equality;
(3) Environmental sustainability;
(4) Capacity development; and

(5) Results-based management.

They constitute a starting point and guide for the analysis and design stages of the UNDAF. It is widely agreed that all five are necessary for effective UN-supported country programming that must balance the pursuit of international norms and standards with the achievement of national development priorities. The five principles are divided between three normative principles (human rights and the HRBA, gender equality, and environmental sustainability) and two enabling principles (capacity development and results-based management).

A recently issued Guidance Note on the programming principles offers a conceptual framework to visualize how the programming principles complement one another, and a tool to support their application during the four main steps of the UNDAF process: (1) roadmap; (2) country analysis; (3) strategic planning; (4) monitoring and evaluation. [8]

The Guidance Note also highlights the following three underlying principles and how they strengthen the quality of the UNDAF: (1) accountability, particularly for the state; (2) public participation, inclusion and access to, and demands for, information; and (3) equality and non-discrimination.

These principles should be applied in the preparation of country analysis, UNDAFs and agency results matrices in general.

The outcomes in the results matrices should reflect increased change – sustainable institutional or behavioural change – of rights holders and duty bearers.

A good gender analysis, for example, should be translated into strategic UNDAF results

chains and consequently into holistic programming for gender equality. While specifying who the outputs and outcomes are affecting – such as "increased capacity of women and men" or "vulnerable groups, specifically women heads of household, have increased access to resources" – is a step in the right direction. Serious gender analysis and gender sensitive strategies should lead to specific gender outcomes and outputs being formulated.

Some examples of outcomes for gender include:

- Greater empowerment of women and girls and the fulfillment of their human rights in region x;
- Greater access and control of ecosystem resources, especially among vulnerable women head of households;
- Increased role of women in decision-making and their access and control over ecosystems resources;
- Greater institutionalization of the gender approach in laws, planning mechanisms, programming and budget allocations;
- Reduced gender based-violence among men in region X;
- Changes in the gender relations within the household resulting in the increased participation of men in household and childcare duties.

It should be noted that indicators will help measure your outcomes, thus adding greater precision.

A serious human-rights-based approach to cooperation would identify such results as:

-Realization of human rights, as laid down in international instruments;
-Increased performance or strengthened responsibility of rights-holders and duty bearers; or
-Capacity development of rights-holders and duty bearers.

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[8] Refer to Guidance Note: Application of the Programming Principles to the UNDAF. (hyperlink)

<table>
<tr><td colspan="2">What does a human-rights-based approach (HRBA) add to RBM?</td></tr>
</table>

What does a human-rights-based approach (HRBA) add to RBM?

While RBM is a management tool to help reach a desired result, HRBA is a framework that helps define the results and the process by which they are achieved.

- HRBA specifies who should be the subject of programming results: rights-holders and duty-bearers:

    -*Outcomes* should reflect the improvement in the performance or the strengthened responsibility of the right-holder and duty-bearer resulting from institutional or behavioural change.

    -*Outputs* should close the capacity gaps.

- Monitoring how programmes have been guided by human rights principles *non-discrimination, participation, accountability) in the process of reaching results.

- Specifying what should be the programming results: the realization of human rights as laid down in international instruments.

If the programme or project focuses on the environment, the following may be the results:

- improved response in natural disasters in high risk areas;
- national disaster assistance services modernized;
- communities improve environmental practices;
- protected areas are designated;
- loss of environmental resources reversed.

2.2.2. Determining Indicators

Indicators are a quantitative or qualitative variable that allows the verification of changes produced by a development intervention relative to what was planned.

There are two types of indicators: quantitative and qualitative indicators. *Quantitative indicators* are a number, percentage or ratio of. In contrast, **qualitative indicators** seek to measure

Table 5. Checklist for Validating Indicators[9]	Yes	No
The definition of indicators has involved those who performance will be measured.		
Those who performance will be judged by the indicators will have confidence in them.		

quality and many times are based on perception, opinion or levels of satisfaction. Examples are provided in Table 4.

It should be noted that there can be an overlap between quantitative and qualitative indicators. For example, some statistical data can have qualitative meaning – composite indices and some qualitative information can be stated with numbers, e.g. the results of an expert survey where progress is measured on a scale of 10-5. In such cases, there is not such a clean divide between indicator types as might be thought. Indicators should also be in neutral language, such as 'the level or degree of satisfaction' or 'percentage of school enrolment by gender'.

Proxy indicators are used when results cannot be measured directly. For example, a proxy measure of improved governance could be, in some cases, the number of political parties and voter turn-out. Proxy indicators might also be used when there is a high security risk (i.e., humanitarian settings, post conflict settings) to collect data based on more concrete measurable indicators.

Process indicators are indicators which directly measure the performance of key processes that affect expectations of countries, donors or communities. Process indicators that can measure the effectiveness of the Paris Declaration and UN national coordination efforts or stakeholder participation and buy-in are becoming important to measure. These might include indicators such as the degree of harmonization between UN agencies as seen by the number of joint missions or joint evaluations, the development and application of UNDAF or the use of national systems for monitoring and evaluation. Qualitative indicators might also serve to measure the nature or intensity of interaction from a stakeholder perspective and their satisfaction with inter-UN agency collaboration.

The above checklist for validating indicators can help select the indicators. For each output or outcome, there should be a maximum of 2-3 quantitative and qualitative indicators per results statement. It is important not to exceed this number of indicators for each result as this will make collection of data more cumbersome and expensive. Two to three indicators per result statement will ensure that the findings are corroborated by different indicators and/or sources of information and that the findings are solid and credible.

The **baseline** is the situation at the beginning of a programme or project that acts as a reference point against which progress or achievements can be assessed. The **target** is what one hopes to achieve. The baseline in a primary education programme might be the enrollment rates at the beginning of a project, say, 90 percent of school children. The target might be reaching 100 percent of enrollment for school children.

2.2.3. Sources of Information

The sources of information are the **Who**: the persons, beneficiaries or organizations from whom information will be gathered to measure results. In a health programme, the source of information may be those affected by HIV, community-based organizations or the Ministry of health. The most direct source of information related to the indicator must be selected. The principle of "do no harm" and cultural sensitivity need to be emphasized during data collection methods such as interviews among community members.

2.2.4. Assumptions and Risks

Assumptions and risks are the fourth column of the results matrix. Assumptions are the variables or factors needed to achieve your results.

Assumptions can be defined as *the necessary positive conditions that allow for a successful cause-and-effect relationship between the different levels of results*. The expectation from stakeholders would be that, if the outputs have been delivered and the assumptions in the programme document still hold true, then the outcome would be achieved. Assumptions can be internal or external to the particular programme or

Table 4. Indicators	
Quantitative Indicators	*Qualitative Indicators*
-measures of quantity -number -percentage -ratio	-perception -opinion -judgments about something
Examples: -# of women in decision-making positions; -employment levels; -Wage rates; -education levels; -Literacy rates	-Women's perception of empowerment; -Satisfaction with employment or school; - Quality of life; -Degree of confidence in basic literacy.
Sources of information:	
Formal surveys or questionnaires	Public hearings, testimonials, focus groups, attitude surveys, and participant observation.

organization.

Assumptions should be stated in positive language. For example, in a reproductive health service programme, an assumption is that you have adequate trained personnel and extension services. In a situation where higher levels of voter registration among the rural population is expected to lead to higher participation in an election, an assumption would be that voting centres would actually be operational and infrastructure in place so that the population would be able to reach the voting centres on election day.

Assumptions should be formulated after the results chain and before the indicators, even though in reality practitioners often identify indicators before assumptions. The sequencing is important as the identification of assumptions is crucial and can lead to the redefinition of the results chain. So it is

better to define your assumptions before your indicators.

Risk corresponds to a potential future event, fully or partially beyond our control that may (negatively) affect the achievement of objectives. Since potential impacts can be both positive and negative, some agencies have chosen to widen the definition of risks to include both *threats* that would prevent them from achieving their objectives and *opportunities* that would enhance the likelihood that objectives would be achieved. Such a definition has the advantage that it may enable a more balanced consideration of both opportunities and threats, thereby promoting innovation and avoiding risk aversion.

Risk assessments should consider a wide range of potential risks, including strategic, environmental, financial, operational, organizational, political and regulatory risks. For example, in the context of the above-mentioned election support programme, a potential risk may be that rising ethnic tension and violence in rural areas make people reluctant to travel to voting centres on election day. On the other hand, a potential decision by the government to double the number of voting centres would represent a significant opportunity to increase participation since travel distances may be reduced.

Using a risk matrix, as in table 6, enables systematic listing and prioritization of identified risks. In the risk matrix, risks can be ranked according to their likelihood of happening (low, medium or high) and potential severity (low, medium or high) if they were to occur. Risk mitigation should also be defined for each risk to minimize the impact of potential risks on the achievement of results.

Table 6. Risk Matrix

Risk	Likelihood of Risk (L, M, H)	Impact of Risk (L,M,H)	Risk Mitigation Strategy
Result:			
Risk			

Risk mitigation strategies are then identified that will minimize the risks from happening. Programmes and projects are expected to manage the risks related to their programme and project.

The following categories may help consider the range of strategies:

■ *Prevention* – Prevent the risk from materializing or prevent it from having an impact on objectives;

■ *Reduction* – Reduce the likelihood of the risk developing or limiting the impact in case it materializes;

■ *Transference* – Pass the impact of the risk to a third party (e.g., via an insurance policy);

■ *Contingency plan* – Prepare actions to implement should the risk occur;

■ *Acceptance* – Based on a cost/benefit analysis, accept the possibility that the risk may occur and go ahead without further measures to address the risk.

Results	Indicators	Baseline	Target	Sources of Info.	Methods	Frequency	Responsibility
UNDAF Outcome							
Output 1.1							
Output 1.2							

During implementation, it is good practice to incorporate the planned actions to respond to risks in the regular work plan of the programme or project, assigning staff members responsible for actions and resources required.

2.2.5. Role of Partners

The role of partners is the fifth column that should describe the different partners, whether they are government or a specific ministry, UN agency, NGO or any other implementing agency that might be responsible for the achievement of a given output and impact. It could also include indicative resources per partner.

2.2.6. Indicative Resources

The last column presents the indicative resources that are related to a given programme or project. In some cases, these can be itemized by activities or outputs. Amounts in this column should specify if these are from regular or other sources (i.e., trust fund, other participating UN agencies or donors).

2.3. Developing the Monitoring and Evaluation Plan or Performance Measurement Framework

In accordance with the 2010 UNDAF Guidance Package, UNCTs develop a monitoring and evaluation plan that accompanies the UNDAF Results Matrix. The monitoring and evaluation plan is used to systematically plan the collection of data to assess and demonstrate progress made in achieving expected results. The M&E plan highlights mechanisms or modalities for monitoring the achievement of outputs and the contribution towards achievement of outcomes. The M&E plan incorporates some elements of the results matrix such as indicators, targets, baselines and sources of information. In addition, your M&E plan will elaborate on the methods to be used, frequency and responsibility. The previous sections have already explained the first few columns of the results matrix.

With regard to method, the M&E plan will consider first the type of indicators and the methods required to collect information. There are a range of methods to draw from such as:

-semi-structured interviewing;
-focus groups;
-surveys and/or questionnaires;
-workshops or roundtables;
-field visits;
-testimonials;
-scorecards.

The methods used depend on the time and resources available and the depth required to adequately cover the monitoring or evaluation of your programme or project.

Frequency refers to the period that the M&E will cover: e.g., once or twice a year, mid-term and/or end of cycle.[10] Finally, responsibility refers to the person or entity (unit or organization) responsible for collecting the information.

An M&E plan will ensure that performance information is collected on a regular basis that allows for real-time, evidence-based decision-making. This requires that data be analyzed and used by the Government or programme or project responsible for the implementation of the programme. The M & E plan is developed through consultation with partners, the Government, UN agencies, local stakeholders and possibly beneficiaries. A wide inclusion of stakeholders ensures your M&E plan is realistic and feasible.

Part III. RBM in Managing

3.1. Managing for Outcomes

The "**M**" in RBM is often overlooked yet without good management it is unlikely that you will be able to achieve your results. Managing effectively for results requires the flexibility to change your strategies and activities to better achieve your results better. It also means using a team-based approach to ensure that all stakeholders concur with any proposed changes or actions. Results matrices can be updated once a year with the agreement of all stakeholders. Ongoing management of a programme and project is essential.

Table 7: Key Challenges and Strategies to Overcome Them

Key Challenges to RBM	Strategies to Overcome Them
Defining realistic results	Results should be commensurate with your resources and reach.
Developing a results-base culture	Using RBM at each stage of a programme and project cycle, rewarding results performance.
Reporting on results or the effects of completed activities vs. reporting on activities	Practice writing results based reports comparing them to your previous type of reporting.
Ongoing support, training and technical assistance in RBM	Establish RBM focal points and coaches, organize training workshops.
Moving from outputs to outcomes	Underline the difference between outputs and outcomes and reward performance that manages for outcomes.
Ensuring a cause and effect relationship and coherence between programme and project outputs and agency/UNDAF outcomes and the national goal.	Be realistic with the definition of results so that outputs and outcomes can be realistically achieved.

An important element of results-based management is ensuring that development interventions lead to effective development and a positive change in people's lives. This requires that managers manage better, ensuring that their resources are commensurate with the results and reach they hope to achieve. Results-based decision-making is a key dimension of results-based management that should not be overlooked. Identifying, developing and managing the capabilities (people, systems, resources, structures, culture, leadership and relationships) are essential for managers to plan for, deliver and assess results.

3.2. Managing for UNDAF Outcomes

An important dimension of the UNDAF is managing of UNDAF outcomes. While the planning phase with government stakeholders and UN agencies serves to prepare a framework for joint collaboration, more attention needs to be placed on managing and monitoring UNDAF outcome results. A certain flow and consistency of results should be maintained among the various programming instruments, including UNDAF, country programme documents, country programme actions plans and other agency plans.

Management of the UNDAF outcomes should reside with senior programme officers, often at the deputy representative level, and M&E officers. In some countries, they form a technical committee for the UNDAF process. It is often the case that too many programme officers and unit heads engage only in managing a portfolio of projects. Making the logical link to the country programme and UNDAF outcomes at the time of reporting is often difficult and coherence and synergy between projects is often lost. Effectively utilizing RBM therefore requires a proper management structure.

A recent study found that while UNCTs are succeeding in applying results-based planning in their UNDAFs, difficulties remain in the collection of relevant data that can contribute performance information which in turn will improve decision-making and

reporting.[11] Increased emphasis needs to be placed on the monitoring of UNDAF outcomes so that progress can be measured, monitored and fed back, ultimately influencing the implementation of the UNDAF and agency programmes.

The UNDAF Results Matrix will facilitate the assessment of the UNDAF at an aggregate level as well as monitoring of the progress of individual UN agencies. Many countries, such as Mozambique, Lesotho and Mali among others, monitor UNDAF outcomes and outputs through DevInfo databases. The DevInfo database contains basic socioeconomic country data – a broad set of indicators classified by goal, sector, theme and source.[12] As a further effort towards harmonization, the 2010 UNDAF Guidance Package requires UNCTs to conduct an annual review of the UNDAF.[13]

Part IV. RBM in Monitoring[14]

Monitoring is an important task in the life of a programme or project and is a continuous process of regular systematic assessment based on participation, reflection, feedback, data collection, analysis of actual performance (using indicators) and regular reporting. Monitoring tells us where we are in relation to where we want to be, it helps us keep on track by gathering data and evidence, identifying issues and analyzing documents and reports. We monitor for accountability purposes and in order to communicate results to stakeholders and adjust our implementation to better meet expected results and inform decision-making.

4.2. Monitoring and Evaluation of the UNDAF as a System

A single, coherent results framework and a robust, operational M&E framework, or plan, embedded within a national system for M&E are ideal for promoting coherence and national ownership. Functioning inter-agency outcome groups linked to this national M&E system are important to ensure an operational M&E system. UN country teams are expected to monitor and report regularly to the UNCT on performance. A number of tasks fall under the purview of this M&E team:

· Meet regularly with partners to assess progress;
· Conduct joint monitoring missions as appropriate;
· Report regularly to the UNCT on the above and assist the UNCT to bring lessons learned and good practices to the attention of policy-makers;
· Conduct and document annual progress reviews of the UNDAF, using the M&E plan as a framework.

The UNCT supports group members in fulfilling these roles by:

(1) Recognizing their responsibilities in performance appraisal instruments;
(2) Ensuring that UNDAF M&E groups have resources and secretariat support.

In general, it is impossible know if you are achieving results, as a system, unless there is an effective monitoring and evaluation of the UNDAF as a system. Embedding this M&E system within a national system for M&E is ideal in promoting coherence and national ownership. Paris Declaration and Accra Agenda for Action principles clearly stress the importance of supporting a national system for M&E.

4.2. Tools for Monitoring

The UNDAF Results Matrix and the M&E plan are your key monitoring tools, outlining expected results, indicators, baselines and targets against which you will monitor 'change'. The Results Matrix will help you to stay focused on the expected achievements of the programme or project. The Results Matrix can be used in a number of ways. First, it serves as the centerpiece of a programme or project proposal summarizing in a nutshell what the programme or project hopes to achieve. Second, the Results Matrix serves as the reference point for management during team meetings. It can act as a guide for reporting on progress and help you make management decisions based on performance information. Third, the results matrix is an aid for monitoring and evaluation, providing parameters for what results to measure and to account for with useful targets, baselines and sources of information. The M&E plan gives precise information on methods, frequency and responsibilities with regard to expected results and indicators.

Monitoring provides the opportunity to:

(1) Review assumptions made during the planning process to ensure they still hold true;

(2) Track progress in the achievement of results;
(3) Decide whether the original strategies are still appropriate and should be continued or modified;
(4) Make necessary adjustments to resources, both human and/or financial.

An important element of monitoring effectively is ensuring that data systems are developed and collecting information on a regular basis. Data may come from a combination of national systems and the programme or project specifically. Baseline data is normally collected at the beginning of a programme to show where the programme or project stands at a given moment. For example, if a programme aim is to increase literacy in country x, it should collect data that shows literacy levels for the country at the beginning of the programme. This data will then be compared with subsequent data in the future to measure change. Where baseline data does not exist, one may need to use qualitative methods such as testimonials, focus groups or Participatory, Learning and Action (PLA) methods such as mapping, ranking and scoring to show change over time.[15]

In some countries, DevInfo has been used to not only monitor MDG progress but also to monitor performance of other national development frameworks. For example, in Lesotho, UNDAF is monitored along with the national Vision 2020 and the Poverty Reduction Strategy using DevInfo. An analysis of the data revealed that the Government and partners need to urgently scale up multi-sector interventions to achieve a reduction in child mortality and improve maternal health. An important element of any database is using the information not only for reporting but also to inform decision-making, resource allocation and possible change in activities to better meet expected results.

Another tool for monitoring and scoring is used by many organizations to monitor different parts of their results framework. In their simplest form, scoring systems can adopt a 'stop light' approach whereby progress on indicators are rated red, yellow or green on the basis of performance. This is a significant step for organizations with limited experience in practicing RBM. Other approaches allocate scores (A to D) against the above mentioned criteria at different agreed stages throughout the project cycle. This can significantly help analysis and aggregation of results information. For example, a development intervention could be very efficient (score A) – meaning that resources/inputs are used on time at planned cost and are producing agreed upon outputs. However, the effectiveness could be weak (score C) if beneficiary perception of the outputs is poor. Also, the potential sustainability of the same intervention could be very poor (score D) if financial resources will not be available afterwards to maintain benefits or if key cross-cutting issues such as gender, etc., are not mainstreamed.

Part V. RBM in Evaluation

5.1. RBM in Evaluation

While monitoring is essentially a management function and internal to the implementation of a programme or project, evaluation is independent and external. RBM needs external validation of results reported in order to be credible.

The United Nations Evaluation Group has defined an evaluation as:

> "An assessment, as systematic and impartial as possible, of an activity, project, programme, strategy, policy, topic, theme, sector, operational area, institutional performance, etc. It focuses on expected and achieved accomplishments, examining the results chain, processes, contextual factors of causality, in order to understand achievements or the lack thereof. It aims at determining the relevance, impact, effectiveness and sustainability of the interventions and contributions of the organizations of the UN system." An evaluation should provide evidence-based information that is credible, reliable and useful, enabling the timely incorporation of findings, recommendations and lessons into the decision-making processes of the organizations of the UN system and its members. (UNEG Norms for Evaluation in the UN System, 2005: 5)

This definition has been adopted by most UN agencies.

The evaluation process should be impartial, objective and independent. These three factors contribute to the credibility of evaluation and help to eliminate bias in findings, analyses and conclusions.

Box 3: Evaluation in the UN should be:
- **Independent**—Management must not impose restrictions on the scope, content, comments and recommendations of evaluation reports. Evaluators must be free of conflict of interest (see Box 34, page 155).
- **Intentional**—The rationale for an evaluation and the decisions to be based on it should be clear from the outset.
- **Transparent**—Meaningful consultation with stakeholders is essential for the credibility and utility of the evaluation.
- **Ethical**—Evaluation should not reflect personal or sectoral interests. Evaluators must have professional integrity, respect the rights of institutions and individuals to provide information in confidence, and be sensitive to the beliefs and customs of local social and cultural environments.
- **Impartial**—Removing bias and maximizing objectivity are critical for the credibility of the evaluation and its contribution to knowledge.
- **Of high quality**—All evaluations should meet minimum quality standards defined by the Evaluation Office (see Annex 3).
- **Timely**—Evaluations must be designed and completed in a timely fashion so as to ensure the usefulness of the findings and recommendations
- **Used**—Evaluation is a management discipline that seeks to provide information to be used for evidence-based decision making. To enhance the usefulness of the findings and recommendations, key stakeholders should be engaged in various ways in the conduct of the evaluation.

Source: Adapted from the UNDP, 'The Evaluation Policy of UNDP', Executive Board Document DP/2005/28, May 2006. Available at: http://www.undp.org/eo/documents/Evaluation-Policy.pdf.

Evaluations have three key functions:

(1) **Utilization**. As an input to provide decision-makers with knowledge and evidence about performance and good practices;
(2) **Accountability**. To donors, funders, political authorities, stakeholders and the general public, and
(3) **Contribution**. To institutional policy-making, development effectiveness and organizational effectiveness.

Over time, the accountability function has expanded from primarily donors and government to stakeholders and beneficiaries of development interventions. This means that evaluations should be useful to all parties, not only the hiring organization. Evaluations should also help to improve development effectiveness and provide critical inputs for managing for results.

A key tool used in planning an evaluation is the M&E matrix (combined) to review results achieved to data, determine progress in the baseline and targets, and assess how risks are mitigated or if assumptions still hold true. Normally, the evaluator will report on these aspects of the Results Matrix along with five other variables: relevance, efficiency, effectiveness, impact and sustainability.[16]

5.2. Measuring Achievements in Policy Norms and Standards
(UNEG to review. Broaden beyond gender)

It is well recognized that special efforts are required to evaluate the effectiveness of gender equality, advocacy and policy. For gender equality, it is challenging to measure social change, particularly in the context of women's rights, gender equality and women's empowerment work. M&E frameworks must enable us to understand how change happens or how gender relations have been altered and whether there is sustainable change. Capturing social change does not necessarily occur in a linear way. It is important that M&E frameworks track how social change is unfolding by including negative and positive changes, reversals and backlash. Unpacking the nature of gender and social inequalities is important.

With regard to advocacy and policy, it is important to name specific outcome areas that describe the types of changes for individuals or within systems that are likely to occur as a result of advocacy and policy change efforts. This should make it easier to know what to measure. For example, social change outcomes might include: public awareness, political will, policy adoption, and implementation to the physical and social changes in lives and communities. Key stakeholders should be involved in determining the direction and level of change expected.

Part VI. RBM in Reporting

Results-based reporting is one of the key challenges to reporting on results achieved. All too often, reports do not adequately tell the story of the effects that their development interventions are having. Results-based reporting seeks to shift attention away from activities to communicating important results that your programme or project has achieved at the UNDAF output and outcome levels. An important aid is your results matrix, which clearly articulates the results at the output and outcome level and the indicators, baselines and targets. These items, along with the review of indicators, assumptions and risks should be your guide for reporting on results.

The reporting matrix, as shown in table 8, can help you to summarize the results you are achieving. With results-based management, UN agencies seek shorter, more concise reports that report systematically on actual results using the indicators designed in the planning phase. You should also note any changes in the baseline or in the achievement of targets in your results-based report.

An effective results-based report communicates and demonstrates the effectiveness of your intervention and makes the case to stakeholders and funders for continued support and resources. A results-based report can also be used to demonstrate accountability to governing bodies of UN agencies, government and donors. It should also be used by Resident Coordinators and UN Country Teams to inform their decision-making.

UN Country Teams are also expected to produce a UNDAF report to national authorities on progress towards results at least once per cycle. The focus of these reports should be reporting results at the outcome level and the UN contribution to these outcomes. (See Standard Operational Form for UNDAF Reporting, January 2010).

In writing the results story, you will need to consider:

(1) What was achieved and what were your indicators of success;
(2) How do actual results compare to expected results;
(3) Quantifying achievement whenever possible;
(4) Illuminating findings with quotes, testimonials, photos, etc.;
(5) What were the reasons for over or under achievement;
(6) Any unforeseen problems or opportunities that may require new strategies or a redesign of your initiative;
(7) The involvement of others (partners, stakeholders, beneficiaries) and degree of attribution, if possible;
(8) Enough data to describe the effects of activities undertaken.

By presenting credible, reliable and balanced information, you will be able to produce an effective results-based report.

Figure 3: Elements of an Effective Results-based Report

An effective report can also be one that highlights areas of inefficiency and poor results, etc.

Quality criteria for results reporting, when reviewed and rated by external independent consultants, include: (1) Completeness; (2) Balance (good and bad); (3) consistency

(between sections); (4) substantive-ness   'source')
and reliability; and 5) clarity. (include

Table 8: Example of a Results-based Report

Output Indicators	Baseline	Target	End-line data
Overall Progress on UNDAF outcome: Greater access and equity in health services for adolescent and vulnerable groups. While the programme is in its initial phases, preliminary results look promising. Data collection around the access and equity on health services is showing a 5 % increase per year. Special efforts have also been made to ensure that marginalized groups like indigenous women and men and adolescent boys and girls have greater access to health services. The special programme targeting adolescent youth and reproductive health with outreach and theater has been very successful in promoting the importance of reproductive health…..			
Output 1: Strengthened national capacity to develop and implement a human resource development plan for safe motherhood, within the national human resource development plan.			
-Human resource development plan for safe motherhood developed -# of people trained	-Comparison of new development plan with the old development plan -0	Assessment in 3 provinces for HR situation with regards to safe motherhood. -30 men and 70 women professionals trained.	Human Resource Development Plan is developed and the report is available. -At the end of year two, target was achieved.
Overall Progress for Output # 1: The National Human Resource Development Plan for Reproductive Health with a focus on Safe Motherhood Initiative for 2008-2020 developed with technical assistance of UNFPA along with other stakeholders. An implementation plan for the National Human Resource Development Plan was also developed with the participation of various stakeholders which has led to increased commitments from civil society and government Ministries. The implementation of the Human Resource Development plan is progressing well and we are beginning to see an increase use of adolescents sexual and reproductive health services.			
Output # 2: Strengthened reproductive health information and services for young people within the context of the national adolescent health strategy.			
-Life skills education incorporated into the adolescent health strategy. -Satisfaction of youth with reproductive health information and services. -Models for strengthening reproductive health and HIV/AIDS information and services for out-of-school young people created.	0 0 0	-1 -70% of youth satisfied 2 models	-1 -60% of youth satisfied with health services -2 models
Overall Progress for Output # 2: Young people's multisectoral needs, rights and necessary reproductive health related health skills have been incorporated into the adolescent health strategy, which is being finalized in 2009. Similarly, two models for adolescent sex and reproductive health information dissemination have been developed, which are currently functioning and operational. A survey of adolescent youth reveal about 60% satisfaction level with the new health information and services in place. Youth made recommendations to increase the extension services available to them. Both the models are being handed over to the respected Ministries-Ministry of Public Health and the Deputy Ministry of Youth Affairs with the view of scaling up these efforts in multiple provinces of the country.			
Output # 3…..			

# Part VII. Using RBM for Learning, Adjusting and Decision-making

As all management systems for planning, monitoring and evaluation become more results based, it is expected that the process of implementation will lead to greater learning, adjustment and decision-making. This continual process of feedback and adjustment, as seen in figure 4, seeks to make programme and projects more responsive to the environment within which they operate.

UN agencies need to ensure that they have adequate mechanisms for flexibility, revision, adjustment and learning. UN Country Teams need to work in tandem with government to operationalize the review process so that learning and adjustment can take place. A number of mechanisms can be put into place to ensure this:

- Establishing and supporting data collection and analysis at the community level;
- Utilizing biannual meetings and yearly reviews to review the performance of your programmes or projects;
- Establishing electronic systems to post questions, technical information and assistance needs that can facilitate knowledge sharing and exchange;

- Organizing cross-regional learning processes, such as workshops and retreats, to take stock and analyze results;
- Exploring UN Country Team events as venues for the dissemination of successful UN initiatives and practices to inform a wider audience.

Figure 4. Use Results Information for Organizational Learning
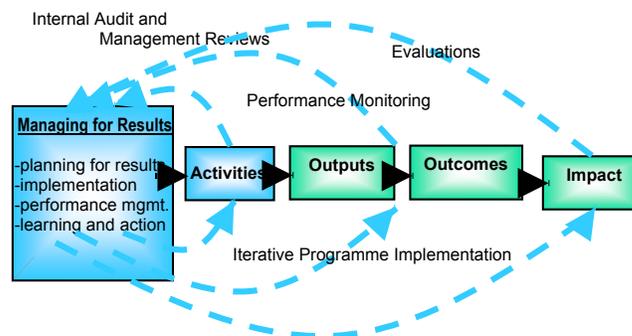
Optimizing performance between and among UN agencies and key stakeholders is the key to ensure accountability, ownership, buy-in and sustainability of development interventions and long-term change. This always needs to be kept in mind when applying RBM to any organization, programme and project.

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Annexes:

Annex 1: Results Matrix with Outcome and Output Levels: Maternal Health[17]

National Development Priorities or Goals: Reduce maternal mortality (MDG 5).					
Results	**Indicators , Baseline, Target**	**Sources and Methods of Information (Means of Verification)**	**Assumptions and Risks**	**Role of Partners**	**Indicative Resources**
UNDAF Outcome: By 2013, greater provision of High Quality Emergency Obstetric Care Care is achieved.. *(List contributing UN agencies for each of the outcomes and highlight the outcome convener)*	-**Indicator:** Satisfaction of women patients with Emergency Obstetric Care **Baseline:** To be conducted. **Target:** 70% of women patients satisfied with services. -**Indicator:** # of women 15-49 years benefitting from comprehensive emergency Care services **Baseline:** 35% of women 15-49 benefitting from Emergency Care Obstetric Care Services.	Sources: Women patients of Emergency Obstetric Care. Methods: Survey	Assumption: Women and communities are aware of the expansion of the Emergency Obstetric Care and there is no social/cultural barrier to seek such care when needed.	UN agency: Executing Agency Other UN agency provides technical assistance.	$ 125,000 for Post training coaching and support
Output 1.1 : Improved human and technical capacity to provide comprehensive Emergency Obstetric Care by municipal health facilities.	**Indicator:** # of skilled/qualified women and men health providers in all facilities at municipal level. **Baseline:** 500 Doctors, nurses and midwives **Target:** 800 Indicator: Doctors, nurses and mid-wives feel confident and competent to deliver Emergency Obstetric Care. Baseline: tbd Target: 80% of doctors, nurses and midwives feel competent to deliver services.	Sources: Municipal Health Facilities Doctors, nurses and mid-wives Methods: Yearly reporting, survey and testimonials.	Assumptions: Doctors, nurses feeling motivated, confident and competent in using Emergency Obstetric Care services. Risk: High turnover of medical personnel.	Other UN agency to provide technical assistance, mentoring and coaching	$ 150,000 for capacity building
Output 1.2. : Emergency Obstetric Care kits distributed.	-# of Obstetric kits made available and used per year. -Doctors, nurses and midwives satisfied with kits and respond to their needs. Baseline: 300 kits Target: 600 kits	Source: Health Facilities Method: 6 monthly reporting & survey	Assumption: The allocated resource is sufficient to reach out to the remote provinces.	UN agency to review kits with local personnel.	$ 30,000 for 600 kits
Outcome 2…					
Output 2.1: …					

Source: UNSSC, RBM Group 1: Maternal Mortality.

Comments: Note the relationship between the outputs and the outcomes it generates. There should be a clear cause and effect relationship between outputs and outcomes. There should be no more than 3 indicators per output or outcome. Ideally, one should combine both quantitative and qualitative indicators to be able to fully measure the outcome or output.

Annex 2: Results Matrix with Outcome and Output Levels: Gender Equality

National Development Priorities or Goals: Improve gender equality (MDG 3).					
Results	**Indicators , Baseline, Target**	**Sources and Methods of Information (Means of Verification)**	**Assumptions and Risks**	**Role of Partners**	**Indicative Resources**
UNDAF Outcome: Promote Gender Equality and Empower Women **UNSSC Proposal: Government's capacity to realize its gender equality commitment is enhanced.**	Indicator: -# of job opportunities for women -# of women involved in key macro decision-making bodies (PRSPs, SWAPs, etc) -Degree of empowerment by women	Government statistics (review) Women (survey)	Assumptions: Implementation of SWAPs and PRSPs leading to concrete change in women's lives.	3 UN agencies working together on this issue in terms of capacity-building, technical assistance and participatory facilitation methods.	25 million
Output 1.1. Increased number of development Strategies (including PRSPs, SWAPs, post-conflict reconstruction strategies, and other nationally owned plans) incorporate gender equality in line with national commitments to women's empowerment (e.g. MDGs) and Human Rights (e.g. CEDAW and regional human rights commitments.	**Indicator:** # of countries that incorporate gender equality in line with national/global commitments to gender equality. **Baseline:** 40% of countries in which UN agency is involved in providing gender equality support. **Target:** 60% of countries in which UN agency is involved in providing gender equality support. **Indicator:** Extent to which national, regional and global plans and strategies incorporate national/regional/global commitments to gender equality and women's empowerment. **Baseline:** to be determined at the onset **Target:** 70% of countries in which UN agency is involved in providing gender equality support.	PRSPs, SWAPs, and Department responsible for Women's Issues "	Assumption: Continued National Government Commitment Risk: Change of Government results in change of priorities	Lead UN agency to provide technical assistance. Programme administered by UN agency that has a gender focal point.	$ 250,000
Output 1.2: Strengthened capacities of key national partners to mainstream gender equalities priorities into National Development Strategies	Indicators: Degree to which national partners acquire new skills and methods to better integrate GE in national Development Strategies Baseline: Low-to medium level of GE skills and application. Target: Medium-to high level of GE skills and application. Indicators: Level of satisfaction of national partners with the integration of GE priorities into National Development Strategies.	National Partners	Assumption: The participants of training workshops are able to apply what they learned in their daily work. Risk: High government turnover .	Lead UN agency to recommend capable GE trainers. Other UN agency will administer the workshop	$ 100,000
Output 1.3: Global databases on national action plans for women and on gender equality in national development strategies are up-to-date and easily accessible	Indicator: Data base is operational Baseline: Database exists Target: Database relevant to GE needs and tracking	Ministry of Planning and Dept for Women's Affairs	Assumption: Database is up-to- date and functional Risk: Obstacles in obtaining up-to-date information.	Lead UN agency to provide technical assistance to make database operational.	$ 75,000
Output 1.4. : Increased number of budget processes that fully incorporate gender equality.	Indicator 2.1. : Number of Sectoral budget processes in which Gender budgeting is incorporated. Baseline: 5% Target: 50% increase by 2011. Indicator 2.2. : Satisfaction of government and civil society and GE NGOs with Government allocation of	2.1. Ministry of Finance 2.2. Ministries of Finance, Planning, Health and Agriculture	Assumption: Commitment exists within Government to undertake Gender budgeting Risk: Indifference of	Lead UN agency to provide a GE Financial Expert	$ 125,000

	budget.		government officials to budget GE. {Should be included in doc signed by Gov?}		
UNDAF Outcome # 2:					

Annex 3: Results Matrix with Outcome and Output Levels: Gender Equality Access to Resources, Goods, Services and Decision-making in the Rural Areas.

National Development Priorities or Goals: Improved Gender Equality in access to resources, goods and services and decision-making in rural areas.					
Results	Indicators , Baseline, Target	Sources and Methods of Information (Means of Verification)	Assumptions and Risks	Role of Partners	Indicative Resources
UNDAF Outcome 1: Enhanced Government capacities to incorporate gender and social equality issues in agriculture, food security and rural development programmes, project and policies.	Indicator: Collection and Use of Data disaggregated data to inform decision-making Baseline: Data collection is done on a regular basis. Target: Quarterly meetings to analyse data and inform decision-making, policy formulation and budgets.	Ministry of Agriculture	Assumption: National commitment continues to consider and plan development interventions to meet the gender differential needs, priorities and aspirations of men and women. Risk: Inadequate data make it difficult to analyse trends in social and gender issues, identify needs and priorities and support the development of appropriate gender plans and policies.	Lead agency and other UN agencies working in agriculture	22.4 million
Output # 1.1. : Application of socio-economic and gender analysis (SEAGA) tool for policy formulation and planning.	Indicator: # of national institutions receiving lead UN agency's technical support that have adopted SEAGA tool for policy formulation and planning. Baseline: 10 Target 15 in 2 years and 22 in four years. Indicator: Satisfaction with the SEAGA tool by Government employees	National Institutions, FAO Ministry of Agriculture	Assumption: Lead UN agency continues to show commitment to achieving gender and social equality. {Not good: seems some agencies are not committed to gender equality} .	Lead agency to provide technical support.	
Output # 1.2. : Sex disaggregated food security and rural development data collected, analyzed, used and disseminated on a nation wide basis.	1.2.a. Indicator: Number of countries that collect, analyze, use and disseminate sex disaggregated food security and rural development data. Baseline: 15; Target: 20 in two years and 30 in 4 years. 1.2. b. Indicator: Degree of relevance of sex disaggregated food security and rural development data. Baseline: Medium; Target: High	Government of Countries (Survey)	Assumption: Data disaggregated at the local level making rolling up easy. Risk: Lack of consistency in the collection of data.	Lead agency to provide technical support.	
UNDAF Outcome 2...					
Output 2.1: ...					

Annex 4: Results Matrix with Outcome and Output Levels: Prevent Hunger and Invest in Disaster Preparedness

National Development Priorities or Goals: To strengthen the capacity of Government to prepare for, assess and respond to acute hunger rising from disasters.

Results	Indicators , Baseline, Target	Sources and Methods of Information (Means of Verification)	Assumptions and Risks	Role of Partners	Indicative Resources
UNDAF Outcome 1: Food security of vulnerable population is improved.	Indicator: Degree of food consumption by poor households.	Ministry of Agriculture (six monthly survey)	Assumption: Adequate food supply for distribution. Risk: Food Security and disaster systems not fully operational.	3 key UN agencies working together to increase agricultural productivity, increase food stocks, and provide early disaster warning support.	70 million
Output 1.1. : Adequate food consumption over assistance period for targeted households at risk of falling into acute hunger.	Indicator: Household food consumption score. Baseline: tbd Target: Score exceeds threshold for 80% of targeted households.	Annual Survey Data (survey)	Assumption: Adequate food consumption Risk: Inadequate govt. stockpiles of food.	Key UN agency working with Government Ministry to distribute food.	I UN agency total support: $ 30 million
Output 1. 2. Food and non-food items distributed in sufficient quantity and quality to targeted women, men, girls and boys under secure conditions.	Indicator: # of women, men, girls and boys receiving food and non-food items, by category and as % of planned figures. -Tonnage of food distributed, by type, as % of planned distribution -Quantity and quality of fortified foods, complementary and special nutritional products distributed.	Ministry responsible for food distribution. (monthly ledge)	Assumption: Distribution channels are operational. Risk: Transportation vehicles and routes inadequate. {Risk too high and should lead to mitigation measure}	UN Agency with Government counterpart to ensure logistics food aid.	
UNDAF Outcome 2. **Government capacity in disaster prepardness and food security information management increased**.	Indicator: Disaster preparedness index Baseline: Disaster preparedness index of 5. Target: Disaster preparedness index equal to or greater than 7.	Annual monitoring and /or survey data	Assumption: Adequate personnel and equipment in place. Risk: High staff turnover due to low wages.	Government intervention in terms of logistics and salary levels.	
Output 2,1. Disaster Mitigation measures in place..	Indicator: Risk reduction and disaster preparedness and mitigation systems in place, by type (early warning systems, contingency plans, food security monitoring systems, etc) Baseline: 65% in place Target: 95% in place	Government	Assumption: Staff keen to receive training. {seems to be an activity level assumption} Risk: Inadequate staff support , coaching and mentoring.	UN agency to provide technical expertise in disaster mitigation.	
UNDAF Outcome 3: Hazard Risk reduced at community level in targeted communities	Indicator: Household Asset Score Baseline: Base level : 60% of households Target: Asset score threshold set to	Targeted Households	Assumption: Households are willing participants of	Un agency to provide support to Government	

	capture 80% of targeted households over base level. Indicator: Community Asset Score Baseline: Base level: 60% of households. Target: Asset score threshold set to capture 80% of targeted households over base level.	Targeted households Survey Data (survey)	support and aid. Risk: Hostile households due to ethnic conflicts.	department. Use of community based participatory methods.

Annex 5: Results Matrix with Outcome and Output Levels: Governance {UNSSC proposes removing because too broad/ambitious}

National Development Priorities or Goals: To reduce poverty and improve social safety net.					
Results	**Indicators , Baseline, Target**	**Sources and Methods of Information (Means of Verification)**	**Assumptions and Risks**	**Role of Partners**	**Indicative Resources**
Agency Outcome: Government Decentralized and restructured to promote efficient, effective and accountable delivery of integrated services for pro-poor and sustainable economic development	Indicator: # of Ministries represented at the Departmental level Baseline: 5 Target: 15 Indicator: # of programmes executed at the field level. Baseline: 20 Target: 85 Indicator: Satisfaction of local population with decentralized government programmes. Indicator: Budget allocated to pro-poor and economic development. Baseline: $ 500 million Target: $800 million	Various Government Ministries (review and survey) Targeted Government Ministries of Health, Social Development, Economic Affairs (review and survey)	Assumption: Adequate personnel (M/F) and training at provincial and district level. Risk: National Government remains highly centralized.	Provincial and district authorities 5 UN agencies to provide technical expertise and know-how.	$ 100 million
Output 1.1. : Capacity of Parliament and Justice Sector to address gender issues and cope with likely effects of HIV & AIDS, gender based violence and Human Security strengthened.	Indicator: # of training workshops Baseline: 5 workshops Target: 15 workshops Indicator: Quality of new knowledge and its application. Baseline: Low Target: Medium-High	M/F Workshop participants. (Evaluation)	Assumption: Technical Expertise found. Risk: Gap between knowledge and application.	Provincial and district authorities	
Output 1.2. : Capacity of CSOs, CBOs, volunteer organizations, and particularly women led organization, strengthened to implement, manage and report on project execution, to build partnership and become full-fledged development agents.	Indicator: # of projects executed by CSOs, CBOs and volunteer organizations. Baseline: 100 Target: 175 Indicator: # of new partnerships Baseline: tbd Target: tbd Indicator: Perception of CSOs, CBOs and volunteer organizations with regards to their capacity. Baseline: low-medium Target: Medium-high	CSO, CBOs, volunteer organizations (review and survey)	Assumption: Continuation of outside funding Risk: Government instability upsets execution of programmes by NGOs.	Provincial and district authorities	
Output 1.3. : Capacity to effectively mainstream HIV/AIDS, gender and vulnerable group issues into governance processes at all levels strengthened.	Indicator: # of new government programmes targeting HIV/AIDS, gender and and vulnerable group issues. Baseline: 12 Target: 25 Indicator: Satisfaction of targeted groups with Government programmes. Baseline: Low-medium Target: Medium	Various Government Ministries (review and survey)	Assumption: Government will exist to work with CSO and CBOs. Risk: Low government capacity to integrate AIDS and gender issues into government programmes.	Provincial and district authorities	