



**Results-Based Management
Workshop for UN-Habitat
Senior Managers**



Introduction to RBM

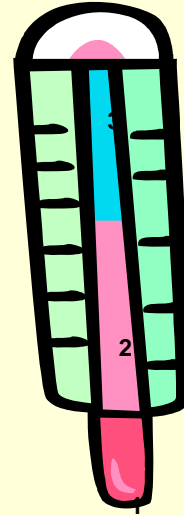
Learning Delivery Approach Varied Approaches

- Have Fun: Music
- Presentations:
- Participatory Discussions
- Video and Images:



RBM-K-Meter

- **Where do you stand with your RBM knowledge ?**



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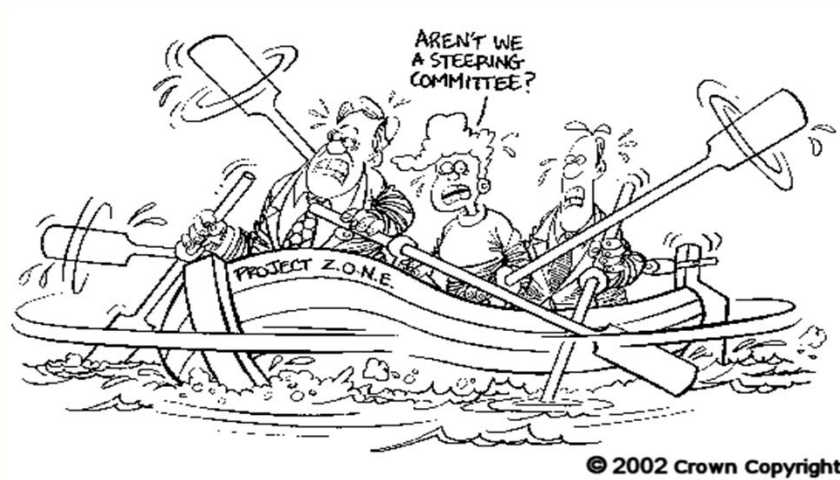
Session 1: Introduction

Responding to the New Realities

- New realities...
 - Need to demonstrate value to stakeholders
 - Obligation to do more with less while maintaining quality
 - Budget constraints
 - Accountability to stakeholders
- Monterrey, Paris and Accra Declaration
 - Demonstrate results, MDGs.

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What Do You See in this Picture?



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Is the Cheshire Cat
right?

"Which road should I take?" Alice asked the Cheshire Cat.

"Where do you want to get to?" the cat asked helpfully.

"I don't know," admitted Alice.

"Then," advised the cat, "any road will take you there."

Lewis Carroll. *Alice in Wonderland*.

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Watch This Video

<http://www.youtube.com/watch?v=ISM1mvMypWU&feature=related>

Session 1

RB Concepts and Terminology

What is RBM ?

Introduction to RBM - What is RBM?

- It is broad management approach that is intended to improve management effectiveness, performance improvement and accountability by defining realistic expected results, monitoring and reporting progress towards planned results, evaluating performance and integrating lessons learnt into management decisions, future planning and improvement

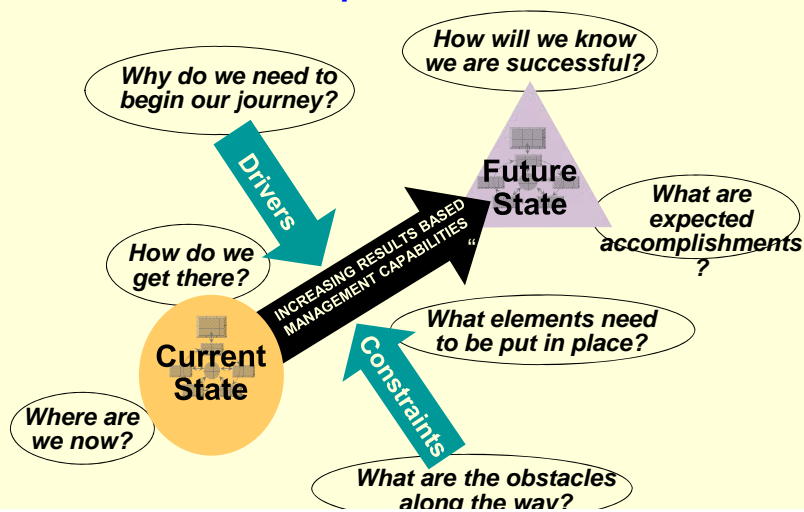


RBM Basic Principles

- **B** - Balanced
- **E** - Easy
- **S** - Sustainable
- **T** - Transparent
- **V** - Value-added
- **A** - Accountable
- **L** - Linked
- **U** - Useful
- **E** - Efficient

Acronym "BEST VALUE"

Note: RBM is a journey not a destination and requires a change process and continuous learning and improvement



What is a Result ?

- A result is a measurable or describable change arising from a cause and effect relationship.
- It can be positive or negative.



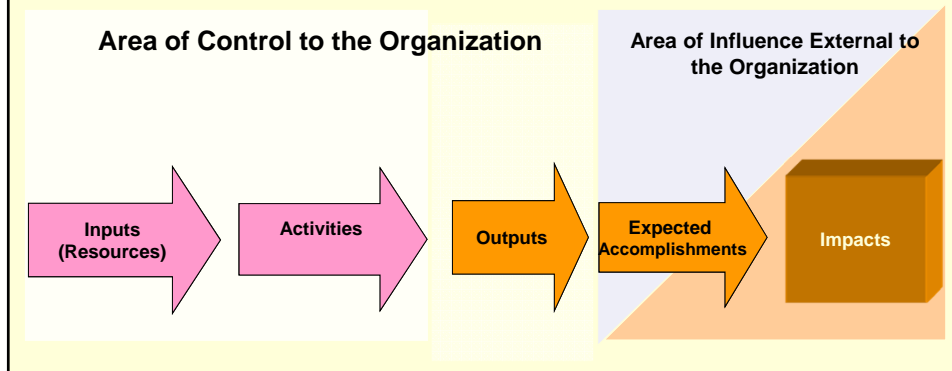
Positive Results = Success

Identifying the Desired Results

Introduction to RBM – Logic Model

RBM tools help us focus our attention on contributing to UN-Habitat results by managing well what is in our control

For Operations and Programmes



Introduction to RBM – The Logic Model

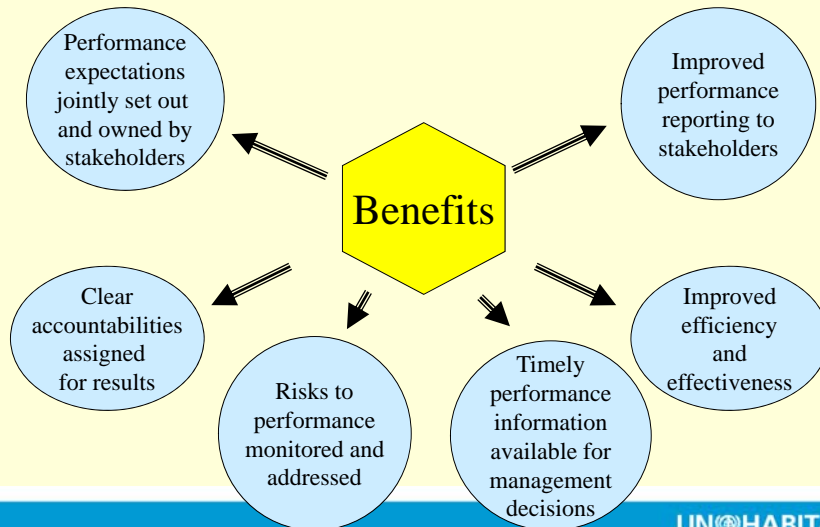
RBM is based on logical approach to thinking

| Cause - Effect | Definitions |
|----------------------------|---|
| “Impact” | Positive and negative, intended or unintended long-term results produced by a UN-Habitat operation, either directly or indirectly. |
| “Expected Accomplishments” | The medium-term results of an operation’s outputs |
| “Outputs” | The products, capital goods and services which result from a UN-Habitat operation; includes changes resulting from the operation which are relevant to the achievement of expected accomplishments. |
| “Activities” | These are what you do with the inputs – the actions taken, using the inputs, to produce specific outputs |
| “Input” | Human and physical ingredients of work – the raw materials needed to bring about the results being sought. They include expertise, equipment, supplies |

NB: UN Secretariat and UN-Habitat Outcomes are referred to as Expected Accomplishments

Introduction to RBM - Why RBM?

Key Benefits of RBM



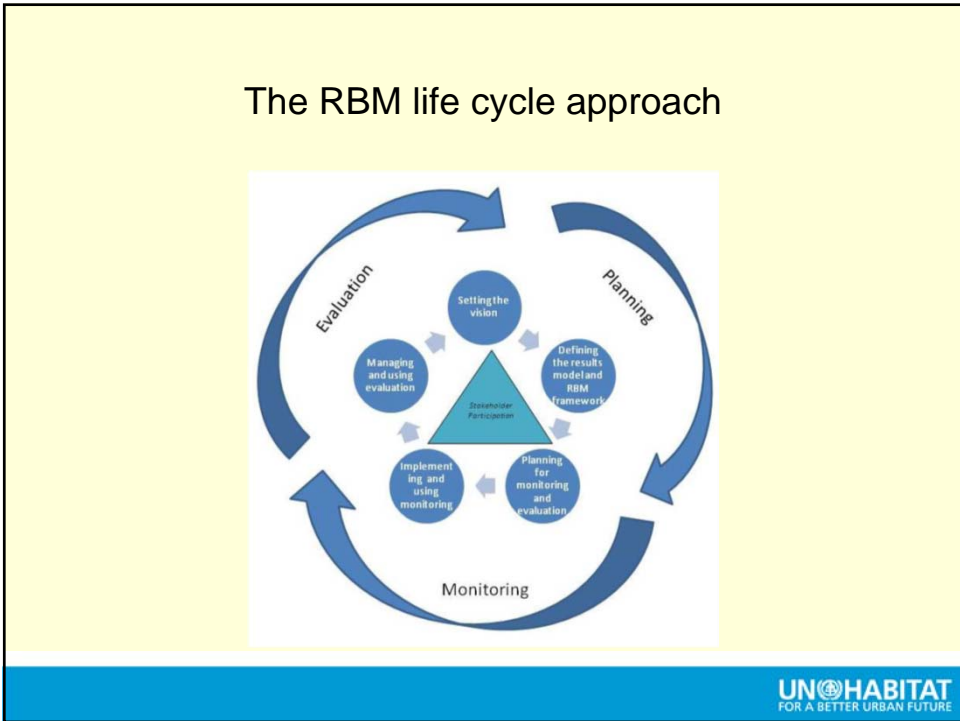
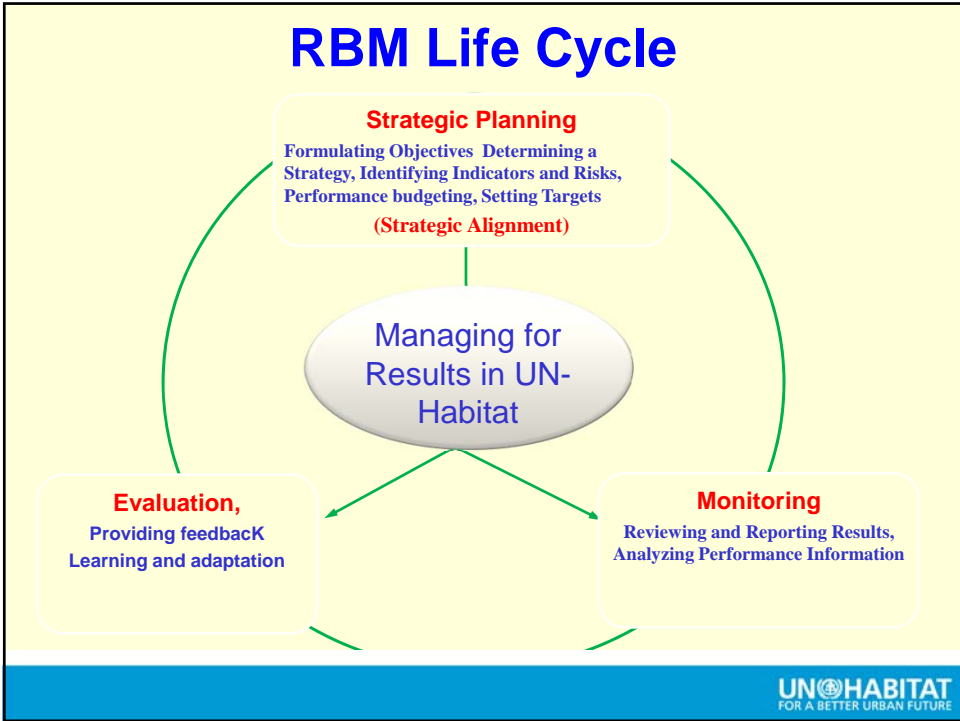
Introduction to RBM – The Logic Model

Logic Models help develop and monitor our plans - summary

- **Planning, design tool**
 - Depicts cause-effect linkages between investments, targeted beneficiaries and expected results
- **Implementation**
 - Allows for continuous monitoring of each project components and the opportunity to readjust implementation plans
- **Programme management tool**
 - Reference point for making implementation decisions
- **Evaluation tool**
 - Establishes performance expectations against which to measure success
- **Communications and reporting tool**
 - Builds a common performance vision with stakeholders

RBM in Planning

The Pillars of Managing for Results in UN HABITAT



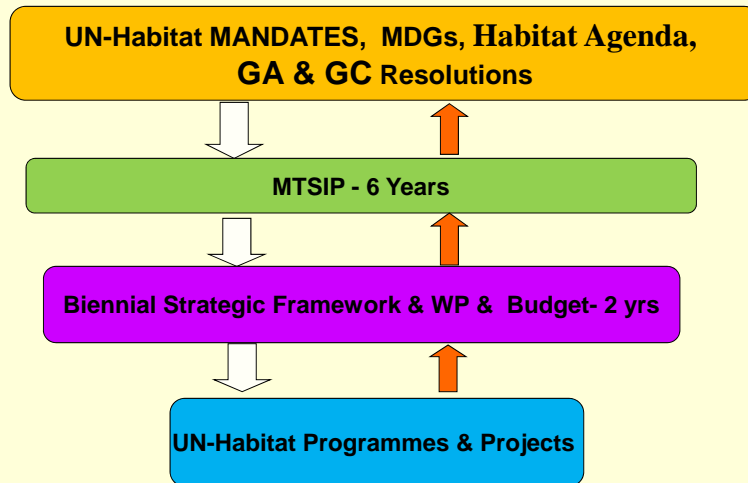
RBM Process and Key Steps

Key Steps in Results-Based Management

| This Step ... | Accomplishes This ... |
|--|--|
| Formulating Objectives and Defining a Strategy | Defines the results we are trying to achieve and our strategy for achieving them. |
| Identifying Indicators | Identifies what we need to measure in order to understand whether we are accomplishing the results we want to achieve. |
| Setting Targets | Defines how much progress we need to make on what timeframe. |
| Monitoring Results | Collects the data needed to measure our progress. |
| Reviewing and Reporting Results | Compiles, analyzes, and reports the data in a way that meets the needs of different levels of the organization. |
| Integrating Evaluation | Uses evaluations to understand why performance exceeds or falls short of expectations. |
| Using Performance Information | Uses the performance information we have developed to continuously improve our performance. |

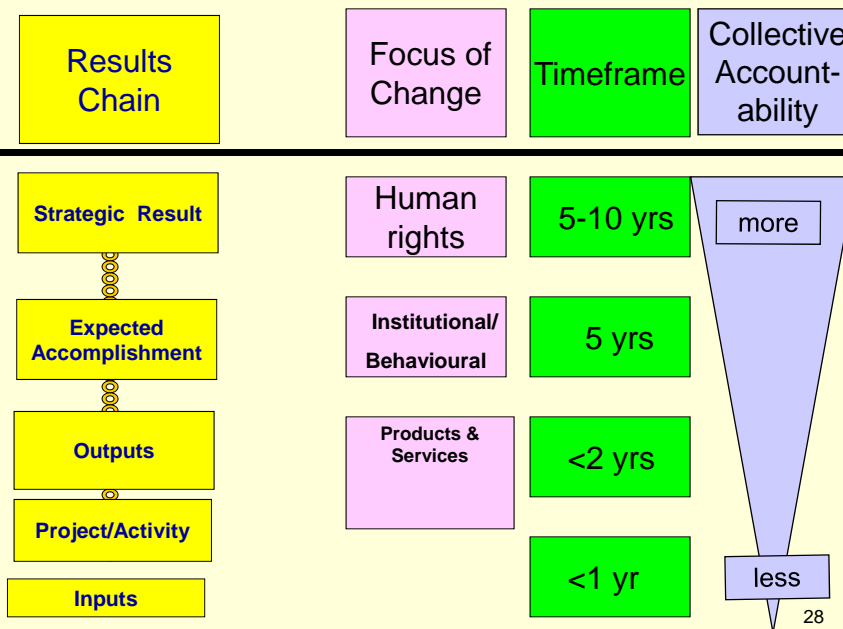
TRANSLATING UN- HABITAT MANDATES TO RESULTS

Translating UN-Habitat mandates to results



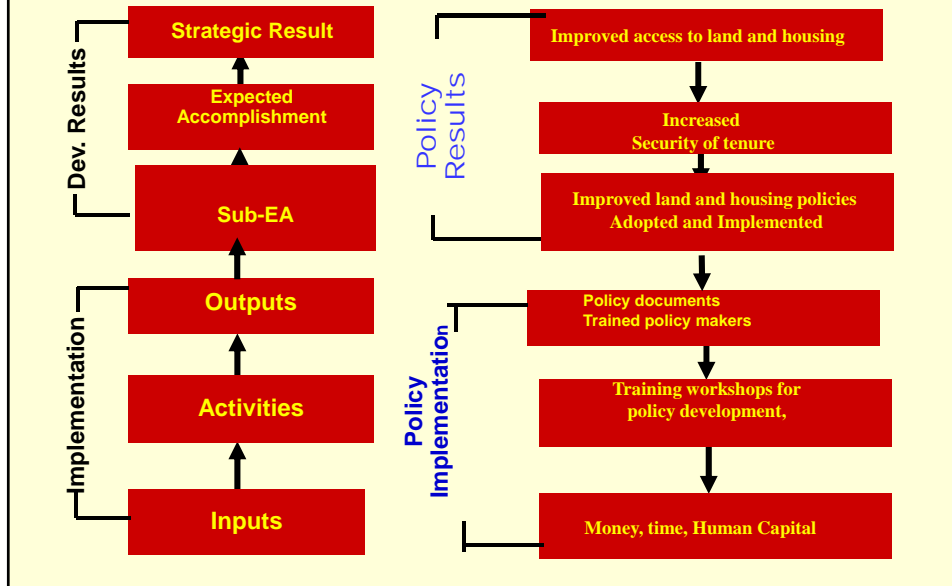
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Hierarchy of Results



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Example of a UN-Habitat Results Chain



How Would You Know UN-Habitat is Succeeding ?

Identifying Criteria
for Performance
Success

How Would You Know You Have Succeeded ?

- Determine indicators (yardsticks)
- Determine your targets (standards, criteria for success)
- Collect performance information
- Analyze and tell people the performance story

What is an Indicator?

Quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, or to reflect the changes connected to a UN-Habitat operation or activity or support service

Identifying Indicators

Use these criteria

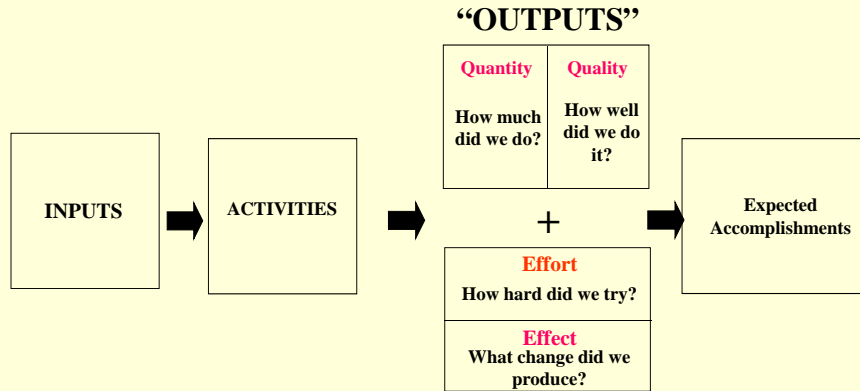
- **Specific** – measures only the specific design element (input, activity, expected accomplishment, or impact) that it is selected for.
- **Measurable** – Defines the measurement such that 2 people would understand each term within the indicator and measure it the same way time and again.
- **Accurate** – Must be accurate enough to give reliable data that can be converted to usable information to assist decision makers.
- **Realistic** – Must be realistic and practical in terms of UN-Habitat ability to collect the data with available resources.
- **Timely** – Is able to measure change within the timeframe of the operation, and if it requires a reasonable amount of time to use, and/or if it considers the time when the measurement takes place

**In other words - using these 5 criteria,
your choice of indicators will be SMART**

What is a Target?

- A desired level of performance to be achieved within a specific time period, as a result of an intervention, as measured using a pre-defined performance indicator

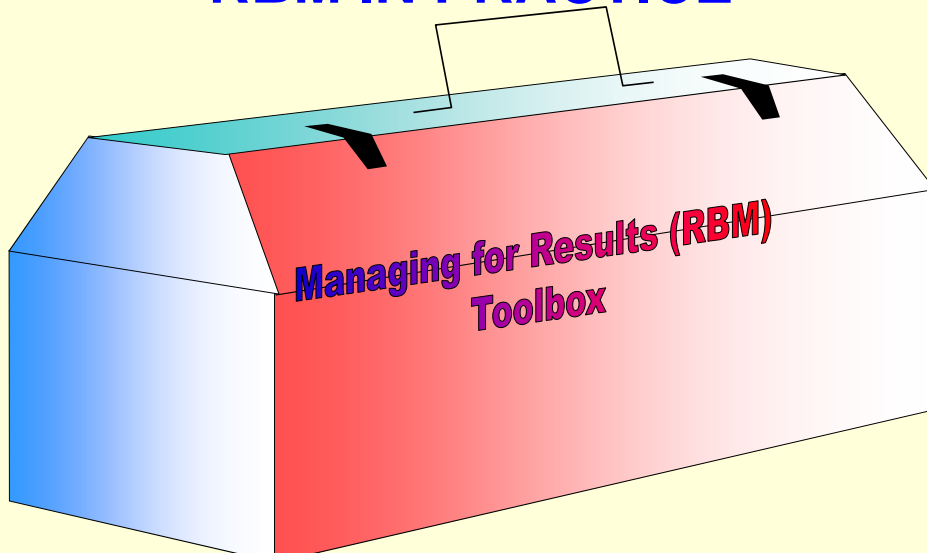
How Will You Know UN-Habitat Delivered the Desired Results ?



Source: Mark Friedman (1997, 2000)

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RBM IN PRACTICE



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| RBM Tools in UN-Habitat | |
|---------------------------------|--|
| <i>RBM Step</i> | <i>Tools Available</i> |
| <i>Planning</i> | <ul style="list-style-type: none"> • SMART MSTIP Results Framework • Focus Area Strategy Papers • Biennial Strategic Framework & Work Programme Budgets • Results Based Budgeting Tool • Annual Work Plans • Performance Review and Tools • Strategic Plan |
| <i>Monitoring and Reporting</i> | <ul style="list-style-type: none"> • MSTIP Progress Report • IMIS/GMIS- Monitoring programme/project , financial performance • IMDIS –Monitoring programme performance • Financial Status Reports • Biennial country Activity Report • Secretariat Reports • Six Monthly Progress Report • Draft M & E Policy & Guidelines • Joint Monitoring |
| <i>Evaluation</i> | <ul style="list-style-type: none"> • Draft M & E Policy & Guidelines • Biennial Programme and Budget • Biennial Evaluation Plan • UNEG Norms and Standards |

Inter-linkages and Dependencies Between Planning, Monitoring & Evaluation

- Without proper planning and clear articulated of intended results. It is not should be monitored and how, hence monitoring cannot be done well
- Without effective planning , the basis for evaluation is weak, hence evaluation cannot be done well.
- Monitoring is necessary , but not sufficient for evaluation
- Monitoring is facilities , but evaluation uses additional new data collection collection and different frameworks for anyone
- Monitoring and evaluation of a programme will often lead to changes in programme plans. This may mean further changing or modifying data collection for monitoring purposes.

Levels of Planning

- Strategic Planning
- Institutional (Management) Planning
- Operational Planning
- Work Planning
- Action Planning

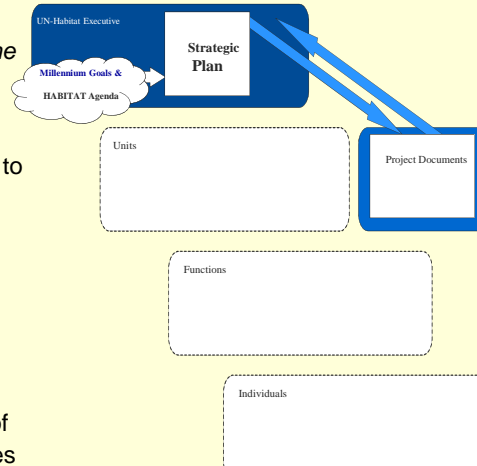
The Performance Dialogue Work Planning



Project & Support Service Activities

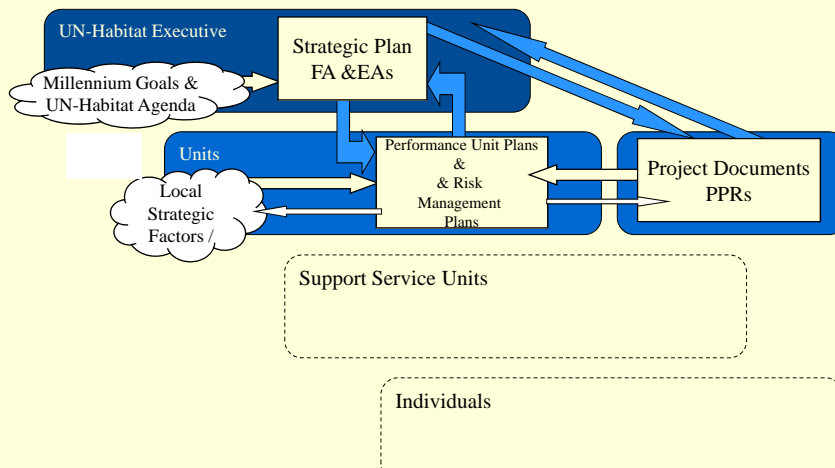
Generating Strategic Alignment

- Strategic alignment means roughly translates into “everybody pulling in the same direction”
 - Millennium Goals and UN-Habitat agenda, donor expectations have to guide everything we do in UN-Habitat
 - The Strategic Plan need to guide the choice of projects and programmes
 - The Focus Areas and expected results need to guide our choice of management and support activities

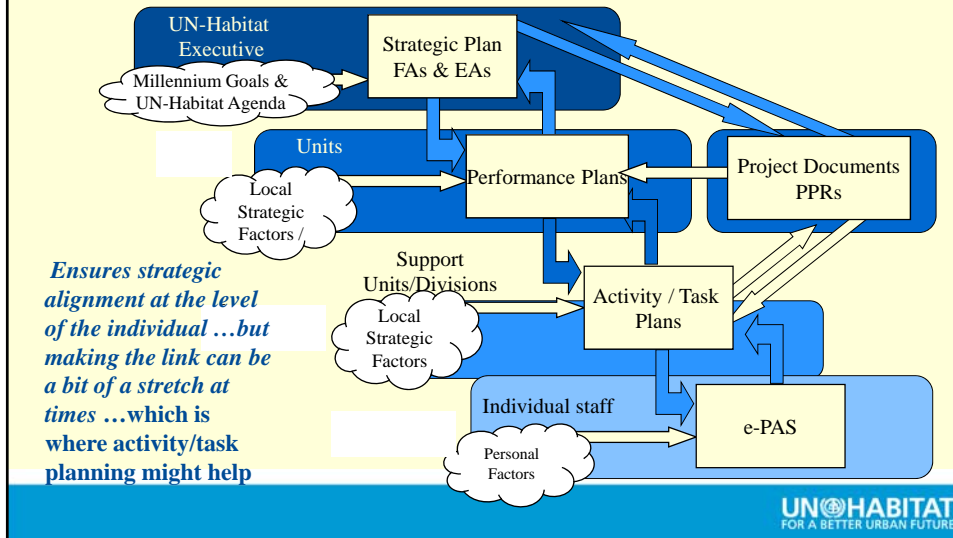


Work Plan Development

Ensuring strategic alignment at unit level

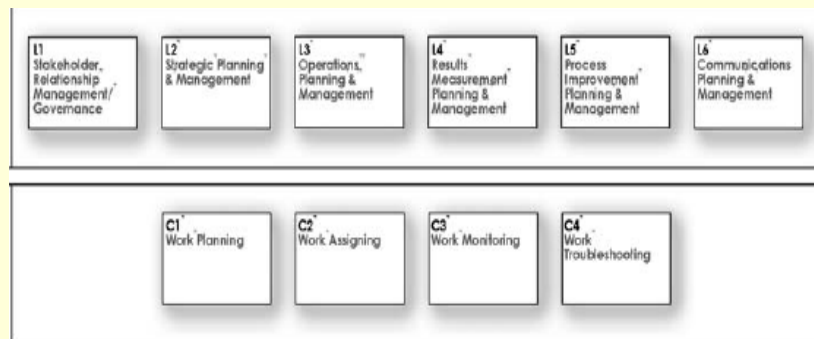


Activity / Task Planning and Linkage to e-PAS



Planning For Results

Areas of Performance



Session1: Introduction to RBM - What is RBM?

How well are we managing results at the moment?

We have been focusing increasingly on RBM for the past five years, but how well are we doing it?

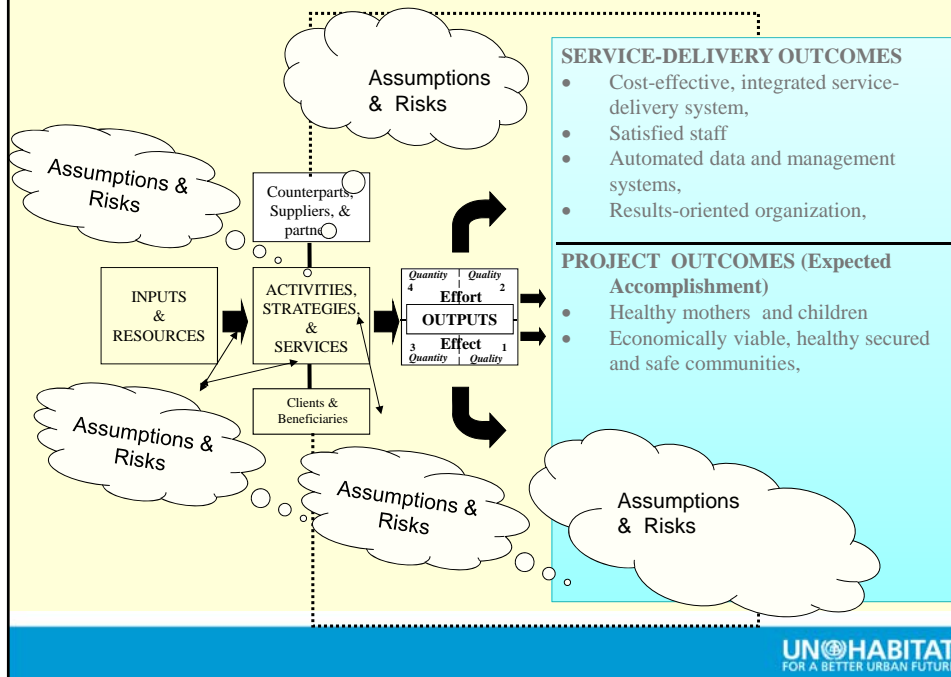
Are we measuring Outcomes and Impacts as well as Outputs?

How well do we use reported performance information for management purposes?

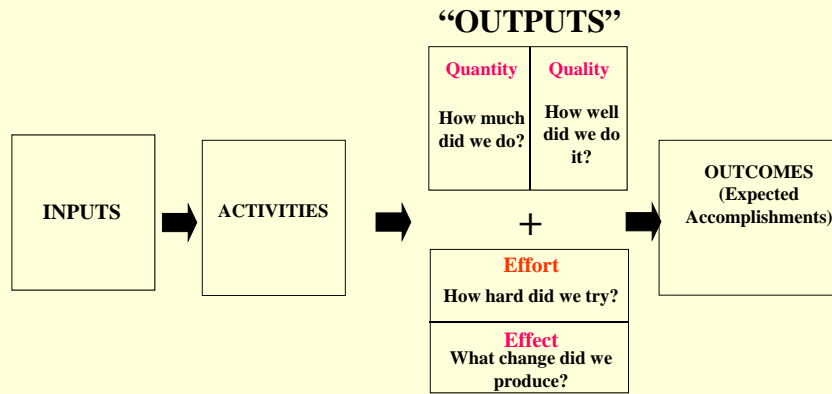
Do we apply RBM to ALL Performance operations, incl. support functions or only to programme and project Performance?

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Achieving Results:



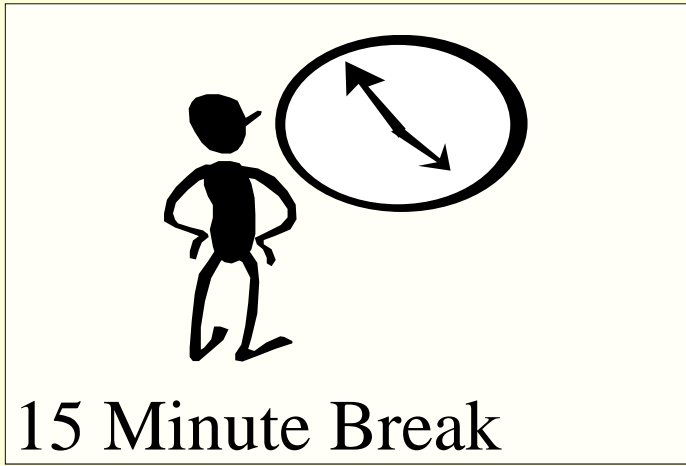
How Well Did You Achieve ?



Source: Mark Friedman (1997, 2000)

How Would You Know You Are Succeeding ?





15 Minute Break

RBM in Monitoring and Reporting

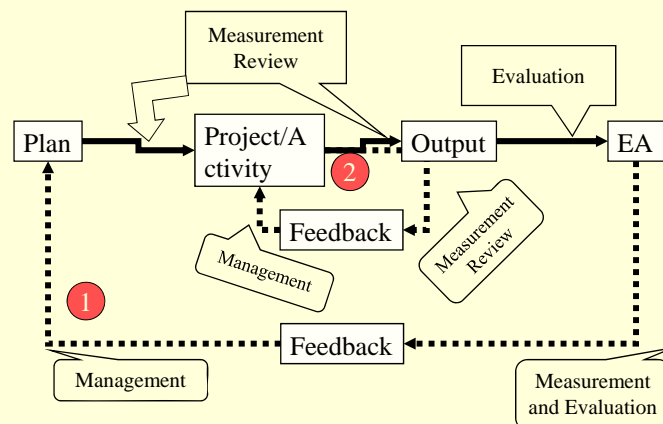
Performance Monitoring

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

(Source: UNDG RBM Handbook, October 2010)

NB: For UN-Habitat, the term “Expected Accomplishments” is used instead of Outcomes

Measure, Monitor, Review and Manage



- **Operational Feedback Loop**
 - Implementing each part of the plan as agreed
- **Strategic Feedback Loop**
 - Provides chance to review and adjust the implementation plan
 - Provides information on the overall direction towards achieving the stated objectives

Performance Monitoring and Management (PMM)

Knowing whether UN-Habitat is doing well only helps if the information prompts us into taking action

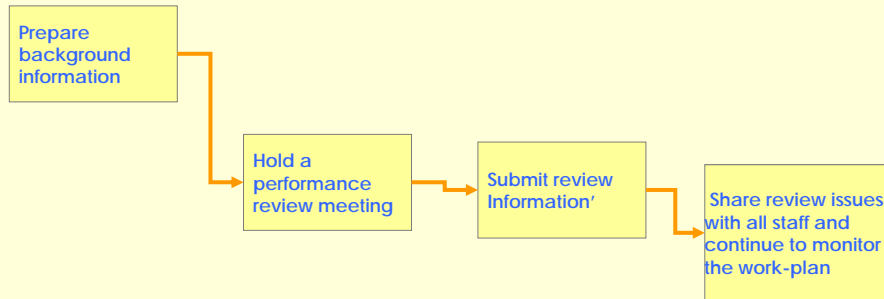
- If nothing different happens as a consequence of all your monitoring and evaluation processes, chances are the processes are not performing very well

Performance Reviews (PR)

What will you learn from a review ?

- Whether your Performance Plan is set up to facilitate your Performance or needs some changes
- If HABITAT is progressing at the planned rate towards achievement of its expected results and targets
- Why is HABITAT being successful and/or what are the impediments to success
- What actions your unit, or other UN-Habitat units or partners, needs to take to help you maximise HABITAT results

Performance Review Process



RBM Process and Key Steps Reviewing Performance

You can use the following questions to guide your reviewing the UN-Habitat performance from the six monthly reports

- a) What is not going well as expected ? or improving?
- b) What could work better?
- c) What can be done to assist UN-Habitat do it better?
- d) By when will UN-Habitat do it and who will be responsible?
- e) Does it require UN-Habitat to change our logic model and, if so, to collect different performance data?
- f) Was there a change in the condition and/or attitude of the beneficiaries/clients?
- g) Who are the partners who have a potential role to play in improving results?

Summary: How Would You Know UN-Habitat is Performing Well or Not?

- Have objectives
- Have indicators
- Have targets
- Have a system to assess performance



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Evaluation- Definition

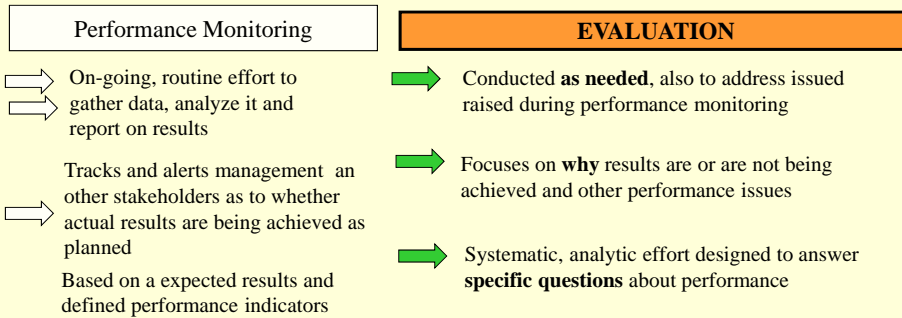
- An Evaluation is an assessment of an activity, project, programme, strategy, policy, theme, sector, operational area, institutional performance.
- It determines the relevance, impact, efficiency, effectiveness, and sustainability of the interventions.

(Source: UNEG Norms for Evaluation in the UN System, 2005:5)

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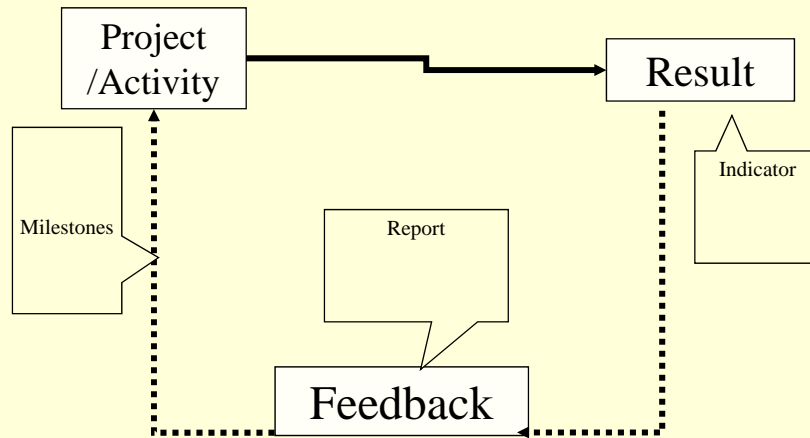
RBM Process and Key Steps

Integrate Evaluation



Reporting Performance Results

Performance Reporting for Management



Reporting on Performance

**What are your expectations
?**

- What
- How

Performance Report

| Actual levels of Performance | Targeted levels of Performance |
|------------------------------|--------------------------------|
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |

→ ? ←

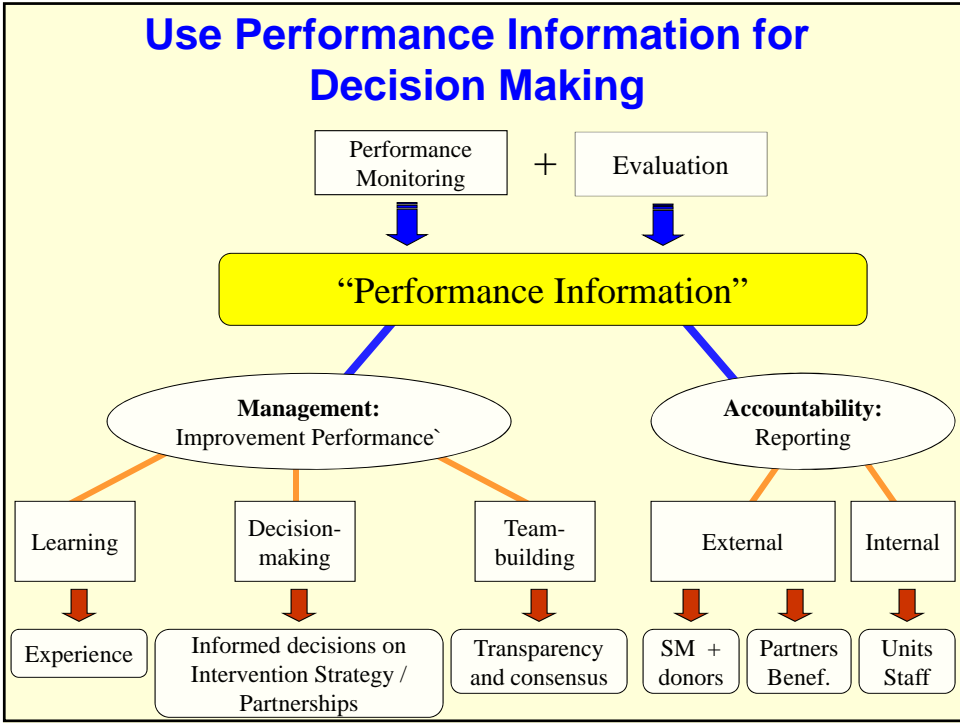
- Recommendations
- Action Steps
- Decisions
- Strategy and
- Results Refinement



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- Show OFF your results.
- You should be proud and celebrate your office results by sharing with all staff.

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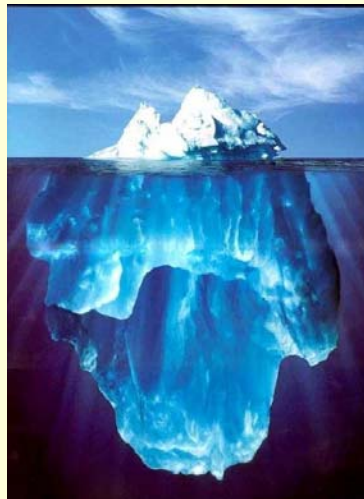
RBM in Risk Management

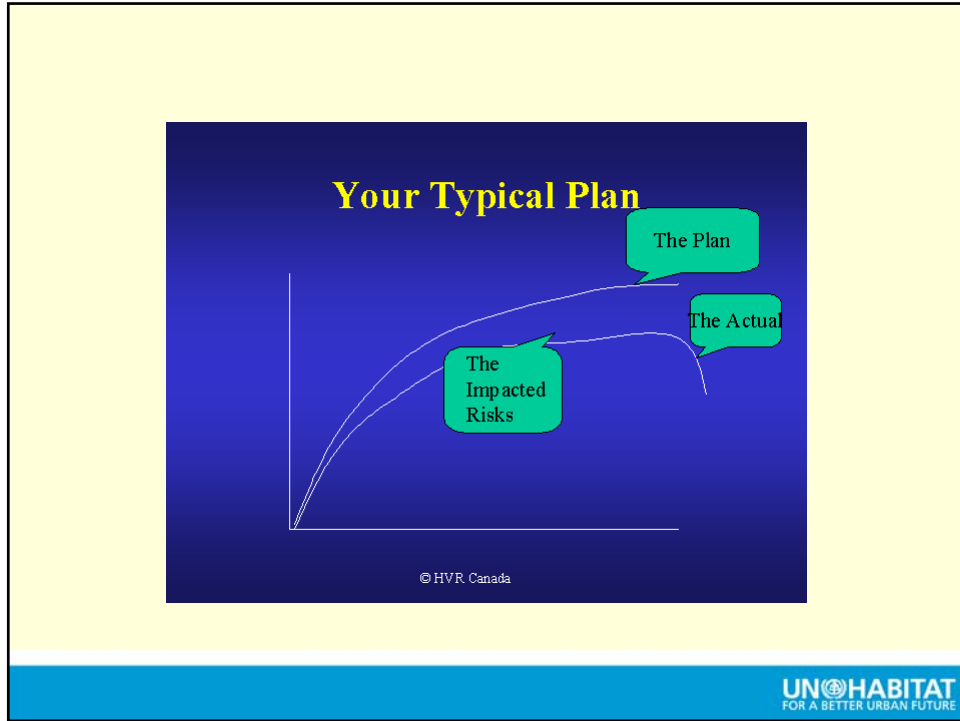
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Risk Planning & Management

Factors Influencing Results: Risks

1. Formal policies, systems, & practices
2. Informal practices & symbolic actions
3. Evaluative beliefs, values, & attitudes

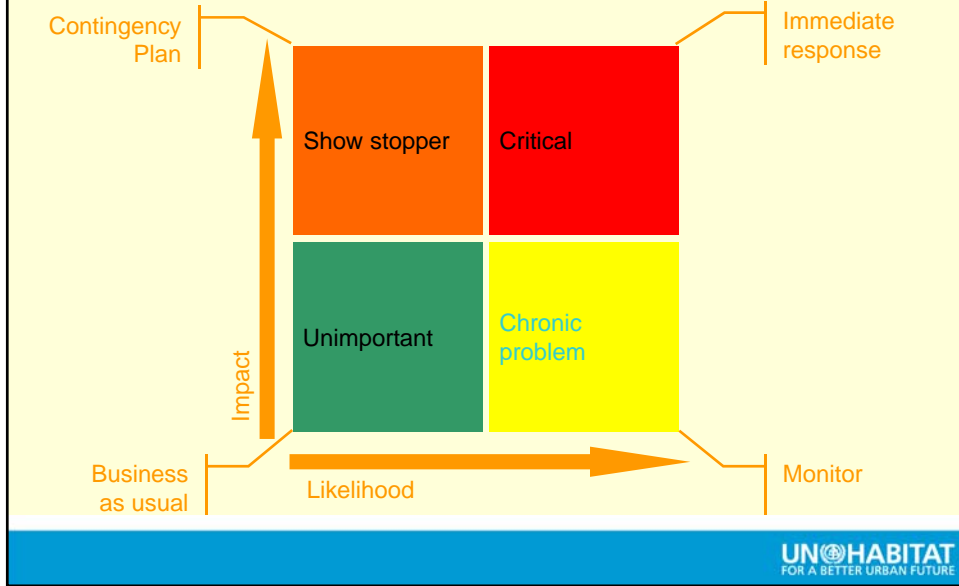




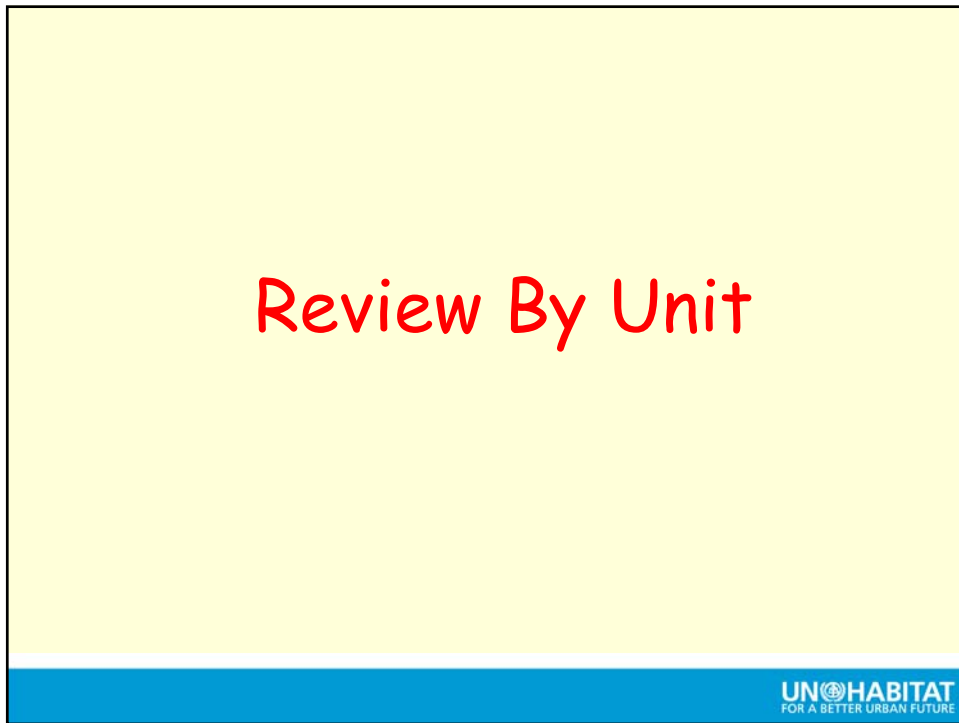
What is Risk Management ?

- ***Risk: The possibility that an event will occur and adversely affect the achievement of objectives***
- ***Risk Management: a continuous, structured thought process to manage risk to enable the achievement of objectives***

How to Analyse and Respond to Risk



Review By Unit



Work Planning

How Was the Work Plan Developed ?

- Who was responsible for original plans?
 - How did that work? Right set of people?
- Was work plan well defined from the beginning?
 - Was there an actual written plan?
 - How was the work plan communicated?
 - How well did that work?

Work Planning

Was the Plan the Right One?

- Was the plan a good one?
 - What was good? What was missing?
- Was the plan realistic?
- How did the plan evolve over time?
 - Was the change good or bad?
 - How did the changes affect the Work?
- Key areas for improvement:
 - Make very specific recommendations.

Risk Identification and Management How Were Risks Identified and Managed?

- How were the risks identified through the work plan and review process
 - How many teams, number of people, reporting structure were involved, etc.
 - How well did that work? Improvements?
- How did the performance management and improvement teams communicate
 - What methods, timing, etc.
 - How well did that work?

Risk Identification and Improvements How Effective & Efficient the Risk Management?

- Identifying & solving risk and performance problems
 - Were risks and performance issues identified early enough?
 - Were problems solved well?
 - What worked? Didn't work? Could be better?
- Risk Estimates & Mitigation Plan execution
 - Were estimates on track with actuals?
 - What helped people estimate risks and performance issues well?
 - What caused staff to estimate poorly?

Quality Assurance & Support

- How was results quality measured?
 - Was this effective? Efficient?
- How did actual results compare against quality targets?
- How were quality issues resolved?
- Were country office support teams properly prepared to ensure results quality?
- Is quality consistent with support resources availed ?

Using the Work Planning and Review Process to Improve Results

Key Lessons

What Went Right

- Summarize in quick bullet points specific things that worked well
 - Use specific examples: “daily 15-minute morning status meetings worked well” instead of “team communicated well”.
 - Indicate or list type of practices, forms, procedures, reports, etc. that were found to be particularly useful.

What Went Wrong

- Summarize in quick bullet points specific things that caused problems
 - Try to isolate specific attitudes, procedures, methods, timing issues, etc. that caused problems
- How did the country office management team respond to problems?

Integrating Risk Information in the Work Plan

Finalize Work

- After the completion of Steps 1 - 5 a better understanding of the Work Plan is attained and the Plan can be finalized by integrating the risk information.

Incorporate Risk Management Into Work rformance Planning and Management Process

- Integrate risk management with work plan/program management meetings/reviews
- Designate an individuals responsible to maintain/update the risk database in the work plans
- Integrate risk handling plans with work plan action item

Risk Management is A Way of Every Day Life



“Souk” Exchanges : Give Examples

CAUTION !!!!!

- Please Don't Become An Ostrich "Buddy"



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We All Manage Risk

- Non smokers "*avoid*" most of the risk
- Smokers "*accept or absorb*" the risk
- Quitters "*mitigate or control*" the risk
- Insurance "*transfers*" the risk

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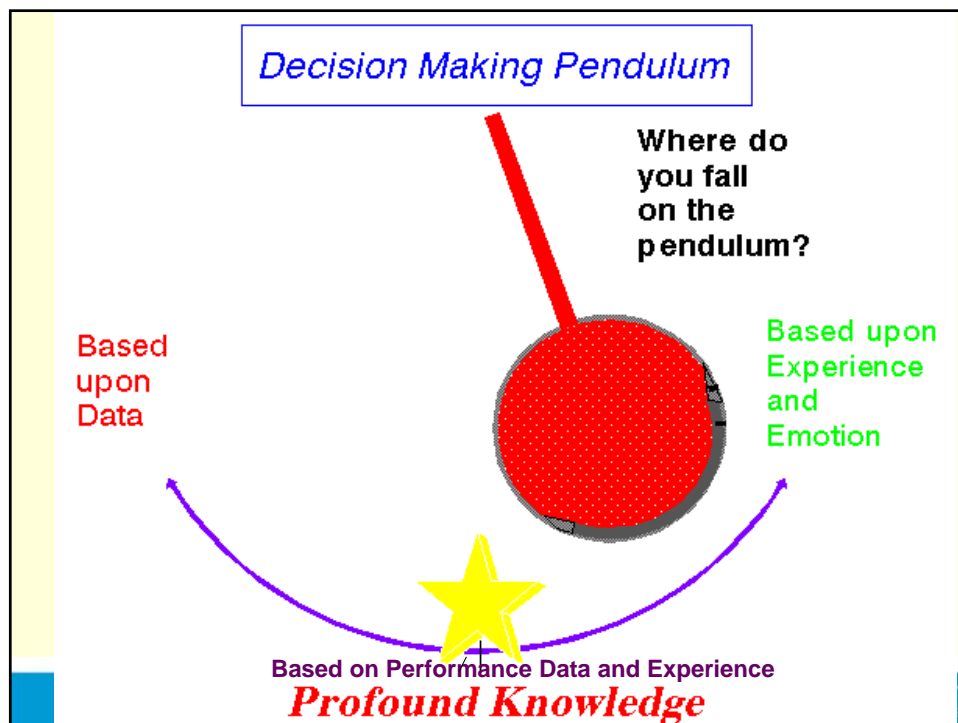
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Integrating Risk Information in the Work Plan/Project Design

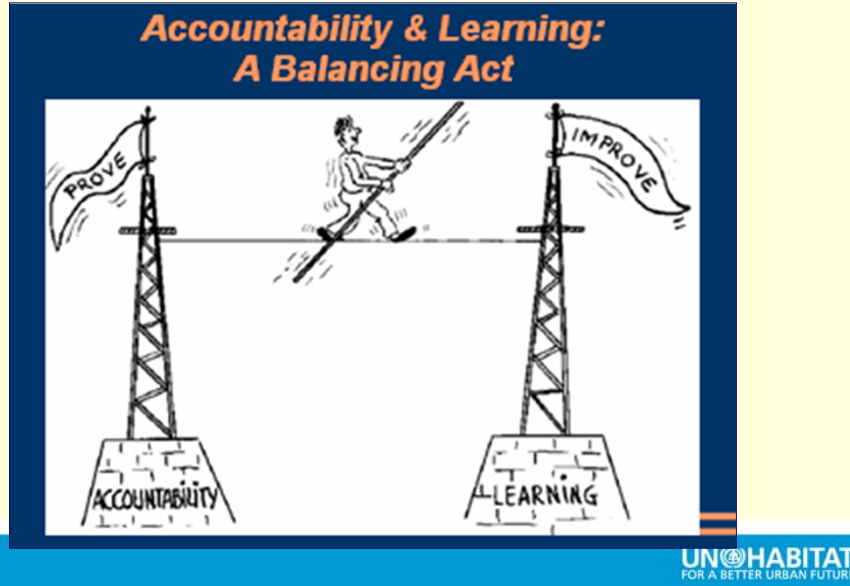
- It is important to take specific actions to mitigate the effects of the Risks on the expected results
 - It is always good practice to have a plan of action to address identified risk.
1. Incorporate Risk Management Into Work Plans and Management Process
 2. Integrate risk management with work plan/program management meetings/reviews
 3. Designate an individuals responsible to maintain/update the risk database in the work plans
 4. Integrate risk handling plans with work plan action item

Conclusion

Your Role in RBM



What do we get by using the framework



Challenges of RBM Practice

- Difficulty of understanding RBM concepts, terminologies and application is a challenge and it takes time
- Resources are not always adequate for effective RBM application e.g. lack of resources for baseline data collection
- RBM practice is often seen as a burden
- Lack of standard indicators on results make measurement and reporting on performance challenging.
- There is always a challenge of attributing results of interventions to an organization due to the existence of multiple stakeholders contributing to achieving the desired results
- Typically rely on results data collected by partner countries, which have limited technical capacity with consequent quality, coverage and timeliness problems.

What Can Senior Managers Do To Embed RBM Culture in UN-Habitat



“Souk” Exchanges

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Roles of Seniors Mangers in Embedding RBM Culture in UN-Habitat ?

The Manager is usually the person whom the Division/Unit ultimately revolves around so it is critical that the Manager must be adequately resourced and be delegated the appropriate level of authority.

- Ensure Strategic Plans and projects are results oriented and aligned
- Conduct strategic performance monitoring and reviews of UN-Habitat
- Ensure accountability and integrity
- Ensure that funds are expended on the right projects
- Ensure UN-Habitat is efficient in stewardship of resources
- Provide feed back to senior management to improve results

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The Role of A Manager

- Visible champion
- Publicly committed
- Strategic and visionary
- **Focused but flexible**
- An information source

Roles of Senior Managers in Embedding RBM Culture in UN-Habitat

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Roles of Senior Managers in Embedding RBM Culture in UN-Habitat

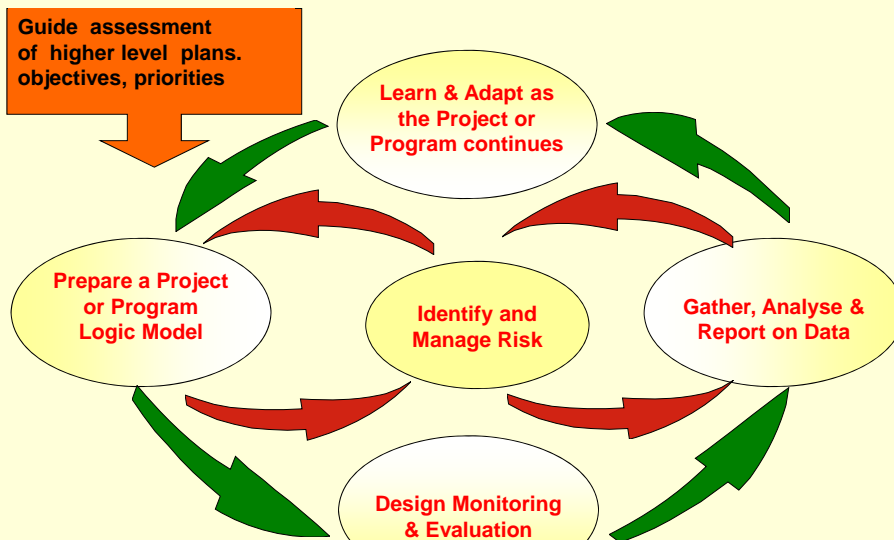
- Mobilize resources for RBM efforts
- Responsible and Accountable for delivery of division/office results
- Be a RBM champion and supporter
- Promoter/Champion of UN-Habitat and RBM
- Public advocate and motivator

Roles of Senior Managers in Embedding RBM Culture in UN-Habitat

- Mobilize resources for RBM efforts
- Be a RBM champion and supporter
- Be a Promoter/Champion of UN-Habitat and RBM
- Be RBM advocate and motivator

What can you do to enhance RBM in UN-Habitat

You Can Use RBM Approaches to...



Greater clarity and unity of purpose



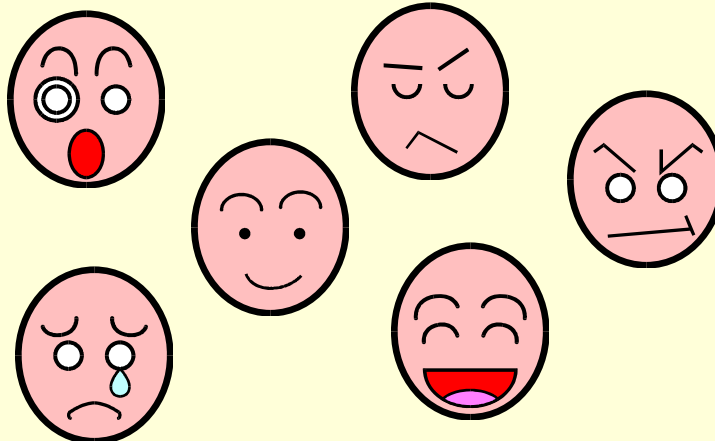
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What do you think about RBM?



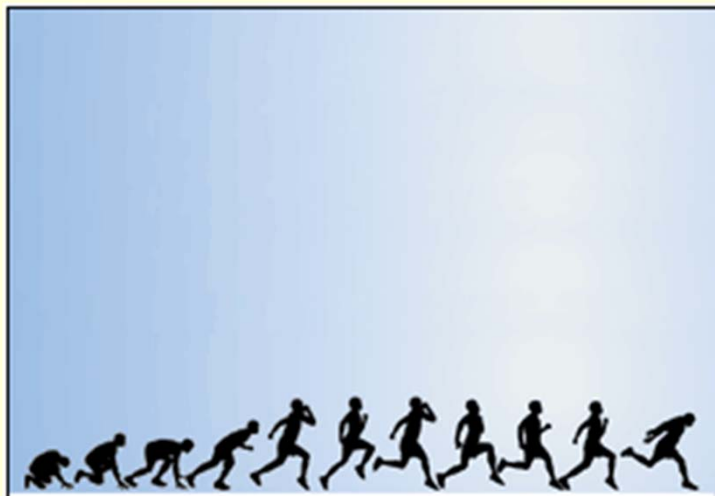
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How Would You Know UN-Habitat Is Achieving the Desired Results ?



“Souk” Exchanges : Give Examples

The RBM Race Is About Over and Where Are You ?



Thank You Very Much

