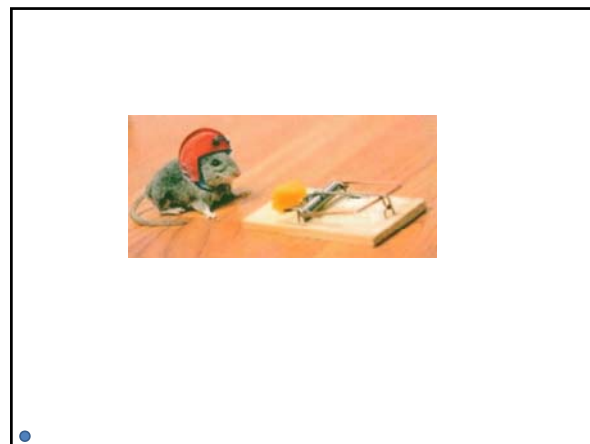


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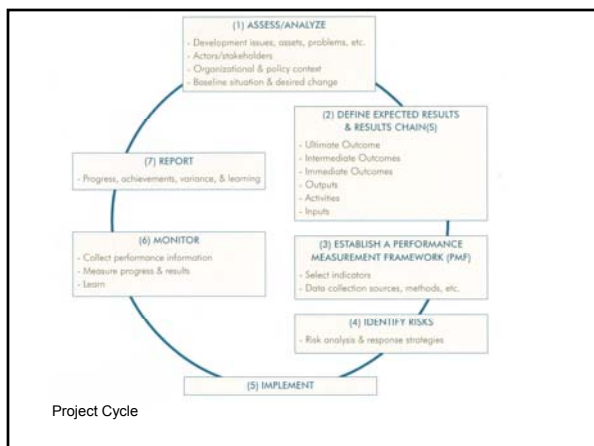
## An overview of changes to CIDA's RBM

Taken from ACIC/CIL training  
December 2009



- Nova Scotia Agricultural College **NSAC** Embrace Your World
- I. New Terms
  - II. Logic Model
  - III. Performance measurement framework
  - IV. Risk Register
  - V. Telling the "Performance Story"

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- RBM considered to focus on:
- i. Achieving outcomes
  - ii. Implementing performance measurements
  - iii. Learning and adapting
  - iv. Reporting performance (self-monitoring; participatory)



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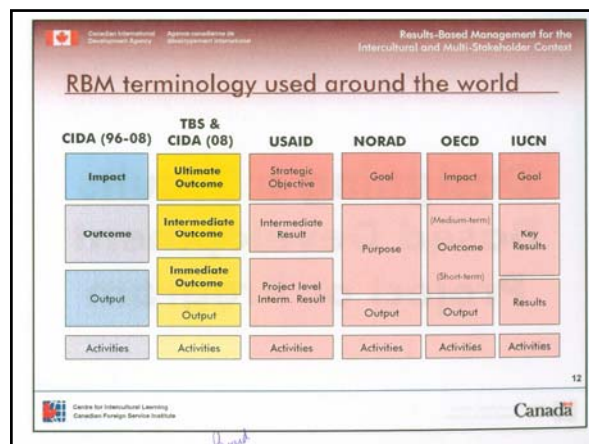
### CIDA Definitions

Result: describable,  
measurable;  
cause & effect

Development result: ????

Results = Outcomes (sub-classified by time; extent)  
Partially attributable to CIDA \$

Former terms	Present CIDA jargon
Impact	Ultimate Outcome
Outcome	Intermediate Outcome
Output	Immediate Outcome
Completed Activity	Output



- ### Present CIDA terms under RBM
- Ultimate Outcome – change in the state
  - Intermediate Outcome – at the end of the project (change in practice; behaviour)
  - Immediate Outcome – change in ability, skill, knowledge, or awareness resulting from successful intervention (change coming from output)
  - Output – completed training, product,
  - Activity – actions to mobilize inputs and produce outputs (training)
  - Inputs – used in conducting activities: \$, human resources, material, information

- ### Present CIDA terms under RBM
- Ultimate Outcome – **Conditions**
  - Intermediate Outcome – **Performance**
  - Immediate Outcome – **Capacities**
  - Output – **What is produced**
  - Activity – **What is done**
  - Inputs – **What is invested**

- ### Present CIDA terms under RBM
- Ultimate Outcome – **Conditions**      WHY?
  - Intermediate Outcome – **Performance**      { WHAT?
  - Immediate Outcome – **Capacities**      {
  - Output – **What is produced**      HOW?
  - Activity – **What is done**
  - Inputs – **What is invested**

- ### Present CIDA terms under RBM
- Objective : intention; what is the target for improvement? (To improve....)
  - Expected result: what change is expected at the end of the project?
    - Written in past tense

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## Objectives vs. Results

An Intention

**Objective**

- To improve access to safe drinking water for up to 5,000 people in 10 communities devastated by a recent hurricane in East Region of Country X.

An Expectation

**Expected Result (Ultimate, intermediate, immediate outcomes)**

- Improved access to safe drinking water for people living in communities devastated by a hurricane in East Region of Country X.

**Actual Results:** During the life of the project and at the end of the project we measure whether or not we achieved the expected result. Thus, an actual result will capture the project's achievement.

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## Language of Change

Change is signified by such words as:

- Improved (health conditions)
- Increased (income of local communities)
- Strengthened (capacities of local NGOs)
- Reduced (infant mortality)
- Enhanced (ability to apply RBM)

Results must show change as an effect of CIDA's intervention.

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## 1. Logic Model

- Results at each outcome level and Results Chain
- Ensure the "logic"
- Focused on cause and effect

➤ Starts with "Result Statements"

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## The Results Statement and Change

A results statement outlines what a policy, program, or investment is expected to achieve.

A results statement describes the change stemming from CIDA's contribution to a development activity in cooperation with others.

**Different types of change:**

- Change in state
- Change in attitude
- Change in circumstances
- Change in skills
- Change in behaviour
- Change in practices, and so on
- Change in functioning

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## Results and a Results Chain

- Three different levels of results seek to capture the developmental changes that occur:
  - Immediate Outcomes (short-term results): Changes in ability, skill, awareness and knowledge
  - Intermediate Outcomes (medium-term results): Changes in behavior and practice; and
  - Ultimate Outcome (long-term results): Changes in state for the ultimate beneficiary
- These results are linked together into what is commonly referred to as a results chain.

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## "Sound" Results

- One idea/result (KISS)
- Simple wording
- Directional verb
- What, who, where
- Realistic, achievable, relevant
- Measureable

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### Sound, sounder, soundest?

- Improved access to drinking water




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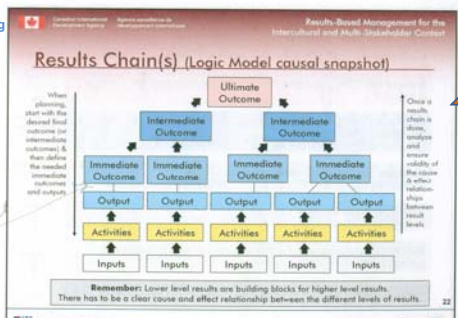
### Sound, sounder, soundest?

- Improved access to sanitation facilities, drinking water, and latrines by local population
- Improved access to drinking water
- Improved access to safe drinking water for women and men, boys and girls living in communities devastated by a hurricane in East Region of Country X



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Results Chain(s) (Logic Model causal snapshot)



When planning, start with the desired final outcome (or intermediate outcomes) & then define the needed intermediate outcomes and outputs.

Once a results chain is done, analyze and ensure validity of the cause & effect relationships between result levels.

Remember: Lower level results are building blocks for higher level results. There has to be a clear cause and effect relationship between the different levels of results.

Cause & Effect

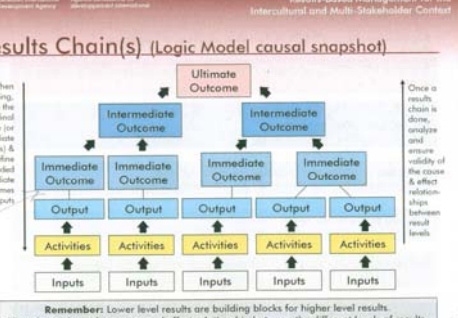
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### "Sound" Results

- One idea/result (KISS)
- Simple wording
- Directional verb
- What, who, where
- Realistic, achievable, relevant
- Measureable

A minimum of 1 result chain is required to promote equality and address sex disaggregated data

Results Chain(s) (Logic Model causal snapshot)



When planning, start with the desired final outcome (or intermediate outcomes) & then define the needed intermediate outcomes and outputs.

Once a results chain is done, analyze and ensure validity of the cause & effect relationships between result levels.

Remember: Lower level results are building blocks for higher level results. There has to be a clear cause and effect relationship between the different levels of results.

Example of Possible Changes at Outcome Levels for Capacity Development Investments

Ultimate Outcome	Social	Economic	Civic	Cultural	Environmental	
Intermediate Outcomes	Decision-making	Social Action	Efficiency	Behavior	Policy making	Viability
Immediate Outcomes	Knowledge	Opinions	Skills	Awareness	Attitudes	Processes
Outputs	Networks	Courses	Systems	Workshops	Assessments	Publications
Activities	Networking	Training	Counseling	Facilitation	Meetings	Media work
Inputs	Money	Staff	Time	Materials	Equipment	Technology

Sources: Adapted from St. Mary's University, Revised for CPE Course April 08

## 2. Performance Management Framework (PMF)

PMF

Expected Results <sup>1</sup>	Indicators <sup>2</sup>	Baseline Data	Targets <sup>3</sup>	Data Sources	Data Collection Methods	Frequency	Responsibility
Ultimate Outcome (Long term)							
Intermediate Outcomes (Medium term)							
Immediate Outcomes (Short term)							
Outputs							

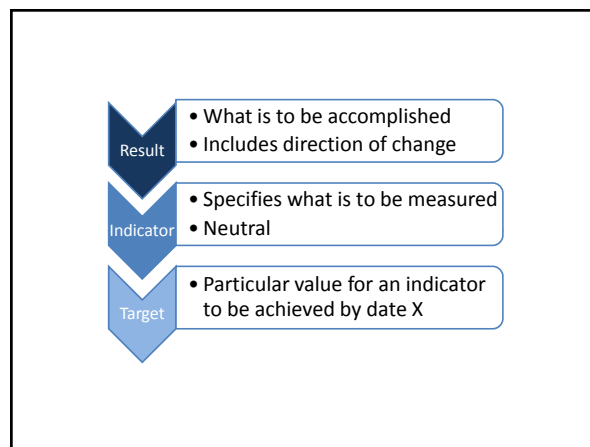
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### Data

Data sources:

Data collection methods:

Responsibility:



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### Performance Indicators

- What would the change look like?
- A unit to measure change but NOT the direction of change

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#### Few Basic Principles/Tips for Indicator Selection

- The indicators must be developed in *participatory* fashion including all major stakeholders, whenever possible
- The number of indicators for measuring each result must be limited.
  - Rule of Thumb: Use maximum 2-3 indicators per result, 1 qualitative, 1 quantitative and 1 that makes most sense for the respective result statement.
- Projects (and Programs) require baseline data that enable comparisons to be made over time, and help determine the change resulting from a CIDA investment or contribution.

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## Performance Indicators

1. What would be a qualitative indicator?
2. What would be a quantitative indicator?

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### Types of Indicators

Indicators can be:

**Quantitative**

- Number of,
- Frequency of,
- Ratio of,
- Variance with,
- % of,
- etc.

**Qualitative**

- Attitudes,
- Behaviours,
- Skills,
- Perceptions of,
- Quality of,
- Level of (understanding),
- Beneficiary opinion,
- Extent of,
- Congruence with
- Presence of
- etc.



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## Criteria for Performance Indicators

1. Validity – can measure both + & - change
2. Reliability – consistent over time
3. Sensitivity – change in indicator α to extent of change
4. Simplicity - ease of collection and analysis
5. Utility - usefulness in decision making
6. Affordability -

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### Illustration: Managing for Activities vs. Managing for Results

Element	Management by Activities	Management for Results
<b>Objective</b>	To build wells in 15 communities	Stated as an <b>expected result</b> : "Improved and sustainable usage of clean & safe water by families in region X."
<b>Indicator</b>	# of wells built	# of people (m & f) using well water; level of satisfaction by the community with the well water; level of skill by local representatives on well maintenance; state of the wells at end of the project (and ideally all of the above after 2 years of construction)
<b>Completed Activities (Implementation)</b>	Wells built	Wells built, training delivered on how to keep water clean, well-maintenance and developing maintenance structures.
<b>Performance Measurement</b>	Using indicators, we would confirm that the wells are being built as planned, or by end of project all wells are built.	Using indicators, we would have to confirm whether people are using the water, are satisfied with the water, etc. as well as that the wells are built and the community has the capacity to maintain the well and has taken ownership, etc.
<b>Change/Results Achieved by the end of Project</b>	Villagers returned to old practices – going to river for dirty water. Well #10 shown how to keep water clean, repair wells, etc shared ownership	Improved and sustainable use of clean & safe water by families in region X; health, over time, will lead to lowered diseases & in-and lowered mortality, etc.]
<b>Accountability</b>	Could not hold org. accountable for the wells not being used. They delivered what they said they would – build wells.	The organization would be held accountable in a different way: for the change in the state of human development

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### Some Examples of Indicators

**Quantitative**

1. Number of women in the decision-making positions.
2. Number of women and men capable of reading basic material.
3. Ratio of men and women in decision-making positions in the Government.
4. Number of human rights violations.

**Qualitative**

1. Level of satisfaction (as defined by quality and timeliness of services) of the beneficiaries.
2. Quality of the service provided.
3. Perception of men on women's participation in the local Committee.
4. Coherence between the management tools developed and the absorptive capacity of the beneficiaries.
5. Perception of staff about their skills in revenue generation

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### Life Cycle Approach

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### Values in on-going self-evaluation of projects

- a. Partnership
- b. Suspend judgment; reflexivity
- c. Transparency
- d. Respect partners' knowledge
- e. Inclusion

Common understanding vs Shared understanding

*"Willingness to be surprised"*

### 3. Risk Register

Recognizing  
Risk evaluation (impact & likelihood)  
Planning strategies  
Adjusting in real time



Department of International Development Agency    Agency responsible for management coordination

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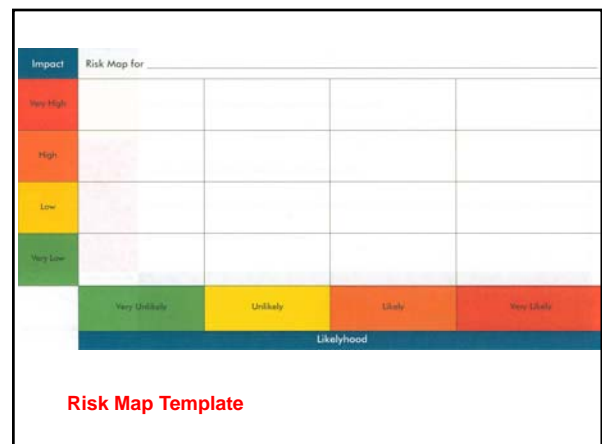
Impact = high      Likelihood = medium

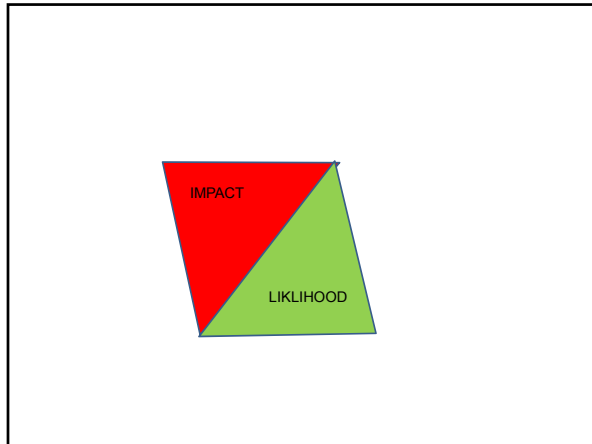
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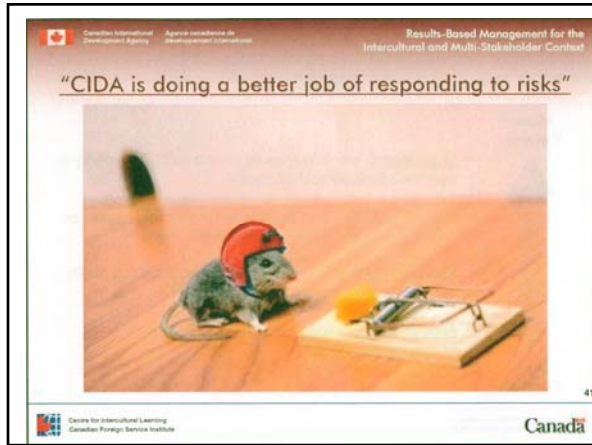
Mitigation ....





**RISK REGISTER**

Risk Definition There is a risk that...		Risk Level (Add columns as needed)				From Program Risk Profile (Y/N)	Indicate Investment LM Result Level	Mitigation needed	Risk owner
		Initial rating	Date2	Date3	Date4				
Op1	... Program effectiveness may be compromised by an inability to attract and hold competent staff	Very High	High	Low	Very Low	Yes	PR	Renegotiate with the ministry...	Project Manager
Op2	Add rows as needed								
<b>Financial Risks</b>									
Fin1									
Fin2									
<b>Development Risks</b>									
Dev1									
Dev2									
<b>Reputation Risks</b>									
Reputation									



**Codes for Logic Model Result Level:**

- PR = Whole Project
- O = Outputs
- IMO = Immediate Outcome
- ITO = Intermediate Outcome
- UO = Ultimate Outcome

Risk Definition There is a risk that...		Risk Level (Add columns as needed)				From Program Risk Profile (Y/N)	Indicate Investment LM Result Level	Mitigation needed	Risk owner
		Initial rating	Date2	Date3	Date4				
Op1	... Program effectiveness may be compromised by an inability to attract and hold competent staff	Very High	High	Low	Very Low	Yes	PR	Renegotiate with the ministry...	Project Manager
Op2	Add rows as needed								
<b>Financial Risks</b>									
Fin1									
Fin2									
<b>Development Risks</b>									
Dev1									
Dev2									
<b>Reputation Risks</b>									
Reputation									

**Key Risk Areas**

- i. **Operational** (inputs; activities)
- ii. **Financial/Legal/Contractual** (outputs; immediate outcomes)
- i. **Development** (immediate & intermediate outcomes)
- i. **Reputation** (stakeholder confidence)

More control  
  
 Less control



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### Philosophy of on-going evaluation

- ✓ Iterative
- ✓ Admit when don't meet the expected results
- ✓ Endorse learning from past lessons
  - Storytelling (in reverse)
    - Where are we?
    - How did we get here?
    - Where did we start from?
  - ❖ Variance is more interesting than just success.

Alan Kaplan. Artists of the invisible: Practionners of social development and change

Robert Chambers – participatory techniques

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### Terms:

- a) Beneficiary
- b) Intermediary
- c) Stakeholder
- d) Partner
- e) Implementing organization

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### Terms:

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### Result vs. Indicator vs. Target

- Often there is confusion between results, indicators, and targets
  - **Results:** are precise statements of what is to be accomplished:
    - Increased literacy rate among ethnic groups
  - **Indicator:** specifies exactly what is to be measured along a scale or dimension, but does not indicate the direction of change (i.e. increased or decreased)
    - Literacy rate, level of knowledge
  - **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 ethnic groups by the year 2011

Source: Adapted from OECD/DAC, Results based management in the development cooperation agencies: A review of experience. Background Note 2007, p. 16-20

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### Good Indicator Criteria

**Validity:** Does it measure positive and (potential) negative directions of the result?

**Reliability:** Is it a consistent measure over time?

**Sensitivity:** When the result changes will it be sensitive to those changes?

**Simplicity:** Will it be easy to collect and analyze the information?

**Utility:** Will the information be useful for decision-making and learning?

**Affordability:** Can the program/investment afford to collect the information?

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### Principles of Feedback:

- 1) Descriptive
- 2) Specific
- 3) Constructive
- 4) Usable
- 5) Timely
- 6) Clear
- 7) Requested
- 8) Unthreatening

**SET:**  
Support  
Empathy  
Truth

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### Terms:

- a) Beneficiary
- b) Intermediary
- c) Stakeholder
- d) Partner
- e) Implementing organization

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### Terms:

- a) Beneficiary – “reach”; “target organization”; individual/organization that will experience the change of state at the ultimate outcome; may also experience at immediate & intermediate level
- b) Intermediary – target of select activities but not ultimate

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### Terms:

- c) Stakeholder – individual, organization with interest or concern for a measure or event (economic, societal, environmental)
- d) Partner – implies that they will work to achieve the expected results
- e) Implementing organization- implements project or program that CIDA is funding

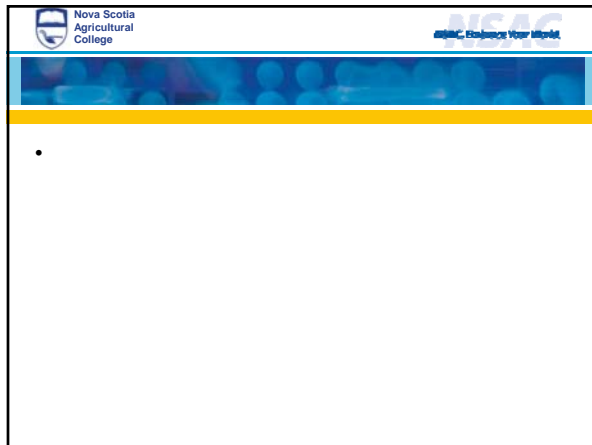
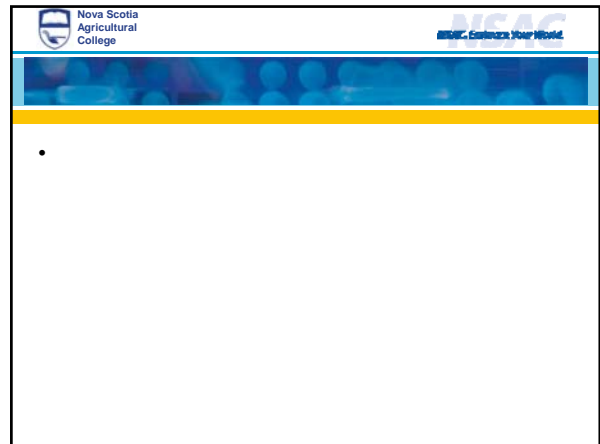
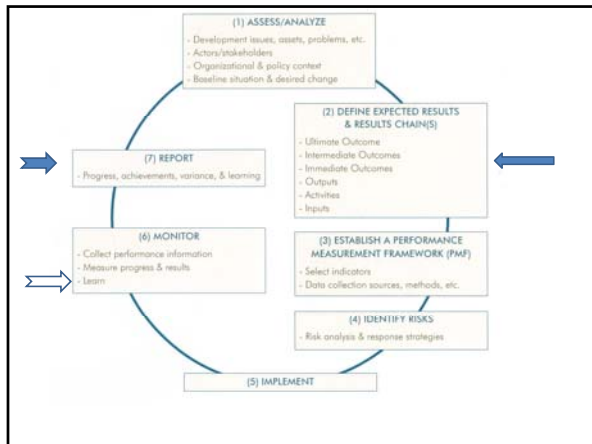
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### Stakeholder Map

Ours also included:

- Donors
- The “empty chair”
- Communities
- Culture Keepers (elders/leaders)
- Other govt agencies
- Not to miss anyone
- Understand local context(s)
- What is already going on?
- Determine the scope
- See impact of risks
- Teambuilding

**R<sup>3</sup>**



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### Treasury Board Terminology is now CIDA Terminology

New CIDA Terminology (Treasury Board)	Earlier CIDA Terminology
• Ultimate Outcome	• Impact
• Intermediate Outcome	• Outcome
• Immediate Outcome	• Output
• Output (Direct products or services stemming from activities)	• *Completed Activity

*\*(CIDA did not previously recognize this level in the Results Chain)*

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## Performance Indicators

- What would the change look like?
- A unit to measure change but NOT the direction of change
- For each outcome there MUST be:
  - 1) One quantitative indicator (freq, ratio, %, #)
  - 2) One qualitative indicator (attitude, behaviour, perception, level of understanding, presence of...)
  - 3) Another one; either qualitative or quantitative



