

Managing for Change: Introducing the Art of Results Based Management

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FOREWORD

This document introduces the language and concepts of Results focused planning and management. It does so using the standard 'results chain' diagram as well as the Splash and Ripple metaphor.

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WHAT'S INSIDE? – 12 KEY POINTS

Topics covered in the training session as well as in this document are highlighted in the points below:

1. **“You are not alone!”** – there is a global preoccupation with “results”; public institutions, private sector companies, and NGOs are each adopting a results focus. The trouble is that this focus is packaged and labeled differently from agency to agency. The Canadian International Development Agency and most UN agencies call their approaches Results Based Management (RBM). Other donors have different names including Performance Mapping or Outcome Measurement. These different packages and labels mask many similarities. What’s important here is that this preoccupation with results is widespread and rooted in a much larger global process of public administration reform. It is not, like some people say, a new flavour of the month!
2. **“Look out for the Logic Chain!”** – it is central to most results based approaches to planning and management. The logic chain encourages us to explore how resources and activities connect with changes in human organization/community capacity; traditional planning and management emphasis on *resources* and *activities* is no longer sufficient.
3. **“Each part of the Logic Chain has a Role to Play”** – it is important to wrestle with the definition of key terms: *inputs*, *activities*, *outputs*, *immediate and intermediate outcomes*, *ultimate outcomes* (See Pages 2 to 4)
4. **“The Logic Chain exists within a dynamic context; this context has to be understood”** – knowing the *constraints* and *enablers* allows you to build in the right activities and/or make the right *assumptions* for project success; it sets you up to assess the *risk* that your project won’t succeed (See Page 4).
5. **“Choosing the right information to gather is a tricky task”** – good *indicators* help you know whether you are making progress; to get good ones you need to make a list of possibilities and then apply some criteria (See Indicators Checklist, Appendix I).
6. **“The Logic Chain may be linear in its presentation, but that doesn’t mean you have to use it in a ‘straight line’ way”** – when designing a project using a results based planning approach, it is not wise to begin with a discussion of *inputs* – the first point on the logic chain. Rather, it makes more sense to explore *activities* and *ultimate outcomes* first – you might get the practical types in

the design group to think of the *activities* and the big picture thinkers to think about *ultimate outcomes*, then work toward the middle of the logic chain and end at the beginning (i.e. *inputs*). Developing the logic chain should be like putting together a puzzle.

7. **“It’s important to get behind the language of Results”** – the meaning of terms like ‘output’ and ‘outcome’ are not intuitively obvious. Don’t get hung up on definitions; rather, go behind the definitions to the essential idea - linking what it is you DO, with what it is you want to CHANGE. This takes imagination (visualization) and practice.
8. **“It’s important to know this stuff”** – RBM and its variants have the power to marginalize organizations that don’t understand the language and concepts. Donors respond best to organizations that know what results they want and how they will demonstrate success. Arguably, in most parts of the world these days, the best defense to toward the introduction of results based approaches is a good offense.
9. **“Use Results based approaches both for ACCOUNTABILITY and for project NAVIGATION purposes”** – indeed, if you take the view that it is principally a management tool then chances are you will optimize the benefit; you will be in a better position to make wise management decisions and, because of the care and attention afforded the selection and process of gathering information, you will also have better quality data with which to service your relationship with your partner or donor. Better to go this route than to simply supply what you think the donor wants to know, or to ‘feed the beast’.
10. **“Results based planning approaches can help you think through how the project will benefit different people differently”** – Diversity and Gender Equality are important cross-cutting themes for many donors; every project design should demonstrate consideration of how men and women of different backgrounds are included in design and implementation, and how specific groups benefit differently at the output, immediate, intermediate and ultimate outcome levels. Discussion of *constraints* and *enablers* helps you think about the cultural/political factors that will influence progress toward more diverse, gender balanced workplaces and communities. Discussion of indicators helps you centre on what information needs to be gathered to know how the project is affecting specific groups of people differently.
11. **“There are other ways to construct the idea of Results Based Planning and Management”** – A picture is worth a thousand words; metaphor is like a picture. It conveys complex information through analogy to widely recognized symbols. The splash and ripple image can help us understand results based planning approaches (See Page 14). The demonstration of dropping a rock into a pond reveals the following important points:
 - The meaning of and the dynamic relationship between the labels on the results chain (e.g., the *splash* evokes the potential created through the output, while the *ripples* evoke the unleashing of that potential on the pond as the immediate and intermediate);
 - The influence of constraints and enablers -the other disturbances in the pond, and the importance of making assumptions and assessing risk;

- Diminishing control as the rock enters the water and as the splash becomes a ripple;
- Widening spheres of influence as the diameter of the ripples also widens;
- Diminishing attribution as the amplitude of the outward moving ripple also diminishes;
- The idea that observing the *splash* and *ripple* effect the first time allows for improvements in the way rocks are subsequently thrown in the pond;
- The idea that people bring to the exercise of planning and management their own perspective which enriches the process - each person standing around the pool can see the rock and the water from their own unique point of view; and lastly
- The importance of being clear about parameters, thus...
 - from whose vantage point the performance framework is being created - or, who/what is dropping the rock;
 - who is directly engaged in project activities - or, who/what is in the 'splash'; and
 - who or what is indirectly influenced by the project - or, who/what is represented in the pool from close to the splash to the perimeter of the pool.

12. **“The Results Planning Sheet is a useful tool for organizing your project information”** – It’s a table that summarizes your project design (See blank framework in Appendix II and completed samples in Appendix V). A framework such as this can be a very useful marketing tool for the organization when searching for financial support for a project. Once funded, the same table provides the basis for information gathering, and it can pose as a useful reference tool at management meetings. When it comes to reporting, the statements outlined in the framework can work well as headings and points of departure when comparing actual to planned results.

Managing for Change: Introducing the Art of Results Based Management

INTRODUCTION

You may have already heard about an approach to project planning, monitoring and evaluation called Results Based Management (RBM). Actually, this approach comes by different names depending on which donor is promoting it. From now on in this document we will call it RBM. While the labels may differ, the idea behind the approach remains the same. Those promoting RBM (and its cousins) want to see more evidence that funded activities are producing longer term benefits. The pressure is on those implementing development programs and projects to describe and then track the results of their work using RBM concepts and tools.

Many, on the receiving end of donor requests for RBM project designs and progress reports, feel that RBM is an imposition motivated mostly by accountability concerns. Others see merit inside the packaging – the makings of a navigational aid to assist organizations in achieving their intended results. This primer “unwraps” RBM in order to help groups more fully appreciate and take advantage of its strengths as well as minimize its shortcomings.

WHAT RESULTS BASED MANAGEMENT IS DESIGNED TO DO

Results Based Management is designed to help people who are trying to improve social conditions in our communities. RBM can help at all stages around the project cycle from project identification and formulation through monitoring, evaluation, reporting and planning for the next cycle. It places value on:

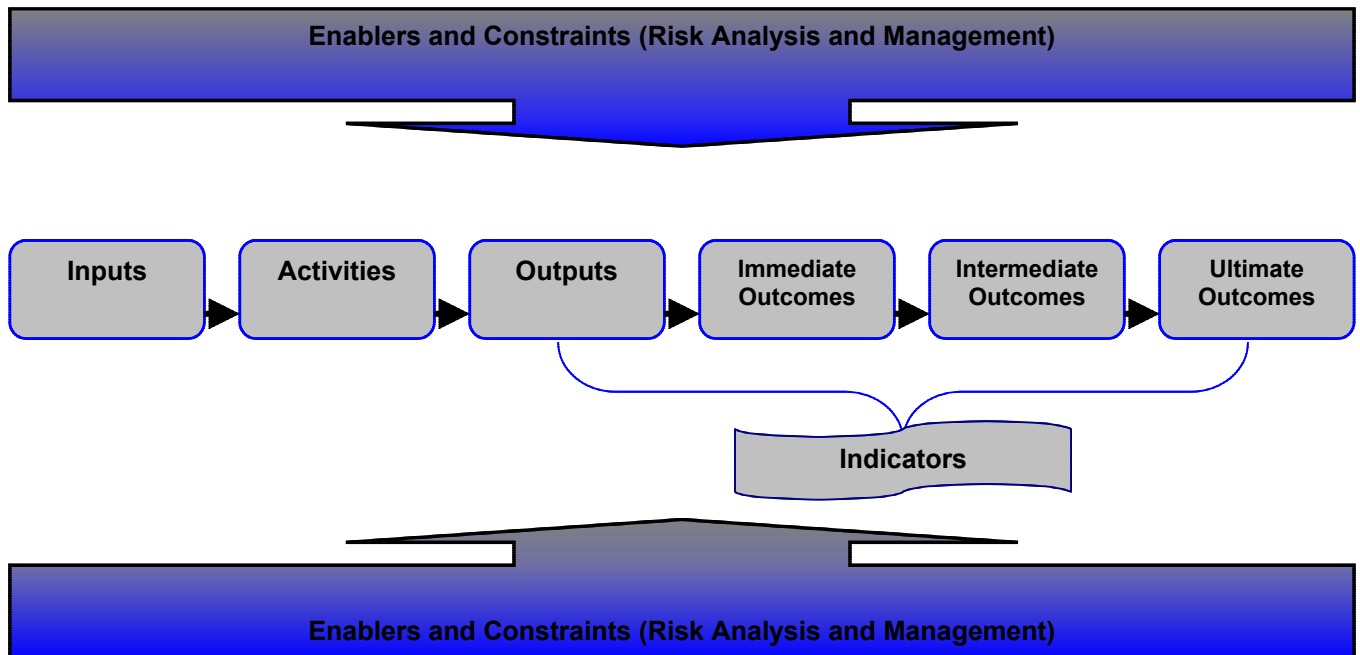
- stakeholder participation - enriching project design and implementation through the inclusion of more perspectives;
- the logical sequencing of inputs, activities, short term outputs, medium term outcomes and ultimate outcomes (also known as long term outcomes);
- consideration of external factors that may help or hinder a project's progress along this logic flow;
- identification of both quantitative and qualitative indicators and information gathering methods to help participants track progress toward those results claimed in the planning process;
- "organizational learning" and "accountability" - that RBM generate knowledge and understanding to allow project participants to refine activities as the project works its way around the project cycle and, at the same time, provide assurance to donor stakeholders interested in knowing how funds are used; and
- flexibility - fundamentally, that a plan or performance framework cannot be fixed in stone, but has to remain open to change as outside circumstances influence progress and as project participants learn more about the results of their work.

Results Based Management is not dramatically new to the world of project management. More than anything, it represents a shift of emphasis beyond a traditional concern with operational aspects of

project management (i.e. inputs and activities) and their immediate results (i.e. outputs such as the number of press releases issued, people trained or trees planted). Emphasis is now placed on longer term, “development” results – intermediate and ultimate outcomes, where we can expect important changes in the lives of people and communities.

THE LANGUAGE OF RESULTS BASED MANAGEMENT

There are some key terms that go with Results Based Management and related schemas. These terms are set out in the diagram and are described below:



The key to this schematic is the "results chain" that connects inputs to ultimate outcomes. The results chain gets across the idea that in every project there are cause and effect relationships. Inputs, activities and outputs have to do with the management and operations aspects of projects, while outcomes – immediate, intermediate and ultimate, have to do with the development changes the project can bring about. Think of the results chain more as a winding, constantly changing river than as a set of tightly defined categories linked together¹. Here are the key terms defined:

INPUTS - these are the human and physical “ingredients” - the raw materials – that you need to bring about the changes (results) you seek. This is where you identify expertise, equipment and supplies. Having a good understanding of your INPUT requirements allows you to draft a budget.

ACTIVITIES – these are what you do with those ingredients - how you combine them. Typically projects involve tens or hundreds of definable activities. You should group them into between five

1 You may encounter a variant of the results schema that delineates activities and results as follows: Inputs, Activities, Outputs, Outcomes and Impact. In this simplified schema, Outputs are equivalent to Immediate Outcomes in the schema described in this document, Outcomes are equivalent to Intermediate Outcomes in the schema described here, and Impacts are equivalent to Long Term or Ultimate Outcomes in the schema described here. In August 2008, revised its RBM policy, shifting from what is described in this footnote to the schema described in this document.

and eight activity sets. Common headings for these sets include: "promotion", "group formation", "research", "networking", "advocacy", "training", "procurement" and "construction". Under headings like these, write short paragraphs describing what it is the project is DOING.

OUTPUTS – these describe the completion of an activity – what is most immediately produced by the activity. The products or services, sometimes known as ‘deliverables’, are most often quantitative in nature and, as such, convey the volume of work completed.

IMMEDIATE OUTCOMES (also referred to as short term outcomes) – these are the first and most immediate results of your project. You have substantial control over how these turn out. Most *immediate outcomes* relate directly to one combination of activities and their outputs, so you should have roughly as many immediate outcomes as outputs (i.e. five to eight). Like outputs, immediate outcomes can be stated using numbers, but they should also describe some qualitative change (see notes below). Immediate outcomes capture “potential” you create through activities and their outputs. Often this potential is created among a defined group of people – those who directly participate in the activity such as participants of a training program. In a training scenario, the potential might come in the form of applied knowledge, more confidence, new contacts, or an implementation plan. Sometimes this potential comes in the form of a product that emerges from a set of activities such as tested training curricula for a particular group of professionals.

INTERMEDIATE OUTCOMES (also referred to as medium term outcomes) – these flow from a collection of immediate outcomes and describe the unleashing of that potential. *Intermediate outcomes* usually take place in families, organizations and communities that surround the individual (or that are influenced by the product – see above). You should be able to bring these changes about in the life of the project. You don’t have full control over these changes because they are least one step removed from the activity and, with this kind of distance, outside influences can so easily get in the way. Yet, it is very important to manage toward these outcomes because they represent the concrete changes you are trying to bring about through your work. For the sake of manageability, aim for two to three intermediate outcomes. A project’s purpose or objective statement is usually equivalent to intermediate outcomes. The difference between the two kinds of statements is described in the notes below.

ULTIMATE OUTCOMES (also referred to as impact) – these usually describe “big picture” changes that your project is working toward but that you alone cannot bring about. Aim for one statement that paints a picture of this preferred future. *Ultimate outcomes* illustrate the underlying goal of your work; they answer why the work is important. The ideal ultimate outcome is one that: a) inspires people toward a certain future, AND b) to which your project can, at some point in the future, demonstrate a contribution. Think of a ship or lighthouse on the horizon. If the object is too far away it sinks below the horizon and gives no direction. Goal and/or vision statements are roughly equivalent to an ultimate outcome statement.

ENABLERS AND CONSTRAINTS – here we are talking about the context of the project. This context has positive and negative influences in it. The more you know about these influences, the better prepared you can be to manage for them (e.g. doing your activities differently). Ideally, you would want to take full advantage of the *enablers* and find a way to avoid or mitigate the *constraints*. Constraints and enablers can be found inside your organization as well as at a family, community, national and even an international scale. They can be generated by humans, or by other forces of nature.

RISKS AND ASSUMPTIONS – ultimately, project designs need to be based on a set of *assumptions* and a calculation of *risk*. Assumptions refer to the conditions that need to be in place for the project to make planned progress toward intended results. Risk speaks to the chance that these conditions will not be in place. Calculating risk can be an involved assessment, or for small projects, more of an intuitive exercise. It should be done with a good understanding of the constraints and enablers that are likely to influence the project (see above). When calculating risk, those designing the project might simply note whether the risk of a necessary condition not being in place is "low", "medium" or "high". Where the risk is high, there should be some plan to avoid or at least mitigate risk. Where the risk is medium, project managers should have some way of monitoring the situation.

INDICATORS – this is the evidence, or proof, needed to show progress toward your outputs and outcomes – immediate, intermediate and long term i.e. ultimate outcome. Imagine the dials and displays inside the cockpit of an airplane. These provide important information to the pilots about the performance status of the plane and its position in relation to its destination. Without these *indicators*, the pilots would have very little to guide them on their journey. Drafting indicators - determining which dials and displays are going to give the project just the right kind of information - is a particularly challenging task that usually involves trial and error. Indicators need to give accurate evidence; the information has to be easy to gather and useful to those making management decisions. Indicators can be quantitative or qualitative. Appendix I provides a checklist to assist in the selection of the best indicators from a list of candidate indicators.

PUTTING ALL THE INFORMATION TOGETHER

Attached in Appendix II is an example of a table that you can use to assemble all the information you generate about your project using these terms. The table is often called a Results Framework or a Results Planning Sheet. It is designed to tell the "performance story" of your project in a summary manner. The top section of the framework usually establishes the main parameters for the project or program design – some succinct statement of need or opportunity; a goal, objective, or purpose statement; some budgetary information and a time frame for implementation. The middle section of the framework sets out the results logic – *inputs* to *ultimate outcome*. Toward the bottom of the framework is space to identify: a) results *indicators* – the information that will describe your progress; b) the "reach" or people or groups within your sphere of influence at the output, immediate, intermediate and ultimate outcome levels; and c) assumptions and risks – some key information about your operating environment.

Such a table can be a very useful marketing tool for your organization when searching for financial support for a project. Once funded, the same table can act as a useful reference for management meetings. And, when it comes to reporting, the statements outlined in the framework can work well as headings in your report. There is more on this in the next section. Appendix V sets out completed frameworks for sample projects. Another common summary tool is the Logical Framework Analysis (LFA). The LFA predates RBM but many donors, including CIDA, have adapted it to for use with RBM. For more information on this go to www.acdi-cida.gc.ca and then follow the links to the Performance Review Branch, then to Guides, then to the document entitled, “The Logical Framework: Making it Results-Oriented”.

GETTING CLEAR ON THE RESULTS LOGIC

The table below sets out examples of the kinds of activities, outputs, outcomes – immediate, intermediate and long term – that are relevant to institutional capacity building programs.

How RBM can be applied to Institutional Capacity Building Initiatives			
How?	What?		Why?
Activities & Outputs	Immediate Outcomes	Intermediate Outcomes	Ultimate Outcomes
<i>Between 5 & 8 action statements under headings like those set out below</i> Outputs describe their completion	<i>Immediate results – one statement for each activity – these will identify potential that flows from each activity</i>	<i>Later results – the major changes the project can bring about within its life time</i>	<i>A description of a preferred future – a vision to which the project will contribute</i>
Institutional Needs Assessment and Planning -scope of study -number and range of persons approached -report produced	-baseline understanding of institutional capacities and needs -agreement on priorities	-Enabling policy and resource allocation Improved institutional performance – program or service design and delivery -Enhanced engagement between institutions and those who use their programs and services	-A systemic change in “the way things are done” with tangible social, economic, or environmental benefits
Training/Exchanges/Coaching -number of persons completing training -number and type of exchanges -number of coaching engagements	-new applied competencies among training participants		
Small Projects Grant Fund -number and type of projects funded	-relevant pilot initiatives completed		
Advocacy/Public Relations -number and type of communications sent out, by intended audience	-increased knowledge/ awareness among constituents/ decision-makers		
Research/Documentation -number and type of reports/papers disseminated, by intended audience	-evidence, insights & / or recommendations for scaling up activities/ sustainability		
Networking -number and type of organizations/ networks contacted	-increased interaction, coordination, collaboration		

In the table, notice the progression in the type of results described, proceeding from outputs outcomes to ultimate outcomes. At the output level, the results are specific to the activities that produced them; they are concrete and immediate. At the immediate outcome level, there is a shift from describing what has been done to complete the activity to describing the potential that has been created by the activity to help the initiative be successful – new contacts with relevant organizations, recommendations for scaling up pilot successes, new knowledge and skills, stakeholder consensus on how the initiative should proceed. And this brings us to the intermediate outcome level where the types of results statements are focused on the purpose of the program. They point to changes that no single activity can bring about. Here, the focus is on the institution and its primary relationships. In institutional capacity building programs, we usually look for some change in institutional performance – including the way in which the institution interacts with its users/clients/customers. At the ultimate outcome level, the results extend beyond performance to include some material change for the people and communities served by the institution.

Tables like the one above, often make RBM look easy. You might say, “we will simply apply this formula to our institutional capacity building initiative”. Unfortunately, this is deceptive. There are patterns to the way results logic is applied to development work, but no “one size fits all” prescriptions.

Results logic must be tied to the time and the resources you have available. If your activities are to be completed in three months and you have \$100,000, you should claim three month, \$100,000 results at the output and various outcome levels. If you have a three year, five million dollar initiative, then your results should reflect these larger parameters.

The table above describes a large-scale program scenario. You might be designing results frameworks for the program in specific regions of the country. In this instance, your activities and results resemble the large-scale program framework – you are simply applying the program within a specific geographic area – a country or province, for example. Here, you would adjust your program results logic to account for the specific conditions in this locale.

You might design a specific project that nests within a program of this nature. For example, yours might be a training initiative that only relates to one activity in the program scenario. At this smaller scale the results perspective changes a little. Your activities describe all that has to be done to design and deliver a training process. Outputs and immediate outcomes flow directly from these activities. For example, you might seek “relevant, user friendly training materials” as an immediate outcome of a curriculum development activity. This is detail that should not show up at a program level, but is important at a project level. In this scenario, demonstrated competence and confidence by participants - post-training - might be an intermediate outcome. A good training design, skilled trainers, relevant training materials, an accessible and suitably equipped training venue, and the right participants are all critical immediate outcomes that make this intermediate outcome possible. Lastly, in this small, more specific project scenario, improved institutional performance might be an ultimate outcome. This change is several steps removed from the design and delivery of a training process,

and the training is probably only one of many activities needed to make the change possible. Training can only contribute to a change in the way an institution functions. What we see, then, is that as the scale reduces from program to project the results logic must also adjust. Often, a project's ultimate outcome is equivalent to a program's intermediate outcome, while a project's intermediate outcome is equivalent to a program's immediate outcome.

Another way to think about this scale difference is to imagine yourself flying above a city that is familiar to you at 40,000 feet – the way an airliner would. Looking out of the window, you see most, if not all, of the city in one view. At this altitude, you cannot see bicycles, cars and people crossing the street, but you can appreciate the grand design of the city. If that airliner were to come down to 1,000 feet above the ground, you would no longer have the grand view of the city, but you would be able to see cars, bicycles and people crossing the street. As you descend, you trade comprehensiveness for detail. When using RBM, you need to decide at what altitude is the most appropriate for your management and reporting purposes.

TAKING STOCK OF THE FACTORS THAT COULD HELP OR HINDER YOUR WORK

As you assemble your results logic, it is important to consider your program or project context. This is where you ask what constraints and enablers might influence the project design from activity to output/immediate outcome to intermediate outcome to ultimate outcome?

For example, if through a combination of training, exchanges and coaching you expect to see the immediate outcome, “required competencies in action at the workplace”, one question would be... “what factors could prevent participants from putting their new skills to work?” A related question would be... “what factors could make it easier for participants to put their skills to work?” Knowing the factors that could help or hinder your progress, you can identify actions that take advantage of the helping factors and avoid or mitigate the hindering factors. You may build these activities into your program or project logic, or you may wish to create a separate list of risk areas. Using the same training example, you might list the following:

1. The training material is too complicated to explain to colleagues
2. Time pressures are too great to change work routines
3. Middle management does not understand the importance of the new skill set learned in the training

On the next page is a tool that you can use to assess the importance of the risk factors you identify. It is a 3 x 3 table. On the horizontal axis, you assess the likelihood that a risk area, such as those listed above, will occur during the program or project. On the vertical axis, you assess the effect or consequence the risk would pose to the related result (i.e. outcome – immediate, intermediate or long term). If the likelihood is high and the effect is significant, you probably need some strategy to mitigate the risk. If the likelihood is low and the effect is minor, then you have an acceptable risk that requires no further attention. For those risk areas that require mitigation, you need to describe your

strategy. For those areas that require monitoring, you need to identify how you will monitor – i.e. what information you will seek, from what source, and how frequently.

In the course of identifying constraints and enablers you may come across factors over which you have little, if any, control. In this case, you make assumptions. An assumption is like an insurance policy. When you write an

assumption you are declaring that your program or project logic will work out provided that the named condition holds. Working from an institutional strengthening example, you might write the assumption, “government priorities and funding remain consistent with the project’s capacity building intent”.

Assumptions need to be used sparingly in a program or project design. The more assumptions you write, the more questions will be raised about the feasibility of the program or project.

		Risk Assessment Matrix		
Effect on the Result		Low	Medium	High
Effect on the Result	Significant	Monitor Risks	Risk Mitigation Required	Risk Mitigation Required
	Moderate	Acceptable Risk	Monitor Risks	Risk Mitigation Required
	Minor	Acceptable Risk	Acceptable Risk	Monitor Risks
		Low	Medium	High
		Likelihood		

PREPARING A PERFORMANCE MEASUREMENT FRAMEWORK

Of course, you may need some performance information to report on. Attached in Appendix III is an example of a table that you can use to organize how and when you will collect performance information.

The preparation of a performance measurement framework helps you explore how you will collect data on the indicators that you have identified for each result. Important considerations are the resources and time available.

Some data collection methods work well for quantitative indicators and others for qualitative indicators. It is best to use both so that a full picture of the project is presented. You can also combine methods and be creative. It is important to collect data that will have meaning for your organization.

Interviews, Surveys and Questionnaires

There are several ways to gather information directly from people:

- **Informal conversations** - for example, with men and women scientists who have received training through a regional capacity building initiative. These may be casual encounters, however, for this to be a valid way of collecting data, you need to tell the person you are talking to what you will use his/her ideas for.

- **Guided interviews** - where your questions are fixed. This more formal approach helps you collect comparable information. This is especially important if you have different people conducting interviews. You might ask specific questions like: What training have you received in the last six months? Has the training influenced the way you carry out your work? If so, please describe how your work has changed. Who around you has noticed this change? How have they responded?
- **Closed, fixed choice questions** - where you provide “yes”, “no” and “don’t know” options to respond to a question, or provide statements where the respondent indicates the level to which they agree or disagree. You might offer a statement like, “The research facilities are completely adequate to service our agency’s current research agenda”. The response categories might be: “strongly agree”, “agree”, “disagree”, or “strongly disagree”. The respondent chooses the response that best matches their opinion.
- **Standardized open-ended questions** – these are useful to include after a string of closed-ended questions. You want respondents to tell you something more, in their own words, without being constrained by response categories. For example, you might include in a survey a statement like, “Please add any personal comments you’d like to make on our initiative to include both men and women in decision-making”, or “What was the most useful thing you learned in this training session?”

You can be creative with questionnaires, but it is important to adapt them to the language, skill or culture of the group being surveyed. Examples of creative questionnaires are:

- using happy and sad faces to indicate level of satisfaction with aspects of a service; and
- facilitating participants in a ‘socio-gram’ exercise where they are asked to physically place themselves in the room according to how they feel about the training session they have just completed.

Whether in person, written, or done over the telephone, the information gathered in surveys and questionnaires is better if you ask a larger number of participants for their feedback. Response rates for written and telephone surveys are usually not as high as with face-to-face methods.

Observation

No direct questions, you’re just collecting data or stories e.g. checklists or frequency counts done by project staff or volunteer, oral histories or anecdotal information.

Documents/Records

Gathering the information you need from existing documents such as participant diaries, organizational logs, test scores, literature searches, minutes from meetings, statistics from government departments and reports.

Focus Groups

Convening a group of people to respond to pre-prepared questions. You are not building a

consensus; you are simply trying to understand the range and depth of opinion on a few choice questions. Focus group discussions are often animated; it is important to have someone to record what people say.

Data Sampling

When it is difficult to conduct a census of an entire population, a researcher will select a portion of that population, a sample, which is thought to be representative. Sampling is a common practice in collecting quantitative and qualitative data. It does not require as much staff time for collection, but can still provide reliable information.

Under ideal conditions, a sample should be the exact representation (but a percentage less than 100) of the population that you wish to probe. The bigger your sample, the more reliable is your information. For example, three people's responses may give you a skewed impression of how 100 people feel, whereas responses from 25 of those people will yield a more accurate picture.

Sampling techniques can be used for most methods of data collection. For example:

- Instead of asking every community resident to comment on the newly restored food processing facility, the project team fans out in the community and each asks 30 people randomly – shopkeepers, people getting into their cars parked on nearby streets, hailing taxis and riding bicycles and stopped at red lights, people crossing the nearby park, men and women of all age groups.

OR:

- Instead of asking all technical and managerial personnel in the Ministry of Agriculture what they know about the newly formed bio-sciences research network. The project team fans out into the department and asks 40 people randomly – in the cafeteria, lobby, in departmental meetings, including men and women, managers and staff of various departments.

Many different kinds of sampling techniques have been developed and it is important to find the method that is most appropriate for your organization. For more information on sampling techniques and tools, visit Lancaster University's Statistics Glossary at www.cas.lancs.ac.uk/glossary_v1.1/main.html .

WHAT YOU CAN DO WITH A RESULTS FRAMEWORK AND PERFORMANCE MEASUREMENT FRAMEWORK

Communicate Intent

Use your Framework to plan or clarify the project internally, as well as explain your project idea to potential sponsors. A framework can provide a powerful summary of:

- What you intend to DO;
- What you intend to CHANGE;

- WHY the project is important;
- Your resource requirements.

Monitor and Evaluate

Once the project is underway, use your Results Framework to MONITOR your progress. Monitoring, or collecting and tabulating data, is a task that you build into your regular routines. This provides information for continuous improvements or the fuel for modifying future work. Information gathered through monitoring establishes a historical marker from which the organization can measure whether things have improved or not. Your Indicators, in particular, help you focus on the information you need.

For each indicator you must determine:

- Where you will get the information;
- What method you will use;
- Who will gather it;
- When it will be gathered.

Sometimes you have Indicators that do not fit well into regular project monitoring; they require periodic and intensive assessment. This is an EVALUATION; it can be done internally, externally or jointly. Often, evaluations involve external evaluation consultants.

Evaluations look more comprehensively at the project - examining the day-to-day monitoring information, changes in the project's context, management, governance, relationships with other organizations and projects, and progress toward the longer-term results.

Modify

Information generated through monitoring and evaluation provides insight at many levels within a project.

- Information may be very important to those directly involved in Activities, such as community members or staff of key institutions. Involving participant or beneficiary groups can enrich their understanding and create additional momentum toward the desired change.
- There is information that can best be used by those carrying out the project – managers and field staff. Your examination of the information may lead to modifications in the design of your Activities, changes in the allocation of Inputs, or new strategies to address Enablers and Constraints. Or, you may want to revise part of your Results Framework based on your new understanding of the project.
- At a more general level, there is information about the state of the project or program overall. This is particularly useful to funding organizations or private donors. Using the Activity, Output,

Outcome statements – immediate, intermediate and ultimate - from your results framework, you can describe progress against what was agreed upon and expected.

Report

Finally, a Results Framework and a Performance Measurement Framework can pave the way for you to write concise, compelling, results focused reports. Historically, program and project managers have tended to write reports that describe what has been done – activities. Increasingly, donors would rather know what is different as a result of the work you have conducted.

Results statements listed in the Results Framework provide headings under which you can describe your progress. Indicators provide clues as to what specific piece of information you will report on under each result.

Planned Results	Progress to Date	Analysis of Variance	Priorities for Next Reporting Period
Outputs			
Immediate Outcomes			
Intermediate Outcomes			
Ultimate Outcomes	(not normally required to report on ultimate outcomes since they are post-project)		

You may also want to include information on the following:

- What you learned
- What you would do differently next time
- Unexpected results

Each donor will have specific reporting requirements, but the table above sets out a common reporting format. As you can see from the first column, reporting hinges on planned results that you set out in your Results Framework. The Progress to Date column provides space to describe not what you have completed, but what is different. For example, if you are describing your progress related to training, you would focus on the trainees – what they know now that they didn't know before the training or, what they are doing differently with the knowledge gained. The Analysis of Variance column provides space to explain why the project is proceeding differently than was planned. The last column provides space to describe what you might do in the next reporting period to reinforce good progress or address shortcomings.

Let us say that we are reporting on a country level train-the-trainer initiative to build conflict resolution skills related to resource planning and management. Using the format introduced above, here is how the reporting might look. For demonstration purposes, the table on the next page addresses two sample Immediate Outcomes and two Intermediate Outcomes from a regional initiative aimed at building capacities in conflict resolution and mediation.

Reporting on Immediate Outcomes			
Planned Results	Progress to Date	Analysis of Variance	Priorities for Next Reporting Period
Tested, easy to use instructional packages	Curricula, course outlines, and instructional aids were tested in a simulated training exercise involving ten of the trainers we recruited (5 men, 5 women). Some of the exercises were out of sequence and too long for the time allocated. There were too many references to North American examples and not enough African examples. These concerns have been rectified. A gender analysis pointed out several ways in which the material could be better oriented toward men and women. These adjustments have been made. All trainers have now reviewed instructional packages. So far 20 have used it with clients requesting some form of mediation skill building. All report that materials are easy to use; no further adjustments are needed, for now.	No variance from planned activity	Continue to monitor how trainers are using the packages with clients and be prepared adjust them as feedback is received.
Conflict Resolution Trainers (men and women) competently and confidently adapt and deliver training to public and private sector professionals.	To date, 20 out of 35 trainers have taken up training assignments in their sectors. End of session evaluations indicate that 15 trainers are delivering relevant material and in an engaging manner. Direct observation of five of these trainers corroborates the evaluation findings.	Several trainers note that they are inadequately briefed on the various World Bank guidelines and donor country environmental impact legislation that might influence the conduct of organizations and projects that they have to deal with. As they describe it, the conflict resolution trainers are not getting enough of this 'content' knowledge to assist in conflict situations	Review the training material and prepare a primer with links to the appropriate places on World Bank and donor agency web sites.

Reporting on Intermediate Outcomes			
Planned Results	Progress to Date	Analysis of Variance	Priorities for Next Reporting Period
A national grouping of trainers is increasingly called upon to advise on conflict resolution strategies or train/mentor staff in conflict resolution.	Since the training group was launched eight months ago, 20 of 35 trainer have been assigned to training / coaching roles.	No targets were set, but the uptake is slower than expected and uneven across the targeted sectors. It appears that several of the stakeholder groups don't yet know that this training assistance exists.	Launch a marketing campaign. Incorporate testimonials of those using the services of the trainer group.
Those trained in conflict resolution techniques demonstrate improved competence and confidence when mediating opposing views	Follow up interviews with those receiving training within five client organizations indicates that most have updated their practices according to the training and advice received. Management staff in three of the five organizations reinforce this by attributing an overall improvement in the handling of conflict situations to the work of their trained professionals	One minor, but worrying trend is that several trained in this skill area have left their positions within weeks of receiving the training. This is particularly the case with public sector staff.	Loss of trained staff is inevitable, but it points to the need to ensure that training coverage extends beyond the primary group of training candidates in each setting. Encourage client groups to send both their group of professionals for training and those who are up and coming.

When reporting on your work and thinking about the activities completed, ask yourself or your colleagues the rhetorical question, "so what"? For example, "We designed and tested the training

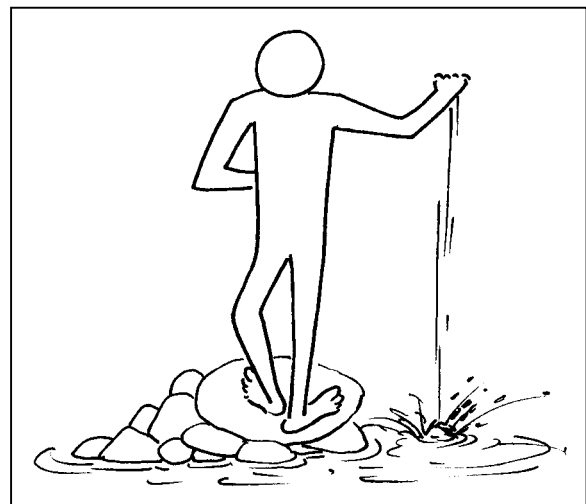
curricula and materials – so what?” The answer leads you to the results of that activity (in this instance, see the first immediate outcome in the table, above).

SPLASH AND RIPPLE - AN ALTERNATIVE WAY OF INTRODUCING RESULTS BASED MANAGEMENT

The Splash and Ripple image can be used to further understand how the different Results Based Management terms work together. The image involves a person standing over a pond holding a rock. The person drops the rock into the pond creating a splash and then ripples. Inputs are the person and the rock; the output is the splash and the ripples are the various levels of outcomes.

The image conveys the following key ideas:

1. The *splash* covers a small area, as compared to the *ripple* - this suggests that an activity and its output involves a relatively limited number of people but that, just as a splash becomes a ripple, the influence of the activity and its output spreads beyond the initial group of participants. Trainees, for example, take their new knowledge and skills back to their workplaces and begin to influence the routines of others. It is the zone of the ripples where real development transformation takes place.
2. People carrying out a project have considerable control over the use of inputs, activities and outputs - i.e. up to when the splash occurs in the pond. But after that, they have decreasing control.
3. This is because ripples take their course, but the course they take is influenced by other disturbances in the pond - in real life, the pond is rarely calm. This is not to say that we have no influence at all on the ripples; we have some, but it decreases the more the ripple works outward to become an ultimate outcome. Indeed, when it comes to the ultimate outcome, all we can do is *contribute* to that result.
4. Despite not being able to manage 100% for the results (or ripples), the more we know about the ripple effect of our work, the more we can refine the activities to get the development results we need. We can alter or add to our activities or, to put it another way, drop the rock in differently, change its size, or change the number of rocks we have to drop in. Thus monitoring becomes especially important.



Wrestling with Results Based Management is a short article that introduces this planning and management language using the Splash and Ripple metaphor. It is attached in Appendix IV.

KEY POINTS TO CONSIDER WHEN USING RBM

Be Clear on the Parameters of the Project...here is a mental "checklist" to help you determine the difference between activities, outputs and outcomes – immediate, intermediate and long term.

- *spatial or population boundaries* for the entire project (e.g. workplace, community, country),
- *who is directly involved at each stage* (e.g. output and immediate outcome levels - people directly engaged in the activity, intermediate outcome level - the community, group or organization around those people, and the ultimate outcome level - the larger sphere, be it region, country, or a sector),
- *the degree of influence* the project has on results (i.e. output and immediate outcomes - direct/considerable control, intermediate outcomes - direct influence, and ultimate outcomes - indirect influence),
- *timing* (i.e. output and immediate outcomes – at or shortly after the completion of the activity, intermediate outcome – at or shortly after the end of the project, and ultimate outcome - post project).

Focus on the Transformation Traditionally, we write goal, purpose and objective statements in such a way that we describe more *what is to be done* rather than *what is to be different*. For example, we might create a goal statement for an RBM training workshop as follows, "to integrate results based management practice in the daily routines of the institution...". Results Based Management methodology challenges us to describe what is going to be different as a result of carrying out the activity (see below).

Use Active Language Results Based Management challenges us to state outputs and outcomes using active language and in such a way that the uninitiated reader can visualize the kind of transformation that the project is trying to bring about. Here is an example of an immediate outcome statement created for a training workshop on Results Based Management. "Participants understand, more fully, the language of Results Based Management (i.e. inputs, activities, immediate outcomes, intermediate outcomes, ultimate outcomes, indicators, constraints, enablers, risks and assumptions) and the theory that strings all the terms together". Two things to note: first focus on either the product of the activity and its intended use (as in the "position papers" example, below), or on the beneficiaries and their expected transformation (as in this training example); second, use of the present tense.

Using Results Based Management is a Cyclical Process It is very hard to construct a logical and realistic results based design or plan in one sitting. Designs usually come together in increments – much like putting together a puzzle. In working through the design process for your project, make the most of the different learning styles in your group. There will be those who like to think "long range" and "big picture" (more conceptually) first and then work backwards to identify the more concrete activities and outputs. At the same time, there will be those who like to start concretely with activities

and work toward the bigger picture. Accommodate the styles of both by moving back and forth along the results chain.

Even when you think you have a sound design (where you have a smooth logical flow linking inputs to ultimate outcomes, accompanying indicators, and a well anticipated project context of constraints and enablers), don't be so sure you have a "water tight" project. In practice projects rarely, if ever, unfold as they should. There are just too many variables out there to control. This doesn't mean that we shouldn't try. As the project moves from planning to implementation, and you learn about the actual cause and effect relationship the project is creating, the Results Based Management framework can then be "fine tuned" accordingly.

Keep in Mind the Interplay of "REACH", "RESOURCES" and "RESULTS" When using RBM methodology to describe or plan a project, check: a) the defining characteristics of the main target group, b) the kind of transformation you seek to bring about, and c) the resources (including time) you have available. Some projects are designed without having *clearly* defined who is to be affected by it. Some do not clearly show how the people involved in the activity are linked to the kind of transformation expected at the ultimate outcome end of the results chain. And some projects show a logical progression from inputs to outcomes but leave one wondering if there are enough resources at hand to bring about the kinds of results stated.

APPLYING RESULTS BASED MANAGEMENT TO YOUR WORK

Here are eight questions to help you describe your project using Results Based Management Language.

1. What is the central issue/problem your initiative addresses?
2. Who stands to benefit?
3. What are the major activities you will carry out? (try to state these in 5-8 sets or separate paragraphs)
4. What are the "splashes" (outputs) and first ripples (immediate outcomes) of these major activities?
5. What intermediate outcomes (later ripples) will these "splashes" give you? (identify 3-5 intermediate outcomes)
6. Toward what single ultimate outcome (wide and big ripple) is the project contributing?
7. What key constraints and enablers will influence the project as you move from activities to outcomes?
8. What indicators (or evidence) will you use to measure progress toward the project's outputs and outcomes?

ADDITIONAL RESOURCES

Key points in this document are condensed in a one page RBM-At-a-Glance page attached in Appendix VI. Below is a list of website addresses. Check them out, but with this word of caution. You may find differences in the definitions from one schema to another. This can be frustrating, especially if your organization is dealing with many donors, each with different definitions. Take

comfort in the idea that there is a common challenge no matter what labels are being used: to pick out what you consider to be important changes along the results chain. In a staff training scenario, the changes might be: participants get new knowledge, they use it in their workplace, the organization changes its routines, and clients get better service.

Commentaries, Tips, Tools, Techniques and Additional Links to Help You Implement RBM

www.mande.co.uk

MandE News. A news service focusing on developments in monitoring and evaluation methods relevant to development projects and programs with social development objectives. MandE NEWS is supported by: Oxfam (GB), Save the Children Fund (UK), ActionAid (UK), Christian Aid, CAFOD (UK), CIIR (UK), IDRC (Canada), World Vision (UK), WWF (UK) and Exchange via BOND.

www.tbs-sct.gc.ca

The Treasury Board of Canada Secretariat. This Canadian Government agency provides advice and support to Ministers in the Federal Government about their role of ensuring value for money. It also provides oversight of the financial management functions in departments and agencies. *Results for Canadians: A Management Framework for the Government of Canada* is a particularly important document for those implementing outcome measurements with federal government support. It sets out a framework for management in the government of Canada and an agenda for change in the way that departments and agencies manage and deliver their programs and services. To get to this document, enter 'Results for Canadians' in the search engine.

www.evaluationcanada.ca

Canadian Evaluation Society. A rich resource for evaluation practitioners and project managers alike. Their library includes resources on logic models, indicator design, and data collection strategies.

www.nonprofitscan.imaginecanada.ca

Imagine Canada. While pertinent to results based planning and management, the scope of this site is much broader. The Nonprofit Library Commons is described as, "more than a library... a meeting place where nonprofit sector community can exchange ideas, share experiences and learn from one another." It contains practical resources, information on promising practices and up-to-date intelligence on the state of Canada's nonprofit sector.

www.cvsrd.org

The Centre for Voluntary Sector Research and Development (CVSRD). This is a joint initiative of the Carleton University's Faculty of Public Affairs and the Centre on Governance of the University of Ottawa. The Centre works with networks of practitioners, academic researchers, and policy makers to undertake collaborative research and to provide innovative learning opportunities on emerging issues in the non-profit and voluntary sector, with a focus on:

- Sustainability and leadership
- Policy and practice
- Connections and community

www.national.unitedway.org/outcomes

The United Way of America's outcome measurement resource network. The website offers information, downloadable documents, and links to resources related to the identification and measurement of program and community-level outcomes.

www.mapfornonprofits.org

Management Assistance Program for Non-Profits. Click on the Free Management Library. It includes original material, which is updated regularly by MAP consulting managers, specialists in nonprofit management practices. The site also provides links to the best nonprofit resources on the Internet. It is a free community resource intended for users across the world.

Appendix I: RBM INDICATOR SELECTION CHECKLIST

Generate a list of possible indicators for your output, outcome or ultimate outcome statement(s). Use this checklist to help you decide which candidates work best.

For each possible indicator statement, ask...

(number each statement you wish to test, then for each question post the number at the appropriate place on the line)

1. Validity - Does it measure the result? Yes _____ No

2. Is it cost-effective to collect the information? Yes _____ No

3. Does it help understand how the project is affecting men and women, and/or specific sub-groups of people differently? Yes _____ No

4. Does it give useful information with which to make management decisions? Yes _____ No

5. Will the information communicate well to stakeholders (including funding bodies)? Yes _____ No

Note: As you test your candidate indicators with these questions you may realize that you can:
a) improve your indicator - make it clearer to understand, or more specific to the outputs or outcomes you want to measure;
b) improve your output, immediate, intermediate or ultimate outcome statement.

Appendix II: SAMPLE RESULTS FRAMEWORK

SITUATION ASSESSMENT (Context: Program Vision and Mission, Statement of Need, Strategy, Rationale, Program Goals)			ORGANIZATION:		
			PROJECT NAME:	PROJECT TIMEFRAME:	
HOW?			WHAT WE WANT?		WHY?
INPUTS	ACTIVITIES	OUTPUTS	IMMEDIATE OUTCOMES	INTERMEDIATE OUTCOMES	ULTIMATE OUTCOME
INDICATORS					
			Immediate Outcomes	Intermediate Outcomes	Ultimate outcome
PEOPLE/GROUPS/COMMUNITIES/SECTORS/INVOLVED					
ASSUMPTIONS AND RISKS					

Appendix III: SAMPLE PERFORMANCE MEASUREMENT FRAMEWORK

RESULTS	INDICATORS	INFORMATION SOURCES	COLLECTION METHODS AND FREQUENCY	PERSON(S)/ GROUP TO DO THE WORK
<p><<write Output, Immediate Outcome, Intermediate Outcomes and Ultimate outcome statements here >></p>	<p><<write Indicators for each set of Results >></p>	<p><for each indicator, note from <u>Whom</u> or <u>Where</u> you will get the information>></p>	<p><<for each indicator, write <u>How</u> you will gather the information>> (e.g. questionnaire, focus group), and <u>How Often</u>)</p>	<p><<for each indicator, write <u>Who</u> will be in charge of collecting the information>></p>

Appendix IV: WRESTLING WITH RESULTS BASED MANAGEMENT



The person in this picture is a community development worker coming to terms with RESULTS. This is the project planning and management approach adopted by many government and private funding bodies around the World. Increasingly, project proposals, plans and progress reports must distinguish between: "outputs", "short and intermediate outcomes" and "ultimate outcomes". What is more, they must comment on the cause and effect relationship between project activities and these different levels of outcomes.

HOW SPLASH AND RIPPLE WORKS

We find our worker standing on an island of rocks, wondering how to write her community development proposal to start an inner city community garden. "I have the project mapped out in my head", she says, "but how can I get straight the meaning of all these results terms?". Struck with an idea, the worker reaches for a rock, holds it over the pond and lets it drop. The rock makes a splash and sends out ripples. "Ah ha" she exclaims, "this is how I can think about my project!"

"The rock and me are *inputs*," the worker utters, remembering that donors use *inputs* to describe the materials and equipment, personnel, in-kind donations, etc. required to do the project. "Letting go of this rock is an *activity*," she continues, "like holding community planning meetings, clearing the site and preparing the garden, coaching

residents in gardening techniques, and building skills in leadership and decision-making".

"If these are my activities", our friend muses, "their immediate results must be like the 'splash'.... so, the splash must be the *output!* – the number of meetings held, number of participants, the prepared site..."

"The immediate ripples must be the potential that is created by the outputs, or *immediate outcomes* – a core of highly motivated community residents; ...soil beds allocated, shed constructed and watering system in place; ... residents planting and tending to their plots; ...and shared understanding of how to make decisions and work cooperatively".

As the ripples work their way outward our friend mumbles excitedly, "*intermediate outcomes*... these must have to do with the unleashing of the potential we have created in the splash, how the community, as a whole, is benefiting from the garden; how about... reduced household grocery bills, more nutritious food on the table, new friends and supports, and broader and more lively participation in local problem solving!?"

Sensing a breakthrough, the worker reaches for the long term result that the funder calls an *Impact*. "Toward what *ultimate outcome* do these *intermediate outcomes* contribute?" she asks herself. "The *ultimate outcome* must be something like...a healthier, more self-reliant community!?"

Our community development worker has come across a simple image that captures what happens when we carry out a project. When we implement something like a community garden project, a literacy campaign, a micro-enterprise initiative, or a human rights project, we too create an immediate "splash" and longer term "ripples".

HOW RESULTS BASED MANAGEMENT CAN HELP PROJECTS

Funding bodies expect that these schemes will help community organizations to think through the logic (inputs to Ultimate outcome) at the front end of their projects, to consider external factors that may influence their design, and to identify indicators or "proof" to demonstrate progress. These ingredients then provide a framework for monitoring and evaluation, making management decisions and communicating progress to participants and donors. Getting used to working with results based approaches takes time and practice.

Drafting indicators is a particularly tricky task that usually involves trial and error. It helps to draw upon past experience. Indicators need to give *valid* and *reliable* evidence; the information has to be *easy to gather* and *useful* to those making project management decisions.

USING IMAGES TO GET COMFORTABLE WITH RESULTS BASED APPROACHES

Experience shows that images like "splash and ripple" can help groups and individuals wrestle with results focused. These images "help us relate terms like 'output' and 'outcome' to our work in a more dynamic way", noted one participant in a recent project design workshop. "They allow us to move away from the confines of boxes and tables". At the same time, the use of images can help broaden participation in project design and tracking.

In the world of organizational development, images or metaphors are well recognized as potent tools for broad based creative thinking and problem solving. The power of metaphor is convincingly demonstrated in Gareth Morgan's book, "Imagin.i.zation: New Mindsets for Seeing, Organizing, and Managing", Berrett-Koehler Publishers, Inc. Sage Publications, 1997. Check it out.

WHAT MAKES RESULTS BASED MANAGEMENT DIFFERENT FROM WHAT CAME BEFORE IT

Previous project planning and management approaches may have under played the link between the "splash" and the "ripple". While reaching for sustainable solutions has long been a priority in the field of community development, attention may have been focused more on demonstrating the most immediate results - the splash - of our work.

True, ripples are harder to track because they cover a widening area, influence a larger number of people, and their outward movement takes time. Outside influences (other ripples in the pond) also complicate their outward progress. Yet, supporters of Outcomes Measurement methods argue that there is much to learn from the longer-term outcomes of our activities. Inside those ripples, they say, are new insights to help improve the way we do our work.

WHY IT IS IMPORTANT TO WRESTLE WITH RESULTS BASED APPROACHES

Aside from the navigational benefits an Outcomes Measurement system can provide, there is an important funding issue to consider. Increasingly, funding bodies allocate funds toward projects that can demonstrate longer-term outcomes - such as improved livelihoods, better health or stronger communities. As long as this trend continues (and there is no sign that it won't), organizations that describe their work and demonstrate progress in an outcomes based manner should be in a strong position to negotiate support.

Philip Cox, PLAN:NET Ltd.

Philip Cox, Sheila Robinson and their colleagues at this Calgary consulting firm assist local and international development organizations to generate outcomes based plans and information systems. The "splash and ripple" image was developed in collaboration with one such client, Operation Eyesight Universal. The PLAN:NET team is now working with an Results Based Management design process built around this image. For more information, please contact Philip at (403) 270-0217 or at plannet@plannet.ca.

Appendix V: CASE STUDIES AND FRAMEWORKS

Case #1: A Conference – ‘Toward a New Agenda for Promoting Gender Equity’

Last year, the independent women’s movement in Country ‘x’ lost an important link with decision-makers in the Government. The Presidential Commission on Women, Family and Demography was dismissed and no replacement body was established. Under the current administration, there is now no official structure that deals specifically with gender equality and few resources at the ministerial level to address gender aspects of programming.

Under our hypothetical country’s new economic program, fresh gender equity strategies may be required. Women’s organizations may have to review their program priorities and the way they work together. In light of the changes noted in government, they clearly have to rethink the way they relate to policy decision-makers.

You represent an ad hoc group of women’s organizations that would like to reflect on the state of the movement for gender equity – to examine past experience, current issues and future prospects. You are putting together a proposal for about \$40,000 for a conference. This is not to be a big conference; rather you wish to bring together a broad spectrum of insight including: leaders of women’s NGOs, women politicians and senior managers, men of influence who have demonstrated leadership within government and industry in promoting gender equity, and academics. You also want some contribution from outside the country – relevant, insightful, inspiring contributions from people experienced at: analyzing social change, building organizational networks and forging constructive dialogue with government.

Your group wants this conference to be a catalyst, a turning point. You would like to see a new vision and some strategies emerge from the discussions. You want these circulated and discussed within government, within the women’s movement, and within the general population. You hope that, somehow, the conference will lead to new lines of communication, constructive collaborations and concrete changes to policies and programs.

Your task is to...

1. Identify:
 - a. 5 to 7 key project ACTIVITIES, OUTPUTS and IMMEDIATE OUTCOMES
 - b. 2 to 3 INTERMEDIATE OUTCOMES
 - c. 1 ULTIMATE OUTCOME
2. Consider contextual factors that will help you make progress (enablers), and factors that may hinder your progress (constraints). Decide what you can do to manage for these factors, and on what ASSUMPTIONS you must base your project design.
3. Identify gender considerations that may be important when deciding: a) how this project is staffed, b) who is encouraged to participate as beneficiaries, c) what specific changes you want to see from this project.
4. Draw up a list of possible indicators that will help you track your progress.

Results Based Management (RBM) Performance Framework Case #1

PURPOSE: To convene a broad-based group of men and women to review the state of Country 'x's movement for gender equity, and draft a new agenda for action.		PROJECT: A Conference – Toward a New Agenda for Promoting Gender Equity in a Hypothetical Country		
		PROJECT TIMEFRAME: 12 months	BUDGET: \$40,000	
HOW?		WHAT WE WANT?		WHY?
INPUTS	ACTIVITIES/OUTPUTS	IMMEDIATE OUTCOMES	INTERMEDIATE OUTCOMES	ULTIMATE OUTCOME
Staff/ Consultant time, can be expressed in person-days or months. Office Equipment, Supplies, Physical space	Consult with Broader National Network of women's organizations on the design and timing of the Conference <i>-Variety of organizations consulted</i> Commission a research team to prepare a conference discussion paper <i>- Conference paper produced and disseminated</i> Invite participants to enroll in the conference – prepare and distribute conference materials <i>- Targeted participants approached with materials</i> Organize conference site to requirements <i>- Facility bookings made</i> Manage conference agenda <i>- Conference proceeds on time and on agenda</i> Document Conference Proceedings and Proposed Agenda for Action and disseminate to Network of women's organizations and others known to be supportive of this initiative <i>-Document produced and disseminated</i>	Rationale clarified; priority issues and key resource people identified; preferred formats, venues and timing listed. Document addresses priority issues with up to date data and relevant analysis; it provides a frame for conference discussions. Invitees attend with accurate expectations. Meeting spaces and lodgings facilitate conference proceedings. Participants address conference issues and generate a shared vision, key strategies and immediate tasks. Targeted organizations respond with constructive comments and/or endorsement of Action Plan.	Endorsing organizations re-align priorities, and adopt new programming strategies in keeping with the Agenda. The existing network of gender equity organizations experiments with alternative methods of engaging the current government administration.	The independent women's movement strengthens its public profile and regains influence on government decision-makers.

Appendix V: Case Studies and Frameworks

POSSIBLE INDICATORS			
	Immediate Outcomes	Intermediate Outcomes	Ultimate Outcome
<ul style="list-style-type: none"> Consultation Conference Discussion Paper Conference Promotion Conference Logistics Conference Facilitation Conference Documentation 	<ul style="list-style-type: none"> Number and type of organizations consulted Congruence between actual design and stated preferences of those organizations consulted Match between the content of the discussion paper and stated priorities Readability of the discussion paper Ratio of conference participants (men and women) to the total number invited Match between participant expectations (men and women) and experience Level of participant satisfaction with conference logistics Degree of coverage of conference agenda Extent of conference agreement on future statements (e.g. vision, strategies, tasks) Ratio of organizations receiving Conference Proceedings and Proposed Agenda for Action that: a) don't respond, b) respond with significant disagreement with the Agenda, c) endorse the Agenda. 	<p>Change in Strategic Orientation</p> <ul style="list-style-type: none"> Change in priorities and programming strategies within the women's movement that are attributable to the Conference <p>Engagement with Government Administration</p> <ul style="list-style-type: none"> Number, type and scale of coordinated initiatives to engage government officials in dialogue Congruence of coordinated initiatives with Agenda for Action 	<ul style="list-style-type: none"> Change in the degree of access the independent women's movement has to policy discussions in government <ul style="list-style-type: none"> -by issue -by level of government
REACH			
	NGO contacts, conference invitees and participants.	Relevant NGOs and their networks, and contacts.	Policy decision-makers in government (multiple levels)
ASSUMPTIONS AND RISKS			
<ul style="list-style-type: none"> Government continues to afford NGOs the same level of legitimacy of greater (Risk: ?) Political dynamics among leading women's organizations do not undermine the process of building a common agenda (Risk: ?) 			

Case #2: Training of Agriculture Extension Agents

Your Sustainable Agriculture Development Program is entering into a second phase. A key component of this program is the training of agriculture extension agents within the project impact area. These officials reside within Central and Provincial level institutions. The training is to cover both technical aspects of land management and teaching methodologies. You know that for this training to be successful, enabling policies and programs will be necessary, but that is not your concern right now. Here the focus is on the design and delivery of a training process.

You have learned from Phase I that:

- Extension methodologies are extremely static and consist almost entirely of classroom lectures that assume a high level of literacy on the part of the trainees;
- Current management and extension systems do not use participatory approaches, but rather take a top-down approach which does not necessarily respond to the needs of farmers and herders;
- Many extension officials view technology as a 'magic' fix to improve incomes and soil conservation and fail to realize that effective management of agronomy and grazing practices will have a greater beneficial impact than technology per se.

You want to address these issues in the training, understanding that extension workers are a critical link in the drive toward innovate, sustainable land management.

Your task is to...

5. Identify:
 - a. 5 to 7 key project ACTIVITIES, OUTPUTS and IMMEDIATE OUTCOMES
 - b. 2 to 3 INTERMEDIATE OUTCOMES
 - c. 1 ULTIMATE OUTCOME
6. Consider contextual factors that will help you make progress (enablers), and factors that may hinder your progress (constraints). Decide what you can do to manage for these factors, and on what ASSUMPTIONS you must base your project design.
7. Identify gender considerations that may be important when deciding: a) how this project is staffed, b) who is encouraged to participate as beneficiaries, c) what specific changes you want to see from this project.
8. Draw up a list of possible indicators that will help you track your progress.

Results Based Management (RBM) Performance Framework Case #2

PURPOSE:		PROJECT: Training of Agriculture Extension Workers		
To increase the capacity of extension agents to promote sustainable land management practices among farmers and herders		PROJECT TIMEFRAME: Five years	BUDGET: \$5 million	
HOW?		WHAT WE WANT?		WHY?
INPUTS	ACTIVITIES/OUTPUTS	IMMEDIATE OUTCOMES	INTERMEDIATE OUTCOMES	ULTIMATE OUTCOME
<p>Staff/ Consultant time, can be expressed in person-days or months.</p> <p>Office Equipment, Supplies, Travel and Board</p> <p>Physical space</p>	<p>Carry out a detailed assessment of training needs among extension agents (men and women)</p> <p><i>-Assessment/Strategy document produced</i></p>	<p>Agreement on the specifics of a Training of Trainers (TOT) strategy and on what content – technical, managerial, and instructional aspects - should be included</p>	<p>Extension agents trained by the core group of specialists incorporate new areas of technical and management knowledge into their practice and adopt more dynamic and responsive instructional techniques</p> <p>Local leaders and farm organizations seek out extension agents for their technical knowledge and willingness to adjust to local conditions</p>	<p>Farmers and herders adopt more sustainable practices in such areas as grazing, livestock management, and conservation tillage</p>
	<p>Design a gender sensitive TOT curriculum, courses, and training materials</p> <p><i>-TOT Curriculum documentation and training materials drafted</i></p>	<p>Trainers find the instructional package relevant and easy to use</p>		
	<p>Recruit and train a core group of extension specialists</p> <p><i>-Extension specialists recruited and trained</i></p>	<p>Extension specialists (men and women) competently and confidently adapt and deliver training both with extension colleagues and directly with farmer/ herder groups.</p>		
	<p>Promote sustainable land management concepts among key leaders and farm organizations</p> <p><i>-Key leaders/farm organizations engaged in dialogue</i></p>	<p>Audiences take up the message that there are attractive alternatives to current land management practices</p>		
	<p>Provide advanced training and attachment opportunities in Canada for high performing extension agents (men and women) and key leaders</p> <p><i>-Identified extension agents participate in training and attachment opportunities</i></p>	<p>Participants bring home and begin to apply innovative approaches</p>		

Appendix V: Case Studies and Frameworks

POSSIBLE INDICATORS			
	Immediate Outcomes	Intermediate Outcomes	Ultimate outcome
Needs Assessment	<ul style="list-style-type: none"> • Volume and types of information collected in the assessment – coverage of technical, managerial and instructional aspects; geographic coverage • Degree of ‘buy-in’ to the conclusions of the needs assessment among those in senior management roles • Degree to which the situation of men and women extension agents are factored into the assessment 		
Curriculum Design	<ul style="list-style-type: none"> • Comparison of curriculum design with comparable bodies of work in the Country and other settings • Extent to which gender aspects are addressed in the content and presentation of the materials • The level of user satisfaction with: <ul style="list-style-type: none"> • topics addressed • methods of delivery suggested • instructional aids included 	<p>Extension Agents</p> <ul style="list-style-type: none"> • Change in the way trained extension agents (male and female) do their work – coverage of technical and managerial aspects; style of delivery) • Change in staff productivity • Change in scope of work undertaken by trained staff (male and female) 	<p>Sustainable Practices</p> <ul style="list-style-type: none"> • Change in the proportion of farmers and herders contacted that have adopted new practices, by type of practice
Recruitment and Training	<ul style="list-style-type: none"> • Match between the qualifications, experience and past performance of candidate extension specialists and Project expectations of this role • Extent to which TOT participants (Extension Specialists) can demonstrate independent planning and delivery of their own training 	<p>Local Leaders and Farm Organizations</p> <ul style="list-style-type: none"> • Change in the intensity of involvement of farmer organizations in extension activities • Proportion of targeted leaders and organizations that follow up promotional activities with requests for more information 	
Promotion	<ul style="list-style-type: none"> • Number and type of people/ organizations reached through promotion activities 		
Advanced Training/Attachment Opportunities	<ul style="list-style-type: none"> • Proportion of advanced training/ attachment participants who: <ul style="list-style-type: none"> • complete their overseas assignment with a concrete plan to integrate knowledge and skills gained • are starting to implement their plan 		
REACH			
	Senior Managers responsible for extension activities, lead group of extension agents (specialists), key leaders in the farming/herding sector	Wider group of extension agents, Local leaders and farm organizations	Farmers and Herders
ASSUMPTIONS AND RISKS			
<ul style="list-style-type: none"> • Ministry of Agriculture remains open to reforming agricultural extension services and activities (Risk: ?) • Extension agents will see it in their interest to engage in capacity building activities (Risk: ?) 			

APPENDIX VI: RBM at a Glance

	Defining Characteristic	Who is Affected	When Observable	Degree of Management Control	Splash and Ripple Analogy
Inputs...	<p>...are the human and physical resources that make the initiative possible – the people, equipment, supplies and other ingredients.</p> <p>...give you the essential information for budgeting.</p>				...are like THE PERSON AND THE ROCK
Activities...	<p>...describe the essential work of the initiative – how the Inputs are to be combined.</p> <p>...are to be summarized in between 5 to 8 statements.</p>	...are written from the vantage point of those instigating the work (e.g. managers, staff facilitators, volunteers).			...are like DROPPING THE ROCK
Outputs...	<p>...are the most direct and immediate results. It's usually something that can be counted. Each Output relates to one Activity.</p>	... refers to the product, or deliverable, of your activities (e.g. number of participants).	...are observable as you complete the activity.	...allow you substantial control – not total though; there are often surprises during implementation.	...are like CREATING THE SPLASH
Immediate Outcomes...	<p>...create the potential for Intermediate and Ultimate outcomes to occur. Each Short Term Outcome relates to one Activity.</p>	often refers to an immediate benefit among those people directly participating in an activity (e.g. trainees).	...are observable as you complete the activity.	...allow you less control that Outputs, though you still have a significant amount of control.	...are like THE MOST IMMEDIATE RIPPLES
Intermediate Outcomes...	<p>...are several steps removed from Activities.</p> <p>...describe the key changes you want to make in the initiative.</p> <p>...are fewer in number; each flows naturally from several of the Short Term Outcomes.</p>	<p>...expand into wider settings - includes those who are directly involved in Activities, and often goes beyond those direct participants to include the families, organizations, or communities surrounding them.</p> <p>...may also include those people or workplaces who use or are influenced by products created in the initiative.</p>	...are observable at or shortly after the completion of the initiative.	<p>...allow you direct influence – you must keep your sights set on the Outcomes; then manage activities for the best chance of success – learn by doing, adapt as you go.</p> <p><i>Caution::</i> you should be reasonably confident in your claims, since you may be responsible for bringing them about.</p>	...are like THE MIDDLE RIPPLES
Ultimate Outcomes...	<p>...is the picture of a preferred future; the reason why it is important to do the initiative.</p> <p>...describes a scenario that is close enough to show a real contribution to the desired change, yet big enough and far enough out on the horizon to be visionary.</p>	...may expand into yet wider settings to include societies, districts, communities, professions, whole organizations.	...are observable well after the initiative has been completed	...allow you only indirect influence – the initiative will not achieve the vision, only contribute toward it.	...are like the OUTER RIPPLES