

# TERMS OF REFERENCE

## EVALUATION OF RESULTS-BASED MANAGEMENT AT UNDP

### CONTEXT AND PURPOSE OF THE EVALUATION

1. UNDP adopted a results-based management approach in 1999, with agreement of the first MYFF. The goal of results-based management is to enhance UNDP's contribution to development effectiveness. There is considerable organizational interest in reviewing UNDP experience in results-based management as evidenced by the number of reviews that have been conducted on related issues.<sup>1</sup> In addition, recent evaluations conducted by the UNDP Evaluation Office have highlighted persistent issues and gaps related to the operation of results-based management systems and approaches at the country office level. Recognizing the need to take stock of UNDP results-based management experience, the Executive Board approved the UNDP evaluation agenda that included the evaluation of results-based management at UNDP in the 2006 June Session.
2. Though a number of studies of results-based management have been conducted by different organizational units within UNDP and within the wider UN system,<sup>2</sup> these are mostly based on desk studies and interviews with select stakeholders at UNDP headquarters. Moreover, these studies have focused on assessing whether a results-based management system is in place and the quality of the results information reported. This evaluation aims to complement these studies rather than duplicate them and is expected to provide input to the processes underway in the organization to improve results-based management.
3. Therefore, the primary intention is not to assess whether results-based management systems are in place (this is the function of the expanded audits) or how they are used in reporting on UNDP performance to the Executive Board and external audiences (this has been covered extensively in other reviews). Nor is the intention to focus on assessing the quality of the results frameworks used or indicators selected as this has been commented upon extensively in other studies. Finally, the evaluation does not seek to evaluate the effectiveness or impact of individual projects or programmes at the country level. It limits itself to attempting to identify whether or not the contribution of results-based management to enhancing such results and impacts can be identified, based on results and impact information already produced by the country programmes and partners.
4. The main purpose of the evaluation will be to examine the degree to which the results-based management approach adopted by UNDP since 1999 has fostered a results culture within the organization, enhanced

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1 MSI, 'Background Paper on Results-Based Management in Development Organizations', Management Systems International, July 2006, p 6; Danish Ministry of Foreign Affairs, 'Assessing Results Management at UNDP', 15 June 2006.; UNDP Administrator's Office, 'Management and Workflow Review—Phase I', January 2006.

2 Ibid. UN, 'Implementation of Results-Based Management in the UN Organizations', Joint Inspection Unit, 2004; OECD, 'Results-Based Management in Development Co-operation Agencies: A Review of Experience', DAC Working Party on Aid Effectiveness, 2001.

capacity to make better management decisions, improved focus and efficiency, and strengthened UNDP's contribution to deliver development results.

## AUDIENCE AND USE OF THE EVALUATION

5. The evaluation will be presented to the Executive Board in January 2008 and the findings of this study will feed into the ongoing efforts to develop UNDP's Strategic Plan.

## SCOPE AND EVALUATION CRITERIA

6. The evaluation will cover the period 1999–2006, although for the purpose of assessing the effectiveness of results-based management, the evaluation will examine management approaches that preceded the introduction of results-based management.
7. It will cover all geographic regions and evaluate results-based management at the programme, country, regional and corporate levels. At the country level, the evaluation will assess the results-based management approach under the diverse development conditions in which UNDP functions—including, but not restricted to, programme size, development context such as aid-dependence, and varying capacities for monitoring and evaluation (M&E).
8. The evaluation will address the following: What was results-based management expected to achieve? How was it adapted to suit the changing context of UNDP and the aid environment? What were the intended and unintended results of the results-based management approach at UNDP? What worked (and did not) and why?
9. The evaluation will, to the extent possible, evaluate against the evaluation criteria of relevance, efficiency and effectiveness. It is considered that the other commonly applied criteria—impact, value-for-money, client satisfaction and sustainability—are not relevant within the context and availability of data for this evaluation.

## APPROACH

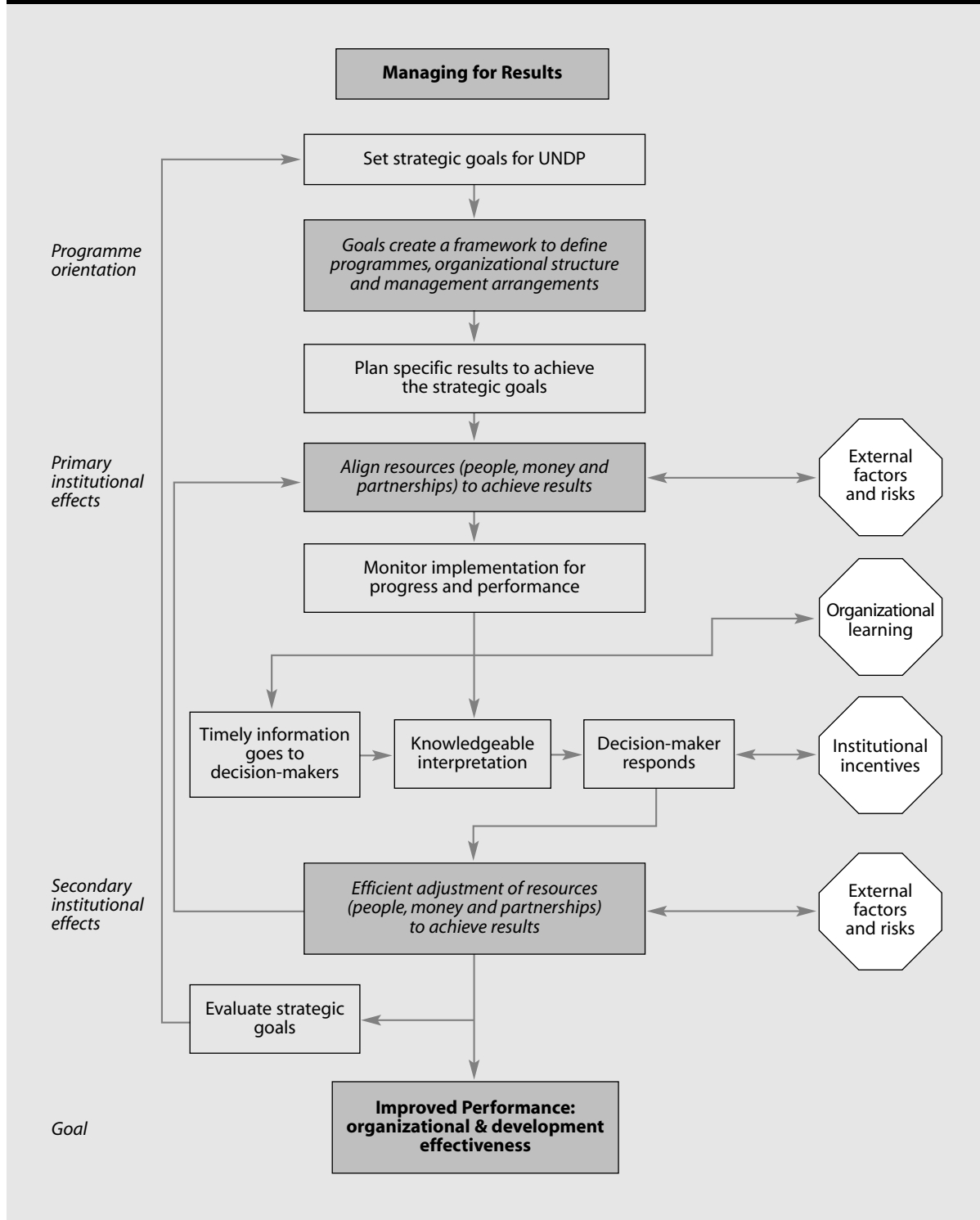
10. A theory-based approach, based on an underlying model of organizational change, will be used. This will allow the evaluation to build a cumulative picture of progress along a change pathway.
11. The basic theory underpinning results-based management is based on a systems understanding of how organizations operate. The way in which results-based management might influence changing behaviour within the organization can therefore be represented as a logic model or theory of change, using simple assumptions about stimulus and response. To be used as a model for evaluation, a theory of change should have certain characteristics:<sup>3</sup>
  - Postulated relationship must appear coherent and logical
  - Planned change must be 'doable' (resources and expertise)
  - Theory of change must be 'testable' (amenable to empirical investigation and verification)
12. The theory of change that will be used has been derived from literature on the introduction of a results-based management system and is presented diagrammatically in Figure 1.<sup>4</sup> The diagram follows the key principles for results-based management at UNDP. It starts with setting strategic goals then continues with planning results to achieve the goals, monitoring implementation for

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<sup>3</sup> These characteristics summarize the evaluability of the theory.

<sup>4</sup> See 'RBM in UNDP: Overview and General Principles', 2000.

**Figure 1. Theory of change for results-based management**



progress and performance, taking corrective management action and evaluating results. The stages in the diagram identify key effects, starting with a clearer orientation of

UNDP initiatives followed by realignment of resources towards results, efficient adjustment of resources, and links with knowledge and institutional learning.

13. The implicit goal is improved performance (interpreted here as development effectiveness). Details of the pathway by which results-based management processes that improve management decision making and enhance an agency's contribution to development effectiveness are not clearly specified in the literature. This is also methodologically more challenging compared with the situation in many other agencies, since UNDP programmes are usually implemented by development partners who, in management terms, are at arm's length from UNDP and UNDP's contributions are often in terms of soft assistance, rather than money. This issue will be explored further during the evaluation.
14. Under a systems approach, results-based management should be just one of a number of sub-systems operating within UNDP. The evaluation will therefore examine how this particular sub-system has interacted with other key sub-systems and the impacts of these interactions on how the results-based management sub-system is actually used. The results-based management sub-system may be defined as including:
  - The MYFF and ROAR, which focus on development results
  - The Balanced Scorecard and Dashboard, which focus primarily on tracking organizational efficiency
15. Supplementing use of the theory-based approach, the evaluation will also seek to assess whether systems are in place and the expected processes are being used in their operation against benchmarks. Benchmarks should be drawn from the following: those benchmarks developed during the UN Joint Inspection Unit's review of results-based management within the United Nations in 2004; material presented in the Joint Venture on Managing for Development Result's Source Book; and the objectives set out in the Paris Declaration on Aid Effectiveness.

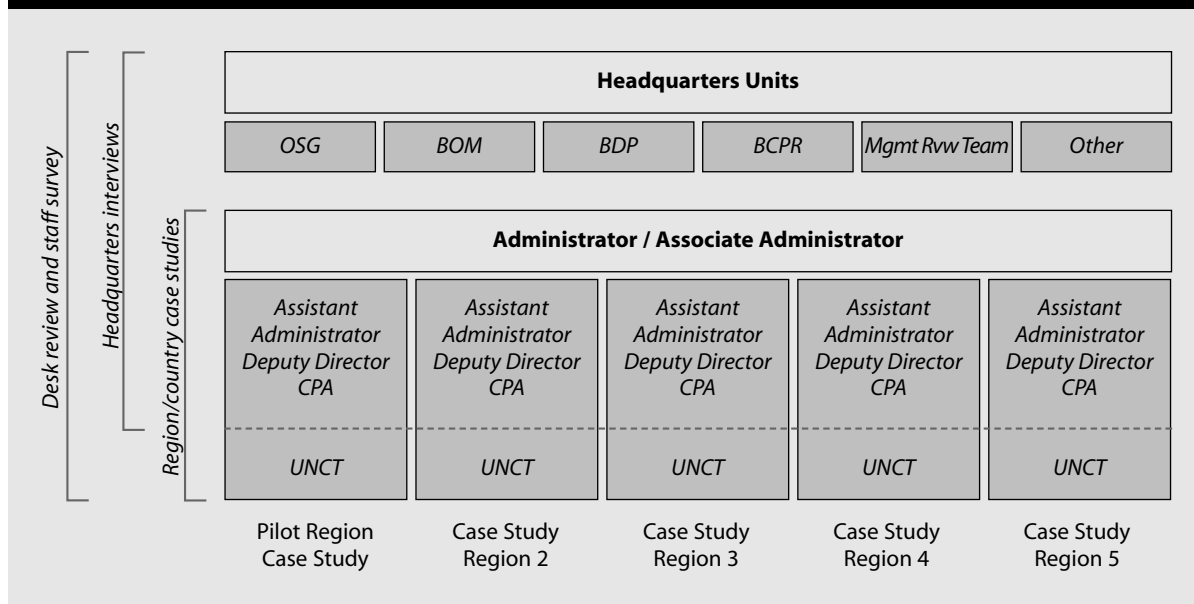
## METHODOLOGY

16. Data will be collected using three research methodologies. These are:
  - A desk review and analysis of relevant secondary material
  - A survey of all country offices aiming to gather data on issues emerging from the desk review and pilot regional case study
  - A number of case studies
17. The unit of analysis will be the country office up to the relevant regional bureau and Executive Office. This will allow a better understanding of how decision making is affected by results-based management across the chain of accountability within the organization. This will then be supplemented by an analysis at headquarters level of how results-based management systems were developed and their implementation supported across the organization and how development of the results-based management systems was coordinated with development of other key systems (mainly the human resources, knowledge management and financial allocation and monitoring systems). This approach to defining the unit of analysis is illustrated in Figure 2.

## INCEPTION PHASE AND DESK REVIEW

18. The inception phase will include a headquarters-based mapping of issues raised in the terms of reference and preparation of background documentation. A research or technical assistant based in New York will prepare detailed syntheses and extracts of the documentation collected. This activity will support an initial visit by the evaluation team to UNDP headquarters to meet with headquarters units, including the Evaluation Office, management, regional bureaux, Operations Support Group, Bureau of Management and Bureau for Development Policy. This visit will also provide an opportunity to select the five countries for

**Figure 2. Clusters of the evaluation enquiries**



inclusion in the case studies. At the end of the Inception Phase, the evaluation team will prepare an Inception Report elaborating on the terms of reference and describing how the evaluation will be carried out, refining and specifying the expectations, methodology, roles and responsibilities, and timeframe. This Inception Report will be reviewed with the Evaluation Office, Expert Panel and other UNDP stakeholders and, if necessary amended, before the launching of the main evaluative work.

### IMPLEMENTATION, INCLUDING COUNTRY VISITS

19. The implementation phase will include the following activities:
  - Consultations at headquarters aimed at gathering information on the development and implementation of relevant systems and the role of management and the regional bureaux in the management and oversight of country programmes.
  - Visits by members of the evaluation team to the five country programmes. Visits will last for approximately seven to eight

working days and will include meetings with the government and non-governmental organizations, as well as the UN Country Team.

- Development and use of a web-based survey questionnaire aimed at relevant staff in UNDP country offices.

### FINALIZATION AND REPORT

20. An advisory group consisting of three to four international experts in results-based management and development evaluation will be the external reviewers and the Evaluation Office will provide the internal review. The review process will involve the following: assessing the feasibility of the terms of reference; assessing the soundness of the methodology proposed by the team; verifying satisfactory operationalization of the terms of reference; addressing reliability and appropriateness of the evidence used in the study; and ensuring findings and recommendations are relevant, based on solid evidence and are within the mandate of UNDP.
21. The preliminary findings for case studies will be presented to the stakeholders in mission

countries for verification of facts and evidence as part of the country missions. Short reports, detailing information and findings from the country visits will be produced and sent to the country teams and regional bureaux to allow discussion and checking of their factual accuracy.

22. The evaluation team will meet subsequent to the country visits to identify major findings prior to drafting of the main Evaluation Report. Preliminary findings and conclusions will be informally presented to UNDP management and also at the June 2007 Executive Board session. The Evaluation Office will then assume responsibility for ensuring that the draft main Evaluation Report is circulated among all key stakeholders (within UNDP, the Evaluation Office and the advisory group) to ensure that findings and recommendations are relevant, based on solid evidence and are within the mandate of UNDP. The team will respond to all comments presented by the reviewers and will provide a rationale for any and all comments which it disagrees with.
23. Final responsibility for the content of the Main Report shall lie with the UNDP

Evaluation Office. The final Evaluation Report, along with the management's response to the conclusions and findings, will be presented at the January 2008 Executive Board session.

## **CONDUCT OF EVALUATION**

24. The evaluation will be conducted in accordance to UN Evaluation Group Norms and Standards. These are available online at: <http://www.uneval.org/docs/ACFFC9F.pdf>.

## **EVALUATION TEAM**

25. An international team of independent consultants supported by national experts and research/technical assistance, as needed, will undertake the evaluation. There will be four to five international team members with an array of experience linked to results-based management. A research assistant will be posted with the Evaluation Office for the preliminary desk review and to support the evaluation team. All team members will be selected and recruited by the Evaluation Office.

## Annex 2

# PEOPLE CONSULTED

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## Annex 3

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## Annex 4

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## Annex 5

# TABLES

Table 1. Timeline of key events in UNDP's adoption of results-based management

Table 2. Results reporting and data capture systems in UNDP (2007)

Table 3. Comparison of areas of work across strategic documents (2000-2007)

Table 4. Evidence of outcome monitoring in five countries

Table 5. Example of outcome reporting from the Indonesia Resident Coordinator Annual Report for 2006

<b>Table 1. Timeline of key events in UNDP's adoption of results-based management</b>	
<b>Year</b>	<b>Key Event</b>
<b>1997</b>	<p>A comprehensive 2001 change management process was launched in May 1996. The focus was on overhauling the way UNDP does business, rather than revisiting the mission and mandate, which were covered under Executive Board Decision 94/14. Recommendations made to the Executive Board in DP/1997/16/Add.7 aimed to achieve a client-focused, speedy, learning and growing organization. The following principles specific to results-based management in the action plan were included in this document:</p> <ul style="list-style-type: none"> <li>■ Shift to ex-post accountability framework, in which country programmes manage programmes, finances, administration and personnel.</li> <li>■ CCFs should reflect country-owned strategies within UNDP programming framework, with measurable targets for both impact and results.</li> <li>■ Enhance programme focus at the country level by establishing broad corporate strategic objectives.</li> <li>■ Develop overall corporate performance indicators as a basis for establishing objective management performance criteria.</li> <li>■ Clarify broad strategic areas in which UNDP would mainly work.</li> <li>■ Evaluation Office should complete development and testing of programme performance indicators for use as basis for better monitoring, feedback and organizational learning.</li> <li>■ Complete revision and simplification of programming management procedures.</li> <li>■ Build on recent pilots, decide at the senior level to move ahead with a system for performance management and measurement in programming, finance and administration. (Note this was the work that led to the Balanced Scorecard).</li> <li>■ Identify and assign clear responsibility for administering and coordinating the performance management and measurement system. Office of Audit and Performance Review and Evaluation Office should take responsibility for development of performance indicators at corporate and programme levels.</li> <li>■ Focus functions of the regional bureaux on the holistic oversight of country office performance, a function at present not covered by any unit, and on management support and quality control.</li> <li>■ Regional Bureau Directors should report to the Administrator through the Associate Administrator. This includes assembling and maintaining a complete, up-to-date overview of UNDP operations and providing corporate management with consolidated monitoring reports. Monitoring country office compliance with defined indicators of management performance, including delivery, resource mobilization and the Resident Coordinator function.</li> <li>■ Establish the Executive Committee as a collegial body to take management decisions on strategic direction, corporate planning and policy definition.</li> </ul>

**Table 1 cont-d**

Year	Key Event
1998	Use of strategic frameworks piloted in selected UNDP country programmes.
1999	SRFs produced across all UNDP country offices. The principle of managing for outcomes rather than project outputs established, although key initial change identified is the move from managing inputs to managing for project outputs.
2000	<ul style="list-style-type: none"> <li>■ The Way Forward: The Administrator's Business Plans 2000-2003 (DP/2000/8), presented to the Executive Board. Outlines how UNDP will be transformed into a more results-orientated organization.</li> <li>■ The first corporate MYFF 2000-2003 is introduced. The MYFF comprised two basic elements: a corporate-level SRF that aggregated information across the SRFs produced by the country offices and an integrated resource framework for the organization.</li> <li>■ First ROAR produced by country offices based on the 1999 SRFs. This was reporting on performance in the year before the 1st MYFF became operational.</li> <li>■ Balanced Scorecard introduced across all UNDP country offices in December, focused on measuring how successful offices are at introducing new ways of doing business described in The Administrator's Business Plan 2000-2003. Balanced Scorecard focused around four perspectives: client satisfaction, internal efficiency, learning &amp; growth and financial resources.</li> </ul>
2001	The SRF is internalized into the country programme outline, so with each new country programme formulation, UNDP will establish intended outcomes and outputs in dialogue with the government and other national stakeholders.
2002	<ul style="list-style-type: none"> <li>■ Most mandatory requirements for project level M&amp;E are abolished in UNDP and shift to monitoring at the level of the outcome promoted. Guidance issued at corporate level in 'Handbook on Monitoring and Evaluating for Results' that outlined principles that should be used and how they should be applied.</li> <li>■ Introduction of the RCA in its present approach, with explicit focus on assessment of performance against results.</li> <li>■ UNDP experience with aligning and assessing country programmes with the SRF leads to identification of six core practice areas: democratic governance, poverty reduction, crisis prevention and recovery, energy and environment, information and communications technology, and HIV/AIDS. Organization-wide knowledge management and technical expertise to support work of the country offices is reorganized around these six practice areas.</li> </ul>
2003	<p>Publication of assessment of the 1st MYFF. Key issues and results flagged include:</p> <ul style="list-style-type: none"> <li>■ Reduction in number of outcomes from an average of 14 per country programme in 2000 to less than 10 in 2002 is an indicator of increased focus.</li> <li>■ Decline in the percentage of outcomes drawn from UNDP sample outcomes and increase in outcomes agreed between the country office and partner government from 2000 onwards.</li> <li>■ Problems in the quality of formulation of outcomes and outputs in country SRFs.</li> <li>■ Updates on progress tended to be limited to non-key achievements and linked more to outcome indicators than outcomes.</li> </ul>

**Table 1 cont-d**

<b>Year</b>	<b>Key Event</b>
<b>2004</b>	<ul style="list-style-type: none"><li>■ Second corporate level MYFF (2004-2007) becomes active. Concept of service lines (30) introduced, which would act as a soft boundary rule on what UNDP should support at country level. Concept of core results (90) introduced, partially to address problems encountered by country offices when identifying outcomes in their SRFs.</li><li>■ Requirement for setting of annual outcome level targets introduced. Also expected that country offices would establish baselines at outcome level and also estimated budget by outcome.</li><li>■ ATLAS is introduced across all UNDP country offices (January). ATLAS is a computerized ERP system that aims to allow integration of all project-level information in a single system; i.e. budgeting, financial transactions and potentially performance (M&amp;E) information. ATLAS also allows aggregation of all relevant project data by outcome.</li></ul>
<b>2005</b>	ATLAS used as a basis for reporting against the new MYFF, based on self assessment of progress against agreed annual outcome level targets.
<b>2006</b>	<ul style="list-style-type: none"><li>■ Balanced Scorecard revised to include 5th perspective tracking results performance that draws data from the ROAR reports. This represents move to link MYFF and Balanced Scorecard results reporting.</li><li>■ New guidance on Results Management issued at the corporate level that replaces the UNDP programming manual and Handbook on Monitoring and Evaluating for Results. Aspiration is that practice at country office level will reflect the new guidance by end 2007.</li></ul>
<b>2007</b>	Development of the 'Strategic Plan' for 2008-2011, which will succeed the MYFF 2004-2007.

**Table 2. Results reporting and data capture systems in UNDP (2007)**

	Tool	Date of introduction	Use	Updated	Data capture system
<b>Corporate Level</b>					
Planning	MYFF	2000	Set goals and parameters for focus	4 yearly	ROARs
Reporting	MYFF Report	2000	Report on performance to Executive Board	Annual	ROARs
<b>UN Country Team</b>					
Planning	CCA	2000	The analytical foundation of the UNDAF	In advance of UNDAF	CCA provides analytical foundation for the UNDAF. Draws on PRSP monitoring and NHDR, for example.
Planning	UNDAF	Piloted in 1997/1998. Rolled out in 2000.	The programming instrument by which all UN organizations work with governments to define a mutually agreed upon assistance framework.	Beginning of programming cycle	CCA
<b>Country Programme Level</b>					
Planning	CPD	2003	The programming instrument in which a government and UNDP set out their planned cooperation over a multi-year period. Responds to both the UNDP MYFF and country UNDAF. Approved by the Executive Board. Includes SRF and intended outcomes.	Beginning of programming cycle	Draws on CCA and UNDAF processes. CPD replaced CCF in 2003.
	CPAP	2006	Formal agreement between UNDP and the government to execute the country programme. The CPAP further refines the programme design and capacity development strategies outlined more strategically in the CPD. It details the programme, the major results expected and the strategies for achieving these results and clarifies the arrangements for programme/project implementation and management.	Beginning of programming cycle	Based on the CPD. Introduced in 2003, but only mandatory since 2006.
Reporting	ROAR	2000	Annual assessment of performance against intended outcomes. ROARs also report on other aspects of performance, as defined in annual guidance issued. During MYFF 2004-2007 also reported against the emphasis given to each of six 'drivers of development effectiveness' while pursuing results and further information in the 'strategic outlook' section.	Annual	No defined process before 2003. From 2003, M&E reformed to reflect outcome orientation, so ROAR should be based on evidence from annual project reviews, outcome monitoring and project and outcome evaluations. Synthesized during annual programme review. As CPAP was introduced, called the annual CPAP review.
	Country Office Balanced Scorecard	2000	Targets set annually (mostly by headquarters) and monitor management performance at the country office level.	Annual	Draws on staff and partner surveys, data from financial systems (from ATLAS since 2004). Since 2006, 5th perspective draws on ROAR performance data.

**Table 2 cont-d**

	<b>Tool</b>	<b>Date of introduction</b>	<b>Use</b>	<b>Updated</b>	<b>Data capture system</b>
<b>Outcome Level</b>					
Planning	ATLAS Project Tree	2004	Maps projects and finance against individual outcomes	As needed	ATLAS
Reporting	ROAR	2000	Annual targets set	Annual	Annual review. Setting of annual target against outcome introduced in 2002.
<b>Project Level</b>					
Planning	Project document		<p>The project document serves two essential and related purposes:</p> <ul style="list-style-type: none"> <li>■ It specifies the goals and expected results of UNDP intervention.</li> <li>■ It is the vehicle through which UNDP provides financial and technical support to achieve these results.</li> </ul>	Start of project	
	Project Annual Work Plan (AWP)	2002	<p>A detailed reporting on planned activities and results of activities, prepared jointly and signed by the country office and implementing partner</p> <ul style="list-style-type: none"> <li>■ Focus on outputs with narrative on progress towards achieving CP outputs</li> </ul> <p>'Umbrella AWP' identifies all projects according to specific partner.</p>	Annual	
Reporting	Annual Project Report (APR)	2002	Product of annual review involving all key project stakeholders and the implementing partner, and focused on the extent to which progress is being made towards outputs, and that these remain aligned to appropriate outcomes. All evaluations of the project, or related outcomes should be considered, along with their respective management responses and action plans.	Annual	

**Table 3. Comparison of areas of work across strategic documents (2000-2007)**

<b>MYFF 2000-2003 Strategic Area of Support</b>	<b>MYFF 2004-2007 Service Line</b>	<b>Corresponding Key Result Area in the Strategic Plan</b>
I.1.1. Promote public awareness and policy dialogue on sustainable human development issues (e.g., through human development reports, regional human development reports, NHDRs and national long-term perspective studies). I.3.1. Promote participation in development planning and other decision-making processes at subnational level. III.1.2. Strengthen capacity of national and sectoral environmental planning agencies to manage the environment and natural resources base.	1.1. MDG reporting	3. Supporting the participatory preparation and implementation of MDG-based national development strategies <sup>5</sup>
I.1.1. Promote public awareness and policy dialogue on sustainable human development issues (e.g., through human development reports, regional human development reports, NHDRs and national long-term perspective studies). I.3.1. Promote participation in development planning and other decision-making processes at subnational level. III.1.2. Strengthen capacity of national and sectoral environmental planning agencies to manage the environment and natural resources base.	1.2 Policy reform to achieve the MDGs	3. Supporting the participatory preparation and implementation of MDG-based national development strategies
II.2.5. Promote entrepreneurship and access of the poor to microfinance services.	1.3 Local poverty initiatives including microfinance	1. Promoting inclusive growth and gender equality <sup>6</sup>
I.1.3. Promote equitable management of globalization with emphasis on social protection for the interests of the poor.	1.4 Globalization benefiting the poor	2. Fostering inclusive globalization
I.1.2. Promote private sector development.	1.5 Private sector development	1. Promoting inclusive growth and gender equality
See all of Goal IV.	1.6 Gender mainstreaming	1. Promoting inclusive growth and gender equality <sup>7</sup>

<sup>5</sup> Reporting is addressed along with planning, monitoring and evaluation under this key result area.

<sup>6</sup> There is no specific outcome or reference to micro-finance under this key result area.

<sup>7</sup> Gender mainstreaming is also addressed at the outcome level in all poverty key result areas and under the other three development focus areas as well.

**Table 3 cont-d**

<b>MYFF 2000-2003 Strategic Area of Support</b>	<b>MYFF 2004-2007 Service Line</b>	<b>Corresponding Key Result Area in the Strategic Plan</b>
<p>I.1.2. Strengthen institutional capacity of electoral commissions, systems and processes, and reform electoral laws.</p> <p>I.2.4. Strengthen a culture of good governance, including support to reform initiatives and the promotion of consensus building and tolerance between different political and social parties.</p> <p>1.3.1. Promote participation in development planning and other decision-making processes at subnational level.</p> <p>I.2.6. Support the capacity of the poor and civil society for self-organization and development of alliances (e.g., community organizations, trade unions, farmers' associations and political parties).</p>	1.7 Civil society empowerment	3. Supporting the participatory preparation and implementation of MDG-based national development strategies <sup>8</sup>
No corresponding specific area of support.	1.8 Making ICTD work for the poor	No corresponding poverty key result area. <sup>9</sup>
2.1.1. Promote pro-poor macroeconomic and sectoral policies and national anti-poverty plans that are adequately financed (e.g., 20/20 initiative).	2.1 Policy support	3. Promoting knowledge and practices about democratic governance grounded in UN values
I.2.1. Develop institutional capacity of parliamentary structures, systems and processes.	2.2 Parliamentary development	2. Strengthening responsive governing institutions
<p>I.2.2. Strengthen institutional capacity of electoral commissions, systems and processes, and reform electoral laws.</p> <p>IV.1.5. Promote voter education for women and gender-sensitivity of elected and appointed officials regarding women's rights.</p>	2.3 Electoral systems	1. Fostering inclusive participation
<p>I.2.3. Reform and strengthen the system of justice, including legal structures and procedures.</p> <p>IV.3.4. Build the knowledge and capacities of law enforcement agents and other officials (judges, lawyers, police, immigration officers, jail wardens) regarding women's human rights under national and international law and treaties.</p>	2.4 Justice and human rights	<p>2. Strengthening responsive governing institutions (justice)</p> <p>3. Promoting knowledge and practices about democratic governance grounded in UN values (human rights)</p>

8 Civic engagement is also addressed as a strategic outcome under the democratic governance key result area "fostering inclusive participation."

9 Under democratic governance, the inclusive participation key result area includes an outcome on inclusive communications and e-governance for accountability and transparency.

**Table 3 cont-d**

<b>MYFF 2000-2003 Strategic Area of Support</b>	<b>MYFF 2004-2007 Service Line</b>	<b>Corresponding Key Result Area in the Strategic Plan</b>
No corresponding specific area of support.	2.5 E-governance	1. Fostering inclusive participation <sup>10</sup>
I.3.1. Promote participation in development planning and other decision-making processes at subnational level. I.3.2. Support development of sound decentralization policies, including increased allocation of resources to the subnational and national levels. I.3.3. Develop capacity of local authorities.	2.6 Decentralization and local governance	No corresponding governance key result area. <sup>11</sup>
I.4.1. Promote an efficient public sector that improves (economic) management and provides open access to services. I.4.2. Support awareness initiatives and national programmes that combat corruption and enhance integrity and accountability in the management of public and private resources.	2.7 Public administration reform and anti-corruption	2. Strengthening responsive governing institutions (public administration) 3. Promoting knowledge and practices about democratic governance grounded in UN values (anti-corruption)
III.1.1. Develop and implement legal and regulatory frameworks and policies that link sustainable environment and management of natural resources to critical areas of development. III.1.2. Strengthen capacity of national and sectoral environmental planning agencies to manage the environment and natural resources base. III.1.3. Strengthen national and local capacities for collection, analysis and dissemination of environmental information and statistics. III.1.4. Develop mechanisms for effective mobilization of financial resources for national action in environmental and natural resource management. III.3.4. Development, promotion and exchange of sound environmental practices and technologies (such as those on climate change).	3.1 Frameworks and strategies	1. Mainstreaming environment and energy <sup>12</sup> 3. Adapting to climate change
III.2.1. Implement national and local programmes that promote sustainable management of energy, land, water, forest and other biological resources.	3.2 Effective water governance	1. Mainstreaming environment and energy <sup>13</sup>

10 This key result area includes an outcome on inclusive communications and e-governance.

11 Key result areas 1-3 make reference to 'national, regional and global levels'.

12 This issue is mainstreamed under this key result area.

13 This issue is mainstreamed under this key result area.

**Table 3 cont-d**

<b>MYFF 2000-2003 Strategic Area of Support</b>	<b>MYFF 2004-2007 Service Line</b>	<b>Corresponding Key Result Area in the Strategic Plan</b>
III.2.1. Implement national and local programmes that promote sustainable management of energy, land, water, forest and other biological resources.	3.3 Access to energy services	4. Expanding access to environment and energy services for the poor
III.2.1. Implement national and local programmes that promote sustainable management of energy, land, water, forest and other biological resources.	3.4 Sustainable land management	1. Mainstreaming environment and energy <sup>14</sup> 2. Catalyzing environmental finance <sup>15</sup>
III.2.1. Implement national and local programmes that promote sustainable management of energy, land, water, forest and other biological resources.	3.5 Conservation of biodiversity	1. Mainstreaming environment and energy <sup>16</sup> 2. Catalyzing environmental finance <sup>17</sup>
No corresponding specific area of support.	3.6 Control of ozone-depleting substances and Persistent Organic Pollutants	2. Catalyzing environmental finance <sup>18</sup>
V.2.1. Promote preventive development and a culture of peace. V.2.2. Support the implementation of peace agreements.	4.1 Conflict prevention and peacebuilding	1. Reducing the risk of conflicts and natural disasters
V.3.1. Strengthening social capital by ensuring support for affected populations, including refugees and the displaced, and their access to sustainable livelihoods and socioeconomic recovery through integrated area-based approaches and/or specific reintegration programmes.	4.2 Recovery	2. Restoring the foundations for development after crisis
V.2.3. Strengthen public security, civil protection and policing and promote disarmament and demobilization of ex-combatants, and conversion of military assets to civilian use.	4.3 Small arms, disarmament	No corresponding CPR key result area. <sup>19</sup>

14 This issue is mainstreamed under this key result area.

15 This key result area includes sustainable environment and management.

16 This issue is mainstreamed under this key result area.

17 This key result area includes biodiversity conservation in list of environmental concerns.

18 This key result area includes an outcome dealing with Montreal Protocol financing.

19 Key result area on restoring foundations for development after crisis encompasses these issues under outcome 'security situation stabilized'.

**Table 3 cont-d**

<b>MYFF 2000-2003 Strategic Area of Support</b>	<b>MYFF 2004-2007 Service Line</b>	<b>Corresponding Key Result Area in the Strategic Plan</b>
V.3.2. Promote ratification and implementation of the Ottawa Convention to ban land mines, and build national capacity for comprehensive mine action programmes, ensuring application of standards and appropriate technologies.	4.4 Mine action	No corresponding CPR key result area. <sup>20</sup>
V.3.1. Support implementation of the Yokohama Strategy for a Safer World: Guidelines for Natural Disaster Prevention, Preparedness and Mitigation, and mainstream vulnerability analysis and hazard-mapping into all development policies. V.3.2. Develop institutional capacity for disaster prevention, preparedness and mitigation, including preparation of national/local plans, improved early warning systems, trained human resources and increased interregional/national information exchanges.	4.5 Natural disaster reduction	1. Reducing the risk of conflicts and natural disasters (prevention) 2. Restoring the foundations for development after crisis (response)
No corresponding specific area of support.	4.6 Special initiatives for countries in transition	2. Restoring the foundations for development after crisis
II.1.3 Strengthen capacity of governments and vulnerable groups to take preventive measures and reduce the impact of health epidemics, such as HIV/AIDS.	5.1 HIV/AIDS and human development	4. Mitigating the impact of AIDS on human development (poverty focus area)
II.1.3 Strengthen capacity of governments and vulnerable groups to take preventive measures and reduce the impact of health epidemics, such as HIV/AIDS.	5.2 Governance of HIV/AIDS responses	4. Strengthening governance of AIDS responses (Governance Focus Area)
II.1.3 Strengthen capacity of governments and vulnerable groups to take preventive measures and reduce the impact of health epidemics, such as HIV/AIDS.	5.3 HIV/AIDS, human rights and gender	4. Mitigating the impact of AIDS on human development (poverty focus area) <sup>21</sup>

20 Key result area on restoring foundations for development after crisis encompasses these issues under outcome 'security situation stabilized'.

21 This key result area includes one outcome dealing with human rights and another outcome dealing with gender related vulnerability.

**Table 4. Evidence of outcome monitoring in five countries**

Aspect of Outcome Monitoring	Argentina	Egypt	Indonesia	Moldova	Zambia
Baseline data to describe the problem or situation before the intervention	The Human Development Index (a UNDP product) provides some data at the national and provincial levels. There are new initiatives to carry out pre-appraisal in a systematic fashion, but all at the project level.	Baseline data appears as a brief situation statement and has become more detailed in the most recent CPD.	The CCA provides a rigorous analysis of the baseline development situation. The depth of the situation analysis in the CPD is much lighter given the restrictive page length of the document, so the three documents have to be read together. The development baseline situation is not necessarily the same as the baseline situation for the outcome specified. No outcome baseline assessment was undertaken for SRF 2001-2003 and 2004-2005. The current CPD/CPAP (2006-2010) is the first to explicitly attach an annex on the SRF with a column on "outcome indicators, baseline situation and targets."	The level of baseline data around individual outcomes is mixed. This partly reflects the fact that work is mainly organized around projects and programmatic areas. It also reflects a comparative lack of funds to carry out necessary pre-appraisal and variation in levels of expertise in the office.	Baseline data appeared as a brief situation statement in CCF1 and CCF2 and has become more detailed in the most recent CPD which is now based on the Fifth National Development Plan which has an M&E framework and Key Performance indicators in Table 38.2 on page 372 for all sectors.
Indicators for outcomes	At the highest level, indicators for outcomes are used for reporting (progress against targets) in the annual ROAR.	Indicators are shown for outcomes since 2003.	Some of the indicators for outcomes specified in the current CPAP (2006-2010) are set too high at long-term development goal (impact) level and would be difficult to link to the contribution of project activities that UNDP plans to undertake. An example is the component on "strengthening human development to achieve the MDGs" where outcome indicators relate to national poverty statistics. Indicators for other outcomes, for example, under the governance component, are not SMART, e.g., "participatory processes and mechanisms in democratic governance adopted."	Indicators for outcomes are defined, but are only used for reporting against in the annual ROAR.	Based on the Fifth National Development Plan. Baseline indicators are shown for outcomes with 2005 as the baseline and 2010 as the target year.
Data collection on outputs and how/whether they contribute towards achievement of outcomes	Data are collected on outputs, but rarely on how they contribute to outcomes. The annual planning and target setting exercise for ROAR may make a link (reinforced by the quarterly monitoring of ROAR), but only implicitly. 'Attribution' is an issue for evaluation and no 'outcome' evaluations are being conducted.	The working features on ATLAS, for instance, are 90 percent related to financial reporting and 10 percent related to substantive project management.	This has improved significantly under the current CPAP (2006-2010). The Project Database developed by the PMEUC captures project-specific information on outputs and their contribution to outcomes on a quarterly basis and this information is used to eventually prepare the end of year MYFF Report (ROAR). Progress report format in ATLAS is not used. Joint CPAP Review Meetings are held quarterly as well as annually and the latter are attended by members of other UN organizations as well.	The working features on ATLAS, for instance, are 90 percent related to financial reporting and 10 percent related to substantive project management. Performance reports in ATLAS are seen as a requirement for headquarters and are not used in discussing progress with partners. Data are collected on outputs, but rarely on how they contribute to outcomes.	The working features on ATLAS, for instance, are 90 percent related to financial reporting and 10 percent related to substantive project management. But for the new CPD, the national sources of data will be used for outcome results assessment.

**Table 4 cont-d**

<b>Aspect of Outcome Monitoring</b>	<b>Argentina</b>	<b>Egypt</b>	<b>Indonesia</b>	<b>Moldova</b>	<b>Zambia</b>
More focus on perceptions of change among stakeholders and more focus on 'soft' assistance	More focus on 'substantive' projects and changing relationship with national counterparts, but focus still largely on delivery of inputs and outputs.	Policy or behavioural change indicators may not be included in national statistics.	Policy or behavioural change indicators are not included in national M&E systems. UNDP is assisting the National Aids Commission in developing and implementing an effective M&E system that draws on local expertise and capacities resident at the district through to national level. In the absence of qualitative data in national M&E systems, individual cooperating partners commission their own impact studies, often at high cost.	No. Most focus is delivery of inputs and outputs.	Policy or behavioural change indicators may not be included in national statistics.
Systematic reporting with more qualitative and quantitative information on the progress of outcomes	The ROAR provides information on progress against targets, though it has been more of a reporting tool. The recent quarterly monitoring by the country office does though assist the ability to document, review and update targets, an annual exercise.	The ROAR is more of a reporting than monitoring tool.	The Project Database systematized output reporting mainly to simplify compilation of the ROAR. The ROAR is more of a reporting than monitoring tool. There was no feedback given by Regional Bureau to the country office on the 2006 ROAR.	No.	The ROAR is more of a reporting than monitoring tool. However, the NHDR and the MDG reports are more at outcome level than output level.
Done in conjunction with strategic partners	More dialogue with national counterparts around monitoring, but still at activity and output level.	Support to the preparation of the NHDR and MDG reporting has strengthened national systems and introduced a sense of results focus on the part of the government. Country office is also drawing from periodic national surveys (such as the National Demographic Health Survey (DHS)), Joint planning, Annual Tripartite Reviews and national expertise.	Support to the preparation of the NHDR and MDG reporting has strengthened national systems. A DEVEINFO MDG monitoring tool is being developed as a key monitoring tool for UNDAF 2006-2010. Monitoring of progress towards achievement of the UNDAF outcomes was planned to be undertaken through Annual UNDAF outcome reviews, a mid-term UNDAF review and annual field visits by UNDAF outcome groups, but that plan has not been thoroughly followed. Joint CPAP reviews (quarterly, half yearly and annually) are drawing on national expertise and involve field visits.	No.	Support to the preparation of the NHDR and MDG reporting has strengthened national systems and introduced a sense of results focus on the part of the government. Country office is also drawing from periodic national surveys, such as the National Demographic Health Survey (DHS). Joint planning and Annual Programme Reviews draw on national expertise and operational information. <sup>22</sup>

<sup>22</sup> The National HIV/AIDS Joint Programme Annual Reviews for 2004, 2005 and 2006 relied mostly on information from government, civil society and partner implementing agencies at the national level.

**Table 4 cont-d**

<b>Aspect of Outcome Monitoring</b>	<b>Argentina</b>	<b>Egypt</b>	<b>Indonesia</b>	<b>Moldova</b>	<b>Zambia</b>
Captures information on success or failure of UNDP partnership strategy in achieving desired outcomes	Any information monitored at project level and reflects inputs and output monitoring.	Results of small projects are at a level too low to be captured in national or regional statistics.	Quarterly CPAP Review Meetings, Bimonthly Technical Meeting, and Quarterly Joint Field Visits are able to capture and discuss technical and administrative glitches that affect smooth implementation and achievement of outputs and, due to their focus on projects, to a smaller extent outcomes.	No.	Results of small projects are at a level too low to be captured in national or regional statistics. But results were reflected in the Joint Programme Annual Review Reports.

**Table 5. Example of outcome reporting from the Indonesia Resident Coordinator Annual Report for 2006<sup>23</sup>**

Outcome Area	Expected Outputs	Performance Indicators <sup>24</sup>	Actual Outputs at Year End
UNDAF Outcome 2	<p><b>Sub-outcome:</b> Promotion of democracy and participation through civic education in the formal and non formal sectors and mass media (lead agency UNESCO).</p> <ul style="list-style-type: none"> <li>■ Series of training on the importance of press freedom for government officials, members of parliament and judiciary officials.</li> <li>■ Training for media professionals on civic/participatory journalism, with focus at district levels.</li> <li>■ Strengthening of public-service broadcasting through series of training on management and journalism skills.</li> <li>■ Support for community radios at district and sub-district levels to enhance public participation in voicing their aspirations.</li> <li>■ Seminar on importance of the freedom of the press in strengthening democratization.</li> <li>■ Training for media professionals to promote democracy, transparency, and accountability.</li> </ul> <p><b>Sub outcome:</b> Partnership for governance reform (lead agency UNDP).</p> <ul style="list-style-type: none"> <li>■ Support to local governments</li> </ul>	<ul style="list-style-type: none"> <li>■ Training organized in at least 5 major cities in Indonesia, with minimum total participants of 250 people.</li> <li>■ Training for media professionals are organized in at least 5 districts in Indonesia, with minimum total participants of 100 people.</li> <li>■ Training for public broadcasters (TVRI and RRI) in central office in Jakarta as well as at provincial levels.</li> <li>■ Minimum 5 trainings will be organized, with number of total participants of 60.</li> <li>■ At least one training will be organized, with total participants of 15 people (15 managers and 15 reporters).</li> <li>■ At least two seminars will be organized (one for Aceh and one for North Sumatera), with number of total participants about 200.</li> <li>■ At least 50 journalists from Aceh and from North Sumatera will be trained. <ul style="list-style-type: none"> <li>• In 10 Kabupaten/Kota in 5 Provinces</li> <li>• Number of multi-stakeholder forums</li> <li>• Increased capacity of associations (exact indicators TBC)</li> <li>• 6 telecentres</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>■ Trainings were organized in the cities of Jambi, Palembang, Medan, Batam, and Bandung, with about 120 people total participants. (UNESCO)</li> <li>■ 300 radio and TV journalism students graduated from the School for Broadcast Media (SBM).</li> <li>■ Series of trainings were organized in Aceh, focused on radio reporters from about 20 radio stations in the province of Nanggroe Aceh Darussalam. (UNESCO)</li> <li>■ One training was organized for 15 TVRI reporters. (UNESCO)</li> <li>■ Trainings were organized in three radio stations in Kendal, Pati and Bantul with about 20 radio people as total participants. (UNESCO)</li> <li>■ Not materialized due to the unavailability of funds.</li> <li>■ Not materialized due to the unavailability of funds. <ul style="list-style-type: none"> <li>(i) Poverty Reduction Strategy and action plans have been drafted in 10 districts in 5 provinces</li> <li>(ii) Participatory development planning and health</li> </ul> </li> </ul>

23 UNDP, 'Indonesia Resident Coordinator Annual Report for 2006', Indonesia.

24 Formatting or referencing of performance indicators and actual outputs to link to expected outputs has not been altered from the original document.

Table 5 cont-d

Outcome Area	Expected Outputs	Performance Indicators	Actual Outputs at Year End
	<p>mainstreaming pro-poor policy in local development planning.</p> <ul style="list-style-type: none"> <li>■ Promotion of multi-stakeholder forums for local development issues.</li> <li>■ Support to associations of local government.</li> <li>■ Increased availability of information and access to communications in rural areas.</li> <li>■ Support to completion of regulations that define the Law 32 / 2004 as presidential decree and acceptance by national and regional stakeholders.</li> </ul> <p><b>Sub outcome:</b> National MDG Monitoring and Sectoral Needs Assessment and Plan 2006- 2015 (lead agency UNDP).</p> <ul style="list-style-type: none"> <li>■ Pilot MDG joint UN and interested donor programme in NTT province.</li> </ul> <p><b>Sub outcome:</b> Review of the National Action Plan for Human Rights followed by programme of UN support to the implementation of the action plan and monitoring (lead agency UNDP).</p> <ul style="list-style-type: none"> <li>■ Recruitment of senior UN human rights advisor.</li> <li>■ UN joint human rights action plan prepared.</li> <li>■ Support to establishment of Communications and Information Centre established in the</li> </ul>	<p>established serving at least 1,200 people</p> <ul style="list-style-type: none"> <li>• Regulations finalized</li> </ul> <ul style="list-style-type: none"> <li>■ Joint programme document prepared</li> <li>■ Plan prepared and endorsed by UN Country Team, Communications and Information Centre established</li> <li>• Minimum 10 new signatories</li> <li>• GC secretariat run by signatories</li> <li>• Two workshops on implementation of GC principles</li> </ul> <ul style="list-style-type: none"> <li>■ Indonesian guidelines on GC principles and implementation published</li> <li>• Increased level of civic awareness among citizens and number of citizens participating in political processes</li> <li>• Secretariat in place</li> <li>• Electoral system, processes and mechanisms enhanced; number of national, regional and local parliaments participating in project</li> </ul> <ul style="list-style-type: none"> <li>■ Plan produced and endorsed by the UN Country Team</li> </ul>	<p>sector through multi-stakeholder forums have been developed in 5 provinces.</p> <p>(iii) 8 telecentres have been established in 6 provinces, serving 2500 direct users and 60 community groups.</p> <p>(iv) Final draft has been sent to the President's office.</p> <ul style="list-style-type: none"> <li>■ Needs assessment has been conducted. A concept note has been prepared for piloting an area based preparatory assistance project.</li> <li>■ Interviews with short-listed candidates have been conducted, panel has taken a final decision and recruitment of advisor is under process.</li> <li>■ No development due to absence of HR Advisor</li> <li>■ Cappler project document has been revised and an architect identified; curriculum development initiated</li> </ul> <ol style="list-style-type: none"> <li>1. 37 new signatories joined the Global Compact</li> <li>2. Outreach events were conducted in Jakarta and Palembang</li> <li>3. Local Network for Global Compact established</li> </ol>

**Table 5 cont-d**

Outcome Area	Expected Outputs	Performance Indicators	Actual Outputs at Year End
	<p>Department of Law and Human Rights Advisor recruited.</p> <p><b>Sub outcome:</b> Promoting good corporate governance through the Global Compact (lead agency UNDP). Support to Global Compact in Indonesia to:</p> <ul style="list-style-type: none"> <li>■ Increase participation.</li> <li>■ Strengthen secretariat in APINDO to run Global Compact activities.</li> <li>■ Raise awareness.</li> </ul> <p><b>Sub outcome:</b> Programme to increase participation of Civil Society Organizations in the development of national pro-poor planning and democratic processes (lead agency UNDP).</p> <ul style="list-style-type: none"> <li>■ Support to 'Democracy in Action' initiatives.</li> <li>■ Deepening Democracy Secretariat established.</li> <li>■ Enhanced capacity of essential democratic institutions.</li> </ul> <p><b>Sub outcome:</b> Review of UN conventions, treaties and protocols and UN action plan to support the government in implementation and the parliament in the ratification process (lead agency ILO).</p> <ul style="list-style-type: none"> <li>■ Production of a five-year plan of action to support Indonesia's commitments to UN instruments.</li> </ul>		<p>4. 1 workshop on 'orientation to Global Compact' conducted to signatories</p> <p>(i) Efforts to raise public awareness of peace, pluralism, national unity, and civic rights have been carried out, involving youths, religious organizations, mass media organizations, academia, and government officials as target group.</p> <p>(ii) Deeping Democracy Secretariat has not been established yet.</p> <p>(iii) Electoral support decided to focus on Pilkada and support for process to draft required legislation in preparation for 2009 elections.</p> <ul style="list-style-type: none"> <li>■ Preliminary work for the review has been conducted.</li> <li>■ UNIFEM supported <ul style="list-style-type: none"> <li>• Inter Governmental cooperation in implementing CEDAW principles.</li> <li>• Non-governmental organizations to promote and monitor the implementation.</li> </ul> </li> </ul>

# RESULTS-BASED MANAGEMENT IN DEVELOPMENT ORGANIZATIONS

## BUILDING A CULTURE OF RESULTS

### INTRODUCTION

There are numerous references in UNDP documents to the need for a transformation to a new culture of results:

- “Establish an enabling environment for change to a results-based organization...”<sup>25</sup>
- “A culture of accountability for results is at the heart of recreating UNDP...”<sup>26</sup>
- “RBM [results-based management] must aim at ... fostering a ... culture of performance.”<sup>27</sup>

Thus in the minds of those developing the UNDP results-based management approach—and consistent with other observers on what is needed for effective results-based management—fostering a ‘culture of results’ is at the heart of implementing results-based management. This note addresses what a culture of results entails and how such a culture can be developed and maintained.

### A CULTURE OF RESULTS

A number of authors and reports (see references in Annex 4) have looked at the issue of a results culture, what it is and how to get there. Based on this literature, an organization with a strong culture of results:

- Engages in self-reflection and self-examination:
  - Deliberately seeks evidence on what it is achieving<sup>28</sup>
  - Uses results information to challenge and support what it is doing<sup>29</sup>
  - Values candor, challenge and genuine dialogue<sup>30</sup>
- Engages in results-based learning:
  - Makes time to learn<sup>31</sup>
  - Learns from mistakes and weak performance<sup>32</sup>
  - Encourages knowledge transfer<sup>33</sup>

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25 UNDP, ‘Change Management: UNDP 2001’, 1997.

26 UNDP, ‘The Way Forward: The Administrator’s Business Plans, 2000-2003’, 2001.

27 UNDP, ‘RBM in UNDP: Overview and General Principles’, 2000.

28 Botcheva L, White CR, Huffman LC, ‘Learning Culture and Outcomes Measurement Practices in Community Agencies’, *American Journal of Evaluation*, 2002, 23(4): 421-434; General Accounting Office, ‘An Evaluation Culture and Collaborative Partnerships Help Build Agency Capacity. Program Evaluation’, Washington, DC, 2003; and Smutylo T, ‘Building an Evaluative Culture’, International Programme for Development Evaluation Training, World Bank and Carleton University, Ottawa, Ontario, 2005.

29 Hernandez G, Visher M, ‘Creating a Culture of Inquiry: Changing Methods—and Minds—on the Use of Evaluation in Nonprofit Organizations’, The James Irving Foundation, 2001.

30 David T, ‘Becoming a Learning Organization’, Marguerite Casey Foundation, 2002.

31 Ibid.

32 Barrados M, Mayne J, ‘Can Public Sector Organizations Learn?’, *OECD Journal on Budgeting*, 2003, 3(3): 87-103; and Goh S, ‘The Learning Organization: An Empirical Test of a Normative Perspective’, *International Journal of Organizational Theory and Behaviour*, 2001, 4(3&4):329-355.

33 David T, ‘Becoming a Learning Organization’, Marguerite Casey Foundation, 2002; Goh S, ‘The Learning Organization: An Empirical Test of a Normative Perspective’, *International Journal of Organizational Theory and Behaviour*, 2001, 4(3&4):329-355; and Hernandez G, Visher M, ‘Creating a Culture of Inquiry: Changing Methods—and Minds—on the Use of Evaluation in Nonprofit Organizations’, The James Irving Foundation, 2001.

- Encourages experimentation and change:
  - Supports deliberate risk taking<sup>34</sup>
  - Seeks out new ways of doing business<sup>35</sup>

Thus, a weaker culture of results might, for example,

- Gather results information, but limit its use mainly to reporting
- Acknowledge the need to learn, but not provide the time or structured occasions to learn
- Undergo change only with great effort
- Claim it is results focused, but discourage challenge and questioning the status quo
- Talk about the importance of results, but frown on risk taking and mistakes
- Talk about the importance of results, but value following process and delivering outputs

## A CULTURE OF RESULTS AND UNDP

Based on the headquarters interviews, there is limited evidence of a results culture in UNDP, especially contrasted with interviews of several other sister organizations. There is some other evidence supporting this perception.

In summarizing the Global Staff Survey, it was noted that “responses to the question ‘My office works consistently towards achieving long-term objectives’ have hit a low point, with the bulk of the decline coming in COs [country offices].”

The Dalberg Global Development Advisors assessment of results-based management at UNDP noted the need to enhance the culture of the organization: “First, an ongoing change management effort to embed a results-based culture in the organization is required.”<sup>36</sup> In a 2002 report comparing results-based management efforts at a number of multilateral development agencies, including UNDP, Flint concluded that “... [these] multilateral development institutions need to work to amend their internal incentive structures in favour of results.”<sup>37</sup>

While it is difficult to generalize, it appears that there is not a strong results culture in UNDP. Results-based management is seen mainly as a reporting regime, rather than a results-informed management regime.

## FOSTERING A CULTURE OF RESULTS

Fostering a culture of results is a significant challenge for an organization. There are a number of factors that are needed to build such a ‘culture of inquiry’:<sup>38</sup>

- Demonstrated senior management leadership and commitment
- Informed demand for results information
- Supportive organizational systems, practices and procedures
- A results-oriented accountability regime
- A capacity to learn and adapt
- Results measurement and results management capacity

34 Pal LA, Teplova T, ‘Rubik’s Cube? Aligning Organizational Culture, Performance Measurement, and Horizontal Management’, Carleton University, Ottawa, Ontario, 2003.

35 General Accounting Office, ‘An Evaluation Culture and Collaborative Partnerships Help Build Agency Capacity. Program Evaluation’, Washington, DC, 2003; Goh S, ‘The Learning Organization: An Empirical Test of a Normative Perspective’, *International Journal of Organizational Theory and Behaviour*, 2001, 4(3&4):329-355; and Smutylo T, ‘Building an Evaluative Culture’, International Programme for Development Evaluation Training, World Bank and Carleton University, Ottawa, Ontario, 2005.

36 Dalberg Global Development Advisors, ‘Assessing Results Management at UNDP. Commissioned by the Danish Ministry of Foreign Affairs’, New York, NY, 2006, p 20.

37 Flint M, ‘Easier Said Than Done: A Review of Results-Based Management in Multilateral Development Institutions’, UK Department for International Development (DFID), London, United Kingdom, 2002, p 50.

38 Adapted from Auditor General of Canada (2000) and OECD-DAC (2006).

## Senior Leadership

This report summarizes the discussion at a two-day workshop held in December 2004 at the World Bank in Washington, DC, with participants from both developed (Canada, Ireland, Netherlands, United Kingdom, United States) and developing countries (Chile, Columbia, Egypt, Mexico, Spain, Tanzania, Uganda).<sup>39</sup> In addition to the final report from the workshop, the country papers are available on the web site. Among the conclusions of the participants:

**The Use of Both Top-Down and Bottom-Up Support .** It was clear from the experiences of countries with an outcome approach that support from both the top political and administrative levels, as well as from middle management and staff within government, are essential for the approach to work. We consider each of these below.

**The Role of Political and Senior Management Commitment and Direction.** A common theme reinforced by experiences in many different jurisdictions is the necessity of top-level support for an outcome orientation. As the previous section indicated, a political imperative to produce and to be able to demonstrate results that are of central importance to government is a prerequisite for any reform effort.

Thus, support from the top is essential to provide legitimacy and priority to an outcome orientation. This requires an expressed and ongoing commitment from senior-level officials as well as from the political level. Such commitment can provide direction and coordination to the reform effort as well as the necessary clout and profile to ensure attention and action. Top-level support can aid in garnering the necessary resources and system-wide supports and in providing overall coordination. As with any other major organizational change effort, senior-level commitment is required to address the inevitable challenges that are sure to come up, to continue the momentum, and to make adjustments and changes to the approach as needed.

This commitment needs to be backed by actions as well as words. Otherwise, it is not likely to be taken seriously. For example, how much attention is given to an outcome approach vis à vis other priorities? How is it resourced and supported? How much recognition is given to those who undertake an outcome approach? And perhaps most important of all, how is it used? Does it represent an actual shift in how management and policy are carried out, or is it perceived as just a paper exercise?<sup>40</sup>

"Senior-level support and commitment to an outcome focus has been provided in a number of different ways. For example, in Egypt the process was led personally by the minister of finance, who met directly with those most closely involved on a bimonthly basis. In Colombia, the president himself provides the leadership, talking about results wherever he goes. The outcome approach in Mexico is closely related to the president's political agenda. But in other countries, such as the United States, support comes from across the political spectrum. In some countries, legislative or even constitutional changes may be needed to facilitate the new out-come focus, whereas this is not necessary in other jurisdictions."<sup>41</sup>

A study by the Auditor General of Canada<sup>42</sup> reviewed the results-based management experiences in a number of organizations in the United States and the Canadian federal government that had made significant progress in results-based management. Among its findings were that:

"Managing for results takes hold when senior management visibly supports the approach and is poised to take advantage of opportunities to move towards a focus on results. Our cases and the review of experience of other jurisdictions suggests that senior management commitment and leadership is the most common and perhaps most important feature of successful managing for results."<sup>43</sup>

In each of these areas, based on the literature and identified good practices, there are a number of approaches that can be used to foster a culture of inquiry.<sup>44</sup>

**Demonstrated senior management leadership and commitment.** All discussions of implementing results-based management identify strong senior leadership as essential. Providing visible

39 Perrin B, 'World Bank Roundtable—Moving from Outputs to Outcomes: Practical Advice from Governments Around the World', World Bank and the IBM Centre for The Business of Government, Managing for Performance and Results Series, Washington, DC, 2006. Available online at: <http://www.worldbank.org/oed/outcomesroundtable/>.

40 Ibid, p 23.

41 Ibid, p 24.

42 Auditor General of Canada, 'Moving Towards Managing for Results', Report of the Auditor General of Canada to the House of Commons, Chapter 11, Ottawa, Ontario, 1997. Available online at: <http://www.oag-bvg.gc.ca/domino/reports.nsf/html/ch9711e.html>.

43 Ibid, pp 11-16.

44 Discussed here are those practices directly aimed at building a culture of results.

and accountable leadership through actions such as identifying and supporting results-based management champions, walking the talk (providing results-based management-consistent leadership), and demonstrating the benefits of results-based management.

**Informed demand for results information.** A culture of results can be greatly enhanced if managers at all levels, especially senior levels, consistently and routinely ask for results information in planning, implementing and reviewing contexts. In this way, results information becomes a routine and natural part of managing the organization.

**Supportive organizational systems, practices and procedures.** Having the right formal and informal incentives in place is essential to fostering a culture of results. Rewarding good managing for results—such as undertaking self-evaluation, taking informed risk and experimentation, and sharing information on results—demonstrates that the organization does indeed value inquiry and reflection. Managers seeking to achieve outcomes need to be able to adjust their operations as they learn what is working and what is not.<sup>45</sup> Managing only for planned outputs does not foster a culture of inquiry about the impacts of delivering those outputs.

**A results-oriented accountability regime.** If managers are simply accountable for following

procedures and delivering planned outputs, there is little incentive to seek evidence on the outcomes being achieved. If managers are held accountable for whether or not they achieve outcomes, they will seek to ensure accountability only for outputs. There is a need to adapt the accountability regime to include the idea of influencing outcomes, being accountable for outcomes, and rewarding good managing for outcomes.<sup>46</sup>

**A capacity to learn and adapt.** Learning from empirical evidence on past performance is what a results culture is all about. Deliberate efforts are needed to build a capacity for and acceptance of learning in an organization. Creating institutionalized learning events,<sup>47</sup> providing group learning opportunities,<sup>48</sup> supportive information sharing and communication structures,<sup>49</sup> making the time to learn and providing adequate resources to do so,<sup>50</sup> seeing mistakes as opportunities to learn<sup>51</sup> and focusing on best practices<sup>52</sup> are all ways to help foster a culture of learning.

**Results measurement and results management capacity.** Building a culture of results in an organization requires the capacity to articulate and measure results, and a capacity to understand how results information can be used to help managers manage. Some level of in-house professional results-based management support is usually required to assist managers and staff. Senior managers and managers need to understand results-based management and how

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45 General Accounting Office, 'Results-Oriented Cultures: Insights for U.S. Agencies from Other Countries' Performance Management Initiatives', US General Accounting Office, Washington, DC, 2002.

46 Auditor General of Canada, 'Modernizing Accountability in the Public Sector', Report of the Auditor General of Canada to the House of Commons, Chapter 9, Ottawa, Ontario, 2002; and Baehler K, 'Managing for Outcomes: Accountability and Thrust', *Australian Journal of Public Administration*, 2003, 62(4): 23-34.

47 Barrados M, Mayne J, 'Can Public Sector Organizations Learn?', *OECD Journal on Budgeting*, 2003, 3(3): 87-103; and Moynihan DP, 'Goal-Based Learning and the Future of Performance Management', *Public Administration Review*, 2005, 65(2): 203.

48 David T, 'Becoming a Learning Organization', Marguerite Casey Foundation, 2002.

49 Cousins B, Goh S, Clark S, Lee L, 'Integrating Evaluative Inquiry into the Organizational Culture: A Review and Synthesis of the Knowledge Base', *Canadian Journal of Program Evaluation*, 2004, 19(2): 99-141.

50 David T, 'Becoming a Learning Organization', Marguerite Casey Foundation, 2002.

51 Barrados M, Mayne J, 'Can Public Sector Organizations Learn?', *OECD Journal on Budgeting*, 2003, 3(3): 87-103; and Michael D, 'Governing by Learning: Boundaries, Myths and Metaphors', *Futures*, 1993, January/February: 81-89.

52 Pal LA, Teplova T, 'Rubik's Cube? Aligning Organizational Culture, Performance Measurement, and Horizontal Management', Carleton University, Ottawa, Ontario, 2003.

to support it. This capacity can be enhanced through training, using peer champions, and providing senior managers with the kinds of results question they can be routinely asking. The Joint Inspection Unit benchmarks for results-based management stress the need for adequate results-based management capacity.<sup>53</sup>

## CONCLUSIONS

Developing a culture of results in an organization will not happen through good intentions and osmosis. Many UN organizations face this challenge. It requires deliberate efforts by the organization, especially its senior managers, to encourage and support such a culture. It needs to be clear to managers and staff that results information is valued and expected to be a regular part of planning, budgeting, implementation and review.

### RESULTS-BASED MANAGEMENT IN A DECENTRALIZED STRUCTURE AND THE ROLE OF A CORPORATE STRATEGY

UNDP, like many other UN organizations, faces a potential tension between having a corporate headquarters vision of the organization and the need for its country offices to design programmes reflecting national priorities.

This tension is highlighted even more in a results-based approach to planning and managing. Efforts to set clear and measurable intended results at the corporate level for all of UNDP could conflict with efforts at the country level to set clear results that reflect national priorities. While using both a top-down and a bottom-up approach to developing results frameworks is usually seen to be a good practice,<sup>54</sup> the challenge is to get these approaches to meet consistently in the middle.

As identified in interviews, UNDP's Strategic Plan serves several ends. It provides:

- A clear vision of where UNDP overall is going
- Identification of key priorities
- A map of the development results expected

At the same time, the Strategic Plan needs to allow country offices to be responsive to national priorities. The challenge is to find the right balance.

UNDP is under pressure from Member States and from the One UN initiative, to be more focused. In several of the smaller UN organizations interviewed (UNCDF and UNFPA) the need to become more focused was emphasized and actions taken in that regard described. In this light, a key role of the UNDP Strategic Plan would be setting clear priorities or boundaries on what business UNDP is in. Clarity in this regard would allow country offices to turn aside requests from national governments that did not fit UNDP's current mandate as agreed upon by Member States. Some interviewees alluded to this, arguing that country offices welcomed (or would welcome) such clear direction.

Within a well-defined mandate, the Strategic Plan can also identify the overall development results UNDP hopes to achieve. This is where the link with country office plans is critical. Too much detail at the corporate level would undermine country efforts to reflect national priorities. In the interviews, UNICEF argued that there need not be a tension between these levels. In their case, corporate priorities were general enough to allow country programming to reflect national priorities, while at the same time were specific enough to provide clear direction with respect to what business UNICEF was in. At the MDG level, common goals can be set for countries. Similarly, for UNDP, the Strategic Plan can set common outcomes at a level that would allow countries to 'fit in' their own

53 Fontaine Ortiz E, Tang G, 'Results-based Management in the United Nations in the Context of the Reform Process', Joint Inspection Unit, United Nations Geneva, Switzerland, JIU/REP/2006/6.

54 Perrin B, 'World Bank Roundtable—Moving from Outputs to Outcomes: Practical Advice from Governments Around the World', World Bank and the IBM Centre for The Business of Government, Managing for Performance and Results Series, Washington, DC, 2006, p 7. Available online at: <http://www.worldbank.org/oed/outcomesroundtable/>.

development goals. This also allows UNDP to be able to report back to its Executive Board against the common outcomes agreed to.

Thus, the UNDP corporate Strategic Plan can set clearly defined boundaries on what business UNDP is in and provide overall direction on the development results UNDP seeks over its planning period. This would allow country offices to develop programming plans based on national priorities within the UNDP framework.

#### **ACCOUNTABILITY IN A RESULTS-BASED MANAGEMENT REGIME**

Traditionally, accountability systems are based on being accountable for following proper procedures and using approved resources. When results management regimes are initially introduced, there is additional focus of being accountable for delivering planned outputs. These are all activities over which managers have or should have control. Thus it is reasonable to expect them to be held to account for their actions.

Results-based management, on the other hand, asks managers to focus on the outcomes to be achieved, to track the outputs and sequence of outcomes being achieved and, based on a theory of change for the programme, to adjust their activities and outputs to maximize the likelihood that the desired outcomes are realized. Results-based management asks managers to learn from prior experience and adjust their operations as required. And it recognizes that outcomes by definition are results over which managers do not have control; they are results that managers and their programmes, through their activities and outputs, influence and contribute to.

Thus, accountability focused solely on process, resource utilization and output achievement is somewhat at odds with results-based management. As several writers have noted there is a need to augment accountability systems to take into account the focus on outcomes.<sup>55</sup>

There are several challenges in considering accountability for outcomes. First, there are influencing factors other than the programme at play, such as other programmes and social and economic factors. Second, many outcomes of interest take a number of years to bring about, frequently beyond the biennium. There is a need to reconcile the two-year planning and reporting period with the longer time frames often for outcomes to occur.

Baehler<sup>56</sup> discusses this first issue in light of New Zealand's focus on outcomes and away from outputs. She concludes that rather than being accountable for outcomes per se, they should be accountable for managing for outcomes, and all that implies. The Auditor General of Canada<sup>57</sup> argues the need for a revised concept of accountability to take into account the fact that outcomes are not controlled by managers. She argues that managers would need to be accountable for contributing to (influencing) outcomes rather than achieving outcomes per se, and for learning, i.e., for having adjusted activities and outcomes as a result of tracking performance to date.

UNDP<sup>58</sup> is implementing an Accountability Framework as an integral part of its Strategic Plan. The Accountability Framework addresses

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55 Aucoin P, Heintzman R, 'The Dialectics of Accountability for Performance in Public Sector Management Reform', in *Governance in the Twenty-first Century: Revitalizing the Public Service*, B. G. Peters and D. J. Savoie, Eds., McGill-Queen's University Press, 2000; Behn R, 'Rethinking Democratic Accountability', Brookings Institute, 2000; Burgess K, Burton C, Parston G, 'Accountability for Results', Public Services Productivity Panel, London, England, 2002; Dubnick MJ, 'Accountability Matters', Shani Conference, University of Haifa, Israel, 2004; Hatry H, 'We Need a New Concept of Accountability', *The Public Manager*, 1997, 26: 37-38; and Mayne J, 'Evaluation for Accountability: Reality or Myth?', In *Making Accountability Work: Dilemmas for Evaluation and for Audit*, M-L Bemelmans-Videc, J Lonsdale, B Perrin, Eds. Transaction Publishers, New Brunswick, NJ, 2007.

56 Baehler K, 'Managing for Outcomes: Accountability and Thrust', *Australian Journal of Public Administration*, 2003, 62(4): 23-34.

57 Auditor General of Canada, 'Modernizing Accountability in the Public Sector', Report of the Auditor General of Canada to the House of Commons, Chapter 9, Ottawa, Ontario, 2002.

58 UNDP, 'Action Brief for the Operations Group: Key Principles and Approach to the Roll Out of the Accountability Framework in UNDP', Bureau of Management, 2007.

accountability at the organizational level, the manager's level and the individual level. The roll out of the Accountability Framework provides a good occasion to support a greater results-based management focus in UNDP, by seeing what people are accountable for moving beyond process and outputs. Following proper processes and delivering outputs with approved resources are still important but need to be seen in a broader framework where one is accountable, for example, for:

- Following proper processes
- Delivering planned and modified outputs with approved resources
- Measuring the planned outcomes of interest
- Demonstrating the contribution being made by UNDP to the accomplishment of the planned outcomes
- Demonstrating what was learned over the biennium in delivering the outputs, and what changes were made as a result

Demonstrating learning and contribution would require some tracking of at least immediate outcomes to provide an indication if the expected chain of results that underlies the theory of change of the programme is in fact being realized. This chain of results needs to include the fact that UNDP delivers through partners, hence ensuring partners have the capacity to deliver and monitor for results is an important result. If things seem to be happening as expected, then no changes are likely required. The theory of change is being confirmed and there is a basis for arguing that a contribution is being made to the intended outcomes. Otherwise, some changes are called for, since the theory of change is not being realized; perhaps the partnering arrangement is not well structured or the

delivered programmes are not working as expected. One would expect learning to occur and changes made in the activities and outputs produced to maximize the likelihood that the programme is contributing to the achievement of the outcomes. Describing and explaining the reasons for such changes demonstrates that learning and good results-based management are occurring.

In essence, following Baehler,<sup>59</sup> accountability for outcomes can be reasonably interpreted as being accountable for good results-based management, rather than for achievement of outcomes per se.

There is some evidence that ideas close to these are being put into practice within UNFPA. UNFPA<sup>60</sup> describes an “accountability for outcomes” in their Strategic Plan as—in relation to the above elements—being accountable for:

- Ensuring financial controls
- Achieving and monitoring outputs
- Monitoring outcomes (global trends and outcome indicators)
- Ensuring outputs contribute to outcomes

It would be useful for UNDP to discuss with UNFPA this approach to accountability for outcomes.

The second challenge mentioned above was linking the often longer time required for outcomes to be achieved with the shorter planning and reporting period. Wye, in reflecting on many years of experience in the United States, argues that this should not be a problem.<sup>61</sup> One should be able to “provide a narrative explanation of the reporting cycle and the issues raised, and use available data to comply with the reporting schedule.”<sup>62</sup> In other words, write a narrative statement on when the outcomes will be achieved, and develop a milestone tracking

59 Baehler K, 'Managing for Outcomes: Accountability and Thrust', *Australian Journal of Public Administration*, 2003, 62(4): 23-34.

60 UNFPA, 'UNFPA Draft Strategic Plan 2008-2011. Accelerating Progress and National Ownership of the ICPD Program of Action', Executive Board Informal Meeting, 16 May 2007.

61 Wye C, 'Performance Management for Career Executives: A "Start Where You Are, Use What You Have" Guide', In *Managing for Results 2005*, JM Kamensky and A Morales, Eds. Rowman and Littlefield, Oxford, England, 2005.

62 Ibid, p 68.

system to report progress in the interim years. Many of the outcomes UNDP is seeking will take many years to accomplish. Restricting the consideration of outcomes and reporting to the two-year planning budgeting period or even the four-year strategic planning period does not support a results-based management orientation. At the same time, it is quite reasonable to expect UNDP to indicate the extent to which expected intermediate outcomes along the results chain of a programme are being realized as useful efforts to track progress towards longer-term outcomes.

### CHALLENGES TO RESULTS-BASED MANAGEMENT

Not everyone supports results-based management as a good thing. Critics of this approach to public management point to a number of public-sector aspects that mitigate against a rational approach to managing. Some of the most common criticisms—and responses to them—include:

- Trying to manage by numbers in a political context is, at best, unrealistic and can be dysfunctional.<sup>63</sup> For example, in trying to set clear and concrete objectives and targets, political scientists argue that results-based management runs up against the real need in a political environment such as at the UNDP, to keep objectives suitably fuzzy so as to gain the widest support. This is true to some extent, but in the end, the UNDP has to fund specific programmes consistent with specific national priorities. Clarity can only help their design and delivery. And by remaining

flexible, the measurement of results can include a range of end results sought by different parties.

- In a similar vein, trade-offs are inevitable and are best handled through the regular political process not via some rational analysis of pros and cons.<sup>64</sup>

This is also true, but results-based management is not intended to replace the management process or the political process. Rather, it should be seen as one means of informing debate and decision making, not as making decisions.

- Many of the results sought by UNDP and other public sector organizations cannot be measured.<sup>65</sup> As a result, results-based management forces measurement and reporting of other less important results. Norman found this view expressed in his review of New Zealand's results-based management experiences.<sup>66</sup>

But many, if not most, results sought can be measured, especially if we consider measurement in the public sector to be a means of reducing the uncertainty about what is happening rather than definitively proving something. Flexibility in measurement approaches would allow a wide variety of means to be used to increase understanding about the performance of a programme from different perspectives.

- It is not plausible to hold organizations to account for outcomes over which they have limited control.<sup>67</sup>

63 Thomas P, 'Performance Measurement and Management in the Public Sector', *Optimum*, 2005, 35(2): 16-26; and Radin BA, 'Challenging the Performance Movement: Accountability, Complexity and Democratic Values', Georgetown University Press, Washington, DC, 2006; and Hood C, 'Public Service Management by Numbers: Why Does it Vary? Where Has it Come From? What Are the Gaps and the Puzzles?', *Public Money and Management*, 2007, 27(2): 95-102.

64 Thomas P, 'Performance Measurement and Management in the Public Sector', *Optimum*, 2005, 35(2): 16-26; and Radin BA, 'Challenging the Performance Movement: Accountability, Complexity and Democratic Values', Georgetown University Press, Washington, DC, 2006.

65 Clark ID, Swain H, 'Distinguishing the Real from the Surreal in Management Reform', Canadian Public Administration, 2005, 48(4); and Radin BA, 'Challenging the Performance Movement: Accountability, Complexity and Democratic Values', Georgetown University Press, Washington, DC, 2006.

66 Norman R, 'Managing through Measurement or Meaning? Lessons from Experience with New Zealand's Public Sector Performance Management Systems', *International Review of Administrative Sciences*, 2002.

67 Clark ID, Swain H, 'Distinguishing the Real from the Surreal in Management Reform', Canadian Public Administration, 2005, 48(4); and Radin BA, 'Challenging the Performance Movement: Accountability, Complexity and Democratic Values', Georgetown University Press, Washington, DC, 2006.

However it is plausible to hold organizations to account for influencing outcomes and for managing for results. This is how accountability for outcomes should be interpreted. UNFPA is moving in this direction.

- Focusing on any set of performance indicators ends up causing perverse behaviour—gaming—as people work to make the numbers go up.<sup>68</sup>

While this is a real problem, there are many ways to counter this tendency, such as

focusing on outcomes not outputs, reviewing measures regularly, using a balancing set of indicators, and developing indicators in an inclusive manner.

There are legitimate concerns over results-based management and organizations should be aware of the possible downsides of implementing results-based management. The key point is perhaps the need to take these concerns into account in developing and, especially, in managing the results-based management regime.

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<sup>68</sup> Clark ID, Swain H, 'Distinguishing the Real from the Surreal in Management Reform', *Canadian Public Administration*, 2005, 48(4); Perrin B, 'Effective Use and Misuse of Performance Measurement', *American Journal of Evaluation*, 1998, 19(3): 367-379; Radin BA, 'Challenging the Performance Movement: Accountability, Complexity and Democratic Values', Georgetown University Press, Washington, DC, 2006; Hood C, 'Gaming in Targetworld: The Targets Approach to Managing British Public Services', *Public Administration Review*, 2006, 66(4): 515-521; and Hood C, 'Public Service Management by Numbers: Why Does it Vary? Where Has it Come From? What Are the Gaps and the Puzzles?', *Public Money and Management*, 2007, 27(2): 95-102.



## Annex 7

# SOURCES AND TYPES OF FUNDING TO UNDP

<b>A. Overall analysis. UNDP overall (percentages)</b>							
<b>Programme Expenditure 2000-2006</b>	<b>Time Period</b>						
	<b>2000</b>	<b>2001</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>
<b>Core</b>							
TRAC 1/2	17	15	14	14	13	12	11
TRAC 3	1	1	1	1	1	1	1
Other	3	2	2	2	2	1	1
<i>Total Core</i>	21	18	17	17	16	14	13
<b>Non-Core</b>							
Government Cost Sharing	47	48	40	43	37	32	35
Donor Cost Sharing	10	10	13	13	18	23	21
Thematic Trust Funds	-	-	1	1	1	1	1
Trust Funds	17	16	22	20	21	24	24
GEF	3	6	6	6	5	5	6
MP/CAP21	2	2	2	1	1	1	1
Other Development PAF	-	-	-	-	0	0	0
Other	-	-	-	-	-	-	-
<i>Total Non-Core</i>	79	82	84	84	83	86	88
<b>Total Core + Non-Core (USD, thousands)</b>	1,862,047	2,030,908	2,140,582	2,402,634	2,870,369	3,662,506	4,048,946
Note: Due to rounding, the sum core and non-core values for the tables may not equal 100 percent.							

<b>B. Regional breakdown. Regional Bureau for Africa (percentages)</b>							
<b>Programme Expenditure 2000-2006</b>	<b>Time Period</b>						
	<b>2000</b>	<b>2001</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>
<b>Core</b>							
TRAC 1/2	47	47	47	45	44	26	24
TRAC 3	2	1	1	1	2	1	1
Other	4	4	3	3	0	0	1
<i>Total Core</i>	53	52	51	49	46	27	26
<b>Non-Core</b>							
Government Cost Sharing	3	2	1	3	1	3	5
Donor Cost Sharing	10	15	14	17	27	33	29
Thematic Trust Funds	-	-	2	3	1	1	1
Trust Funds	28	24	23	21	19	31	35
GEF	5	7	7	7	5	4	4
MP/CAP21	1	2	1	1	1	1	0
Other Development PAF	-	-	-	-	0	1	0
Other	-	-	-	-	-	-	-
<i>Total Non-Core</i>	47	50	48	52	54	74	74
<b><i>Total Core + Non-Core (USD, thousands)</i></b>	287,802	292,246	294,050	353,846	394,035	738,000	918,703

**B. Regional breakdown. Regional Bureau for Asia and the Pacific (percentages)**

Programme Expenditure 2000-2006	Time Period						
	2000	2001	2002	2003	2004	2005	2006
<b>Core</b>							
TRAC 1/2	45	39	28	25	19	17	19
TRAC 3	1	1	1	0	0	1	1
Other	5	2	2	2	0	0	0
<i>Total Core</i>	51	42	31	27	19	18	19
<b>Non-Core</b>							
Government Cost Sharing	5	16	7	9	4	2	3
Donor Cost Sharing	10	5	17	21	34	37	34
Thematic Trust Funds	-	-	1	1	1	1	0
Trust Funds	17	15	31	30	34	35	34
GEF	7	15	10	9	5	5	7
MP/CAP21	9	8	4	3	2	2	2
Other Development PAF	-	-	-	-	0	0	0
Other	-	-	-	-	-	-	-
<i>Total Non-Core</i>	48	59	70	73	80	82	80
<b><i>Total Core + Non-Core (USD, thousands)</i></b>	273,686	290,553	375,157	405,806	663,550	812,226	730,316

<b>B. Regional breakdown. Regional Bureau of Arab States (percentages)</b>							
<b>Programme Expenditure 2000-2006</b>	<b>Time Period</b>						
	<b>2000</b>	<b>2001</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>
<b>Core</b>							
TRAC 1/2	13	10	8	8	14	11	8
TRAC 3	2	1	1	1	3	1	1
Other	1	1	1	1	0	0	0
<i>Total Core</i>	16	12	10	10	17	12	9
<b>Non-Core</b>							
Government Cost Sharing	18	20	15	17	21	19	23
Donor Cost Sharing	3	4	4	4	16	24	33
Thematic Trust Funds	-	-	0	1	0	1	0
Trust Funds	57	58	66	63	40	38	31
GEF	5	5	4	5	5	5	4
MP/CAP21	2	1	1	1	0	0	0
Other Development PAF	-	-	-	-	0	0	0
Other	-	-	-	-	-	-	-
<i>Total Non-Core</i>	85	88	90	91	82	87	91
<b><i>Total Core + Non-Core (USD, thousands)</i></b>	211,962	224,017	284,962	292,899	234,229	326,145	382,867

<b>B. Regional breakdown. Regional Bureau for Europe and the CIS (percentages)</b>							
<b>Programme Expenditure 2000-2006</b>	<b>Time Period</b>						
	<b>2000</b>	<b>2001</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>
<b>Core</b>							
TRAC 1/2	15	15	15	15	16	14	13
TRAC 3	3	2	0	1	5	(2)	1
Other	2	1	1	1	0	0	0
<i>Total Core</i>	20	18	16	17	21	12	14
<b>Non-Core</b>							
Government Cost Sharing	20	24	20	22	21	24	24
Donor Cost Sharing	35	37	35	29	27	34	24
Thematic Trust Funds	-	-	2	2	1	1	1
Trust Funds	16	11	15	19	21	22	26
GEF	8	10	11	11	8	8	10
MP/CAP21	0	1	1	0	0	0	0
Other Development PAF	-	-	-	-	1	1	1
Other	-	-	-	-	-	-	-
<i>Total Non-Core</i>	79	83	84	83	79	90	86
<b><i>Total Core + Non-Core (USD, thousands)</i></b>	122,520	142,307	146,007	177,922	196,398	281,273	310,840

<b>B. Regional breakdown. Regional Bureau for Latin America and the Caribbean (percentages)</b>							
<b>Programme Expenditure 2000-2006</b>	<b>Time Period</b>						
	<b>2000</b>	<b>2001</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>
<b>Core</b>							
TRAC 1/2	2	2	1	2	2	2	2
TRAC 3	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0
<i>Total Core</i>	2	2	1	2	2	2	2
<b>Non-Core</b>							
Government Cost Sharing	88	84	81	84	84	83	84
Donor Cost Sharing	7	7	10	8	9	9	7
Thematic Trust Funds	-	-	0	0	0	0	0
Trust Funds	2	3	3	2	2	2	4
GEF	1	3	3	3	2	3	2
MP/CAP21	0	1	1	1	1	1	0
Other Development PAF	-	-	-	-	0	0	0
Other	-	-	-	-	-	-	-
<i>Total Non-Core</i>	98	98	98	98	98	98	97
<b><i>Total Core + Non-Core (USD, thousands)</i></b>	886,427	999,410	937,953	1,069,437	1,128,173	1,227,976	1,417,215

<b>B. Regional breakdown. Bureau for Development Policy (percentages)</b>							
<b>Programme Expenditure 2000-2006</b>	<b>Time Period</b>						
	<b>2000</b>	<b>2001</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>
<b>Core</b>							
TRAC 1/2	-	-	-	-	0	1	0
TRAC 3	5	5	3	4	2	4	2
Other	26	19	23	32	18	13	16
<i>Total Core</i>	31	24	26	36	20	18	18
<b>Non-Core</b>							
Government Cost Sharing	-	-	(2)	-	-	-	0
Donor Cost Sharing	20	15	14	10	5	7	6
Thematic Trust Funds	-	-	2	5	2	2	3
Trust Funds	41	48	49	39	53	55	52
GEF	6	8	7	9	16	16	20
MP/CAP21	3	5	4	1	4	2	2
Other Development PAF	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-
<i>Total Non-Core</i>	70	76	74	64	80	82	83
<b><i>Total Core + Non-Core (USD, thousands)</i></b>	79,650	82,375	102,453	102,724	253,984	276,866	289,005

### C. Breakdown for Country Case Studies. Zambia (percentages)

Programme Expenditure 2000-2006	Time Period						
	2000	2001	2002	2003	2004	2005	2006
<b>Core</b>							
TRAC 1/2	50	52	75	67	85	82	48
TRAC 3	0	0	0	1	2	1	0
Other	7	3	6	14	8	5	2
<i>Total Core</i>	57	55	81	82	93	88	50
<b>Non-Core</b>							
Government Cost Sharing	0	0	(2)	0	0	0	0
Donor Cost Sharing	5	20	21	7	0	0	38
Thematic Trust Funds	0	0	1	8	3	1	0
Trust Funds	0	0	2	(2)	0	0	1
GEF	0	0	0	2	3	5	10
MP/CAP21	0	0	0	0	0	0	0
Other Development PAF	0	0	0	0	2	5	1
Other	39	25	(3)	2	0	2	0
<i>Total Non-Core</i>	44	45	19	17	8	13	50
<b>Total Core + Non-Core (USD, thousands)</b>	5,552	5,346	3,681	3,635	5,016	6,326	17,450

### C. Breakdown for Country Case Studies. Moldova (percentages)

Programme Expenditure 2000-2006	Time Period						
	2000	2001	2002	2003	2004	2005	2006
<b>Core</b>							
TRAC 1/2	32	37	45	65	51	27	33
TRAC 3	0	0	0	0	0	0	1
Other	4	1	1	3	5	3	2
<i>Total Core</i>	36	38	46	68	56	30	35
<b>Non-Core</b>							
Government Cost Sharing	1	1	0	0	4	0	2
Donor Cost Sharing	50	58	39	9	5	19	21
Thematic Trust Funds	0	0	10	11	2	1	6
Trust Funds	4	1	2	5	23	46	33
GEF	7	3	3	2	4	1	0
MP/CAP21	3	0	0	0	0	1	1
Other Development PAF	0	0	0	0	4	1	0
Other	0	0	0	4	2	2	1
<i>Total Non-Core</i>	64	63	54	31	44	71	64
<b><i>Total Core + Non-Core (USD, thousands)</i></b>	1,857	2,415	1,804	1,576	2,897	6,708	6,977

### C. Breakdown for Country Case Studies. Indonesia (percentages)

Programme Expenditure 2000-2006	Time Period						
	2000	2001	2002	2003	2004	2005	2006
<b>Core</b>							
TRAC 1/2	24	22	16	18	13	10	9
TRAC 3	-	-	-	-	-	1	1
Other	4	1	0	3	1	1	1
<i>Total Core</i>	28	23	16	21	14	12	11
<b>Non-Core</b>							
Government Cost Sharing	6	43	2	2	1	0	0
Donor Cost Sharing	8	(11)	19	19	9	28	65
Thematic Trust Funds	-	-	-	0	0	35	10
Trust Funds	-	-	-	-	-	-	-
GEF	3	3	2	1	0	0	0
MP/CAP21	2	3	3	3	7	1	1
Other Development PAF	-	-	-	-	-	-	-
Other	54	40	57	54	69	24	13
<i>Total Non-Core</i>	73	78	83	79	86	88	89
<b><i>Total Core + Non-Core (USD, thousands)</i></b>	11,458	17,613	26,076	32,620	58,921	72,331	96,805

### C. Breakdown for Country Case Studies. Egypt (percentages)

Programme Expenditure 2000-2006	Time Period						
	2000	2001	2002	2003	2004	2005	2006
<b>Core</b>							
TRAC 1/2	12	7	10	6	83	80	3
TRAC 3	0	0	0	0	0	0	0
Other	(2)	1	0	1	15	17	1
<i>Total Core</i>	10	8	10	7	98	97	4
<b>Non-Core</b>							
Government Cost Sharing	66	72	73	68	2	2	73
Donor Cost Sharing	9	4	4	6	0	0	10
Thematic Trust Funds	0	0	0	1	0	0	0
Trust Funds	0	0	1	5	0	0	7
GEF	12	13	11	11	0	0	5
MP/CAP21	3	3	0	2	0	0	0
Other Development PAF	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	1
<i>Total Non-Core</i>	90	92	89	93	2	2	96
<b><i>Total Core + Non-Core (USD, thousands)</i></b>	18,877	23,072	15,139	19,573	1,419,808	1,728,887	49,134

### C. Breakdown for Country Case Studies. Argentina (percentages)

Programme Expenditure 2000-2006	Time Period						
	2000	2001	2002	2003	2004	2005	2006
<b>Core</b>							
TRAC 1/2	0	0	1	0	0	0	0
TRAC 3	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0
<i>Total Core</i>	0	0	1	0	0	0	0
<b>Non-Core</b>							
Government Cost Sharing	99	97	97	98	95	95	99
Donor Cost Sharing	0	2	1	0	2	2	0
Thematic Trust Funds	0	0	0	0	0	0	0
Trust Funds	0	0	0	0	0	0	0
GEF	0	0	1	0	0	0	0
MP/CAP21	1	1	1	1	0	0	0
Other Development PAF	0	0	0	0	0	0	0
Other	0	0	0	0	3	2	0
<i>Total Non-Core</i>	100	100	99	100	100	100	100
<b>Total Core + Non-Core (USD, thousands)</b>	180,940	136,894	58,873	136,777	245,178	321,881	271,989

## Annex 8

# SUMMARY OF RESULTS FROM THE STAFF SURVEY ON RESULTS-BASED MANAGEMENT

Percentage of respondents (A)greeing or (D)isagreeing	n= A/D	365 All	52 RC/RR/ DRR	313 Others
<b>Culture and leadership</b>				
3 UNDP encourages risk taking and mistakes in the pursuit of results	A D	35 65	52 48	32 68
4 In UNDP it is more important to achieve results, than to follow process and deliver outputs	D	66	64	66
5 In my country office an adequate budget is made available for operating the results-based management system	A D	46 54	56 44	44 56
<b>Programme focus</b>				
6 The main value of the service lines is in allowing us to focus our programme by saying no to partners in non-strategic areas	A	53	58	52
7 UNDP outcomes in my country are developed through a process that brings ownership by all stakeholders (government, other UN organizations, development partners, civil society)	A	76	87	74
8 It is normal in our country office that policy and planning decisions are informed by empirical evidence on past performance.	A	66	77	64
9 The organization in my office is structured to deliver the CPAP outcomes	A	72	79	71
10 I can confidently explain to my colleagues and development partners the difference between an output and an outcome	A	93	96	93
11 I can explain clearly how outputs contribute to programme outcomes	A	94	100	93
12 The focus of management in my country is the achievement of outcomes rather than implementation of individual projects	A	56	69	54
<b>Monitoring and reporting</b>				
13 The ROAR is an effective outcome monitoring tool	A D	59 41	41 59	62 38
14 The country office Balanced Scorecard is more important than the ROAR in managing for results at country programme level	D	62	73	60

<b>Percentage of respondents (A)greeing or (D)isagreeing</b>	<b>n= A/D</b>	<b>365 All</b>	<b>52 RC/RR/ DRR</b>	<b>313 Others</b>
15 Monitoring and reporting are well harmonized with other development partners and make use of country reporting systems	D	67	94	63
<b>Adjustment and learning</b>				
16 Stakeholders and managers collectively analyze performance and decide on action	A	61	65	60
17 Development managers have the latitude, flexibility and authority to arrange resources (financial and personnel) as required to achieve the desired outcomes	A	57	73	54
18 There is a clear link between allocation of the Biennial Support Budget and four yearly Programme Allocation, and evidence of results in our country programme	D	61	69	60
19 Because most of our funds are raised through cost sharing or from donors, we have little scope in allocating resources across our programme or within outcome areas according to results.	A	56	55	56
20 Whether positive or negative, performance information is used to foster learning	A	72	82	70
21 There is effective follow-up and actions on management response to evaluations	A	61	73	59
<b>Evaluation and accountability</b>				
22 Roles and responsibilities at all levels in my country office are clearly set out and known to staff	A	61	83	57
23 Under the RCA, the key factor in UNDP enhancing promotion and advancement prospects is demonstrating a proven ability to raise resources and in delivery	A D	49 51	37 63	51 49
24 The RC/RR/CD is accountable for achievement of country programme outcomes	A	79	74	80
25 The RC/RR/CD can only be held accountable for delivery of UNDP outputs	D	61	45	64
26 In my office, country programme staff are under more pressure to raise resources and ensure timely delivery than on enhancing the contribution by UNDP to achievement of the outcomes	A	64	53	66
<b>Support systems</b>				
27 I can easily find guidelines and support from the RSCs and headquarters to help design objectives and indicators for projects and programmes	A D	55 45	35 65	58 42
28 The training I have received has equipped me with the ability to plan and manage for outcomes	A	60	67	59
29 In our country office adequate time and structured occasions are made available to learn from results and evaluations.	D	58	39	61
30 UNDP's rewards systems provide real incentives for strengthening a results culture within the organization	D	76	81	75

# RESULTS-BASED MANAGEMENT BENCHMARKS ASSESSMENT

**Table 1. Rationale for judgement against benchmarks**

Benchmarks <sup>69</sup>	Assessment
<b>PLANNING – GOALS</b>	
<p>Benchmark 3: Long-term objectives have been clearly formulated for the organization (Joint Inspection Unit [JIU])</p>	<p>JIU<sup>70</sup> states that “A key step for RBM [results-based management] is to identify the long-term goals and objectives to be pursued by the organization. They derive from the statutory instruments, the mission statement and the related mandates contained in the pertinent resolutions and decisions. The main actions to be carried out are to:</p> <ol style="list-style-type: none"> <li>(1) Adopt a long-term planning instrument for the organization (corporate strategic framework).</li> <li>(2) Identify the internationally agreed goals that closely relate to the organization’s mission, and to which a contribution from the organization is expected in view of its specific mandate and sphere of competence.</li> <li>(3) Define clearly the long-term objectives for the organization that would contribute to the attainment of the identified goals; the objectives should be specific, measurable, achievable, relevant and time-bound (SMART) and constitute, therefore, the critical results to be accomplished or assessed by the organization over the period of time covered by its strategic framework.</li> <li>(4) Ensure a participatory process in the development of the corporate strategic framework.”</li> </ol> <p><b>Partially achieved.</b></p> <ol style="list-style-type: none"> <li>(1) MYFF 1 and 2 and the proposed Strategic Plan represent the long-term planning instrument.</li> <li>(2) Internationally agreed goals that closely relate to the organization’s mission, and to which a contribution from the organization is expected in view of its specific mandate and sphere of competence, should be identified. The MDGs and reporting against them is not explicitly incorporated into the MYFF planning and reporting framework, although selection of the practice areas and explanation of the assumed linkage to the MDGs is found in the MYFFs.</li> <li>(3) Long-term objectives are defined in the MYFF 1 and 2 and also in the Strategic Plan. In practice, these objectives do not define targets that drive planning at operational level. Instead, they are expected to be used as a set of boundary rules defining areas in which UNDP should and should not work. To date, definition of SMART indicators has been the major weakness. For example, conclusion from MSI was that “A performance monitoring plan with performance indicators, definitions, units of measure, and specified data</li> </ol>

69 Sources of benchmarks: **JIU** – Fontaine Ortiz E, Kuyama A, Münch W, Tang G, ‘Managing for Results in the UN System Part 1: Implementation of Results-based Management in the United Nations Organizations’, Joint Inspection Unit, United Nations Geneva, Switzerland, 2004. **Paris** – Paris Declaration on Aid Effectiveness, 2005. **MfDR** – OECD, ‘Emerging Good Practice in Managing for Development Results – Source Book (2006)’, Joint Venture on Managing for Development Results, OECD DAC.

70 Fontaine Ortiz E, Kuyama A, Münch W, Tang G, ‘Managing for Results in the UN System Part 1: Implementation of Results-based Management in the United Nations Organizations’, Joint Inspection Unit, United Nations Geneva, Switzerland, 2004.

**Table 1 cont-d**

Benchmarks	Assessment
	<p>collection methodologies has not been developed to measure MYFF goals, service lines or core results.”<sup>71</sup></p> <p>(4) The process for development of the corporate strategic framework is not participatory, but in theory it is an aggregation of objectives and results agreed by UNDP at country level that have been derived using a participatory process.</p>
<p>Goals reflect the mandate of UNDP and its comparative advantage (Paris 3)</p>	<p><b>Achieved.</b> MYFF 1 and 2 and the proposed Strategic Plan clearly reflect UNDP’s mandate and—despite changes between plans, which have been aimed at simplifying the presentation—the plans have been consistent on what UNDP’s mandate is.</p> <p>The MYFF 1 and 2 and the Strategic Plan are intended to be statements of what is seen at corporate level as UNDP’s comparative advantage. However, little evidence presented to substantiate assertion on what that comparative advantage is.</p>
<p>Goals reflect development objectives of member countries (Paris 3)</p>	<p><b>Achieved.</b> Dealt with when UNDAF and UNDP outcomes are agreed with partner governments.</p>
<p>Goals are developed through a process that brings ownership by all stakeholders (Managing for Development Results [MfDR] 1)</p>	<p><b>Not achieved.</b> Not relevant—see discussion of outcomes below.</p>
<p><b>PLANNING – RESULTS AND RESOURCES</b></p>	
<p>Results lead directly to strategic goals, adapted to partner country context (Paris 7) (MfDR)</p>	<p><b>Partially achieved.</b> Not achieved at corporate level, see conclusion from MSI that “A performance monitoring plan with performance indicators, definitions, units of measure, and specified data collection methodologies has not been developed to measure MYFF goals, service lines or core results.”<sup>72</sup></p>
<p>Results can be attributed plausibly to programmes (MfDR)</p>	<p>At the country level, UNDP should be able to substantiate how results lead directly to strategic goals, adapted to partner country context. This would be through the UNDAF/CPD/CPAP planning processes. Evidence from the evaluation case studies is that results frameworks do not convincingly link results directly with achievement of goals specified. Findings of evaluation case studies agree with those of others, including:</p>

71 MSI, ‘Background Paper on Results-Based Management in Development Organizations’, Management Systems International, July 2006, p 6.

72 Ibid, p 6.

**Table 1 cont-d**

Benchmarks	Assessment
	<p>A UNDP assessment<sup>72</sup> concluded that:</p> <p>“One of the challenges to improving the strength of practice identified is the quality or evaluability of the planning and programming frameworks upon which M&amp;E rely. As noted in the review of the pilot UNDAF matrices, and highlighted in the review of outcome evaluations, the lack of clearly defined and measurable objectives, supported by appropriate indicators and data streams has restrained the accurate assessment of results for sector and inter-sectoral learning and corporate accountability.</p> <p>As a further, more unique and internal constraint, it was raised that the planning horizon in UNDP may be too short to be able to meaningfully assess progress with outcomes. Whereas outcomes may easily take 5-10 years to materialize, most programmes are designed for a 2-4 year duration, intentionally being kept within the timeframe of the CPD/CCFs. The challenge for country office is then to identify methodologies, standards and indicators that meaningfully capture performance and attribution within the timeframe of their operational horizon.”</p> <p>Longhurst<sup>73</sup> concluded the following about UNDAF results matrices:</p> <ul style="list-style-type: none"> <li>■ Poor identification of risks and assumptions.</li> <li>■ Lack of targets and timelines.</li> <li>■ Outputs not linked to those accountable.</li> <li>■ Indicators not properly identified, often vague and very general. (This is not a matter of whether qualitative or quantitative—there should be a balance—but whether the correct indicator has been chosen. A quantitative element does help in later M&amp;E.)</li> <li>■ Broadness of outcomes so that there was no suitable practical indicator to show whether the outcome had been achieved or not. If national priorities are broad, then the outcomes will be as well.</li> <li>■ Commitment to disaggregating results by gender, which emphasizes the general view that gender mainstreaming needs to be strengthened in the UNDAF.</li> </ul>
<p>Benchmark 4: The organization’s programmes are well aligned with its long-term objectives (JIU)</p>	<p>JIU<sup>74</sup> states that to achieve this, the following conditions are required:</p> <ol style="list-style-type: none"> <li>(1) A clear definition of the cascade of objectives at each level of the organization’s programme structure.</li> <li>(2) Ensuring that objectives are logically consistent among levels reflecting cause-effect linkages.</li> <li>(3) Regrouping and reformulating the programmes to provide better focus for the work of the organization within the framework of the identified long-term objectives thereby avoiding strategic disconnect in programme planning.</li> <li>(4) Adoption of results-based management tools and approaches to the specificities of various operational entities.</li> </ol> <p><b>Partially achieved.</b></p>

72 UNDP, ‘An Assessment of UNDP Practices in Monitoring and Evaluation at the Country Level’, UNDP Evaluation Office, New York, NY, February 2005, para 7.4-7.5.

73 Longhurst R, ‘Review of the Role and Quality of the United Nations Development Assistance Frameworks (UNDAFs)’, Overseas Development Institute, London, England, May 2006, p 26.

74 Fontaine Ortiz E, Kuyama A, Münch W, Tang G, ‘Managing for Results in the UN System Part 1: Implementation of Results-based Management in the United Nations Organizations’, Joint Inspection Unit, United Nations Geneva, Switzerland, 2004.

**Table 1 cont-d**

Benchmarks	Assessment
	<p>(1) A clear definition of the cascade of objectives at each level of UNDP's programme structure is rarely achieved.<sup>75</sup></p> <p>(2) Ensuring that objectives are logically consistent among levels reflecting cause-effect linkages is not consistently achieved.<sup>76</sup></p> <p>(3) Evidence from the evaluation case studies is that regrouping and reformulating the programmes to provide better focus for the work of the organization within the framework of the identified long-term objectives thereby avoiding strategic disconnect in programme planning does not generally happen. Instead, changes in the strategic objectives and framework triggers remapping of projects and programmes, rather than a re-appraisal of the programmes and portfolio of projects.</p> <p>(4) Adoption of results-based management tools and approaches to the specificities of various operational entities has happened to varying extent. See evidence in evaluation case studies. Also following conclusion from UNDP:<sup>77</sup>  <i>"The pre-2001 project-orientated framework for M&amp;E remains strongly embedded in many country practices, overlain at a higher level by elements of the new (post-2001) results-orientated approach. The variation in practice and experience relates primarily to the extent to which country offices have sought to not integrate and localize elements of old and new within their specific partnership and country contexts."</i></p>
<p>Benchmark 5: The organization's resources are well aligned with its long-term objectives (JIU)</p>	<p>JIU<sup>78</sup> states that to achieve this, the following conditions are required:</p> <p>(1) Ensuring coherence and compatibility between budgeting and programming decisions (e.g., any budget cuts should correspond to specific and identified programme cuts).</p> <p>(2) Development of effective cost accounting systems that allows linking expenditures to expected results.</p> <p>(3) Adoption of a programming instrument linking resources to results.</p> <p>(4) In case of a short programming cycle (2-3 years), merging budgeting with programming and appropriate necessary resources.</p> <p>(5) In case of medium term programming (4 years or more), approving a targeted overall level of resources and appropriating on annual or biennial basis.</p> <p>(6) Identifying under-performing, obsolete or marginal programmes and activities over time and shifting resources not only to proven efficient and relevant ones, but also to those programmes considered to be of the highest priority.</p> <p><b>Partially achieved.</b></p> <p>(1) At present, at the corporate level ensuring coherence and compatibility between budgeting and programming decisions (e.g., any budget cuts should correspond to specific and identified programme cuts) is difficult since programming and budgeting planning cycles are separate. A proposal to integrate into one cycle and link programming and budgeting more explicitly was agreed upon by the Executive Board in 2006 for implementation from 2008.</p> <p>(2) Development of effective cost accounting systems that allows linking expenditures to expected results. This started with introduction of ATLAS in 2004, but progress has been slow, since agreed that while potential to use this</p>

75 UNDP, 'An Assessment of UNDP Practices in Monitoring and Evaluation at the Country Level', UNDP Evaluation Office, New York, NY, February 2005; and Longhurst R, 'Review of the Role and Quality of the United Nations Development Assistance Frameworks (UNDAFs)', Overseas Development Institute, London, England, May 2006.

76 Ibid.

77 UNDP, 'An Assessment of UNDP Practices in Monitoring and Evaluation at the Country Level', UNDP Evaluation Office, New York, NY, February 2005, para 4.3.

78 Fontaine Ortiz E, Kuyama A, Münch W, Tang G, 'Managing for Results in the UN System Part 1: Implementation of Results-based Management in the United Nations Organizations', Joint Inspection Unit, United Nations Geneva, Switzerland, 2004, 47-55.

**Table 1 cont-d**

Benchmarks	Assessment
	<p>data in strategic manner exists, has not yet been adopted by many senior managers to date.</p> <p>(3) Adoption of a programming instrument linking resources to results. Achieved with introduction of ATLAS.</p> <p>(4) In case of a short programming cycle (2-3 years), merging budgeting with programming and appropriate necessary resources. In theory, achieved through introduction of CPAP from 2006.</p> <p>(5) In case of medium-term programming (4 years or more), approving a targeted overall level of resources and appropriating on annual or biennial basis. Achieved at the country level through the CPDs.</p> <p>(6) Identifying under-performing, obsolete or marginal programmes and activities over time and shifting resources not only to proven efficient and relevant ones, but also to those programmes considered to be of the highest priority. No transparent and systematic system to achieve this. Note that most TRAC funding is allocated to country programmes on an entitlement, and not priority/ results basis. Varying levels of constraints on allocating non-TRAC resourcing at corporate level, since priorities are somewhat set by donors. Also evidence that even when opportunity to allocate funds (i.e. within thematic trust funds) and TRAC 1.1.2 on the basis of priorities and results, this has not been done. At the country level, evaluation case studies suggest that there is no systematic tool for doing this.</p> <p>In terms of staffing: MSI<sup>79</sup> concludes that “UNDP’s headquarters’ structure is not organized to support the implementation of the service lines. For example, there are not active or designated service line managers for many of the service lines and programming models, best practices and toolkits have not been developed and validated.”</p> <p>The Management Review states:<sup>80</sup> “According to a recent survey of COs [country offices],<sup>81</sup> 94% of RCs and DRRs indicated that the practices and service lines introduced in 2002 have benefited their work by providing greater focus, improved knowledge management and a focus on results, and through facilitating positioning and advocacy at the national level. Having successfully introduced the practice architecture, the next challenge will be to strengthen and refine the practice approach and its implementation. This is critical, given that country offices, despite their satisfaction with the overall practice architecture, have not received consistent and high quality support across all service lines, and that support has generally not included advice to UN Country Teams. Concerns have been voiced repeatedly over:</p> <ul style="list-style-type: none"> <li>■ The lack of systematic and coherent delivery of policy advisory services;</li> <li>■ Inadequate definition of roles and responsibilities;</li> <li>■ A high cost and lack of flexibility in the financial model;</li> <li>■ Too broad a scope in terms of themes addressed and products and services offered; and</li> <li>■ A disconnect between knowledge products and services and business processes.”</li> </ul> <p>The Management Review Team<sup>82</sup> also states: “In recent years, COs [country offices] have been asked to be more flexible, to do more with less, while programmatic resources and core staffing levels in</p>

79 MSI, ‘Background Paper on Results-Based Management in Development Organizations’, Management Systems International, July 2006, p 7.

80 UNDP, ‘UNDP Management Review Phase II – Report of the Management Review Team’, UNDP, March 2007, para 73.

81 This survey was undertaken within the framework of Phase II of the Management Review.

82 UNDP, ‘UNDP Management Review Phase II – Report of the Management Review Team’, UNDP, March 2007, para 63.

**Table 1 cont-d**

Benchmarks	Assessment
	<p>some offices have fallen. In some cases, sudden increases in the volume of resources have forced COs to quickly step up efficiency and performance. Consultations at the GMTM in January 2006 and ad-hoc surveys have highlighted both the pressure felt in COs for increased accountability and delivery of results, and the related constraints that make this goal hard to achieve. Operational capacity constraints also prevent COs from reaching goals in delivery, and thus contribute to the build-up of unspent balances. The most commonly cited constraints fall mainly into two categories, i.e., <i>operations-related processes and systems</i> (procurement, ATLAS, reporting, etc.) and <i>staff capacity/knowledge</i> (resident capacities, staff profiles, training and learning, etc.), and are largely attributed to a lack of adequate human and financial resources. While Central Services Bureaux are seen as providing some of the needed support (including through the Regional Service Centers), this is not perceived to be enough or in the areas needed to make up for the shortfall in capacity."</p>
<p>Outcomes are developed through a process that brings ownership by all stakeholders (MfDR 1)</p>	<p><b>Partially achieved.</b> Outcomes are supposed to be developed in a participatory fashion as part of the UNDAF/CPD/CPAP development process. 76% of UNDP staff responding to the evaluation survey agree that outcomes bring ownership. This finding is supported by the Egypt and Indonesia case-study evidence, but in Moldova ownership is poor, partially due to lack of capacity within the government and its level of substantive engagement in the process.</p>
<p>Development managers have the latitude, flexibility and authority to arrange resources as required to achieve the desired outcomes (MfDR 4)</p>	<p><b>Partially achieved.</b> 57% of UNDP staff responding to the evaluation survey agree that managers have the latitude, flexibility and authority to arrange resources as required to achieve the desired outcomes. Evidence from the evaluation case studies suggests that managers (RR/DRR level) have the necessary discretion and power at country level, but don't have enough control of the resource base to be able to fully use the discretion and power.</p>
<p>Resources are committed in a predictable fashion</p>	<p><b>Partially achieved.</b> TRAC 1.1 and 1.2 resources are allocated on a predictable basis to country programmes. However, non TRAC funding is far greater in volume and is much less predictable. In the case of donor or government cost-sharing, funding is only predictable once agreement is formally made. In terms of trust fund resources, normally allocated on an annual basis and must be used within the financial year. Inability to roll over use of TRAC and Trust Fund resources from one year to the next creates pressure to disburse, even when recognized that expenditure will be ineffective.</p>
<b>MONITORING AND REPORTING</b>	
<p>Benchmark 6: An effective performance monitoring system</p>	<p>The JIU<sup>83</sup> states that to achieve this, the following conditions are required: (1) Adoption of clear provisions for the supervisors to systematically verify that tasks assigned to meet the objectives and targets are being successfully carried out.</p>

83 Fontaine Ortiz E, Kuyama A, Münch W, Tang G, 'Managing for Results in the UN System Part 1: Implementation of Results-based Management in the United Nations Organizations', Joint Inspection Unit, United Nations Geneva, Switzerland, 2004.

**Table 1 cont-d**

Benchmarks	Assessment
<p>is in place (JIU) (Periodic assessments of performance are made against defined targets)</p>	<ol style="list-style-type: none"> <li>(2) Identification of the type of data and information needed to be collected for performance monitoring.</li> <li>(3) Assignment of clear responsibilities among staff and managers for performance monitoring.</li> <li>(4) Linking future resource disbursements for programmes to the discharge of their performance monitoring requirements.</li> <li>(5) Refining the quality of the defined results and indicators through the process.</li> <li>(6) Using both qualitative and quantitative indicators, as appropriate, and identifying standard or key indicators to measure performance at the corporate level.</li> <li>(7) Establishment of baselines and targets against which progress could be measured over a certain period of time.</li> <li>(8) Simplification of performance measurement, including through the initial use of relatively few results statements and performance indicators.</li> <li>(9) Development of a clear information and communication strategy to guide, inter alia, the selection of the performance monitoring information system to be used, and ensure coherence in systems throughout the organization.</li> <li>(10) Weighing carefully the return on investment expected from various options to select performance monitoring information systems.</li> <li>(11) Ensuring that performance information systems are supported by a reliable telecommunications infrastructure.</li> </ol> <p><b>Partially achieved.</b></p> <ol style="list-style-type: none"> <li>(1) Adoption of clear provisions for the supervisors to systematically verify that tasks assigned to meet the objectives and targets are being successfully carried out is achieved. Operates through the RCA.</li> <li>(2) Identification of the type of data and information needed to be collected for performance monitoring is partially achieved. As references above show, definition of appropriate indicators is relatively poor.</li> <li>(3) Assignment of clear responsibilities among staff and managers for performance monitoring is partially achieved. Role of regional bureaux in oversight of country offices has not been well defined during the evaluation period, as confirmed by the evaluation case studies. Within country programmes, evaluation case studies confirm the findings of UNDP.<sup>84</sup> <p style="margin-left: 40px;"><i>“The strength of implementation of plans and associated systems was found to reflect in large part the nature and quality of internal organizational arrangements for M&amp;E. To date, very few COs [country offices] were found to have M&amp;E officers, although the majority (just over 100 offices to date) have nominated M&amp;E focal points. In the latter case, these individuals range in terms of function and location within the office from DRR to JPO, thus reflecting a spectrum of ability and decision-making authority. Further, the location of the M&amp;E officer/ focal point was also found to have an effect over the nature of the function, whether located more on the programme or operations side.”</i></p> </li> <li>(4) Linking future resource disbursements for programmes to the discharge of their performance monitoring requirements is focused at the level of delivery.</li> <li>(5) Refining the quality of the defined results and indicators through the process happens in some country offices.</li> <li>(6) Using both qualitative and quantitative indicators, as appropriate and identifying standard or key indicators to measure performance at the corporate level. Intermittent application of this approach.</li> <li>(7) Establishment of baselines and targets against which progress could be measured over a certain period of time became mandatory at outcome level from 2003.</li> <li>(8) Simplification of performance measurement, including through the initial use of relatively few results statements and performance indicators is not suggested in UNDP guidance.</li> </ol>

84 UNDP, 'An Assessment of UNDP Practices in Monitoring and Evaluation at the Country Level', UNDP Evaluation Office, New York, NY, February 2005, para 4.13.

**Table 1 cont-d**

Benchmarks	Assessment
	<p>(9) Development of a clear information and communication strategy to guide, inter alia, the selection of the performance monitoring information system to be used, and ensure coherence in systems throughout the organization. Not found within UNDP. Note conclusion from MSI<sup>85</sup> study:  “UNDP has developed numerous monitoring systems—including the Balanced Scorecard, the Partner Survey, the Staff Survey, project evaluations, and country assessments—but these tools do not always communicate and complement one another, in particular in relation to the MYFF objectives. It is not clear what program and management decisions are guided by MYFF performance data.”</p> <p>(10) Weighing carefully the return on investment expected from various options to select performance monitoring information systems has not been done.</p> <p>(11) Ensuring that performance information systems are supported by a reliable telecommunications infrastructure. Implementation of robust telecommunications systems was one focus of the Administrator’s Business Plans, 2000-2003.</p>
<p>Qualitative and quantitative arrangements are in place making use of country level mechanisms (Paris 10) (MfDR)</p>	<p><b>Not achieved.</b>  67% of those responding to evaluation survey disagree with this statement.</p>
<p>Monitoring and reporting are harmonized with other donors (MfDR)</p>	<p><b>Not achieved.</b>  67% of those responding to evaluation survey disagree with this statement. Evidence from evaluation case studies indicates some harmonization around (driven by) other donors systems (i.e. Egypt Female Genital Mutilation project). Finding is supported by finding of UNDP study:<sup>86</sup>  “The interaction between UNDP and the state and non-state actors in the field of M&amp;E at the country level was found to be limited. With few exceptions, UNDP’s M&amp;E activities were found to be focused solely on its own programmes, despite often managing and supporting M&amp;E related initiatives.”</p>
<p><b>ADJUSTMENT AND LEARNING</b></p>	
<p>Whether positive or negative, performance information is used to support constructive and proactive management decision making (MfDR 5)</p>	<p><b>Partially achieved.</b>  Regional bureaux will respond if poor performance scored in the ROAR of a country programme, but in general, oversight focuses almost exclusively on resource mobilization and delivery (see evaluation case studies). Country programmes see arrangements with regional bureau as for reporting rather than management.</p> <p>There is little evidence from evaluation case studies of use of performance information at outcome level, but there is evidence of use at project level. A UNDP review found:<sup>87</sup></p>

85 MSI, ‘Background Paper on Results-Based Management in Development Organizations’, Management Systems International, July 2006, p 7.

86 UNDP, ‘An Assessment of UNDP Practices in Monitoring and Evaluation at the Country Level’, UNDP Evaluation Office, New York, NY, February 2005, para 4.4.

87 Ibid., para 5.1-5.2

**Table 1 cont-d**

Benchmarks	Assessment
	<p>“The issue of use relates primarily to the questions of what purposes M&amp;E information is and can be utilized for, and to what effect(s). The findings identify five main uses: first, internal CO [country office] operational planning and management (to feed into staff meetings, retreats, performance assessment); second, corporate reporting (e.g. SRF/MYFF, ad hoc headquarters requests for information); third, partner/counterpart liaison, consultations and decision-making (e.g. steering committee meetings, TPR); fourth, resource mobilization (project briefs, proposals, ‘success stories’); and fifth, as substantive contributions in participation in Government/donor consultation groupings and UN inter agency working groups. Less evidence was found on dissemination of lessons learned for global and cross-national learning.</p> <p>In most of the cases, information derived from the monitoring function has been found to be confined to a small cadre of operational staff within the arrangement of implementing agency, UNDP and government, servicing the input and activity tracking functions. The notion of participation in this context often hinged only upon the involvement of these ‘internal’ stakeholders, and thus relates, even unintentionally, largely to the control function of projects. However, where regular feedback mechanisms were found, where steering committees and Tripartite Reviews are systematically practiced and located within broader programmatic structures, the information generated was found to be of wider operational and strategic relevance.”</p>
<p>Stakeholders and managers collectively analyze performance and decide on action</p>	<p><b>Partially achieved.</b> In the evaluation survey, 61% agreed with this statement, although the focus was at project level.</p>
<p>Development managers have the latitude, flexibility and authority to arrange resources as required to achieve the desired outcomes (MfDR 4)</p>	<p><b>Partially achieved.</b> In the evaluation survey, 57% agreed with this statement, although the focus was at project level.</p>
<p>Whether positive or negative, performance information is used to foster learning (MfDR 5)</p>	<p><b>Partially achieved.</b> In the evaluation survey, 72% agreed with this statement, but 58% say there is inadequate time and resources for learning.</p>
<p>Benchmark 9: A knowledge-management strategy is developed to support results-based management (JIU)</p>	<p><b>Partially achieved.</b> There is a Knowledge Management strategy seen through the practice networks, but this is not geared to results-based management. The evolving role of RSC is under debate.</p>

**Table 1 cont-d**

Benchmarks	Assessment
<b>EVALUATION AND ACCOUNTABILITY</b>	
<p>Benchmark 7: Evaluation findings are used effectively (JIU)</p>	<p><b>Partially achieved.</b> Findings from evaluation case studies agree with those of the UNDP study.<sup>88</sup> “In terms of UNDP and its primary partners own use, the findings from the country assessments and the RBEC workshop suggested the majority of evaluations conducted have enabled senior management to determine and respond to aspects of quality of the delivery, strengths and weaknesses, potential gaps and identified future needs. Country offices stated that they were using the findings of the evaluations for strategic and programmatic adjustment and development. This include the drafting of new SRF and Country Programme documents, and in one case for the complete reassessment of work arrangements, approach, staff needs and advocacy in the area attended by the evaluation. The wide scope of outcome evaluation, beyond the traditional sectoral boundaries, has in other cases identified the lack of cross-fertilization of knowledge and ideas within UNDP and beyond In another, post-conflict, case, the evaluation was recognized as the first ever comprehensive written account of what UNDP set out to do, and what has effectively been achieved in relation to other donor/ NGO contributions. The format or presentation of knowledge generated by evaluation was found to impact the extent to which it was likely to be taken up by diverse audiences. In the majority of cases, the findings and recommendations were presented orally to UNDP staff and one or two key stakeholders, and through the written reports. Only in few cases was there evidence of an extensive dissemination process. With few exceptions, country offices and their partners felt that there was a broader audience that could benefit from the information generated. This audience was generally perceived by to be the public or the end-users to whom the outcomes ultimately pertain.”</p>
<p>Benchmark 2: Performance-oriented systems of accountability replace traditional, compliance-based systems (JIU)</p>	<p><b>Partially achieved.</b> RCA was modified in 2002 to reflect a more results orientation. Opinion was evenly divided in the evaluation survey on the degree to which this had shifted the focus from compliance to results. However, 64% reported that mobilizing resources and delivery were more important than results.</p>
<p>Benchmark 3: Accountability is applicable at all levels, from the top down. The executive heads and the heads of major organizational units are therefore the first to be held accountable for the results that they are expected to deliver (JIU)</p>	<p><b>Not achieved.</b> Evidence from the evaluation case studies strongly indicates that accountability focuses almost exclusively at the level of the Resident Coordinator/ Resident Representative. Programme staff do perceive that they are accountable for delivery of project outputs, but nobody is identified as accountable for ensuring that projects and programmes are managed to maximize their contributions to achievement of the outcome which is the key aspect expected in the results-based management system.</p>

88 UNDP, 'An Assessment of UNDP Practices in Monitoring and Evaluation at the Country Level', UNDP Evaluation Office, New York, NY, February 2005, para 5.4-5.5.

**Table 1 cont-d**

<b>Benchmarks</b>	<b>Assessment</b>
<b>EVALUATION AND ACCOUNTABILITY</b>	
Assessment of performance and accountability for results takes into account both contextual factors and risks and makes adjustments accordingly (MfDR 5)	<b>Partially achieved.</b> Technically this is covered in the ROAR, Balanced Scorecard and RCA reporting. In practice, this is not a concern for most staff since targets are formally agreed between four and six months into the annual programming period and therefore can be set to reflect ex-post changes.



# FINDINGS FROM THE COUNTRY CASE STUDIES

## ARGENTINA

### PERCEIVED STRENGTHS OF THE RESULTS-BASED MANAGEMENT SYSTEM

The Argentina Country Office has built a strategic direction for results-based management within a broad set of organizational and process reforms that have been ongoing during the last two to three years within the country office. Within a relatively short period of time, a transition process has been developed, launched and is generating change.

The results-based management model that has been developed presents 'results' and results-based management in a holistic manner. It focuses on aligning three levels of performance/results: at the development programme-level and project-level; the institutional level; and at the cross-agency level involving UN coordination. This helps underscore the importance of not only measuring results/impacts, but also understanding the process. That is, observing the 'how' in order to be able to provide advice and lessons learned to help others change behaviour.

Managing for results has brought a more systematic and disciplined move to project development and monitoring and a series of new tools and processes has been introduced and shared with national counterparts.

The country office and project-level systems have introduced a platform with which to pursue results-based management capacity building with partners, and coordination and harmonization with other UN organizations and donors.

The dedicated M&E Unit (now three full-time officers) has been identified as an important supporting element to the results-based management exercise in the Argentina Country Office.

Associated with this are the training sessions offered to UNDP staff and project officers, recognized as critical elements of results-based management capacity building. There is wide use and some improved understanding of the language of results-based management, though staff indicate a need to understand better how to operationalize concepts such as indicator, targets and outcomes.

### PERCEIVED WEAKNESSES OF THE RESULTS-BASED MANAGEMENT SYSTEM

There are however, limitations to what the introduction of results-based management has produced to date in UNDP Argentina. The country office is clearly in transition in its implementation of the results-based management model, and while the model identifies a number of tools and processes, some are still under development and others are not being implemented to the extent that results-based management normally implies. Of note is the absence of outcome monitoring and outcome evaluation.

The further introduction of results-based management in the country office appears to be at a crossroads, as there does not appear to be a consensus on the direction of how to further enhance the implementation of results-based management within the country office. The current project-level focus at this time seems to be overlooking the broader dimensions of the results-based management framework.

Despite the umbrella of ‘outcomes’ offered by the Country Programme and SRF, management still focuses primarily on the project, its activities and outputs. The work done to link projects to outcomes is really a mapping exercise. The assignment of projects to outcome categories is somewhat subjective, though it has allowed for the identification of outlier projects that have been targeted for removal upon completion of the cycle. While this is not necessarily problematic, it does suggest that much of this is administrative in nature to serve reporting needs rather than results-based management per se.

A weakness of the current system is that there are neither dedicated funds nor priority for outcome evaluation.

An underlying problem that the country office faces is that the structure of funding available to the country office is at odds with managing on the basis of performance. Only a small proportion of funds have any flexibility in their use by the country office and the necessity to mobilize funds to support the country office operation is a powerful incentive to prioritize funding over performance. In effect, the old measure of performance and ‘success’ (‘mobilizing resources’) is generally at odds with an results-based management approach.

Last, two related aspects of the nature of UNDP’s activities make monitoring results a challenge. First, UNDP is an extremely small player financially, which makes it hard to attribute change to UNDP activities. Second, the upstream aspects of the country office’s more substantive work, such as policy engagement, represent a difficult area in which to identify and measure outcomes. That said, both of these objections can and should be dealt with.

## **EGYPT**

### **INFLUENCE OF CORPORATE STRATEGIC GOALS ON COUNTRY PROGRAMME**

The two MYFFs led to structural reorganizations of the portfolio in response to corporate priorities, but the core orientation of the programme has

not change markedly from the definition in the first CCF in 1997.

The first UNDAF had no material constraining effect on the programme. The second UNDAF, completed in 2007, still has broad and permissive outcome domains. The extent to which the structure will influence UNDP will depend on the implementation of proposed UNDAF outcome groups.

### **ALIGNMENT OF RESOURCES, ORGANIZATION AND MANAGEMENT**

A steady change can be seen in the articulation of the programme over the period under review. Outcomes have been reworded, baseline situations are stated and outcome indicators are becoming more precise. The objectives structure of the portfolio has become increasingly complex, with the projects under the new CPD being fitted into UNDP country outcomes, core results, service lines, corporate goals, and UNDAF outcomes. But the composition of the portfolio has changed little. The main change is removal, through natural attrition, of outlier projects.

The office was organized around thematic teams during the 1990s. That was changed to a flat structure, not related to outcomes, but retaining thematic teams up to 2007. Plans are currently being developed to return to a team structure geared toward outcomes.

Owing to the changing structure of objectives, it is difficult to track changes in the configuration of financial resources around objectives. The 2007 Country Programme Evaluation concluded that the programme strategy has been driven by resource mobilization and not by results.

### **MONITORING SYSTEMS**

Steady progress has been made in using monitoring tools. Support from the results-based management officer has been instrumental in this achievement. There are no routine mechanisms to review and improve the quality of objectives and indicators. Headquarters-promoted tools

either prioritize financial management (ATLAS) or are geared towards reporting upwards (ROAR). Yet the primary unit of monitoring at the country level is the project.

Strong support to monitoring national outcomes can be seen through the NHDR, though this is not always recognized as a contribution to results-based management. Development assistance to Egypt is mostly projectized rather than through budget support and, partly as a result, harmonization of M&E systems with the Government of Egypt and with development partners has developed on a project-by-project basis.

### **ADJUSTMENT AND LEARNING**

Interviews with programme staff produced clear examples of systematic use of information to manage at the project level. This was particularly prominent in key projects with other development partners, such as addressing Female Genital Mutilation with the European Union and CIDA, and was reinforced by the project cycle management procedures used by those partners. Evidence about managing at an outcome level is less compelling. Some programme staff hold discussions around the ROAR, but there is no clear link back to decisions about programme strategy and composition. Links to regional service centres are strong in specific areas such as for the environment portfolio and, in general, for the development of new projects.

### **EVALUATION AND ACCOUNTABILITY**

The office has continued project-level evaluation even though the requirement was dropped in 2002. Five evaluations have been undertaken at the outcome level during 2006-2007, but these were delayed as they were under budgeted and had to be financed by cost sharing across projects.<sup>89</sup> Furthermore, a full country programme evaluation for the 2002-2006 cycle was also conducted. There is no evidence yet about how management and the regional bureau will use the findings.

There is a lack of clarity around aspects of the roles and responsibilities of staff and management in three key areas:

- Accountabilities for planning and implementing a functioning results-based management system
- Accountabilities for the use of information in the country office and at higher levels
- Accountabilities for the performance of projects, programmes and the country office itself

The programme can be characterized as having islands of excellence such as the Female Genital Mutilation project, where monitoring, adjustment and evaluation are rigorous and effective, but those standards are not applied across the portfolio as a whole.

## **INDONESIA**

### **PERCEIVED STRENGTHS OF THE RESULTS-BASED MANAGEMENT SYSTEM**

Both the Strategic Results Framework (SRF) and the Integrated Resource Framework are considered useful tools by the country office in that they define and narrow down the mandate of UNDP. For an organization that does not have a lot of resources, having corporate policy on paper helps when negotiating with governments and other counterparts who might request projects totally unconnected with the UNDP mandate. The articulation of a clear mandate also helps carve a niche for the organization in an environment characterized by competition for development space and for resources. Before the introduction of the practice areas and service lines, UNDP had lost its identity, especially as the word 'development' was subject to very broad interpretation and varied between country offices.

In CPAP 2006-2010, UNDP Indonesia set programme targets for, and allocated funds to, each outcome for the first time. According to

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<sup>89</sup> An Assessment of Development Results was also undertaken by UNDP Evaluation Office in 2004.

staff, this practice ensured rational allocation of resources across outcome themes such as governance, as staff often challenged whether resources they were committing to a particular outcome would be sufficient to achieve the outcome.

UNDP sets annual targets in the CPAP that are reported in the ROAR. However, the quarterly reviews of CPAP assist UNDP, the government and other partners in tracking progress towards achievement of outputs and outcomes.

The introduction of new tools (especially ATLAS, the Balanced Scorecard and RCA) has improved upward reporting and global transparency and benchmarking. The country office can compare and contrast its performance with other UNDP field offices and this motivates improved performance.

Despite its limitations, the new RCA is appreciated by some staff as an attempt by the organization to link individual staff performance to annual targets of the organization. Its link to learning goals and long-term staff development initiatives is particularly useful in obtaining a corporate view of training needs and planning for these activities.

The Global Staff Survey has contributed towards achieving a 360-degree feedback system. Management in the Indonesia office takes the results of the Global Staff Survey seriously.

#### **PERCEIVED WEAKNESSES OF THE RESULTS-BASED MANAGEMENT SYSTEM**

Whilst the theoretical underpinnings of the concept 'managing for results' are sound, the roll-out plan for UNDP was not explicit and was not accompanied by adequate headquarters guidance and resources to support country offices. Based on the experience of Indonesia, it would appear that staff orientation, training and capacity building for results-based management was one of the weakest points of the UNDP results-based

management roll-out process. The whole process relied too heavily on a small number of regional face-to-face courses and intranet-based guidelines and training programmes. The use of the intranet should have been balanced with the use of face-to-face courses at the national level. Face-to-face courses at the regional level were too few to reach a critical mass or impart sufficient knowledge on the concept of managing for results. Implementation of results-based management within the country office is thus characterized by information asymmetry.

The training was confined to the regional level on the premise that it would reach a sample of staff who would, in turn, train others at the country level. Unfortunately, those trained at the regional level were not supported with resources to offer substantive training to the rest of the staff in the country office. Furthermore, because of the short duration of contracts, two of the three trained staff have already left the organization. It is important to note that most training is being developed and forced down on staff. Staff complained of redundant modules in courses such as Prince 2.

The fact that appreciation of results-based management concepts and tools varied across staff within one country office, compromised the impact of results-based management on internal organizational efficiency and development effectiveness.<sup>90</sup>

The Service Lines were expected to do wonders in terms of narrowing the focus of country programmes. However, sometimes this has not happened because of their poor wording. In Indonesia, the programme on deepening democracy was placed under the service line on policy for lack of a matching service line. Service lines for crisis recovery are also so broad that they cannot restrict country offices to focus on specific key deliverables.

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<sup>90</sup> This feedback came from a short workshop with UNDP staff in Indonesia that explored the factors holding back and those supportive of results culture.

Some of the modules for ATLAS, such as Project Management, continue to be a work in progress and underused. This, in part, explains why UNDP Indonesia has gone beyond available corporate tools on project management to develop one composite module with all features.

Tools for measurement of development effectiveness of UNDP support have been lacking from the UNDP results-based management model, or they have just been difficult to put in place. The latter tends to be the excuse for concentrating on financial mobilization and delivery targets as the backbone of results-based management in UNDP. The ROAR is more for upward reporting to headquarters and remains a self assessment tool with little, if any, feedback from the headquarters. Without feedback, the instrument is not being used effectively by the regional bureau in its oversight function. The Balanced Scorecard has been effective in driving financial performance and learning and growth achievements upwards, but is a subjective assessment instrument. The idea of introducing outcome evaluations was noble, but the absence of enforcement of quality standards and corporate rules concerning management response compromises their potential impact in terms of changing the corporate culture at UNDP.

Another issue missing is a strong accountability framework. Some accountability exists, but a comprehensive system tying everyone from top management down to the lowest officer at the country level has been absent. There is no custodian of power to hold UNDP accountable. Commitment to results, in terms of development effectiveness, has been eroded by a preoccupation with resource mobilization, which has kept the organization afloat. This has tended to further reinforce the project approach, as most donors want to fund projects that have visibility at the community level. For as long as UNDP continues to focus on non-core funds, which are often projectized, development impact shall remain elusive to measure.

Incentives are an integral part of any performance-enhancement strategy. So far, UNDP has no

mechanism to reward competitively and promptly above average performers. The staff RCA is a good instrument but weakened by the fact that UNDP does not as yet have a mechanism to recognize in financial terms those that exceed average performance.

## **MOLDOVA**

### **INFLUENCE OF CORPORATE STRATEGIC GOALS ON THE COUNTRY PROGRAMME**

There is no evidence that the MYFFs have influenced the focus and composition of the country programme found in Moldova. The second MYFF's main effect may have been a symbolic reiteration from UNDP headquarters of the need to deliver results.

Results set at the outcome level were defined purely to meet headquarters' requirements, and reporting against them was seen as meeting a headquarters' reporting requirement. When the programme attempted to use the results and indicators as a management tool, it found that they were not useful. The fact that targets set in the Balanced Scorecard and ROAR are often not agreed upon with headquarters until June—six months into the implementation period—reinforces the perception that the targets are a formulistic reporting burden rather than a tool to frame and drive planning and performance at the country office level.

Whilst outcomes may be defined in consultation with government and donors, there is no evidence that outcomes are owned by anybody other than UNDP. While outcomes have been used for structuring some discussion and analysis, this has been focused within the programme team. There is no evidence of using outcomes with other stakeholders to discuss their different contributions to delivery of joint outcomes. In terms of the government, the lack of terminology for discussing results-based management or M&E in Romanian, and the almost complete lack of formal M&E systems within the government was a challenge that the programme hasn't

surmounted. In terms of donors, only in the field of Public Administration Reform has there been the possibility of structuring discussion of results around a common outcome, and this opportunity has not yet been grasped. Elsewhere, cost-sharing donors have relied upon their own M&E systems.

#### **ALIGNMENT OF RESOURCES, ORGANIZATION AND MANAGEMENT**

There is no evidence that projects identified and other activities, such as advocacy, are organized around outcomes. Instead, revisions in outcomes trigger a remapping exercise in which projects are retrofitted under outcomes. Nor is there evidence that definition of outcomes influences identification of new projects.

The programme has been very successful at meeting its resource mobilization and delivery targets during the past five years. This has mainly been achieved through projects that the management acknowledge are not focused in the areas of key interest to UNDP or where it has a policy related comparative advantage. Rather, these donor cost-sharing projects were won due to UNDP project administration capacity relative to alternative providers, its relative flexibility and, to a lesser extent, a perceived focus on results from its projects. However, while there is evidence that the programme has tried to align resource mobilization with the broad areas of engagement found in the programme areas identified, these efforts have had only limited success to date.

The Resident Representative considers increasing professional programme staffing and a number of other investments in this area as the major evidence of an increased results focus in the country office. The number of professional programme staff in the office expanded from three in 2002 to eight by the end of 2006. The programme section was also reorganized in an attempt to lessen the hierarchical culture and expand roles and responsibilities of staff to engage in substantive work. Programme teams were reorganized around the major programme teams, although not around specific outcomes,

which would have been difficult given the small number of staff.

#### **MONITORING SYSTEMS**

With the removal of many of the mandatory monitoring requirements in 2002, the office moved to a very light project-monitoring system based around development of annual work plans and quarterly reporting to Project Steering Committees against the annual work plans. The office does not use annual project reviews and the use of tri-partite reviews was also discontinued. Above the level of the project, a system of annual programme reviews was instituted.

The office has found it difficult to use reports generated in ATLAS for monitoring with the Project Steering Committees, since presentation of information is not user friendly—not enough narrative information on performance is included and reports are in English. Therefore it has reverted to the use of short, informal narrative reports when discussing performance with the Project Steering Committees. However, there is little evidence that monitoring focuses above the level of inputs and outputs.

There is no formal monitoring system focused at the level of the outcome. The annual programme review meetings have, to date, mostly focused on presentation of a few key results, but the office is uncertain how these meetings might be better used to allow substantive discussion of results.

#### **ADJUSTMENT AND LEARNING**

There were examples of adjustment of the programme or within individual projects. However, there is little evidence linking these adjustments to information on results derived from the formal results-based management systems.

Stakeholders report that Annual Programme Reviews have normally lasted for two hours, which only allows 10 to 15 minutes of presentation on key results within each outcome area. This approach does not allow time for substantive discussion. The country office has experimented

with increasing the level of substantive discussion during the Programme Review process, such as its presentation of the results of the Local Governance Outcome evaluation at the 2005 review meeting. However, how to re-structure the country programme review process to enhance its value as a learning and action approach remains an unresolved issue.

#### **EVALUATION AND ACCOUNTABILITY**

Only one project evaluation has been carried out since 2002, although three outcome evaluations have been completed. While no longer mandatory to carry out project evaluations, reviews by the Evaluation Office have shown that a lack of project evaluations will adversely affect the quality of outcome evaluations. The experience of UNDP Moldova in using outcome evaluations to guide programme development has been mixed, partly due to the quality of the evaluations.

Staff believe that they can be held accountable for delivery of project outputs. In terms of accountability and responsibilities in the office, there are three main findings:

- There is consensus on accountability and responsibilities at the level of the project.
- The roles and accountabilities of the programme team leaders are not well defined. This suggests that the wish to move from a flat structure in which all programme staff report to the Programme Coordinator to a system with teams organized around the two major programme areas has not yet been completed.
- There is no consensus on roles and accountabilities within the country office for delivery of UNDP's contribution to delivery of its outcomes.

#### **PRESENT STATUS**

The office wishes to move to a greater focus on delivery of results in its work, and over the past few years, management has worked to ensure that there are sufficient staff to implement the needed change. However, the country office faces the following major challenges:

- To survive the office must continue to meet challenging resource mobilization and delivery targets, which are strongly monitored from headquarters. Balancing these needs against what a results focus would suggest should be done is an on-going challenge.
- Systems designed at corporate headquarters have not supported development of a results orientation and have instead imposed additional transaction costs, with little perceptible benefit at country level.
- There is little evidence of support or advice from the wider UNDP on how the country office might more effectively introduce a results focus while managing its competing priorities.

Despite the umbrella of 'outcomes' offered by the UNDAF and the CPD, management still focuses primarily on the project, its activities and outputs. The work done to link projects to outcomes is really a mapping exercise, and there is no apparent demonstration of 'results' information being used to strategize on which projects to select or reject based on their performance. The assignment of projects to outcome categories is somewhat subjective, though it has allowed for the identification of outlier projects that have been targeted for removal upon completion of the cycle. The outcome formulation is broad and permissive, allowing wide scope for future projects to align against a particular outcome. While this is not necessarily problematic, it does suggest that much of this is administrative in nature to serve reporting needs rather than results-based management per se.

The plethora of modifications by headquarters to the monitoring and reporting systems being introduced (i.e. changes to a particular system or interpretation of some element of implementation), has resulted in frustration and confusion among staff. One of the system-related weaknesses expressed by staff is that some systems do not relate easily to one another. Most frequently mentioned was ATLAS, which provides financial and performance reporting on a project basis. The office found that the

information produced is totally unsuitable for engaging with partners and therefore has reverted to producing separate narrative reports for engaging with other stakeholders.

There is some evidence that the country office does adjust the programme but little evidence that this adjustment is based on assessment of results.

Last, two related aspects of the nature of UNDP activities make monitoring results a challenge. First, UNDP is an extremely small player financially, which makes it hard to attribute change to UNDP activities. Second, a significant element in the programme's work concerns policy engagement, and this is a difficult area in which to identify and measure outcomes.

## **ZAMBIA**

### **PERCEIVED STRENGTHS OF THE RESULTS-BASED MANAGEMENT SYSTEM**

The setting of corporate goals (practice areas) has helped narrow down the focus of country office programmes to a smaller set of thematic areas and services where the organization has a clear comparative advantage. In the case of Zambia, the five practice areas identified in the second MYFF were validated as priority areas where the government and bilateral and multilateral institutions would like UNDP to provide future assistance.

UNDP sets annual targets in the CPAP that are reported in the ROAR, and this assists the organization in tracking progress towards achievement of outputs and outcomes. Furthermore, it helps the country office plan its resources with a results focus and adjust the programme as necessary.

The introduction of new tools (especially ATLAS and the Dashboard) has improved upward reporting and global transparency and benchmarking. The country office can compare and contrast its performance with that of the rest

of UNDP field offices, and this motivates improved performance.

Despite its limitations, the new RCA is appreciated by some staff as an attempt by the organization to link individual staff performance to annual targets of the organization. Its link to learning goals and long-term staff development initiatives is particularly useful in obtaining a corporate view of training needs and planning for these activities.

The Global Staff Survey has provided some 360-degree feedback to management. Management in the Zambia office is taking the results of the Global Staff Survey seriously. The office has introduced annual management and staff retreats for joint planning and put in place mechanisms to improve information flow between management and staff. One of the mechanisms has been to share minutes of the weekly Country Management Team and sectional meetings with staff by uploading them on its website.

### **PERCEIVED WEAKNESSES OF THE RESULTS-BASED MANAGEMENT SYSTEM**

Whilst the theoretical underpinnings of the concept 'managing for results' are sound, the roll-out plan for UNDP was not explicit, neither was it accompanied by adequate headquarters guidance and resources to country offices. Based on Zambia's experience, it would appear that staff orientation, training and capacity building for results-based management was one of the weakest points of the UNDP results-based management roll-out process. The whole process relied too heavily on a small number of regional face-to-face courses and intranet-based guidelines and training programmes. The use of the intranet should have been balanced with the use of face-to-face courses at the national level. Face-to-face courses at the regional level were too few to reach a critical mass or impart sufficient knowledge of the concept. Implementation of results-based management within the country office is thus characterized by information asymmetry. This is manifested in the variable quality of outcomes per thematic area for example in the current CPD.

One example of an outcome that needs improvement is found for the programme component on HIV and AIDS, which is: “mainstreaming and implementation of multi-sectoral and community responses to HIV and AIDS at subnational, provincial and national levels strengthened.” This is more of an activity or process than a specific, measurable and time bound outcome.

Staff training was confined to the regional level on the premise that it would reach a sample of staff who would, in turn, train others at the country level. Unfortunately, those trained at the regional level were not supported with resources to offer substantive training to the rest of the staff in the country office. Instead, they held no more than ‘feedback meetings’. The concept of regional ‘Training of Trainer’ courses was a noble idea, allowing headquarters to concentrate on a nucleus of trainees who would, in turn, offer training to a larger group back in their country offices. However, the approach fell into the usual trap that most Training of Trainer programmes fall into: emphasis on the first layer of training (i.e., the training of the trainer) that overshadows the second layer (multiplier courses within the country offices). Yet it is the second layer that is most important in terms of achieving the desired outreach and enabling uniform application of results-based management skills in country offices. The fact that appreciation of results-based management concepts and tools varied across staff within one country office compromised the impact of results-based management on internal organizational efficiency and development effectiveness.

The above was exacerbated by the fact that different aspects (modules) of the UNDP results-based management system and tools were rolled out at different stages. Also, most systems were introduced not as final products but as works in progress, and improvements were made in the course of results-based management implementation. This trapped the organization in a system-churning process, characterized by changing global policy (MYFF 1, MYFF 2 and now the

draft Strategic Plan), evolving results-based management guidelines, and introduction of new results-based management tools. ATLAS, an enterprise resource planning tool that was piloted in 2003, was rolled out in January 2004 as a work in progress. A new RCA was introduced with new guidelines during the period of results-based management implementation. The Balanced Scorecard was also introduced and adapted in the course of implementation. Prince 2, with its origin in the U.K. Government, is also being rolled out. All these developments present challenges at the country level, where the country office has to adapt to not only internal changes but also external changes in the aid architecture driven especially by UN reforms and the Paris Declaration.

Some of the modules for ATLAS, such as Project Management, continue to be work in progress and underused. Staff in the UNDP Zambia office confirmed that while almost all the financial, human resources and procurement modules in ATLAS were now being fully used, only a small proportion of the project management module was being used. At the time of the review, 90 percent of staff time invested in ATLAS was estimated to be spent on financial transactions and only 10 percent was for substantive programme issues. This is, more or less, the same pattern observed in Egypt.

The accountability framework for development results is particularly weak—little investment has been made or seems likely in the foreseeable future, although this problem is appreciated by headquarters. The results of expanded audits or outcome evaluations are not linked to other results-based management tools, yet they are very important especially for monitoring results achievement. UNDP has been lost in resource mobilization in delivery, thus reducing results-based management tools to management of inputs and only in quantitative terms. Results-based management has thus become a resource mobilization and utilization management tool as opposed to ‘managing for development results’.