**RESULTS-BASED MANAGEMENT
IN THE UNITED NATIONS SYSTEM**

**HIGH-IMPACT MODEL FOR RESULTS-BASED MANAGEMENT**

**Benchmarking framework, stages of development
and outcomes**

*Coordinator*
**Sukai Prom-Jackson**

**Joint Inspection Unit**
**Geneva 2017**

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# EXECUTIVE SUMMARY

## Results-based management in the United Nations system: description of a high-impact model for managing for achieving results

### JIU/NOTE/2017/1

**Purpose and objective of the present note**

The present note provides a description of a high-impact model for results-based management that seeks to enhance coherence and effective collaboration in the adoption of results-based management as a strategy across the United Nations system. The model that can be used to guide the implementation of results-based management across the United Nations system and to carry out an assessment of its development. The model includes a benchmarking framework for what a high-quality results-based management system looks like when the results philosophy and principles are mainstreamed into management components, and an assessment methodology for assessing the stages of development of results-based management and the outcomes achieved. This is done in a standardized way that will permit comparison.

The present note is a precursor to a system-wide analysis of results-based management, in which the framework presented in this note is used to generate data and evidence about the level of development of results-based management in a selected number of United Nations system organizations (JIU/REP/2017/6). In both outputs, the aim is to seek to enhance results-based management as "an essential element of accountability".[1] Its value for learning and transformative change in the light of the 2030 Agenda for Sustainable Development is also highlighted. It is expected that the two outputs will support executive heads, managers and staff, legislative bodies, evaluation and oversight bodies and system-wide coordination bodies, such as the United Nations Development Group, involved in the implementation, monitoring and evaluation of results-based management.

**Rationale for this note**

A system-wide review of results-based management was included in the 2015 programme of work of the Joint Inspection Unit (JIU), as a response to the call by Member States in General Assembly resolution 67/226 on the quadrennial comprehensive policy review of operational activities for development of the United Nations system for strengthening results-based management and its coherence across the United Nations system, and for a system-wide review of results-based management and results reporting. Results-based management has been an important thematic focus of JIU, dating back to the early 2000s. Between 2004 and 2012, the JIU published a series of reports, including a benchmarking framework for results-based management in 2004, with the objective of enhancing institutionalization and coherence in the adoption of results-based management as a management strategy. Given its past flagship effort on the subject, JIU found it timely to update the benchmarking framework and to review the status of results-based management and the progress achieved over the past 10 years as a contribution to strengthening results-based management in the United Nations system in the context of the reforms for sustainable development.

The scoping phase for the present study showed that the 2004 JIU benchmark framework had not been widely used in the United Nations system. Consultations with participating organizations highlighted a demand for a common institutional framework for the implementation and valid assessment of results-based management, meeting the criteria of comprehensiveness, flexibility and comparability; for integration of the lessons learned regarding its implementation over the years; and for alignment with the policy requirements of the quadrennial comprehensive policy review. Those factors guided the

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[1] See General Assembly resolution 67/226.

development of the high-impact model and assessment methodology that is set out in the present note. The research and development effort was undertaken using existing evidence and lessons learned from experiences in United Nations system organizations and from bilateral donor agencies about the effectiveness or potential impact that could be reasonably inferred to have led to success in management. In addition, the development of the benchmarking framework was based on extensive consultation with 25 organizations and the intensive involvement of practitioners of results-based management in 12 organizations of the United Nations system and of experts on results-based management in the United Nations system and globally.

**Results-based management and its linkage with the 2030 Agenda for Sustainable Development**

Results-based management is defined in this study **as management strategies in individual organizations of the United Nations system based on managing for the achievement of intended organizational results by integrating a results philosophy and principles into all aspects of management and, most significantly, by integrating evidence and lessons learned from past performance into management decision-making.**

That definition draws upon the definitions of results-based management used by both the United Nations Development Group and JIU.[2] It emphasizes the fact that the use of results-based management involves not additional systems but the mainstreaming of a results philosophy and principles into already existing management systems and mechanisms. Results-based management gives a focus to the desired change and thus a focus on causality in the results chain and on results at outcome level as a key driver in managing for achieving results. It drives for success that is grounded in objective information and thus places an emphasis on critical inquiry, monitoring and evaluation, and evidence-based decision-making.

In such ways, results-based management provides a framework for the 2030 Agenda with its imperatives for: (a) strategic and adaptive management through systems operation for outcome and impact; (b) integrated and interdependent ways of working through partnership or collaborations for achieving outcomes that typically involve more than one player; and (c) success in achieving goals and outcomes through evidence-based policymaking and continuous learning and adaptation with due regard to the complex contexts and fast pace of development in the world today. That is well reflected in the common principles endorsed by the United Nations System Chief Executives Board for Coordination (CEB) to guide the support of the United Nations system for the implementation of the 2030 Agenda.[3]

**Elements of the high-impact model**

The high-impact model for results-based management includes: (a) a description of a benchmarking framework for results-based management, with a focus on managing for achieving results for change at outcome and higher levels;[4] (b) a description of the stages of development as organizations make progressive changes towards the criteria for high-impact and a method for assessment of such stages; and (c) a description of key outcome areas. Details of the three products are presented in annexes VIII, IX and X to the present note.

**Results philosophy and principles**

The development of the benchmarking framework is driven by results philosophy and principles and how they are mainstreamed into selected management areas identified in General Assembly

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[2] Adapted from part I of the JIU report on the implementation of results-based management (JIU/REP/2004/6), p.2, and the United Nations Development Group results-based management handbook, "Harmonizing results-based management concepts and approaches for improved development results at country level" (2011).

[3] Available from www.unsystem.org/content/ceb-common-principles-on-2030-agenda-sustainable.

[4] A benchmark is a known set of conditions that have been proven to work best in recent experience or that can be reasonably inferred to have been achieved. Those conditions provide the reference point against which performance or achievements can be assessed as a means of comparison among all measured subjects.

resolution 67/226. Managing for achieving results is about managing for success. The results philosophy and principles include:

(a)    Vision and clarity of the desired impact, with implications for focus on outcomes and long-term goals;

(b)    Causal linkages for change to happen defined in a hierarchy of results (inputs, activities, outputs, outcomes, impact);

(c)    Systems operation that goes beyond causal linear logic but espouses equifinality, multiple interacting and interdependent factors for achieving outcomes, and risks and conditions for success for achieving outcomes and higher-level results addressed;

(d)    Performance measurement for objectivity in management and accountability for transparency and consensus among key stakeholders;

(e)    Monitoring and performance assessment for continuous improvement and adaptive management focused on progress towards outcomes;

(f)    Evaluation for strategic changes, direction-setting, and innovation.

**Management areas of focus**

The identification of the management areas identified for benchmarking was guided principally by outcomes areas identified in General Assembly resolution 67/226 and by past work undertaken by JIU on what are significant management areas for results-based management. The quadrennial comprehensive policy review provides a useful and significant framework, as it constitutes an overarching system-wide policy framework for the United Nations development system, covering a large number of organizations. The management areas are:

(a)    Strategic management focused on the vision and strategic framework guiding the adoption of results-based management as a management strategy;

(b)    Operational management focused on what the organization does and its resourcing – strategic planning, programming, and resource management;

(c)    Transparency, accountability, and learning management focused on the monitoring, evaluation, reporting, and information management systems;

(d)    Change management focused on organizational culture through learning systems and leadership;

(e)    Responsibility management focused on partnerships for outcome attainment engendering mutual and collective accountability.[5]

The management areas are defined in the form of pillars and components that make it possible to provide operational definitions. These are outlined in figure I on page 19.  Details of the pillars, components and indicators that define a high-quality results-based management system are provided in annex VIII.

**Stages of development**

Having a benchmarking framework for the content of a results-based management system is important. However, it alone will not be enough for assessing the level of development of results-based management in organizations of the United Nations system. The overwhelming evidence is that there are variations in the level of its development between those organizations. What characterizes the difference

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[5]    Other areas identified during the scoping phase but not included were coherence at the country level and support for national capacity for results.

in levels of development is not clear and is difficult to unpack. An assessment approach has thus been developed for the project that defines the stages of development that organizations go through as they progressively seek to achieve a high-impact results system in mainstreaming all key dimensions of the results philosophy and principles. The conceptualization of those stages of development was guided by the theory of transformative and behavioural changes in innovation adoption in the public sector, and by configuration theory which recognizes equifinality and multiple interacting and interdependent factors or components for achieving desired outcomes.

Based on these theories, the stages in the model move from one of non-use of results-based management (stage 1) to one of exploration of the adoption of results-based management principles (stage 2), to a transition stage where results-based management is mainstreamed extensively in the organizations (stage 3) and to the stage in which results-based management is fully mainstreamed and undergoing updates and refinements based on lessons learned and organizational contexts (stage 4). In stage 4, it is internally focused, although beginning to sort out ways for external outreach and coordination. In the final stage (stage 5), the mainstreaming or institutionalization of results-based management undergoes renewal based on reviews, evaluations, assessments and lessons learned. The organization is now directed at making changes and undergoing renewal as it seeks to enhance its focus on managing for achieving outcomes. That therefore leads to considerations of collaboration, partnerships and mutually acceptable ways for achieving collective impact. It begins to explore more system-wide and joint activities, including joint monitoring and evaluation around common outcome areas.

The use of this approach reflects a focus on both substantive and behavioural changes and a constructive process of determining how change occurs and what organizations need to do to move from one stage to the other. The approach is thus not strictly tied to compliance. The interest is in looking at patterns or configurations of development within and across organizations. That should identify what works and signal difficult and constraining factors in progressive growth and development. It thus provides a concrete basis to support actions for success in results-based management and for identifying exemplary practices. Details on the stages of development are described for each component and are provided in annex IX to this note. The method for assessing the stages is also set out in annex IX including the scale for assessment, the requirement for supporting evidence, and a sample for supporting activities for the development of the components.

**Value of the high-impact model, recommendations and suggestions**

The high-impact model for results-based management seeks to provide a common and inclusive framework and one that is operational for results-based management and how it develops. The need for a common framework or blueprint is highlighted by many interlocutors as most important in establishing the identity and a decent level of interoperability of results-based management in the United Nations system. The components of the high-impact model describe what it means when results philosophy and principles are mainstreamed into the management areas of focus set out above. The framework provides a basis for sharing, for establishing coherence and for collaboration across organizations. It offers a benchmark against which organizations can assess their efforts in mainstreaming results-based management and a basis for coherent dialogue with governing bodies and with other organizations. It is also critical for allowing comparability in conducting system-wide reviews or evaluations and hence provides a valid and reliable basis for developing informed policy direction and support for the collective advancement of results-based management in the United Nations system.

This model is regarded as a living document for continued use and further development, and as a basis for harmonization and sharing across organizations. Its use by staff and managers is expected to strengthen the level of development of results-based management and enhance conceptual coherence and collective impact consistent with the imperatives for integration and interdependence set forth in the 2030 Agenda. However, lessons suggest that this can only happen with clear leadership support. In that regard, the following recommendation is made.

**Recommendation 1**

**To promote collaboration in and furtherance of mainstreaming results-based management across United Nations system organizations, executive heads may wish to endorse the high-impact model and use it within their respective organizations, taking into account the progress already achieved and organizational specificities.**

As previously indicated, this research and development effort was motivated by the need for a system-wide common framework that would enhance collaboration and would make the sharing, exchange and adoption of results-based management innovations across the United Nations system more intelligible. It is also expected that such collaboration would pave the way towards greater harmonization and interoperability among the results-based management systems of United Nations organizations. However, for that to be successful within and across organizations, a support function may be critical to enhance collective action and collaboration on results-based management inspired by the aspirations of the 2030 Agenda.

It is noted that existing inter-agency coordination mechanisms do not currently seem to propose a viable platform for such collaboration. It is however noted that besides the existence of coordination efforts via an informal network for strategic planning, namely the United Nations Strategic Planning Network, formal collaboration in the area of results-based management does not currently exist in the United Nations system. CEB provides a natural basis to support coordination and collaboration. The United Nations Development Group has sought to enhance coordination and harmonization, but its efforts are focused at country level. The role of the Group needs to be strengthened and that would include enhancing horizontal as well as vertical alignments in results-based management (corporate, regional and country levels). Taking into account the call for reform of the CEB/United Nations Development Group arrangements by Member States in General Assembly resolution 71/243 on the quadrennial comprehensive policy review of operational activities for development of the United Nations system, and ongoing work by the Secretary-General to respond, the following recommendation provides a basis for providing backbone support in using the high-impact model.

**Recommendation 2**

**To enhance inter-agency collaboration in the use, adaptation or expansion of the high-impact model across United Nations system organizations, executive heads may wish to establish an inter-agency task force or interim mechanism, using existing formal or informal inter-agency arrangements, as deemed appropriate.**

The high-impact model, as designed, has utility for multiple other stakeholders. Among those are governing bodies, which play a key role in the development and oversight of results-based management in United Nations system organizations. **It is strongly suggested that those bodies seek to enhance alignment in their conceptual understanding of results-based management and may wish to consider the high-impact model as a tool to guide them in carrying out their oversight responsibility and in guiding coherence in results-based management within and across United Nations system organizations.**

# CONTENTS

**ANNEXES**

# ABBREVIATIONS

| | |
|---|---|
| CEB | United Nations System Chief Executives Board for Coordination |
| FAO | Food and Agriculture Organization of the United Nations |
| ILO | International Labour Organization |
| JIU | Joint Inspection Unit |
| OECD | Organization for Economic Cooperation and Development |
| OIOS | United Nations Office of Internal Oversight Services |
| OHCHR | Office of the United Nations High Commissioner for Human Rights |
| UNDP | United Nations Development Programme |
| UNESCO | United Nations Educational, Scientific and Cultural Organization |
| UNFPA | United Nations Population Fund |
| UNHCR | United Nations High Commissioner for Refugees |
| UNICEF | United Nations Children's Fund |
| UN-Women | United Nations Entity for Gender Equality and the Empowerment of Women |
| WFP | World Food Programme |
| WHO | World Health Organization |
| WIPO | World Intellectual Property Organization |

# I.   INTRODUCTION

## A.  Objectives of the 2015 Joint Inspection Unit project on system-wide results-based management

1.    During the past decades, the development aid sector has been the subject of considerable pressure to better demonstrate its effectiveness and efficiency. That pressure, from both donor and recipient countries, has fuelled what is commonly referred to as the "results agenda",[6] which has been at the centre of different global reform agendas, such as the Paris Declaration on Aid Effectiveness (2005) or the more recent Busan Global Partnership for Effective Development Cooperation (2011). Such pressure has aimed at improving management systems by enhancing their focus on results achievement and on strengthening learning and accountability.

2.    Results-based management has been part of the reform process in the public sector. As such, the concept was gradually introduced into the public administration of most countries of the Organization for Economic Cooperation and Development (OECD) in the 1990s, as part of new public management reforms. In the United Nations system, results-based management was introduced in the late 1990s as part of broader reform agendas, with an initial focus on results-based budgeting approaches and applications at project and programme levels. Its introduction as an overarching management strategy followed in the early 2000s.

3.    There are many different definitions of results-based management within and outside the United Nations system. Differences in definition highlight different degrees of prioritization, but also evolution in how results-based management is conceptualized, reflecting on lessons learned from its application to development work.

4.    For the purposes of the present study, results-based management is **defined as management strategies in individual organizations of the United Nations system based on managing for the achievement of intended results by integrating a results philosophy and principles into all aspects of management and, most significantly, by systematically integrating lessons learned from n past performance into management decision-making. Intended results include outputs, outcomes and impact**.[7]

5.    Today, the development agenda continues to place a great deal of emphasis on results-oriented management practices for accountability and organizational learning. Results-based management remains an important component of demands for accountability and of individual reforms within individual United Nations organizations. Those demands are reinforced by the adoption of the 2030 Agenda for Sustainable Development. The 2030 Agenda shares the same imperatives of results-based management. It gives a focus on driving for longer-term goals for change and thus results at outcome level as a key driver of success in managing for achieving results. It places an emphasis on critical inquiry and evidence-based or evidence-influenced decision-making in the pursuit of results or desired changes. It drives for sustainability and in that regard focuses on (a) strategic and adaptive management through system operation for outcome and impact; (b) integrated and interdependent ways of working through partnerships or collaboration for achieving outcomes that typically involve more than one player; and (c) success in achieving goals and outcomes through evidence-based policymaking, continuous learning, and adaptation with due regard to the complex context and fast pace of development in the world today.

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[6]    See Lani Shamash, Simon Burall and Brendan Whitty "Resetting the aid relationship" (Involve, 2013).

[7]    Some organizations do not, however, recognize outputs as results. It is a question of point of view, depending on one's position in the context of cascading results frameworks.

**Reasons for an update of the work of the Joint Inspection Unit on results-based management**

6.     As noted above, results-based management and coherence across the United Nations system has been a key thematic focus of JIU since the early 2000s.[8] In 2004, it affirmed its commitment to advancing this management approach in the United Nations system by publishing results-based management benchmarking frameworks in a series of four reports (JIU/REP/2004/5-8). Those benchmarks constituted a unique framework to guide organizations in mainstreaming results-based management, working from a common framework. In 2006, they were endorsed by the Committee for Programme and Coordination (see A/60/16, para. 248) and the General Assembly in its resolution 60/257. The Unit has in various ways used the framework in reviews and assessments of results-based management in single organizations or for multiple organizations. Other organizations have made reference to the JIU framework. There has not however been widespread or intensive use.[9]

7.     Given its system-wide mandate, its past efforts to enhance results-based management implementation and its harmonization in the United Nations system, JIU considered it timely to include in its 2015 programme of work a project on results-based management in the United Nations system. That decision was influenced by General Assembly resolution 67/226 on the quadrennial comprehensive policy review for strengthening results-based management and for a system-wide review of results-based management in the United Nations system. That resolution is complemented by the fact that demands for results-oriented practices for accountability, organizational learning and coherence continue to increase, in spite of the growing number of critiques of the approach and concerns raised about distortions created by results-based management.[10] Understanding the origin of those distortions becomes important for moving forward with results-based management. Those demands for results-oriented practices have been strengthened by the adoption of the 2030 Agenda for Sustainable Development, which is about the sustainability of development results and gives a clear focus to the systems operations, integration and interdependence of the organizations of the United Nations system in addressing system-wide issues and for the achievement of common outcomes and goals. As previously highlighted, these are also the imperatives of results-based management. The 2030 Agenda thus provides an opportunity for understanding and implementing results-based management as it should be. It enhances its relevance and value.

8.     A review of the status of results-based management in organizations of the United Nations system would thus provide a good basis for defining the existing capacity and level of development in managing for achieving results and for understanding the constraints and challenges where collective action is required, both from within organizations and from a system-wide perspective. It would set a basis for action, which would further enhance the development and relevance of results-based management in the current context.

**Need for a common framework and standardization for system-wide operation and analysis**

9.     It is acknowledged that conducting a system-wide review that meets validity and reliability criteria requires measurement and methodological approaches that would enhance an acceptable level of comparability. The JIU benchmarking framework developed in 2004 provides a good basis for this. However, it needed to be updated to include lessons learned and success factors which have emerged

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[8]   See, for example, JIU/REP/2002/2, JIU/REP/2005/2, JIU/REP/2006/1, JIU/REP/2006/6, JIU/REP/2009/5, JIU/REP/2012/12.

[9]   This statement is based on a review of results-based management documentation from participating organizations and other reviews, interviews and analysis of information in the JIU web-based tracking system from a previous JIU review (JIU/REP/2006/6).

[10]  See Ben Ramalingam. *Aid on the Edge of Chaos: Rethinking International Cooperation in a Complex World* (Oxford, Oxford University Press, 2013) and Rosalind Eyben and others, *The Politics of Evidence and Results in International Development: Playing the Game to Change the Rules?* (Rugby, United Kingdom, Practical Action Publishing, 2015).

from the implementation of results-based management within and outside the United Nations system since 2004. It also needed to be aligned with the quadrennial comprehensive policy review, in which multiple pronouncements on results-based management were included and an overarching policy framework for the United Nations development system set out. Furthermore, in the light of distortions and questions about the value of results-based management, a study was warranted to highlight its value for the 2030 Agenda and how to enhance that value.

10.    Furthermore, the value of such a benchmarking framework for addressing questions about the level of development of results-based management systems needs to be completed by an assessment approach, which would enable the level of development or status of results-based management in organizations to be captured in a standardized manner and with due regard to organizational peculiarities, both factors being important for establishing validity in comparative analysis. That is one product which was missing in the past efforts of JIU in developing a benchmarking framework, hence limiting its use.

**Twofold objectives of the Joint Inspection Unit results-based management project**

11.    Based on the background described above, the JIU results-based management project had two main objectives:

(a)    Research and development of an updated benchmarking framework and a valid and reliable assessment methodology for system-wide use. That is the focus of the present note and its annexes.

(b)    The conduct of a system-wide review of results-based management, providing an analysis of the status of results-based management in a sample of United Nations system organizations. The analysis would be based on this aforementioned benchmarking framework and assessment methodology developed as part of the first objective for the project. That analysis is provided in the JIU report JIU/REP/2017/6.

## B.    Purpose of the note

12.    The present note first describes the results of the research and development of a results-based management benchmarking framework. The purpose of the framework is to provide a common ground that all organizations can work from in enhancing the development of their results-based management system. As already noted, that is expected to permit a decent level of comparability, to strengthen harmonization and enable greater coherence and coordination among organizations in the implementation of results-based management. It is also expected that the framework will enhance transparency and facilitate context-appropriate accountability, as well as the sharing of lessons learned and exemplary practices.

13.    The framework that has been developed is comprehensive, although not exhaustive of all management systems. It is holistic and characterized by the belief that the constituent parts of a results-based management system are intimately interconnected and explicable only by reference to the whole. It has rubrics or dimensions defined in operational terms. That is done in an inclusive manner, taking into consideration the varying mandates and points of view and lessons learned from academic literature and stakeholders. Furthermore, the development of the framework was grounded in the context of the United Nations development system and the quadrennial comprehensive policy review. Thus it has a particular bias towards the development mandate of the United Nations system. It is, however, important to note that the inclusion of views and evidence of a diverse nature from various sources renders the framework of greater global value.

14. Besides the benchmarking framework, the note also describes an assessment methodology tied to the benchmarking framework that is designed to assess in a standardized manner (a) the stage of development of the results-based management system; (b) the associated activities for success; and (c) the difference that a results-based management system development makes relative to key outcome areas associated with results-based management in General Assembly resolution 67/226.

15. In accordance with article 11, paragraph 2, of the JIU statute, the present note was finalized after consultation among the Inspectors so as to test its recommendations against the collective wisdom of the Unit. To facilitate the handling of the note and the implementation of its recommendations and monitoring thereof, annex VII contains a table indicating whether the note was submitted to the relevant organizations for action or for information. The table specifies whether the recommendations require action by the organizations' legislative body or executive head.

## C. Acknowledgments

16. The development process included extensive engagements with practitioners and key stakeholders of United Nations system organizations. They played a critical role in the conceptualization, design, assessment and refinement of the two tools – benchmarking framework and assessment methodology. JIU thus recognizes the framework and assessment tool as a product of the results-based management community of practice in the United Nations system.

17. JIU expresses its appreciations to all staff and results-based management practitioners in the United Nations system for their participation and invaluable input into the research and development of the two tools. Particular thanks go to the results-based management focal point and senior managers at the Office of the United Nations High Commissioner for Refugees (UNHCR), who provided the opportunity and extensive time to pilot the tools. We thank the 12 United Nations system organizations involved in refining the tools and in using them to provide data for analysis. They are the Food and Agriculture Organization of the United Nations (FAO), the International Labour Organization (ILO), the Office of the United Nations High Commissioner for Human Rights (OHCHR), the United Nations Development Programme (UNDP), the United Nations Educational, Scientific and Cultural Organization (UNESCO), the United Nations Population Fund (UNFPA), UNHCR, the United Nations Children's Fund (UNICEF), the United Nations Entity for Gender Equality and the Empowerment of Women (UN-Women), the World Food Programme (WFP), the World Health Organization (WHO) and the World Intellectual Property Organization (WIPO). JIU would also like to thank the senior managers of those organizations for their role in enhancing objectivity in the assessments and in providing information about the outcomes generated from mainstreaming results-based management and the use of results-based management systems in decision-making.

18. The research and development process was greatly enhanced by an advisory group whose members included results-based management practitioners and experts from the United Nations system (UNESCO, UNICEF, UNDP and UN-Women), and other multilateral and bilateral organizations (the Department for International Development of the United Kingdom of Great Britain and Northern Ireland and the OECD Development Assistance Committee). Special thanks go to the advisory group. JIU also thanks the project team including a lead international consultant on results-based management, JIU staff and interns with background education and experience in organizational development, management and engineering. A list of all key players involved in the research and development of the project can be found in annex I.

## D.  Structure of the note

19. Following the present chapter, the rest of the document is structured as follows:

- In chapter II, the technical and methodological challenges in interpretation and application of results-based management and in conducting a valid and credible system-wide review of results-based management are described. A definition of results-based management is provided and its significance for the United Nations system outlined.

- In chapter III, a description of the content of the benchmarking framework is provided: management areas and pillars aligned with the outcome areas of the quadrennial comprehensive policy review and the associated components and performance indicators.

- In chapter IV, a description of the assessment methodology and procedures for carrying out the proposed approach and the protocol for assessing the outcomes of results-based management are set out.

- In chapter V, suggestions for the use and continued development of the benchmarking framework and assessment tool are outlined and a set of recommendations presented.

## II.    BACKGROUND

### A.  Significance of results-based management in the United Nations system

20.    Results-based management in the United Nations system derives its significance from demands from both programme and donor countries for the United Nations system to demonstrate that it is achieving its objectives, that it does so coherently and efficiently and that it is adding value and making a contribution to the needs and priorities of programme countries and/or other global priorities. Results-based management in the United Nations system received renewed focus following the Busan High-level Forum on Aid Effectiveness, held in 2011, with an emphasis on (a) delivering results that would change the world and (b) enhancing national capacities for results-based management.

21.    The value of results-based management continues to be important as the United Nations embarks on addressing growing changes and challenges and the need to respond to the demands of the 2030 Agenda for Sustainable Development for increased alignment, interdependence and mutual accountability in an overall environment characterized by a rising number of actors. An integrated results-based management system is important for demonstrating that the United Nations system *as a whole* makes a valid contribution to the achievement of global challenges and internationally agreed goals, while supporting national goals and priorities. In so doing, it needs to provide convincing justification for its existence, be more strategic, invest where it counts, manifest greater coherence and efficiency in its operations and achieve results beyond outputs and activities in its work on development.

22.    In that regard, the General Assembly in its resolution 67/226 on the quadrennial comprehensive policy review reaffirmed the importance of results-based management "as an essential element of accountability that can contribute to improved development outcomes and the achievement of the Millennium Development Goals and the internationally agreed development goals", and stressed the need to "address the remaining gaps in planning, management, and reporting" and remove "disincentives for results-based management at all levels".

23.    In the same resolution, the Assembly also requested the United Nations development system "to accelerate work to develop and sustain a results culture at all levels" and the Secretary-General to "intensify efforts to strengthen and institutionalize results-based management in the United Nations development system, with the objective of improving development results as well as organizational effectiveness, including simplifying, streamlining and harmonizing results-based management systems".

24.    Finally, the Assembly requested the Secretary-General, in consultation with JIU, to conduct a review of results-based management and system-wide results reporting and to provide updated information on the status of implementation of results-based management within the United Nations system. In its resolution 71/243 on the most recent quadrennial comprehensive policy review, the General Assembly reiterated its statement about results-based management, highlighting its importance within and across organizations in the context of the 2030 Agenda and the need to continue to strengthen it. In that context, the significance of results-based management lies not only in the role it plays in accountability, but more significantly for its value for transformative changes in the United Nations system in efficiency, effectiveness and the sustainability of development results.

25.    The JIU project is expected to shed light on levels of success in the outcome areas identified in the quadrennial comprehensive policy review. The present note provides information on the tools developed to allow for a technically valid and more concrete and operational basis for defining and assessing the development of results-based management in the United Nations system.

**B. What is results-based management in the United Nations system?**

26.     Since the late 1990s, all United Nations agencies have adopted results-based management. They have changed from the original objective-based management or results-based budget frameworks tied to activities and have made efforts to go beyond an ad hoc and incremental approach to adopt a more comprehensive results-based management system. Organizations vary in their philosophical grounding in results-based management, as reflected in the various existing definitions within the United Nations system (see annex II). They also appear to be at different levels of development and to be facing different challenges. Most organizations are influenced in their continued development by General Assembly resolutions or directions from their governing bodies.

27.     For the purposes of the present study, *results-based management is defined as management strategies in individual United Nations system organizations based on managing for the achievement of intended results by integrating a results philosophy and principles into all aspects of management and, most significantly, by systematically integrating lessons learned on past performance into management decision- making. Intended results include outputs, outcomes and impact.*

28.     The definition draws on the definitions of results-based management used by JIU and by the United Nations Development Group.[11] It is important to highlight the following:

- The first important point in the definition is the notion of mainstreaming a results philosophy and principles into existing management systems, processes and mechanisms with a focus on achieving results at the outcome level. That does not imply the introduction of additional management systems but making changes to existing systems.

- The second important point emphasized in the definition, and reflected as a results principle, is the use of evidence and lessons learned in decision-making in order to make a difference and effect desired change and transformation. In the context of the present review, that grants an added value of results-based management as a management strategy.

29.     The key principles of the results framework mentioned in the definition and the associated management requirements are highlighted in table 1. Those concepts guided the development of the benchmarking framework and the assessment methodology. It also guided the design of the system-wide review presented in the JIU report JIU/REP/2017/6. It is important to note that the 2030 Agenda echoes the principles of results-based management for systems operation, interdependence and integrated work around outcomes, partnerships, the management of complexity and complications and the need for evidence-based policies.

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[11] See JIU/REP/2004/6 and the United Nations Development Group results-based management handbook.

Table 1
**Results principles and their implications for management**

| Principle | Description of principles |
|---|---|
| **Vision and goals** | *If you do not know where you are going, any road will take you there*<br><br>The long-term goals and desired outcomes of an organization must drive all aspects of its work. Clarity in the vision and long-term goals of an organization allow it to define its means of influencing change, given its mandate and other international conventions. That also provides a framework for assessing the readiness and capabilities of the organization for achieving its long-terms goals. The impact of decisions on the contribution of the organization to its long-term goals or on its capacity to influence their achievement must be considered in all aspects and levels of decision-making. |
| **Causality and the results chain** | *Change occurs from a cause and effect relationship and not from a sequential ordering of activities*<br><br>Change requires an understanding of causal linkages. Achieving change and impact requires making a hypothesis of how such change would occur. That requires the establishment of logical (rather than sequential) linkages within a well-defined theory of how the change will happen. The typical levels of the linear change process in management are defined in terms of input, output, outcome and impact. Managing the chain of results involves revising the logic argument and evidence acquired, and establishing accountability and reciprocal obligations at each level (vertical accountability). |
| **Systems operation and strategic management** | *All hypotheses of cause and effect occur with margins of error, subject to the influence of factors external to the intervention*<br><br>Development does not operate in a controlled environment but in an open system. Change occurs within a systems framework. Such a framework is influenced positively or negatively by external factors arising from the environment or the actions of other key stakeholders that have the capacity to influence success. Thus identifying, monitoring and managing conditions for success, as well as the risk factors deriving from the environment in which results are expected to occur, are critical for success. That also highlights a responsibility to seek to influence external factors to favour success. |
| **Performance measurement** | *If you cannot measure it, you cannot manage it*<br><br>Measurement involves quantitative and qualitative operational definitions of phenomena. That allows objectivity, transparency and mutual agreement among a range of stakeholders. It provides the basis for a contract agreement (accountability) about the performance that is expected (when indicators are defined in terms of quantity, quality and time dimensions, or in a SMART (specific, measurable, achievable, relevant and time-bound) manner). The relevance and validity of performance indicators for contract agreements require stakeholder engagement. |
| **Monitoring and evaluation** | *Hypotheses are based on deductions of best practices and transfer of knowledge does not always have the effects anticipated*<br><br>Given uncertainties in achieving results, managing for results requires robust evidence and lessons learned from monitoring and evaluation to ensure (a) progress towards results, (b) the validity of the results chain and causal assumptions and (c) the contribution of the organization towards long-term goals. That evidence and those lessons learned should inform adaptive management and decision-making with a view to improving results. |

### C. Challenges and the Joint Inspection Unit approach to defining
### a valid basis for system-wide assessment and review

30. In scoping the project on results-based management in 2015, JIU identified several conceptual and methodological challenges for conducting a valid and credible system-wide review in the United Nations system. They included the following:

- Existing literature widely acknowledges that the operationalization of the results-based management system must be tailored to the specific context of the individual organization. However, there is no guidance suggesting what is critical or what the implications are of tailoring operationalization to specific organizations or contexts.

- Very few organizations have defined their intended results-based management institutional outcomes against their own defined performance indicators or any of the outcome areas identified in the quadrennial comprehensive policy review. That presents an additional practical challenge in assessing the effectiveness of mainstreaming results-based management and its outcomes.

- There is no common understanding that all organizations already have management systems in place and that results-based management is about mainstreaming the philosophy, principles and goals of managing for results into existing management and institutional mechanisms. Variations in semantics and language applied to results-based management, as well as the various existing definitions within the United Nations system, suggest that there is a certain degree of confusion or dissonance over what results-based management actually is. It is sometimes referred as a programme/project approach, a technique or a tool. Rather, it is a management approach, and not a tool or specific technique, that attempts to achieve coherence across management systems and cultures with a focus on managing for contributing to outcome-level results and to higher-level results that indicate a change at the level of beneficiaries.

- There is no recognized common, comprehensive and usable benchmarking framework. This affects the ability to credibly compare individual organizations and to make generalizations about results-based management in the United Nations system.[12]

- Organizations either do not have or do not apply a comprehensive understanding of the technical and management principles of the results framework and some subscribe to different principles and priorities. That is reflected in the variations in the existing definitions of results-based management within the United Nations system[13] and made it necessary to outline the principles and engage in a dialogue with stakeholders on such principles (see table 1 for results principles).

- Finally, another challenge in assessing the status of results-based management and the difference it has made to an organization lies in the lack of clarity as to what can be credibly attributed to the adoption and mainstreaming of results-based management, as opposed to what has been brought about by other reform processes in organizations. While the adoption of results-based management is often associated with the emergence of monitoring and evaluation, the use of the results framework and other tools, it is important to emphasize that these measures existed and were being used before the introduction of results-based management.

31. The prevailing evidence thus points to the fact that there is no common agreement over how and what a high-quality, high-impact results-based management system should be for individual United Nations system organizations or for the United Nations system as a whole. That posed limitations for

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[12] The existing JIU benchmarking framework is noted by the stakeholders consulted as difficult to use at the practical level.
[13] See annex II.

developing an effective and acceptable assessment framework that would allow for analysis across organizations. The various conceptual challenges also point to the complex nature of results-based management as a construct, with implications for a valid assessment. There are also complications arising from differences in definition and in the perspectives of organizations of the United Nations system with different mandates, priorities and governance structures. The following describes the JIU approach in addressing some of those challenges and developing a high-impact model for assessing results-based management and its development across the United Nations system

**Joint Inspection Unit approach to developing a high-impact results-based management system**

32.   Based on an understanding of these issues and their implications for a valid assessment and comparisons across organizations, JIU adopted an approach to assessment that is less about assessing compliance and accountability based on a fixed set of norms and standards of organizations of the United Nations system, but more about a flexible, realistic and inclusive platform that would support harmonization and coherence in mainstreaming and monitoring results-based management across the United Nations system.

33.   Overall, the approach that was used sought to understand the adequacy of the existing state of affairs of results-based management, based on the principle of equifinality adopted from configuration theory,  namely that there are many different ways of achieving the same desired state. It provided broad enough boundaries and standards in defining a high-impact model of results-based management (tied to the results philosophy and principles) to allow organizations to find themselves within those boundaries (self-directed within a common framework). That led to the development of a wide range of indicators of relevance to the various organizations. Such an approach makes it possible to see emergent patterns within and across organizations and make associations between patterns and success in results-based management. Once such patterns are identified, their monitoring becomes a critical activity, as desirable patterns can be supported and undesirable patterns disrupted. The organization thus evolves into a future that is more contextually appropriate for the work it does and the results it is seeking to achieve.

34.  Within the context of this conceptual approach, the development of the framework and assessment methodology took a mixed methods approach, using both deductive and inductive reasoning to define the content and methodologies for assessment. This was done working with practitioners from the various organizations of the United Nations system and experts from inside and outside the system.

35.   In applying a deductive approach, the project used information from various sources including (a) the benchmarking framework developed by JIU in 2004 and multiple reviews of results-based management carried out by JIU; [14] (b) the United Nations Development Group results-based management handbook; (c) recent evidence from various existing studies on results-based management at the global level; and (d) a 2007 report for the Secretariat on results-based management in the United Nations.[15] The information was used to support the definition of quality criteria for the various system components and also to highlight the importance of factors that enhance the impact and sustainability of the adoption process, such as the culture of results-based management, and the importance of mutual accountability, given that outcomes are generally conjoint. In developing the various stages of development, the study drew on the growing reflection on alternative methods in innovation adoption, on adaptive management of complex phenomenon in public sector management and on how change and transformations occur.

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[14] See JIU/REP/1978/1, JIU/REP/1988/1, JIU/REP/2006/6, JIU/REP/2011/5 and JIU/REP/2012/12.
[15] John Mayne, "Best practices in results-based management: a review of experience", vol. 1.

36. To complement the deductive process, information was generated based on an intensive participatory approach with practitioners from selected organizations of the United Nations system and with input from results-based management experts both from within the system and from external partner organizations. The inductive process sought to enhance content validity, credibility and ownership in the use of a common framework likely to enhance coherence and harmonization and the effective work of the results-based management community in the United Nations system.

37. In that regard, the project held one-day consultation workshops with various organizations in Geneva, New York and Paris. The workshops highlighted key issues in the implementation of results-based management and in the use of existing guides. It became clear that there was no well-defined prescription of how results-based management is undertaken; rather, there is an implied flexibility in the adoption process. It is expected that organizations will adapt results-based management to different circumstances and contexts. Results-based management will thus naturally evolve at different paces and in different directions across organizations. Given this organizationally driven and emergent process, the expectation would be of varying patterns or configurations in the various organizations of the United Nations system.

38. If such organizational variations in the implementation of results-based management are allowed, what then becomes critical, no matter the circumstances, is the linkage of the various patterns or configurations of the system with the institutional and programmatic outcomes obtained within the organization from mainstreaming results-based management. Thus, a comprehensive assessment of a results-based management system must include a linkage of the level of mainstreaming with key outcomes, such as those of the quadrennial comprehensive policy review and other defined organizational outcomes.

39. The workshops established that there is an interest in the creation of a common framework and one that is operational. The expectation is that such a framework would support harmonization and strengthen coherence for collective action in the implementation of results-based management. The demand expressed was for a framework and a method of assessment to be established that would best meet the following identified criteria:

- They must be based on a clear and comprehensive definition of results-based management and its guiding principles that would tie together the varying definitions of the organizations.

- They must create a common content base across the United Nations system and among all stakeholders for understanding the scale of implementation of results-based management and its implications as a change management strategy going beyond a compliance culture.

- A framework must be developed that will allow for a meeting of minds among agencies of the United Nations system to enhance more effective knowledge-sharing and facilitate cross-organizational collaboration with positive effects for the coherence and harmonization of results-based management.

- They must be comprehensive and have a set of shared metrics or indicators for effective monitoring and sharing of information and lessons learned among stakeholders.

- Given the complexity and unpredictability of the development process and the different mandates and priorities of organizations, flexibility must be built in and the framework must be inclusive, helping organizations to chart their own way within the larger context of the United Nations development system and within the framework of a defined policy and strategy for results-based management.

- The framework needs to be standardized but non-normative as it should consider equifinality and variations in the standards established.[16]

40.   Those criteria, bolstered by information from bilateral and multilateral organizations and from the academic literature, have defined to a large degree the parameters used for developing the benchmarking framework and the assessment methodology. Given the organizationally driven and emergent process, one would therefore expect to see varying patterns or configurations in the various organizations of the United Nations system, all of acceptable value and where the vision, goals and organizational priorities are clear.

41.   The development process following the consultations included (a) a pilot with one United Nations system organization; (b) self-assessment by organizations (accompanied by an instruction manual developed by the JIU team); (c) follow-up interviews by the JIU team and validation based on concrete evidence; (d) a two-day synthesis workshop with the participation of managers of results-based management in 12 organizations for cross-validation, to support interpretation of the patterns emerging from the analysis, highlight new initiatives and reflect on how to address systemic and structural constraints. Section C of chapter IV below outlines the different steps and levels of engagement undertaken in the development process of the benchmarking framework and its accompanying assessment methodology in 2015 and the early part of 2016. In carrying out those steps, the JIU review team engaged in a continuous and iterative process of refinement of the framework and assessment methodology, based on the feedback provided.

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[16]   Normative means relating to an ideal standard or model, or being based on what is considered to be the normal or correct way of doing something.

# III. RESULTS-BASED MANAGEMENT BENCHMARKING FRAMEWORK

The benchmarking framework puts into perspective five dimensions of management reflected in five pillars, within which 17 behavioural components or management subunits are identified. It aims to highlight in concrete ways what it looks like when results-based management is mainstreamed into these management systems.

## A. Mainstreaming results philosophy and principles into already existing organizational management strategies

42. As noted above, adopting or implementing results-based management implies mainstreaming the principles and expected approaches of the results philosophy and framework into the regular organizational management objectives and processes. The results philosophy and principles are outlined in table 1. As a complement to those principles, in box 1 the major management implications of the results principles are highlighted. Those principles and management imperatives guide the reflections, decisions and actions that leaders, managers and staff, as well as stakeholders, should bear in mind in managing for results, and that would apply to all the undertakings of the organization in question.

Box 1

**Results principles and management implications**

**Vision and goals**

Management must always keep the long-term goals and the desired outcomes in mind in all aspects of its work and operations. It is important to know which changes need to take place and to make a difference and a meaningful contribution. That allows management to think strategically about the most effective and efficient means to achieve its objectives. An important aspect in that regard is to manage the linkage between global aspirations, system-wide goals, corporate strategic goals and priorities, regional goals and national goals and priorities. It also involves enhancing the alignment of goals with resources (financial, human and knowledge assets) and capacities at all levels of the organization.

**Causality and the results chain**

Achieving change requires setting up a hypothesis as to how such a change will occur and developing a theory of how it will happen. The change process or results logic in management is defined at different levels of the results chain (input, output, outcome and impact) and there is accountability at each level. Given the errors that are likely to occur in the conceptualization of the theory of how change and its outcomes come about, adaptive management focus on a continuous assessment of implementation and progress toward outcomes is imperative. Managers must constantly engage staff in the process of reflective inquiry for transformative change. Best-practice models do not always work. Construction of knowledge should predominate over the direct transfer of knowledge.

**Systems operation and strategic management**

Open-systems operations require identification of the conditions for success and the risk factors that limit success and sustainability. Results-based management calls for integrated and interdependent ways of working together around joint outcomes and higher-level results. It involves strategic management around joint outcomes and managing horizontal accountabilities and responsibilities, with other stakeholders seeking to influence the same change. That puts an

emphasis on the management and development of partnerships, coordination and mutual accountability mechanisms to ensure complementarity and mutually reinforcing interventions.

**Performance measurement**

It is generally stated in management that if you cannot measure it, you cannot manage it. Measurement includes a quantitative and qualitative operational definition of phenomena. That allows the development of a common point of view, objectivity, transparency and mutual agreement. It facilitates contract management, accountability and negotiated agreements.

**Monitoring and evaluation**

Development does not occur based on exact sciences. It is a complex and complicated process subject to multiple interacting factors. Achieving desired goals and aspirations requires monitoring and evaluation of performance achievement for accountability, for mid-course corrections and for direction-setting, and for the sharing of lessons learned for global use. Managing for results requires valid evidence, not only for compliance monitoring but more significantly to guide strategic changes and direction-setting. Results-based management requires robust and valid information to inform decision-making, to support oversight and accountability, for learning and improvement and hence the development of a solid measurement and statistical system and of a knowledge management system.

## B. Benchmarking against results principles

A benchmark is a set of selected conditions or reference points, against which performance or achievements can be assessed as a means of comparison among all measured subjects. Usually it is a known set of conditions that have been proven to work best in recent past experience, or can be reasonably inferred to have been achieved. However, not all the specific sets of performance criteria are expected to be met by all the organizations being compared. Often a benchmark is also seen not as an actual standard but as an interpretation of a standard, or as an extended guide towards excellence. A benchmark will in time become a standard (see glossary of terms in annex VI).

43. Results principles and their management implications are expected to guide all aspects of planning, management, evaluation, and reporting. There has however been no guidance on what that means in practice. There is no defined prescription of how to mainstream results-based management, what the sequence should be in management areas, or which priorities are significant. Rather, from all the guidance provided, there is an implied flexibility in the adoption process. That has not however engendered a common meaning or a common framework for assessment, comparison or benchmarking, or for sharing lessons and taking collective action. Where organizations have given priority to one management area as opposed to others, that has been driven primarily by the demands of Member States rather than being based on management principles.

44. However, as noted, having a common framework is regarded by many as being of great importance in establishing the identity and a decent level of interoperability of results-based management in the United Nations system, and for enhancing a basis for sharing, for establishing coherence and for collaboration. A common basis for results-based management in the United Nations system is also critical for conducting system-wide reviews, without which it becomes difficult to develop informed policy direction and guidance for the United Nations system as a whole. The benchmarking framework proposed in the present note thus seeks to respond to those two demands.

45. Herein lies the critical importance of a benchmarking framework that would enhance a common institutional basis against which performance could be assessed and also as a means of comparison among all measured subjects. That is the function of the benchmarking framework developed in this

project, providing to the extent possible a common and inclusive set of rubrics and indicators, while allowing for flexibility and appropriate application as fit for purpose.

46. The benchmarking framework identifies a set of critical management areas and provides operational definitions of management dimensions based on results principles. The operational definitions drew on logical analysis, existing information of how various organizations were acting and information from reviews on lessons learned as to what had worked in the past and significantly defined a results logic or principle. It provides an extensive list of performance indicators intended to be inclusive and allowing for flexibility, given variations among organizations. That approach adopts the principle of equifinality from configuration theory, namely that there are many different ways of achieving the same desired state. Those indicators are set out in annex VIII.

## C.  Management areas of focus in the benchmarking framework: the outcome areas of the quadrennial comprehensive policy review as the organizing framework for pillars and components

47. For defining the management areas of focus, the team working on the project used as a guiding framework the expected outcome areas of the quadrennial comprehensive policy review. Some of the main outcomes of the quadrennial comprehensive policy review, which were in focus for the study, are set out in box 2.[17]

Box 2

**Outcome areas of results-based management identified in the quadrennial comprehensive policy review**

- Strengthen and institutionalize results-based management in the United Nations development system with the objective of improving development results and organizational effectiveness (General Assembly resolution 67/226, para. 168);
- Ensure increased mutual accountability for results-based management and reporting at the country level (resolution 67/226, para. 171);
- Emphasize results-based management as an essential element of accountability (resolution 67/226 para. 164);
- Improve transparency and ensure coherence and complementarity in the oversight functions**,** audit and evaluations across the United Nations development system (resolution 67/226, para. 167);
- Improve results tracking and reporting mechanisms (resolution 67/226, para. 165);
- Implement a more robust, coherent and harmonized approach to operational activities for development, focused on results, which would streamline and improve the planning, monitoring, measurement and reporting on system-wide results (resolution 67/226, para. 169);
- Develop and sustain a results culture at all levels including by identifying and implementing appropriate incentives for results-based management, removing disincentives for results-based management at all levels and periodically reviewing their results management systems (resolution 67/226, para. 166)
- Continue to strengthen results-based management, focusing on long-term development outcomes, develop common methodologies for planning and reporting on results, improve integrated results and resources frameworks, where appropriate, and enhance a results culture in the organizations of the United Nations development system; (resolution 71/243, para 12)

48. Logical analysis of the outcome areas of the quadrennial comprehensive policy review led to the selection of five management areas, which are formulated as pillars. The pillars are further broken down into a set of defining components or subsystems. Figure I provides a graphic illustration of the

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[17]    See General Assembly resolution 67/226, paras. 164-172 and annex III of this note.

pillars and associated components that define the benchmarking framework. Figure II presents the logic model for the results-based management framework, highlighting the results chain for the pillars and the outcome areas of the policy review. A selected number of outcome areas identified by different organizations are also included. It is important to state that this is a simplified version of the framework for results-based management provided in the present note, not to undermine the principles of the framework but to facilitate conceptualization.

49. Annex III provides details of the results of the analysis that was carried out and the linkage between the outcomes of the quadrennial comprehensive policy review and the management pillars and components that define the benchmarking framework. In annex III, the specific outcomes areas of the key pillars and components based on consultation and logical analysis are identified. The detailed and transparent reporting of outcomes provides potential users with enough information as guidance and as a basis for further inquiry or refinement.

**Description of pillars, components and their performance indicators**

50. The information on the indicators for the pillars and components is copious and is thus presented in annex VIII to the present note. That provides a detailed description and operational definitions of the pillars and components, as well as the specific outcomes for the management areas. The Inspector would like to emphasize that the core substance of the benchmarking framework is presented in annex VIII. The reader is requested to focus on that information as the benchmark. The following is a short summary.

51. The five pillars are as set out in table 2. The associated parent and much broader management function is identified in the second column. Annex VIII provides details as follows.

- For each pillar, a general description is provided, the rationale for the pillar, what it means to have results-based management mainstreamed and some potential benefits from mainstreaming. That is followed by a set of generic outcomes for the pillar as a whole, drawing from both logical analysis and from organizational sources.

- For each pillar, there is a set of components or subsystems that play a significant role in the development of the pillar and in the achievement of the outcomes of the quadrennial review. There are 17 components in total for the 5 pillars.

- For each component or output, there is a short description of the component and of its significance for results-based management. It should be noted that some of the components are not mutually exclusive but they are treated separately for conceptual elegance and to allow for space and flexibility given variations between organizations. That approach has also facilitated the assessment of reliability via internal consistency.

- Output quality for each component is the expected quality (performance criteria) when the results philosophy is mainstreamed into the component as an output or element for a management system. An operational definition of the output quality is provided. While the list of quality criteria for the output quality of the component may seem exhaustive, this, as noted above in defining the theory of equifinality, was done to enable organizations with varying priorities, structures and levels of development to relate to the subset of indicators. That allows for flexibility and relevance in the adoption process.

- Also for each component, information is provided on the potential indicative outcomes of the component in terms of what occurs when the component is fully implemented and its value is further enhanced based on assessments and evaluations, and on the use of results evidence from the evaluation with an effect on increased integration and alignment with the system as a whole.

Table 2
**Broad management areas of focus and corresponding pillars**

| Pillars | Broad management function |
|---|---|
| **Pillar 1: Conceptual foundation for results-based management or the strategic framework for adopting results-based management** | Strategic management |
| **Pillar 2: Planning, programming, budgeting and human resource management** | Operational management |
| **Pillar 3: Monitoring, evaluation and reporting** | Accountability and learning management |
| **Pillar 4: Fostering a culture of results** | Change management |
| **Pillar 5: Partnerships for collective impact** | Responsibility management |

52.    As noted above, please see annex VIII for details of the features of the results-based management system. Users of the framework are encouraged to further add to its conceptualization and make refinements or additions where needed.

**Figure I: Benchmarking framework for
results-based management system**
*United Nations system achieving better results*

| Management Areas | PILLARS | Components | Outcome areas identified in General Assembly resolutions 67/226 and 71/243 |
|---|---|---|---|
| Strategic management | 1. Results-based management | 1.1. Results-based management strategy / 1.2. Change management framework / 1.3. Accountability framework | ▪ Strengthen and institutionalize results-based management in the United Nations development system with the objective of improving development results and organizational effectiveness (para. 168) ▪ Ensure increased mutual accountability for results-based management and reporting at the country level (para. 171) ▪ Emphasize results-based management as an essential element of accountability (para. 164) ▪ Improve transparency and ensure coherence and complementarity in the oversight functions, audit and evaluations across the United Nations development system (para. 167) ▪ Improve results tracking and reporting mechanisms (para. 165 ▪ Implement a more robust, coherent and harmonized approach to operational activities for development, focused on results, which would streamline and improve the planning, monitoring, measurement and reporting on system-wide results (para. 169) ▪ Develop and sustain a results culture at all levels including by identifying and implementing appropriate incentives for results-based management, removing disincentives for results-based management at all levels and periodically reviewing their results management systems (resolution 67/226, para. 166) ▪ Continue to strengthen results-based management, focusing on long-term development outcomes, develop common methodologies for planning and reporting on results, improve integrated results and resources frameworks, where appropriate, and enhance a results culture in the organizations of the United Nations development system; (resolution 71/243, para 12) |
| Operational management | 2. Planning, programming, human resources | 2.1. Corporate strategic results framework / 2.2. Results framework for programmes and projects / 2.3. Results measurement system / 2.4. Results based budgeting / 2.5. Human resources management | |
| Accountability and learning management | 3. Monitoring, evaluation and reporting | 3.1. Performance monitoring / 3.2. Results reporting / 3.3. Evaluation / 3.4. Management information system | |
| Change management | 4. Fostering a culture of results | 4.1. Internalization / 4.2. Leadership / 4.3. Use of results | |
| Responsibility management | 5. Collective accountability | 5.1. United Nations coherence for outcome achievement / 5.2. Alignment between United Nations and other partners for outcome achievement | |

**Figure II: Results-based management logic model**

| | |
|---|---|
| **GOAL IMPACT** | **ENHANCED DEVELOPMENT RESULTS AT COUNTRY LEVEL** |

**ORGANIZATIONAL EFECTIVENESS**  `QCPR 168`

**OUTCOMES**

| | | | | |
|---|---|---|---|---|
| Improved ability to identify areas where alignment and responsibility is required to attain results `164` | Greater harmonization of operations planning, mobilization of resources and risk identification `169` | Improved transparency and complementarity in the system-wide oversight functions `167` | Strengthened institutionalized and system-wide results-based management `168` | Increased harmonization, confidence and streamlined reporting at country level `171` |
| Clear and robust results frameworks that demonstrate complete results chains `170` | Enhanced coherence, alignment and budgeting within organizations and system-wide `169` | Aligned capacity to track results and ensure a credible reporting of progress (system-wide) `165` | Enhanced common understanding and built-in culture of results at all levels system-wide `166` | Enforced horizontal accountability (within the organization, system-wide and with partners) `171` |
| Improved sustainability of results and capacity to apply results principles | Increased communication of results principles, acceptance of change, buy-in and commitment | Increased relevance of evaluation and learning for results achievement system-wide | Enhanced informed decision-making and confident use of performance information | Improved transparency and trust, better working partnerships and alignment with country |

**BENCHMARKING FRAMEWORK OF A RESULTS-BASED MANAGEMENT SYSTEM**

**OUTPUTS**

| | | | | |
|---|---|---|---|---|
| P1. Results-based management conceptual | P2. Planning, programming and budgeting | P3. Monitoring, evaluation and reporting | P4. Fostering a culture of results | P5. Partnerships for collective impact |

**INPUTS**

**ACTIVITIES AND INPUTS FOR ORGANIZATIONAL CHANGE AND RESULTS FOCUS**

# IV.  STAGES OF DEVELOPMENT AND THE OUTCOMES OF RESULTS-BASED MANAGEMENT: DEVELOPMENT OF A COMMON BASIS FOR ASSESSMENT

53.    The benchmarking framework presented above (chapter III) provides a common set of rubrics that define a results-based management system while accommodating variations between organizations by providing a large number of indicators. That defines the *content* of the measurement system developed for results-based management. In the present chapter, the development of the *behavioural stages* of development is described. The conceptual and theoretical basis for the stages of development in mainstreaming results-based management and the methodology that was developed for assessing those stages in ways associated with each of the management areas of the benchmarking framework are set out.

## A.    Theoretical and conceptual basis for assessing the stages of development

54.    The theory applied in the present project is that adopting results-based management implies a change process and that there are different stages that organizations go through in the development of the results-based management system, as they strive to fully mainstream results philosophy and principles in managing for achieving results in diverse management areas. The assessment of the stage of development drew on both theoretical and practical understanding of change processes in innovation adoption and adaptive management.

55.    The process was guided by the work of JIU and lessons learned in 2013 and 2014 about the development of the benchmarking framework and maturity matrix for the evaluation function in organizations of the United Nations system. The evaluation function has a set of norms and standards that have been adopted system-wide and thus it has a shared basis for judgments about levels of development. That is not the case for results-based management. The definition of stages of development presented for results-based management are adapted from previous work undertaken by the secretariat of the Canadian Treasury Board and the Office of the Auditor General of Canada.[18] The adaption in the JIU project also considers: (a) empirical evidence regarding factors affecting the development of results-based management in organizations of the United Nations system; (b) literature on the organizational behaviour change processes in innovation adoption;[19] (c) information on change processes in managing for results from various organizations; and (d) information on the level of coherence and outreach in managing for shared outcomes and impact at higher levels of the results hierarchy.

56.    Typically, stages of adoption go from behaviours that register non-use to exploration, to ad hoc and mechanical stages, to refinement and finally to a renewal stage. Those behavioural factors and a set of drivers associated with key elements of the results philosophy and principles defined progressive growth and development towards a high-quality and high-impact results-based management system. That approach is used to define five stages in the assessment methodology used in the study, with stage 5 reflective of a high-impact results-based management system. The stages reflect what happens as an organization undergoes progressive transformation on the path towards the real configuration for managing for results. The stages move from a stage of non-use of results-based management (stage 1) to a stage of exploration of results-based management principles (stage 2), to a transition stage when results-based management is mainstreamed extensively in the organizations (stage 3) and then to the stage when results-based management is fully mainstreamed and undergoing updates and

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[18]   "The managing for results self-assessment tool" (2003), available at http://publications.gc.ca/collections/Collection/BT22-88-2003E.pdf.

[19]   See, for example, Susan F. Loucks, Beulah W. Newlove and Gene E. Hall. *Measuring Levels of Use of the Innovation: a Manual for Trainers, Interviewers, and Raters* (Austin, Texas, University of Texas, 1975).

refinements based on lessons learned and the organizational context (stage 4). Results-based management is internally focused in stage 4, although beginning to sort out ways to engage in external outreach and coordination. In the final stage (stage 5), the mainstreaming or institutionalization of results-based management is undergoing renewal, based on reviews, evaluations, assessments and lessons learned. The organization is now directed at making changes and at renewal as it seeks to enhance its focus on managing for achieving outcomes. That leads to considerations of collaboration, partnerships and mutually acceptable ways for achieving collective impact. The organization begins to explore more system-wide and joint activities, monitoring and evaluation around common outcome areas. In box 3 a description is set out of the distinguishing features of the stages of development towards a higher level of development in managing for achieving results at stage 5.

Box 3
**Stages of development of results-based management systems**

**Stage 1 – Not started**. The organization is aware of, but not committed to, the concept of managing for results. There is little or no internal driver for adopting results-based management principles. In some organizations, the decision is to retain the existing management strategy or to adopt an alternative to results-based management. In other organizations, many people may recognize that what they have been doing is inadequate and that there must be a better way of proceeding, but adapting systems within the organization to support the mainstreaming of results-based management is not yet seen as the solution, except in the case of a few champions.

**Stage 2 – Exploration for mainstreaming**. The organization begins to commit to managing for results and explores different approaches. During this stage, people begin to pick up on new ideas from a variety of sources. Exploration may take the form of learning groups, benchmarking studies and pilot projects. One problem at this stage is that people may prefer one technique or system over others, without having given them a full trial. Another problem may be that too many different ideas are tried at once, resulting in practices that are never fully explored or that are ad hoc. During the exploration stage, enough people across the organization develop a sense of the benefits of managing for results and want to explore it in a broader context. That willingness leads to the next stage.

**Stage 3 - Transition to mainstreaming.** The organization has committed itself to managing for results and is attempting to make the transition from previous systems. At this stage, people begin to make a commitment to the new practices required but adoption is mechanical and not fully integrated. They drop old practices in favour of new ones, since the former can no longer solve day-to-day problems or support plans for organizational effectiveness, as required by results-based management. This stage can be characterized by hard decisions on what to keep and what to discard in terms of results-based management strategies. For example, the conversion to a set of results-oriented measures is likely to mean that some old measures need to be dropped. As more people see the benefits of managing for results, the system becomes more widespread throughout the organization. The organization begins to seek broader internal integration and alignments. The adoption process is, however, internally focused and there is still a predominant focus on outputs rather than outcomes.

**Stage 4 - Fully mainstreamed.** The organization fully implements managing for results in almost all areas of the organization. At this stage, groups across the organization begin to see and look forward to the real benefits of the new management approach. Resources are allocated and plans designed to support new practices, not to maintain old and outdated ones. There is continuous learning and there is some level of refinement based on ad hoc assessments or the adoption of innovations identified as good practices in results-based management. The organization is increasingly focused on outcomes, although that is not fully integrated in all aspects. The adoption process is predominantly internally focused but the organization is exploring outreach and seeking partnerships for common outcome areas and joint work. It is also involved in pilots for joint work or joint evaluations or even system-wide evaluations for collective impact.

**Stage 5 - Continuous learning and renewal**. The organization now uses the managing for results plan. It operates beyond routinized operation and on internal refinements, it conducts evaluations of its system and starts a process of renewal. It periodically adjusts and updates existing tools, methods and processes that support the use of information on managing for results in the organization, including training tools, new approaches to planning, experimentation with advanced measurement tools and the development of reporting mechanisms that further align internal and external reporting. It has begun a process of overall assessment with the intention

of making major overall adjustments or more fully addressing key areas or organization-wide gaps in implementing results-based management. It includes a clear focus on outcomes and the conjoint nature of outcomes with other organizations. It participates constructively in pilot initiatives for joint work or joint or system-wide evaluations and seeks to share lessons. It begins to identify and directly address structural and systemic barriers against the achievement of outcomes, resulting in enhanced and intensive system-wide work and partnerships, and in some cases highlighting changes needed in the governance structure for effective operation of results-based management.

57. In box 4 a short description is set out of the key drivers of the process of transformation or progressive development that have a close alignment with the results principles of results-based management. A key question for each driver is provided to guide the reflection process in examining the component and judging its level of development. It is important to note that for the various components, the drivers could manifest themselves in various forms and could even be absent or extraneous for some components. Thus, annex IX to the present note shows that the assessment methodology tailors the stages in ways relevant for each of the 17 components. As a further guide, an illustration of how these drivers could be reflected in the various stages of development is set out in annex V.

Box 4
**Drivers of the stages of development**

1. **Comprehensiveness in the scope of coverage of identified indicators for the components (content):** what is the extent to which indicators of the components that describe the mainstreaming of results-based management are covered?
2. **Reach and scope of involvement of managers and staff across the organization (internal organization):** what is the level of organizational involvement and does it help to make the component effective in achieving impact?
3. **Results linkage and contribution to managing for the achievement of outcomes (outcome focus):** what is the degree of focus of the component in contributing to the achievement of corporate level outcomes?
4. **Alignment and interdependence for enhanced effectiveness, coherence and integration (system-wide coherence, partnerships, national capacities):** what is the degree of alignment of the component with the larger United Nations system and with external organizations and pertinent partners?
5. **Continuous learning and adaptation for added value (adaptive management):** has there been an assessment of the component and has this resulted in its refinement or in its actual renewal to enhance its added value for results-based management?

## B. Outcomes of results-based management and assessment

58. What is the added value from mainstreaming results-based management? What are the outcomes that characterize organizational effectiveness? The literature often highlights the role of results-based management in strengthening accountability and learning. However, it is not always clear how these relate to overall organizational effectiveness. During consultations with organizations participating in the project, it became evident that there were conceptual challenges in identifying the outcomes of mainstreaming results-based management.

59. As indicated previously, the mainstreaming of results-based management implies infusing the results principles in existing systems. Thus, having mainstreamed results-based management in a management system or having a system in place and operational does not constitute an outcome, but rather an output. The outcomes resulting from mainstreaming results-based management would refer to the difference and added value generated in relation to organizational and development effectiveness from having these systems in place.

60. Based on inquiry, organizations conceptualized several outcomes from implementing results-based management and for the various management areas of the study. They are described in annex III to the present note. Some are the same as the outcome areas of the quadrennial comprehensive policy review. Given that the quadrennial review provides the overarching policy framework for many organizations of the United Nations system, the study focused on the outcome areas of the review for assessment of the organizational effectiveness of results-based management. Those outcome areas on which the present note is focused are:

- Outcome 1: Strengthened use of results information to inform decision-making by managers at corporate level
- Outcome 2: Strengthened reporting and use of results evidence by Member States and governing bodies
- Outcome 3: Fostering of an organizational culture for double-loop learning as an integral fibre of the organization
- Outcome 4: Contribution to streamlining and harmonization for system-wide results
- Outcome 5: Enhancing mutual accountability.

61. Annex X to the present note sets out the protocol designed for assessing the attainment of outcomes of results-based management. It is administered to senior managers to capture their perspectives as to the outcomes/changes that have result from mainstreaming results-based management in their organizations. The protocol also seeks to assess reflections on the future direction of the organization in managing for results. Managers are requested to complete the form with the help of the results-based management focal points. The process of completion is followed by an interview for validation and further dialogue.

### C. Assessment methodology for the stage of development and outcomes

62. The assessment methodology comprised three steps: (a) self-assessment of the stage of system development by the organization; (b) self-assessment of outcomes from mainstreaming and linkage with patterns from the stage of development of the various components; (c) validation of the self-assessments and the outcomes by an external independent body using evidence-based methodology; and (d) an assessment of the linkage with outcomes.

**Step 1: Self-assessment of the stage of development and component configuration**

63. An assessment is done for each of the components of the framework. The assessment is intended to identify the stage of development for each of the components. Across all components, it provides the configuration or pattern of level of development of the results-based management system.

64. The process involves an in-depth self-assessment by an organization using the assessment methodology of annex IX. The self-assessment is intended to enable an organization to reflect upon and set out its status or stage of development across the 17 components clustered under five pillars described in the benchmarking framework. The assessment has to be led by the focal point for results-based management of the organization, supported by a senior manager. The assessment is to be based on substantial evidence and not opinion.

65. The assessment also allows organizations to identify significant activities that support the development of the results-based management system and to assess the value of those activities and what are recognized in the organization as very good practices that could be shared with other interested United Nations organizations.

**Step 2: Self-assessment of results-based management outcomes by senior managers**

66.  As noted above, the self-assessment for the stage of development achieved is complemented by another self-assessment, which is focused on the outcomes of results-based management in the organization and its linkage with the components configuration of the organization. The instrument for this is in annex X. That is administered to senior managers and is intended to capture their perspectives on the outcomes/changes that have resulted from mainstreaming results-based management in the organization and the linkage with the stage of development of results-based management in the various components. It also seeks to assess reflections on the future direction of the organization in managing for results. For this instrument, please see annex X to the present note.

**Step 3: Validation and analysis of components, component configuration and linkage with outcomes by an external body**

67.  Following the self-assessments, validation is carried out by an external body, which could be represented by evaluation or audit units within the organization and by peers or parties knowledgeable about results-based management. The validation should be done against supporting evidence provided by the organization serving as the basis for their self-assessment. The supporting evidence provided should form the basis of a desk review and be complemented by other documents publicly available, and through cross-referencing with recent external management and administration reviews that may have been conducted of the organization, when available (Multilateral Organisation Performance Assessment Network, the Department for International Development, AusAid, JIU etc.).

68.    Following analysis of the self-assessment, a two-part structured interview should be conducted. The first part of the interview is with the focal point(s) and manager(s) in charge of completing the self-assessment and focused on the assessed stages of development of the components and on the overall component configuration of the organization. The interview should address: (a) the pillars and components of the benchmarking framework as self-reported; (b) the patterns observed; and (c) the evidence that has been or can be provided on outcomes from mainstreaming results-based management in the organization and further evidence or modification for the self-reported component configuration as needed. The interview provides an opportunity for both validation and further refinement of the tool and its relevance for various organizations of the United Nations system.

69.  The second part of the interview aims to further capture results-based management outcomes within the organization and an analysis of the linkage with the component configuration of the organization. That is done with senior managers and decision makers of the organization. In that regard, focused and semi-structured interviews are conducted separately with at least five senior managers who actually make decisions at the corporate level in the areas identified in the quadrennial comprehensive policy review. The focus of those discussions will be to explore how mainstreaming results-based management into the systems and culture of the organization has affected either what decisions are taken or how they are made, and what difference or transformation has ensued from such decisions. As noted above, annex X provides content for the assessment and some guidance information, as well as instructions for carrying out the assessment.

## V.  USE OF THE RESULTS-BASED MANAGEMENT HIGH-IMPACT MODEL AND ASSESSMENT METHODOLOGY

### Enhancing coherence and continuous improvement in results-based management

#### A.  Joint product of the Joint Inspection Unit and the organizations of the United Nations system

70.  It is indicated above that the benchmarking framework and assessment methodology were developed with a high level of commitment and extensive engagement with the United Nations system community of practice on results-based management in conceptualization, design, assessment and analysis. This tool is thus considered a product of both JIU and the organizations concerned. It is expected that it will be used as a living document for continued use and further development and adaptation to suit the relevant context or purpose, whether it is for understanding the capacity of an organization and the improvement needed, or for analysis across organizations and system-wide harmonization. Besides the information provided in the note, there is also an instruction manual that is available, upon request, from JIU to support self-directed use. It is reported above that the note is biased in its perspective, with a focus on the work of the United Nations development system and the quadrennial comprehensive policy review. However, the inclusion of the points of view of diverse groups in its development make both the methodology for development and content relevant for a larger audience.

#### B.  Potential modalities of use within and outside the United Nations system

71.  The following are identified as potential uses of the framework and assessment methodologies. JIU welcomes dialogue on other applications of the model and the assessment approach.

#### (a)  Use by individual organizations

72.  The continued use of the model across organizations would further enhance the identification of patterns and provide predictive insights with respect to which configurations or patterns will be successful and under what set of circumstances. That should contribute to enhancing knowledge of where results-based management has value and provide information for standardization and normative use. That will be important in adding to the knowledge on results-based management, its value and limitations. In that regard, the following suggestions are for use at individual organizational level:

- **Periodic self-monitoring to enhance results-based management capacity.** For use by results-based management focal points and teams at individual organizations for self-assessment and improvement of capacity for results-based management. The framework provides the basis for responding to paragraph 166 of General Assembly resolution 67/226 in which the Assembly requested the United Nations development system to periodically review their results management systems.

- **Peer review and exchange and peer supervision.** For use in a peer assessment and formative feedback by organizations working with each other in a cross-peer review modality.

- **Internal independent evaluations or assessment.** For use by evaluation or audit departments to assess results-based management in their own organizations and align their methodology in ways responsive to the call by the Assembly in paragraph 167 of resolution 67/226 for United Nations Funds and programmes to carry out further efforts to ensure coherence and complementarity in the oversight functions, audits and evaluations across the United Nations development system.

73. For the effective implementation of these suggestions, executive heads have a role to play in endorsing the model, promoting its use within their organizations, facilitating cross-agency engagement in the use of the model and encouraging their internal evaluation and oversight offices to use it also.

> **Recommendation 1: To promote collaboration in and furtherance of mainstreaming results-based management across United Nations system organizations, executive heads may wish to endorse the high-impact model and use it within their respective organizations, taking into account the progress already achieved and organizational specificities.**

### (b)  System-wide harmonization and collaboration in mainstreaming, sharing and exchange for collective impact

74. The originating point for the development of the model is the need for organizations to develop a common understanding and basis for mainstreaming results-based management and assessing the level of development. Development of the model was also motivated by the need for a common framework that would enhance collaboration and make the sharing, exchange and adoption of results-based management innovations more intelligible. However, system-wide collaboration may require that organizations go beyond existing coordination efforts by informal professional networks, most significant being the Strategic Planning Network. CEB provides a natural basis for coordination, collaboration and for providing backbone support. It is not inclined to do this. The United Nations Development Group has sought to enhance coordination and harmonization at country level. It is however fully recognized that the vertical disconnects between country, regional, and corporate-level systems is not sustainable. There is thus a major lacuna in the United Nations system for enhanced collaboration and cross-agency collective engagement in results-based management at the system-wide level. In an effort not to establish too many other structures but to use existing mechanisms, the role of CEB and the United Nations Development Group could be strengthened. In that regard, the recommendation formulated by JIU in its 2004 benchmarking framework (JIU/REP/2004/5) is still valid:

> *"CEB building on existing efforts within the system, should play a more active role in harmonizing, as far as possible, the implementation of RBM in the United Nations system organizations and provide a forum for the exchange of experiences among United Nations organizations in this regard. CEB could consider establishing a task force for this purpose."*

75. Taking into account the call for reform of the arrangements made by Member States through the General Assembly resolution 71/243 and ongoing work by the Secretary-General to respond to such calls, the following recommendation is made.

> **Recommendation 2: To enhance inter-agency collaboration in the use, adaptation or expansion of the high-impact model across United Nations system organizations, executive heads may wish to establish an inter-agency task force or interim mechanism, using existing formal or informal inter-agency arrangements, as deemed appropriate.**

76. The recommendation seeks to reinforce the recommendation formulated by JIU for the CEB in 2004. It highlights the need for a more sustainable arrangement than the establishment of a task force, which may not be sufficient to enhance collaboration. The proposed inter-agency mechanism could act as an incubator, leveraging all existing initiatives and innovations in results-based management to generate lessons learned and encouraging alignments in terminologies and approaches in managing

for the achievement of results. Such a function could be piloted and gradually introduced through the initial establishment of a task force or interim coordination mechanism to generate lessons for the development of a more permanent inter-agency arrangement.

**(c) Systems-wide analysis and evaluation of results-based management: partnership for a broader system-wide analysis using a cross-cutting modality of the policy for independent system-wide evaluation of operational activities for development**[20]

77. Another motivating basis for the development of the high-impact model is the need for the development of a basis that would allow valid and comparable assessment across organizations of the United Nations system. The tool is thus of value for research, evaluation, and analytical units.

78. JIU used the high-impact model for a system-wide analysis of results-based management focused on 12 organizations and the result is reported in JIU report JIU/REP/2017/6. Limiting the analysis to 12 organizations was due to budgetary constraints and to the fact that use of the tool in assessing results-based management is a time-consuming diagnostic process. The methodology is highly participatory, enhancing learning, while ensuring objectivity and a solid evidence base. Given the time and resources needed, it is submitted that one way for managing the future use of the tool for system-wide analysis in the United Nations system would be to use the *cross-cutting evaluation modality* proposed in the policy for independent system-wide evaluation.

79. This evaluation modality requires partnership between evaluation units across the United Nations system including JIU. The following is an illustration of how the modality could be applied. First, the high-impact model is reviewed by the organizations to be assessed and adjustments made, where necessary considering mandate. JIU and the evaluation units define the evaluation plan, the analytic framework for organizational assessment and the framework for synthesis, as well as the procedures for ensuring reliability across organizations. Next is the assessment of each organization by their respective evaluation units, using the results-based management model or an adaptation of the model. That is followed by a meta-synthesis across organizations for system-wide reporting. Given its independence and mandate for system-wide evaluation and reporting and given its focus on results-based management, JIU could play this role. Conceptually, other subsystem-wide groups could also take a lead role in managing the overall process and defining clear roles, responsibilities and accountabilities for all parties involved in the initiative, based on the principle of comparative added value and subsidiarity. The pilot initiative of the independent system-wide evaluation of operational activities for development provides ample lessons for managing this type of collaboration and partnership. It requires a commitment to system-wide reform, mutual understanding of the comparative added value for all parties, and a willingness to enter into a partnership requiring trust and respect.

80. **It is suggested that for the next system-wide review of results-based management consideration of using this evaluation modality is undertaken, thereby enhancing partnerships, making efficient use of all existing mechanisms and of the capacities of the evaluation function of the United Nations system.**

**(d) Use by Member States and governing bodies**

81. Five Member States were consulted at the onset of the study to discuss a first draft benchmarking framework and their views on the scope and focus of the results-based management study. Member States also provided information on what they considered high value or high impact for the various pillars and components and this was used in developing the indicators in the framework. Member

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[20] See A/68/658-E/2014/7.

States could find the high-impact model and the final set of indicators useful for comparison against their own expectations of the United Nations system.

82. **It is suggested that governing bodies seeking to enhance coherence in their conceptual understanding of results-based management may wish to consider the high-impact model as a tool to guide them in carrying out their oversight responsibility and in guiding coherence in results-based management across the United Nations system and in their own countries.**

**(e) Common basis for results-based management between United Nations system and national results-based management systems and capacity enhancement**

83. While the principles for results and managing for results are applicable globally, this tool is specifically designed with the organizations of the United Nations system in mind. Analysis of the managing for development results capacity assessment toolkit, designed for countries, shows a high degree of alignment in conceptualizing management areas and stages of development.[21] Further work needs to be done to enhance the value of the two tools and enhance further alignment and partnership for the implementation of results-based management and systems development between the United Nations system and national partners. That should be part of the United Nations system support for countries in strengthening their national capacities.

84. Of relevance in this regard is one of the CEB common principles to guide United Nations system support for the implementation of the 2030 Agenda for Sustainable Development, namely country-led, country-owned, evidence-based and results-focused approaches.[22]

85. **It is suggested that all organizations of the United Nations system work together to support national Governments in the development of results-based management, using, in ways fit for purpose, the managing for development results capacity assessment toolkit and the JIU high-impact model set out in the present note as a basis for system development and for enhancing alignment in implementation of results-based management between the United Nations system and national systems.**

**(f) Value for use by academia and experts on evaluation methodology for complexity and complications**

86. The methodology used in the research and development effort is quite innovative in addressing complex and complicated phenomenon such as results-based management at the system-wide level. The evaluation profession is seeking to develop valid and reliable methods that depart from those that are significant for exacting science. This high-impact model and its use provides an opportunity for further development and application of the methodology for other constructs.

## C. Suggestions for improvement from lessons learned

87. Use of the model and assessment methods in the course of the JIU system-wide study has highlighted a number of lessons that need to be considered in the further conceptualization and refinement of the tool and as a platform for more effective use. The following are some of the lessons and suggestions:

- Change the measurement scale from ordinal to interval: currently, each stage has a robust set of criteria. The distance between stages is quite significant, given the number of rubrics in each

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[21]  See www.mfdr.org/CAP-Scan/CAP-ScanMeasurementFramework-English.pdf.

[22]  Available from /www.unsystem.org/content/ceb-common-principles-on-2030-agenda-sustainable.

stage and their differentiating nature. The scale is thus more effective for use in identifying the mode of operation and using non-parametric statistics for cross-organizational and system-wide analyses. That is useful but does not clearly highlight variabilities and thus true differences. With an interval scale (within each stage), as in the managing for development results capacity assessment toolkit referred to above and developed for partner countries (para. 83 above), it makes it easier to determine the level of capacity development needed within each stage and this enhances the capacity for prioritization for improvement and resource allocation.

- The management areas included are not exhaustive. Others can be developed and shared. JIU should consider this task in the context of the management and administrative reviews of single organizations that it carries out.

- It is suggested that the use of an electronic platform for the tool would be most significant in facilitating its use and continuous updating. The JIU is exploring the development of an interactive PDF to facilitate assessment.

**Annex I: List of stakeholders consulted**

| Organization | Name | Designation |
|---|---|---|
| **Advisory group members** | | |
| UNHCR | Henrik Nordentoft | Deputy Director, Division of Programme Support and Management |
| WIPO | Maya Bachner | Director, Programme Performance and Budget Division |
| UNDP | Marielza Olivera | Manager, Performance Analytics and Monitoring, Organizational Support/Development Impact Group, Bureau for Policy and Programme Support |
| UNESCO | Jozef Vaessen | Principal Evaluation Specialist |
| UN-Women | Shane Sheils | Chief, Planning and Programme Guidance |
| UNDP | Nanthikesan Suppiramaniam | Evaluation Adviser |
| OECD | Joëlline Bénéfice | Policy Analyst - Development Results and Evaluation |
| DFID | Cornilius Chikwama | Senior Responsible Officer for WHO and Results Adviser for United Nations Agencies |
| UNDP | Moncef Ghrib | Chief, Headquarters Audit Section, Office of Audit and Investigations |
| UNHCR | Marina Aksakalova | Senior Programme Analyst |
| **Bilateral consultations** | | |
| | Peter Thompson | Permanent Representative of Fiji to the United Nations |
| | Guilherme de Aguiar Patriota, | Permanent Representative of Brazil to the United Nations |
| | Isabelle Hentic | First Secretary (Development), Permanent Mission of Canada to the United Nations |
| | Vincent Herlihy | First Secretary, Permanent Mission of Ireland to the United Nations |
| | Hanna Stenberg | Second Secretary (Economic and Social Affairs), Permanent Mission of Sweden to the United Nations |
| | Hannes Machor | Counsellor, Permanent Mission of Austria to the United Nations |
| OIOS | Carman Lapointe | Under-Secretary-General, Office of Internal Oversight Services |
| UNDP | Antoine Khoury | Officer in Charge, Office of Audit and Investigations |
| UNDG | Gerald Daly | Policy Adviser (Programming, Business Operations and Joint Funding) |
| CEB | Remo Lalli | Secretary, High-level Committee on Management |
| CEB | Olivier Combe | Inter-agency Adviser, Finance and Budget Network |
| UNDP | Simona Marinescu | Chief, Development Impact Group, Bureau for Policy and Programme Support |
| UNDP | Marielza Oliveira | Manager, Performance Analytics and Monitoring, Organizational Support, Bureau for Policy and Programme Support |
| UN-Women | Michele Ribotta | Coordination Adviser |
| Department of Economic and Social Affairs | Huanyu Liu | Economic Affairs Officer, Development Cooperation Policy Branch |
| **Geneva stakeholders workshop, 24 February 2015** | | |
| CEB | Olivier Combe | Inter-Agency Adviser, Finance and Budget Network |
| ECE | Serhii Yampolskyi | Programme Officer, Programme Management Unit |
| ITC | Robert Whitehead | Chief, Strategic Planning, Performance and Governance |

| ITU | Vaggelis Igglesis | ITU Strategy and Policy Officer, Corporate Strategy Division |
|---|---|---|
| ITU | Mario Castro Grande | External Affairs Officer |
| UNCTAD | Juan J. Martinez Badillo | Programme Officer<br>Resources Management Service |
| UNHCR | Henrik Nordentoft | Deputy Director, Division of Programme Support and Management |
| WHO | Sussan Bassiri | Director, Planning, Resource Coordination and Performance Monitoring |
| WHO | Bernard Tomas | Planning Officer |
| WIPO | Maya Bachner | Director, Programme Performance and Budget Division |
| WMO | William Nyakwada | Strategic Planning and Risk Management Officer |
| **New York stakeholders workshop, 11 March 2015** | | |
| UNDG-DOCO | Pervez Hassan | Policy Specialist, Programme<br>Focal Point for Programme Working Group |
| UNDP | Marielza Oliveira | Manager, Performance Analytics and Monitoring, Organizational Support<br>Bureau for Policy and Programme Support |
| UNDP | None Mugano | Office of Audit and Investigation |
| UNDP | Moncef Ghrib | Chief, Headquarters Audit Section |
| UNICEF | Haleem Lone | Chief, Policy, Strategy and Network |
| UNFPA | Charles Katende | Chief, Strategic Information and Knowledge Management Branch |
| UNFPA | Jennet Appova | Measurement Specialist |
| UNFPA | Piyoo Kochar | Strategic Planning Specialist |
| UN-Women | Shane Sheils | Chief, Planning and Programme Guidance |
| Department of Management | Marina Pankina | Umoja/enterprise resource planning project team |
| Department of Management | Jerena Niyazberdiyeva | Programme Officer, Policy and Oversight Coordination Service |
| Department of Economic and Social Affairs | Ursula Germann | Programme Officer |
| Department of Economic and Social Affairs | Madhu Chatterjee | Strategic Planning and Communications Services |
| Office for the Coordination of Humanitarian Affairs | Wiebke Uhde | Evaluation and Accountability Unit<br>Strategic Planning, Evaluation and Guidance Section |
| Office for the Coordination of Humanitarian Affairs | Sarah Osembo | Associate Expert, Planning, Monitoring and Risk Management |
| **Paris stakeholders workshop with UNESCO, 17-18 March 2015** | | |
| IOS | Susanne Frueh | Director, Internal Oversight Service |
| BSP/PB | Jean-Yves Le Saux | Director of Division, strategic planning |
| IOS/EVS | Amir Piric | Head of Evaluation |
| IOS/AUD | Craig Nordby | Head of Internal Audit |
| CLT/CRE/ITH | Cécile Duvelle | Chief of Section |
| SHS/EO | Julius Banda | Chief of Section |
| CLT/EO | Lynne Patchett | Chief of Executive Office |
| BSP/PB | Iwao Motoyama | Chief of Section |
| BSP/CFS/ BLT | Jessica Jeavons | Chief of Section |

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|---|---|---|
| CI/EO | Krishanthi Rondon Fuentes | Chief of Section |
| KMI/CIO | Ingrid Regien | Chief Information Officer |
| SC/EO/IKM | Anne Candau | Programme Specialist |
| SC/EO/PCE | Anathea L. Brooks | Programme Specialist |
| ED/EO | A. Vohra | Executive Office |
| ED/EO/SPM | Joyce Poan | Programme Coordinator |
| BSP/PB | Ranwa Safadi | Senior Programme Planning Officer |
| BSP/United Nations | Caroline Siebold | Specialist for United Nations Reform and Inter-Agency Coordination |
| BSP/KPM | Othilie du Souich | Programme Planning Officer |
| BSP/PB | Samantha Gardiner | Budget Officer |
| IOS/EVS | Geoffrey Geurts | Principal Evaluation Specialist |
| IOS/EVS | Martina Rathner | Principal Evaluation Specialist |
| IOS/EVS | Barbara Torggler | Principal Evaluation Specialist |
| IOS/EVS | Ekaterina Sediakina-Rivière | Associate Evaluation Specialist |
| IOS/EVS | Jozef Vaessen | Principal Evaluation Specialist |
| IOS/AUD | Sameer Pise | Principal Auditor |
| BSP/PB | Marie-Ange Theobald | Senior Programme Planning Officer |
| BSP/PB | Ann-Belinda Preis | Senior Programme Planning Officer |
| BSP/PB | Dulat Kasymov | Assistant Programme Specialist |
| CLT/EO | François Langlois | Programme Specialist |
| CLT/CRE/ITH | Frank Proschan | Programme Specialist |
| CI/KSD/ICT | Davide Storti | Programme Specialist |
| IOC/EO/AO | Ksenia Yvinec | Finance and Administrative Officer |
| CLT/HER/WMC | Nathalie Valanchon | Assistant |
| CLT/HER/CHP | Jan Hladik | Chief |
| IOS/AUD | Tujet-Mai Grabiel | |
| IOS/EVS | Michele Tarsilla | Evaluation consultant |
| SHS/EO | Maya Makhlouf | Tbc |
| IOS | Emmanuel Faves | Associate Auditor |
| KMI | Deborah Tal | |
| KMI/CIO | Bilyana Grujic | |
| IOS | Hir Purkait | Principal Auditor |

| Synthesis workshop, Geneva, 26-27 October 2015 | | |
|---|---|---|
| UNDP | Patrick Tiefenbacher | Senior Adviser, Development Effectiveness |
| | Hanayo Nakano | Planning Specialist, Office of Planning and Budgeting, Bureau of Management |
| UNICEF | Haleem Lone | Chief, Corporate Strategy and Analysis Data, Research and Policy |
| UNFPA | Andrea E. Cook | Director, Evaluation Office |
| | Charles Katende | Chief, Strategic Knowledge and Information Branch |
| UN-Women | Shane Sheils | Chief, Planning and Programme Guidance |
| WHO | Sussan Bassiri | Director, Planning, Resource Coordination and Performance Monitoring |
| | Bernard Tomas | Planning Officer, PRP |
| WIPO | Maya Catharina Bachner | Director, Programme Planning and Budget Division |
| | Kristen Livshin | Senior Performance and Budget Analyst, Programme Performance and Budget Division |
| UNCHR | Marina Aksakalova | Senior Programme Analyst Division of Programme Support and Management |
| | Leonel Guzman | Senior Budget Adviser, Division of Financial and Administrative Management. |
| OHCHR | Jennifer Worrell | Chief, Policy, Planning, Monitoring and Evaluation Service |
| | Teresa Albero | Senior Planning and Management Officer |
| ILO | Oktaviano Pasaribu | Programme Analyst, Department of Strategic Programming and Management |
| | Maria Borsos | Programme Analyst, Department of Strategic Programming and Management |
| FAO | Anna Gades | Strategy Planning Officer, Office of Strategy Planning and Resources Management |
| UNESCO | Othilie du Souich | Programme Planning Officer (results-based management) Bureau of Strategic Planning |
| WFP | Meemi Taalas | Chief of Performance Management and Reporting |
| | Chad Martin | Programme Adviser Performance Management and Monitoring Division |

**Annex II: Definitions of results-based management by various organizations of the United Nations system**

| Organization | General definition | Definition of results-based management | Source |
|---|---|---|---|
| Office of Internal Oversight Services (OIOS) | Strategy | "A management strategy by which the Secretariat ensures that its processes, outputs and services contribute to the achievement of clearly stated expected accomplishments and objectives. It is focused on achieving results, improving performance, integrating lessons learned into management decisions and monitoring and reporting on performance. | Office of Internal Oversight Services, "Review of results-based management at the United Nations" (A/63/268), available at. www.un.org/ga/search/view_doc.asp?symbol=A/63/268&referer=/english/&Lang=E |
| United Nations Development Programme (UNDP) | Approach | The objective of results-based management is to "provide a coherent framework for strategic planning and management based on learning and accountability in a decentralised environment." Introducing a results-based approach aims to improve management effectiveness and accountability by "defining realistic expected results, monitoring progress toward the achievement of expected results, integrating lessons learned into management decisions and reporting on performance". | "Results based management: concepts and methodology", available at http://web.undp.org/evaluation/documents/RBMConceptsMethodgyjuly2002.pdf |
| United Nations Development Group | Strategy | Results-based management is a management strategy by which all actors, contributing directly or indirectly to achieving a set of results, ensure that their processes, products and services contribute to the achievement of desired results (outputs, outcomes and higher level goals or impact). | United Nations Development Group results-based management handbook, available at. https://undg.org/wp-content/uploads/2016/10/UNDG-RBM-Handbook-2012.pdf |
| United Nations Children's Fund (UNICEF) | Approach | Results-based management is a life-cycle approach to management that focuses on:<br>• achieving outcomes<br>• performance measurement or continual monitoring and evaluation<br>• learning and adapting<br>• reporting on results. | "16 Tools for programming for policy results: towards the meaningful use of results-based management and theory of change for social inclusion and policy" available at www.unicef.org/eapro/16Tools_for_Programming_for_Policy_Results.pdf |
| United Nations Population Fund (UNFPA) | Strategy | Results-based management means implementing development assistance and managing the organization in a way that focuses on the sequence of desired results and uses evidence of results to inform decision-making in respect to design, resourcing and delivery of programmes and activities, as well as for accountability and reporting. | 1. "Results-based management policy" available at www.unfpa.org/sites/default/files/admin-resource/PROG_Results%20Based%20Management.pdf. 2. United Nations Development Group results-based management handbook. |
| International Trade Centre (ITC) | Strategy | A management strategy focusing on the performance and achievement of outputs, outcomes, and impacts (OECD) | ITC results-based management guide and toolkit, available at www.intracen.org/uploadedFiles/intracenorg/Content/About_ITC/Where_are_we_working/Multi-country_programmes/Pact_II/RBM%20Tools%20and%20Guide-Fev%202011-FINAL.pdf |
| United Nations Office on Drugs and Crime (UNODC) | Not found | Results-based management mentioned but not described. | |

| Organization | General definition | Definition of results-based management | Source |
|---|---|---|---|
| United Nations Entity for Gender Equality and the Empowerment of Women (UN-Women) | Approach | results-based management is a strategic management approach and one of the core programming principles for United Nations programmes. It helps to ensure accountability for programmes by offering a process and structure to formulate results and to manage for their achievement, while also ensuring evidence for decision-making, learning and accountability. | "How to manage gender-responsive evaluation. Evaluation handbook", available at www.unwomen.org/-/media/headquarters/attachments/sections/library/publications/2015/un-women-evaluation-handbook-en.pdf?vs=1401 |
| World Food Programme (WFP) | Approach | results-based management is a participatory and team-based management approach that seeks to:<br>• Focus an organization's efforts and resources on expected results<br>• Improve effectiveness and sustainability of operations<br>• Improve accountability for resources used. | "Monitoring & evaluation guidelines", available from http://unpan1.un.org/intradoc/groups/public/documents/un/unpan032491.pdf |
| United Nations Human Settlements Programme (UN-Habitat) | Approach | The institutional CAP scan exercise helped to provide a baseline in terms of **a** results-based management approach. It is a readiness approach and one way to prove its robustness is repeating the exercise every year to ensure that United Nations-Habitat can measure its progress. | :Capacity self-assessment: effective implementation of results based management at UN-Habitat", available at https://mirror.unhabitat.org/files/11865_RBM_Capscan_report_rev_Final.pdf |
| United Nations Environment Programme (UNEP) | Approach | A life-cycle approach to management that integrates strategy, people, resources, processes and measurements to improve decision-making, transparency and accountability and drive change. | "Integrated policymaking for sustainable development: a reference manual", available at http://unep.ch/etb/publications/IPSD%20manual/UNEP%20IPSD%20final.pdf |
| United Nations Conference on Trade and Development (UNCTAD) | Approach | Results-based management is an overall approach to managing projects and programmes that goes beyond the achievement of outputs (publications, training workshops, intergovernmental meetings, etc.) to focus on their results (did we achieve what was intended with these outputs? What was the impact, how can we adapt or change to have greater impact? And so on). | "UNCTAD at a glance" http://unctad.org/en/Pages/accountability.aspx |
| Office of the United Nations High Commissioner for Refugees (UNHCR) | Approach | UNHCR has embarked on an results-based management approach under the operational management system, which emphasizes results that have a positive impact on refugees, rather than on the control of inputs (financial, material and human resources-related). This approach is in line with the prevailing norm in international relief and development efforts to achieve demonstrable programme effectiveness and accountability. | UNHCR Global Report 2004, "UNHCR's standard indicators", available at. www.unhcr.org/publications/fundraising/42ad4db91c/unhcr-global-report-2004-unhcrs-standards-indicators.html?query=RBM |
| United Nations Relief and Works Agency for Palestine Refugees in the Near East (UNRWA) | Approach | The SPARE paradigm is similar to the results-based management approach being adopted by various United Nations organizations, which aims to achieve improved performance and demonstrable results. Results-based management is coupled with a comprehensive framework that, in the best cases, systematically aligns individual workplans with specific, measurable, achievable, realistic and time-based results. | *Evaluation of UNRWA's Organizational Development (OD)*, available at www.unrwa.org/sites/default/files/2012011541241.pdf |

| Organization | General definition | Definition of results-based management | Source |
|---|---|---|---|
| International Labour Organization (ILO) | Approach | "Results-based management is a management strategy whereby all actors, contributing directly or indirectly to achieving a set of results, ensure that their processes, products and services contribute to the achievement of desired results (outputs, outcomes and higher-level goals or impacts). Those actors in turn use information and evidence of actual results to inform decision-making on the design, resourcing and delivery of programmes and activities and for accountability and reporting. | United Nations Development Group, "Results-based management handbook" |
| Food and Agriculture Organization of the United Nations (FAO) | Way of managing | Results-based management is a way of managing, whereby an organization ensures that all of its processes, products and services contribute to the achievement of desired results. It depends on clearly defined accountability for results and requires systematic monitoring, self-assessment and reporting on progress. | www.fao.org/about/strategic-planning/rbm/en/ |
| United Nations Educational, Scientific and Cultural Organization (UNESCO) | Strategy | Results-based management is a broad management strategy aimed at changing the way institutions operate by improving performance, programmatic focus and delivery. It reflects the way an organization applies processes and resources to achieve interventions targeted at commonly agreed results. | "Results-based programming, management and monitoring (RBM) at UNESCO", available at http://portal.unesco.org/en/files/40564/12006631441RBM_Guidelines_BSP_170108.pdf/RBM%2BGuidelines%2BBSP%2B170108.pdf |
| World Health Organization (WHO) | Robust management functions/ approach | Results-based management refers to robust management functions to deliver on agreed-upon results and operational accountability through clearly articulated roles and responsibilities, accountabilities, performance assessment and continuous monitoring, to ensure that available resources are used as effectively and efficiently as possible. As part of its results-based management approach, the way in which WHO assesses its performance and demonstrates how its work is contributing to, or influencing, outcomes and impacts is through the results chain. | "WHO accountability framework, March 2015" www.who.int/about/who_reform/managerial/accountability-framework.pdf |
| International Civil Aviation Organization (ICAO) | Approach | Both the results-based budget and the ICAO business plan for 2017-2019 follow a results-based management approach, integrating strategy, resources, processes and measurements to improve decision-making, transparency and accountability. | –"Increasing the efficiency and effectiveness of ICAO", available at www.icao.int/Meetings/a39/Documents/WP/wp_075_en.pdf |
| International Maritime Organization (IMO) | not found | Results-based management mentioned but not described. Strategic planning focus in the context of the Ad Hoc Council Working Group on the Organization's Strategic Plan. | n/a |
| International Telecommunication Union (ITU) | Framework | A framework that describes the relationships between the activities of ITU, the outputs produced and the overall objectives and strategic goals of the Union, which contribute to the organization's mission and vision. The results chain is divided into five levels: activities, outputs, objectives and outcomes, strategic goals and targets, and vision and mission. The values represent overarching shared and common beliefs that drive priorities. | "Proposed draft strategic plan for the Union for 2016-2019", available from www.itu.int/en/council/wg-sfp/Pages/consultation-sp-draft-text.aspx |

| Organization | General definition | Definition of results-based management | Source |
|---|---|---|---|
| Universal Postal Union (UPU) | not found | Results-based management mentioned but not described. Strategic planning and performance measurement focus. | n/a |
| World Meteorological Organization (WMO) | Fundamental concept | The fifteenth World Meteorological Congress established results-based management as the fundamental concept for managing the planning, implementation and performance assessment of WMO programme activities. | "WMO monitoring and evaluation system, April 2012" www.wmo.int/pages/about/documents/1089-WMO-monitoring-and-evaluation-system_en.pdf |
| World Intellectual Property Organization (WIPO) | System | The Results-based management framework is essentially a planning and monitoring system. Context of strategic realignment programme. | "Evaluation report of the project on enhancement of WIPO'S results-based management (RBM) framework to support the monitoring and evaluation of development activities", available at www.google.ch/url?sa=t&rct=j&q=&esrc=s&source=web&cd=3&ved=0ahUKEwjTkaHO85zUAhWELVAKHYmDCDwQFggvMAI&url=http%3A%2F%2Fwww.wipo.int%2Fedocs%2Fmdocs%2Fdocs%2Fen%2Fcdip_12%2Fcdip_12_4.docx&usg=AFQjCNHn0xF_Lwr5DEyszcjxL5DqgHzy4Q&sig2=Tw_vOOF-bUTmwFJnZ9y7Qg |
| United Nations Industrial Development Organization (UNIDO) | Strategy | Results-based management is a broad management strategy aimed at improving management effectiveness and accountability by defining realistic expected results, monitoring progress towards results achievement, integrating lessons learned into management decisions and reporting on performance. | See www.unido.org/en/overview/for-member-states/change/faq/how-is-results-based-management-implemented-at-unido.html |
| World Tourism Organization (UNWTO) | not found | Results-based management mentioned but not described. It is noted as a benchmarking framework. | n/a |
| United Nations Office for Project Services (UNOPS) | Strategy | UNOPS has established a results-based management system and deployed supporting performance management tools to ensure accountability and transparency. It is based on the experiences of sister agencies and private and public sector tools, and adjusted to the UNOPS business model and operational reality. (A comparison between the results-based management approaches of UNDP, UNFPA, UNICEF and UNOPS is available as a UNOPS staff paper.) | UNOPS strategic plan 2010-2013, annex I, "Methodological note on the UNOPS results-based management system", available at www.unops.org/SiteCollectionDocuments/Executive-board/EB%20documents/2009/Second%20session/EB_Strategic-plan_dp2009-36-Ann.1_EN.pdf |
| International Atomic Energy Agency (IAEA) | Approach | Results-based management approach aims to create a learning process by using the lessons learned from self-assessment and applying them to the next planning cycle. It focuses on country ownership of projects and the establishment of strong partnerships in order to implement efficient and effective development programmes. | See www.iaea.org/technicalcooperation/Home/Highlights-Archive/Archive-2009/01102009-RBM-TC.html |
| Joint United Nations Programme on HIV/AIDS (UNAIDS) | Strategy | A management strategy focusing on performance and the achievement of outputs, outcomes and impacts. | See www.unaids.org/sites/default/files/sub_landing/files/11_ME_Glossary_FinalWorkingDraft.pdf |

**Annex III: Outcomes by pillars, components and the quadrennial comprehensive policy review**

| Outcome areas identified in the quadrennial comprehensive policy review | PILLARS | Components | Indicative outcomes |
|---|---|---|---|
| A more robust, coherent and harmonized approach to operational activities for development, focused on results, which would streamline and improve system-wide results (para. 169)<br><br>Strengthen and institutionalize results-based management in the United Nations development system (para 168)<br><br>Develop and **sustain a results culture at all levels** including by identifying and implementing appropriate incentives for results-based management, removing disincentives for results-based management at all levels and periodically reviewing their results management systems (para 166) | **1. Results-based management conceptual** | 1.1. Results-based management strategy | • Enhanced common understanding of results-based management, its rationale and implications throughout the organization<br>• Enhanced ability to strategically allocate and commit resources to support the efforts to mainstream results-based management<br>• Enhanced transparency and consistency in internal and external communication about the organizational management strategy |
| Results-based management as an essential element of **accountability** (para 164)<br><br>**Improving transparency** and calls for further efforts to ensure coherence and complementarity in the oversight functions (para 167)<br><br>Strengthen and institutionalize results-based management in the United Nations development system (para 168) | **Expected outcomes for Pillar 1**:<br><br>• Enhanced common understanding of and buy-in to the management strategy within the organization<br>• Enhanced commitment at all levels within the organization, including its governing bodies, to achieve organizational effectiveness<br>• Enhanced external and internal transparency in strategic orientation for the management of the organization and for achieving organizational effectiveness<br>• Enhanced basis for resource allocation dedicated to the implementation of the management strategy<br>• Enhanced transparency and thus acceptance and ownership of the change process and its implications for staff within the organization | 1.2. Change management framework | • Increased understanding, acceptance and commitment to the change process by the staff of the organization<br>• Enhanced ownership and buy-in to the change process within the organization |
| Strengthen and institutionalize results-based management in the United Nations development system (para 168)<br><br>**Develop and sustain a results culture at all levels** including by identifying and implementing appropriate incentives for results-based management, removing disincentives for results-based management at all levels and periodically reviewing their results management systems (para 166) | | 1.3. Accountability framework | • Enhanced transparency and objectivity in assessing responsibilities in the results (successes or failures) of the organization<br>• Enhanced ability to identify and manage risks<br>• Enhanced ability to identify areas where strategic partnerships are required to achieve results |

**Annex III (continued)**

| Outcome areas identified in the quadrennial comprehensive policy review | PILLARS | Components | Indicative outcomes |
|---|---|---|---|
| A more **robust, coherent and harmonized approach to operational activities for development, focused on results,** which would streamline and improve the planning, monitoring, measurement and reporting on system-wide results (para. 169)<br><br>**Clear and robust results frameworks** that demonstrate complete results chains (para. 170) | **2. Planning, programming and budgeting** | 2.1. Corporate strategic results framework | • Enhanced common understanding around the strategic results that the organization is committed to achieving<br>• Enhanced transparency in assessing accountability for success and/or failures<br>• Enhanced transparency in the organization's planning and prioritization process for programmes and projects<br>• Enhanced ability to objectively prioritize resource allocation based on contribution to strategic goals<br>• Enhanced internal coherence in the undertakings of the organization |
| A more **robust, coherent and harmonized approach to operational activities for development, focused on results,** which would streamline and improve the planning, monitoring, measurement and reporting on system-wide results (para. 169).<br><br>**Clear and robust results frameworks** that demonstrate complete results chains (para. 170) | **Expected outcomes for Pillar 2:**<br><br>• Enhanced logical linkage and internal coherence and coordination in the planning and programming processes for results at all levels within the organization<br>• Increased optimization of resources towards the achievement of results at all levels<br>• Enhanced transparency and coherence in the planning, allocation and use of resources (human and financial) within the organization<br>• Enhanced ability for decision makers to assess progress and to make informed decisions aimed at improving the organization's contribution to internationally agreed goals<br>• Enhanced linkage with the accountability framework of the organization | 2.2. Results framework for programmes and projects | • Enhanced ability for the organization to track and assess its contribution to its own strategic goals and internationally agreed goals<br>• Enhanced coherence and linkage between the different levels of the organization's accountability framework<br>• Enhanced transparency and internal coherence in the design and implementation of the organization's programmes and projects |
| A more **robust, coherent and harmonized approach to operational activities for development, focused on results,** which would streamline and improve the planning, monitoring, measurement and reporting on system-wide results (para. 169)<br><br>Improving **results tracking and reporting** mechanisms (para 165) | | 2.3. Results measurement system | • Common understanding of data provided from indicators (content and construct validity)<br>• Enhanced standardization and comparability in measurement of results within the organization<br>• Increased confidence and use in the aggregated data reported to stakeholders to inform decision-making.<br>• Enhanced capacity for the organization to measure its contribution to strategic and internationally agreed goals |

| Outcome areas identified in the quadrennial comprehensive policy review | PILLARS | Components | Indicative outcomes |
|---|---|---|---|

A more **robust, coherent and harmonized approach to operational activities for development, focused on results**, which would streamline and improve the planning, monitoring, measurement and reporting on system-wide results (para. 169)

**Clear and robust results frameworks** that demonstrate complete results chains (para. 170)

**2. Planning, programming and budgeting**

**2.4. Results-based budgeting**

- Enhanced transparency in the allocation and use of financial resources within the organization;
- Enhanced ability to identify resource needs and priorities for resource mobilization efforts
- Enhanced capacity for the organization to reflect and demonstrate relative value for money

**Expected outcomes for Pillar 2:**

- Enhanced logical linkage and internal coherence and coordination in the planning and programming processes for results at all levels within the organization;
- Increased optimization of resources towards the achievement of results at all levels
- Enhanced transparency and coherence in the planning, allocation and use of resources (human and financial) within the organization
- Enhanced ability for decision makers to assess progress and to make informed decisions aimed at improving the organization's contribution to internationally agreed goals
- Enhanced linkage with the organization's accountability framework

Results-based management as an essential element of **accountability** (para 164)

Develop and **sustain a results culture at all levels,** including by identifying and implementing appropriate incentives for results-based management, removing disincentives for results-based management at all levels and periodically reviewing their results management systems (para 166)

**2.5. Human resources management**

- Enhanced capacity to strategically assign staff for the achievement of results based on their competencies and performance within the organization
- Enhanced alignment of staff competencies with requirements identified to achieve results
- Increased relevance in the selection of training provided to staff within the organization

**Annex III (continued)**

| Outcome areas identified in the quadrennial comprehensive policy review | PILLARS | Components | Indicative outcomes |
|---|---|---|---|
| In improving **results tracking and reporting** mechanisms (para 165)<br><br>**Improving transparency** and calls for further efforts to ensure coherence and complementarity in the oversight functions (para 167) | **3. Monitoring, evaluation and reporting** | 3.1. Performance monitoring | • Timely availability of performance information to assess progress towards the intended results of policies, programmes and projects during and after their implementation<br><br>• Increased availability of valid and credible performance data for more effective and efficient reviews and evaluations<br><br>• Increased ability for decision makers to make informed and timely management decisions<br><br>• Enhanced culture of continuous learning and self-directed continuous improvement and innovation while project is still in process |
| Improving **results tracking and reporting** mechanisms (para 165)<br><br>A more **robust, coherent and harmonized approach to operational activities for development, focused on results**, which would streamline and improve the planning, monitoring, measurement and reporting on system-wide results (para. 169) | **Expected outcomes for Pillar 3**:<br><br>• Enhanced availability and accessibility of credible, timely and meaningful performance evidence to inform decision-making processes<br>• Enhanced capacity for the organization to generate and internalize knowledge based on its progress towards the achievement of its strategic goals<br>• Enhanced credibility and confidence in the internal and external use of results evidence and performance data by stakeholders<br>• Enhanced internal coherence between the existing knowledge base and the functions involved in the production of performance evidence within the organization<br>• Increased ability for the organization to make informed management and strategic decisions during and after implementation of policies, programmes, and projects | 3.2 Results reporting | • Enhanced ability for decision makers to make informed decisions aimed at improving the contribution to strategic results and internationally agreed goals<br><br>• Enhanced confidence in the use of results reporting for decision-making<br><br>• Increased use of results reporting to support internal and external communications |

**Annex III (continued)**

| Outcome areas identified in the quadrennial comprehensive policy review | PILLARS | Components | Indicative outcomes |
|---|---|---|---|

In improving **results tracking and reporting** mechanisms (para 165).

**Improving transparency**, and calls for further efforts to ensure coherence and complementarity in the oversight functions (para 167)

A more **robust, coherent and harmonized approach to operational activities for development**, **focused on results,** which would streamline and improve the planning, monitoring, measurement and reporting on system-wide results (para. 169).

Improving **results** tracking and **reporting** mechanisms (para 165).

**3. Monitoring, evaluation and reporting**

**3.3 Evaluation**

**3.4 Management information systems**

**Expected outcomes for Pillar 3**:

- Enhanced availability and accessibility of credible, timely and meaningful performance evidence to inform decision-making processes;
- Enhanced capacity for the organization to generate and internalize knowledge based on its progress towards the achievement of its strategic goals;
- Enhanced credibility and confidence in the internal and external use of results evidence and performance data by stakeholders;
- Enhanced internal coherence between the existing knowledge base and the functions involved in the production of performance evidence within the organization;
- Increased ability for the organization to make informed management and strategic decisions during and after implementation of policies, programmes, and projects.

Indicative outcomes for 3.3 Evaluation:
- Enhanced and increased availability of credible and useful evaluative evidence and explanations on the organization's performance levels
- Increased ability for the organization to generate lessons learned on performance for internal and external use
- Increased capacity for the organization to introduce innovations in its programmatic approach aimed at improving its performance/progress toward strategic results
- Enhanced clarity in the contribution of projects, programmes and policies to strategic results and internationally agreed goals

Indicative outcomes for 3.4 Management information systems:
- Enhanced ability within the organization to reflect back on past performance in order to guide future decisions
- Enhanced capacity to make informed tactical and strategic decisions within the organization with speed
- Enhanced relevance and efficiency in the accessibility of data within the organization
- Increased ability for all staff within the organization to self-evaluate their progress towards results

**Annex III (continued)**

| Outcome areas identified in the quadrennial comprehensive policy review | PILLARS | Components | Indicative outcomes |
|---|---|---|---|
| Develop and **sustain a results culture at all levels** including by identifying and implementing appropriate incentives for results-based management, removing disincentives for results-based management at all levels and periodically reviewing the results management systems (para. 166)<br><br>Strengthen and institutionalize results-based management in the United Nations development system (para 168) | **4. Fostering a culture of results**<br><br>**Expected outcomes for Pillar 4:**<br><br>• Enhanced demand and use of results information within the organization<br>• Enhanced sustainability in behavioural change (values and practices) expected from the change process implied by mainstreaming results-based management<br>• Increased capacity and commitment to results principles within the entire organization | 4.1. Internalization | • Enhanced capacity to apply identified results principles within the organization<br>• Enhanced capacity for staff to understand and comply with change requirements within the organization<br>• Enhanced changes in mindset, values orientation and point of view about the ultimate result or bottom line. |
| Develop and **sustain a results culture at all levels** including by identifying and implementing appropriate incentives for results-based management, removing disincentives for results-based management at all levels and periodically reviewing their results management systems (para 166)<br><br>Strengthen and institutionalize results-based management in the United Nations development system (para 168) | | 4.2. Leadership | • Increased confidence of staff in the change process within the organization<br>• Enhanced likelihood of sustainably internalizing change requirements implied by mainstreaming results-based management |
| Develop and **sustain a results culture at all levels** including by identifying and implementing appropriate incentives for results-based management, removing disincentives for results-based management at all levels and periodically reviewing their results management systems (para 166)<br><br>Strengthen and institutionalize results-based management in the United Nations development system (para 168) | | 4.3. Use of results | • Increased ability to make decisions informed by evidence aimed at improving performance within the organization<br>• Enhanced ability for the organization to learn from its success and failures in achieving its long-term goals |

**Annex III (continued)**

| Outcome areas identified in the quadrennial comprehensive policy review | PILLARS | Components | Indicative outcomes |
|---|---|---|---|

**5. Partnerships for collective impact**

Ensuring increased **mutual accountability** for results-based management and reporting **at the country level** (para 171).

Results-based management as an essential element of **accountability** (para 164).

**Improving transparency**, and calls for further efforts to ensure coherence and complementarity in the oversight functions (para 167)

Expected outcomes for Pillar 5:

- Increased opportunities for streamlining joint planning, implementation, monitoring, evaluating and reporting between partners (delivering as one, evaluating as one, reporting as one)
- Optimal use of respective capacities and comparative added value of organizations of the United Nations system)
- Less overlap and duplication between the different interventions of stakeholders
- Decreased transaction costs for all stakeholders (recipient countries, donor countries, United Nations organizations, and other development partners)
- Enhanced complementarities and synergies between the different interventions of all stakeholders at all levels (global, regional, country)
- Harmonization, trust and confidence between partners
- Enhanced development outcomes – added value and sustainability
- Enhanced facility and transparency in the analysis of the contribution and added value of stakeholders to the achievement of outcomes
- Enhanced confidence and trust of the United Nations system as a single entity with a clearly visible integrated result and contribution
- Enhanced ability for the United Nations system to demonstrate its leadership and continued relevance
- Improvements in the governance system for joint, subsystem-wide and system-wide interventions, results reporting and evaluation

**5.1. United Nations coherence for outcome achievement**

- Increased streamlined reporting and common aggregation of information
- Enhanced ability to enforce obligations for results within the United Nations system
- Decrease in transaction costs for all parties (country, United Nations partners and governing bodies)
- The United Nations system working as one and the transparency of its collective impact
- Enhanced ability for relevant decision-making in the interest of the United Nations system
- Enhanced trust and confidence between United Nations organizations
- Enhanced contribution of the United Nations system to development outcomes – added value
- Enhanced transparency in the implications of failures and success
- Enhanced collaboration to achieve success and sustainability
- Enhanced ability to determine and attribute optimal responsibility levels in the achievement of results among agencies of the United Nations

Ensuring increased mutual accountability for results-based management and reporting **at the country level** (para 171).

**Improving transparency** and calls for further efforts to ensure coherence and complementarity in the oversight functions (para 167)

Results-based management as an essential element of **accountability** (para 164).

**5.2. Alignments between the United Nations system and other partners for outcome achievement**

- Increased streamlined reporting and common aggregation of information
- Enhanced ability to enforce the obligations of stakeholders in their contribution to results
- Decrease in transaction costs for all parties (country, United Nations partners and governing bodies)
- Enhanced relevance and alignment of decision-making with the achievement of national development objectives
- Enhanced trust and confidence between partners
- Enhanced development outcomes – added value and sustainability
- Enhanced transparency in the implications of failure and success
- Enhanced collaboration to achieve success and sustainability
- Increased relevance and alignment of resource mobilization according to national objectives.

**Annex IV: QCPR Resolution 67/226**

**Quadrennial comprehensive policy review**

Section on results-based management (paras. 164-172)

"The General Assembly […]

164. Affirms the importance of results-based management as an essential element of accountability that can contribute to improved development outcomes and the achievement of the Millennium Development Goals and the internationally agreed development goals;

165. Acknowledges the work done by agencies and the United Nations development system to improve results tracking and reporting mechanisms, while stressing the need to identify, assess and mitigate risks and address the remaining gaps in planning, management and reporting;

166. Requests the United Nations development system to accelerate work to develop and sustain a results culture at all levels within the funds and programmes, the specialized agencies and other United Nations organizations, including by identifying and implementing appropriate incentives for results-based management, removing disincentives for results-based management at all levels and periodically reviewing their results management systems, and to invest in developing capacities and competencies for results-based management;

167. Recognizes progress in improving transparency, and calls for further efforts to ensure coherence and complementarity in the oversight functions, audit and evaluations across the United Nations development system;

168. Requests the Secretary-General to intensify efforts to strengthen and institutionalize results-based management in the United Nations development system, with the objective of improving development results as well as organizational effectiveness, including simplifying, streamlining and harmonizing results-based management systems;

169. Also requests the Secretary-General to articulate and report to the Economic and Social Council at its operational activities segment in 2013, with a view to the implementation, by 2014, of a more robust, coherent and harmonized approach to operational activities for development, focused on results, which would streamline and improve the planning, monitoring, measurement and reporting on system-wide results, and in this regard invites the executive boards of the funds and programmes and the governing bodies of the specialized agencies and other relevant United Nations organizations to engage in a focused dialogue on how to balance most effectively the need for reporting on system-wide results at all levels with the current agency-specific reporting requirements, taking into account the challenges in developing results frameworks that demonstrate the United Nations contribution to national development results;

170. Requests the United Nations development system to promote the development of clear and robust results frameworks that demonstrate complete results chains that establish expected results at the output, outcome and impact levels and include measurable indicators with baselines, milestones and targets for monitoring, and in this regard requests the United Nations funds and programmes, and encourages the specialized agencies, to consult Member States during the production of results frameworks of their respective strategic plans, and report annually on implementation from 2014;

171. Also requests the United Nations development system to achieve alignment between results-based management and accountability by the end of 2013, including finding ways to strengthen delivery and reporting on the United Nations system-wide contribution to national development results, and in this regard requests the United Nations development system to ensure increased mutual accountability for results-based management and reporting at the country level;

172. Requests the Secretary-General, in consultation with the Joint Inspection Unit and Member States, to review results-based management and system-wide results reporting across the United Nations system and to present the review for consideration by the General Assembly in the next quadrennial comprehensive policy review."

## Annex V: Drivers of the stages of development

| Stages | Continuous learning and adaptation for added value | Scope of involvement of staff and managers | How comprehensive is the coverage? | Alignment | Results linkage and management for outcome contribution |
|---|---|---|---|---|---|
| **Stage 1 Not started** | The organization does not require a results focus for this component | None | Conducted none of the actions outlined in the description of the component | No external or internal pressure to start | Not bound to results levels or hierarchy of results |
| **Stage 2 Exploration for mainstreaming** | The organization is planning, evaluating, scouting, exploring, prototyping and/or drafting how to mainstream a results focus into the component | There is an indication that none or few decision-makers/staff/senior management use or refer to the results-based management mainstreamed component | Conducted none or few of the actions outlined in the description of the component | Has only mainstreamed when external party makes it a condition, at their request | Not fully bound to results levels or hierarchy of results |
| **Stage 3 Transition to mainstreaming** | The organization is executing actions towards full implementation of the results focus. Component is currently in the process of being fully adapted for the first time to highlight results as a management strategy | There is an indication that some or several decision-makers/staff/senior management occasionally use or refer to the results-based management mainstreamed component | Conducted several or many of the actions outlined in the description of the component | The organization has mainstreamed result-based management at its own determination | Bound to results levels or hierarchy of results (input, output, outcome) |
| **Stage 4 Fully mainstreamed** | The organization is experienced now that it has already mainstreamed the results focus and it is refining it by studying the features of the component, and broadening its scope and spread within the organization and beyond it (if applicable) | There is an indication that some or many decision-makers/staff/senior management systematically use or refer to the results-based management mainstreamed component. | Conducted many or most actions outlined in the description of the component | The organization continued mainstreaming due changes in the wider external context and what is done by partners | Particularly tied to higher levels or top hierarchy of results: outcome level |
| **Stage 5 Continuous learning for renewal** | The organization reviews and reflects on results reaped from completing the mainstreaming and is improving where gaps are spotted (renewing). The component is currently in the process of being changed to match the needs of the organization and stakeholders. | There is an indication that many or all decision-makers/staff /senior management continuously use or refer to the results-based management mainstreamed component | Conducted all or most of actions outlined in the description of the component | The organization adjusted mainstreaming to improve harmonization with country, donors and partners | Principally focused on higher levels or top hierarchy of results: outcome level |
| **Components showing the driver in the stages** | 1.1  1.2  1.3<br>2.1  2.2  2.3  2.4  2.5<br>3.1  3.2  3.3  3.4<br>4.1  4.3<br>5.1  5.2 | 1.1  1.2  1.3<br>2.1  2.2<br>3.2<br>4.2  4.3<br>5.1  5.2 | 1.1  1.2  1.3<br>2.1  2.2  2.4<br>5.1  5.2 | 2.2<br>2.3<br>3.1  3.2  3.3<br>5.1  5.2 | 1.2<br>2.2  2.4  2.5<br>3.1  3.2  3.3<br>4.2  4.3<br>5.1  5.2 |

# Annex VI: Glossary of terms[23]

**Activities**: Actions taken or work done, using inputs to produce outputs.[24]

**Attribution:** The ascription of a causal link between observed (or expected to be observed) changes and a specific intervention. Attribution refers to that which is to be credited for the observed changes or results achieved. It represents the extent to which observed development effects can be attributed to a specific intervention or to the performance of one or more partner taking account of their interventions, (anticipated or unanticipated) confounding factors, or external shocks.[25]

**Alignment:** To bring actions and support in coordination and in line with existing systems, policies, objectives, resources requirements etc. Alignment may have many dimensions and define various relationships: for example, alignment between recipients and providers of aid; between organizations of the United Nations system; between a United Nations organization and external stakeholders; within the decentralized structure of an organization.

**Baseline**: Information that is used as a starting point by which to compare other information.

**Benchmark**: A set of selected conditions or reference points against which performance or achievements can be assessed as a means of comparison between all subjects being measured. Usually, it is a known set of conditions that have been proved to work best in recent past experience, or can be reasonably inferred to have been achieved However, not all the specific sets of performance criteria are expected to be met by all the organizations being compared. Often a benchmark is also seen not as an actual standard but as an interpretation of a standard, or as an extended guide towards excellence. A benchmark will in time become a standard.

**Coherence:**[26] Coherence means having coordinated responses across the United Nations system, in order to reduce duplication and overlapping efforts. It aims to remove inefficiencies by lowering transaction costs and improve collaboration between organizations in all of their undertakings, where applicable. Areas for coherence may include planning, implementation, disbursement mechanisms, monitoring, evaluation and other relevant activities where applicable. Ultimately, coherence efforts aim to break up the existing silos in the way that the United Nations system operates, in order for the system to behave as a single entity.

**Decentralization**: Decentralization refers to the transfer of authority and responsibility of specific functions from headquarters to subordinated offices. Different types of decentralization exist and should be distinguished from one another because they have different characteristics, policy implications and conditions for success. The most common types of decentralization within the United Nations system are geographical, political and administrative. Decentralization aims to enable an organization to make decisions and act in a more efficient manner, while empowering staff in the process.

**Development effectiveness**: The organization contributes successfully to the tangible results of development efforts expected by citizens and taxpayers of all countries. The influence on the benefits to living conditions and human rights are demonstrated by a clear story of how the actions of the organization in partnership with others translate into positive impacts on peoples' lives.

**Effect:** Intended or unintended change due directly or indirectly to an intervention.

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[23] Adapted from the United Nations Development Group results-based management handbook and the OECD glossary of key terms in evaluation and results-based management.

[24] Adapted from the results-based management handbook.

[25] Adapted from the OECD glossary of key terms in evaluation and results-based management.

[26] Adapted from the website of the High-level Panel on System-wide Coherence.

**Evaluation:** The systematic and objective assessment of an ongoing or completed project, programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact and sustainability. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making.[27]

**Goal**: A strategic desired change tied to various long-term higher order objectives, the top results target that expresses an impact expected to occur as part of a consequence, at least in part, of an intervention.

**Harmonization**:[28] Establishing common norms, standards, rules, agreements, or frameworks among a set of actors. Harmonization in the United Nations system refers to the alignment and coordination of actions, the simplification of procedures and the sharing of information, with internal and/or external stakeholders. Other areas for harmonization may include planning, programming and evaluation but also operational activities such as finance, procurement, human resources and any other relevant undertakings of the organizations of the United Nations system, when applicable. Harmonization efforts are ultimately aimed at increasing opportunities for mutualization, in order to optimize transaction costs at the United Nations system level.

**Impact**: Implies changes in people's lives. Such changes have positive or negative long-term effects on identifiable population groups produced by an intervention, directly or indirectly, intended or unintended. Those effects can be economic, sociocultural, institutional, environmental, technological or of other types.

**Indicators:** Quantitative or qualitative factors or variables that provide a simple and reliable means to measure achievement, to reflect the changes connected to an intervention, or to help assess the performance of a development actor or intervention.

**Input**: Financial, human, material, technological and information resources used and mobilized for activities and interventions, to achieve results.

**Key performance indicator:** Metric that shows the performance related to the strategy of an organization and that is considered particularly critical for the success of the organization (goals).

**Measurement system:** A collection of variables, units of measurement, standards and tools that are used for calculating quantities or determining quality of performance and achievement of results.

**Mutual accountability**: Refers to the obligations of partners to act according to clearly defined roles, responsibilities and performance expectations in achieving an agreed-upon outcome and impact. This applies to organizations of the United Nations system doing joint work. It also promotes an equal partnership between programme countries and providers of development cooperation and should be a key means of ensuring compliance with internationally agreed goals.[29]

**Organizational effectiveness**: The effectiveness of an organization lies in its ability to perform a function (such as fulfilling a mandate) with optimal levels of input and output that successfully meets the intended objectives. In other words, it is the capacity of the organization to produce the desired results with minimal expenditure of energy, time, money and human and material resources. Organizational effectiveness criteria for the United Nations system are specified in General Assembly resolution 71/243, in which the Assembly called for a United Nations development system that is responsive to Member States and that is more strategic, accountable, transparent, collaborative, efficient, effective, and results-oriented.

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[27] Adapted from the OECD glossary of key terms in evaluation and results-based management.
[28] Adapted from the Paris Declaration on Aid Effectiveness, five principles for smart aid, OECD.
[29] Adapted from "Enhancing mutual accountability and transparency in development cooperation", Economic and Social Council, November 2009.

**Outcome**: A medium/long-term change in development conditions resulting from the delivery of outputs and interventions. It represents changes in the institutional and behavioural capacities required to sustainably achieve impact-level results. Outcome-level results are described as a partnership proposition generally requiring more than the effort of one entity for its achievement. For example, United Nations Development Assistance Framework outcomes are the collective strategic results of cooperation at the country level of the United Nations system, intended to support national priorities.[30]

**Output**: A short-term change, specific goods and services produced by the programme. Outputs can also represent changes in the skills, abilities or capacities of individuals or institutions, usually resulting from the use of resources (inputs), or the completion of activities within a development intervention, which is within the control of the organization and interpreted as a low-level result (in a results hierarchy). [31]

**Partners:** The stakeholders (individuals and/or organizations) that collaborate to achieve mutually agreed-upon objectives based on a legally defined framework.

**Performance indicator**: A description of the result. This is done in operational terms that would allow for objective verification. Effective performance indicators have to be SMART (specific, measurable, attainable, realistic and time-bound).

**Performance metric**: A measurement based on two or more variables that allows the verification of changes through measurement, making it possible to determine an organization's performance or behaviour in a quantifiable way. Metrics help to put a variable in relation to one or more other dimensions.

**Performance monitoring:** A continuous process of collecting and analysing data and information generated to compare how well a project, programme, or policy is being implemented against expected results and its progress toward an outcome.[32]

**Personal performance indicator**: A variable that allows the verification of performance of staff against individual workplans. Personal performance expectations are based on unit/division level workplans that should be tied to and contribute to the achievement of the strategic objectives of the organization.

**Result**: The output, outcome or impact (intended or unintended, positive and/or negative) of a development intervention,[33] a change in the state or condition that derives from a cause and effect linkage relationship. A result can be intended, unintended, positive or negative.

**Results-based budgeting**: Formulation of budgets that are driven by a number of desired results that are articulated at the outset of the budgetary process and against which actual performances is measured at the end of the period of execution.

**Results framework or matrix**: A results framework or matrix explains how results are to be achieved. It includes (a) the causal relationships and underlying assumptions; (b) the risk factors and conditions for success; (c) performance indicators that are SMART; and (d) means for verification, measurement and evaluation.

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[30]  See Angela Bester, "Results-based management in the United Nations development system", January 2016.
[31]  Adapted from Angela Bester, "Results-based management in the United Nations development system" and the OECD glossary of key terms in evaluation and results-based management.
[32]  Adapted from the OECD glossary of key terms in evaluation and results-based management and the United Nations Development Group definition.
[33]  See OECD glossary of key terms in evaluation and results-based management.

**Results hierarchy**: [34] The causal linkage between inputs, outputs, outcomes and impact. The linkage is based on a defined theory of change. The theory highlights the linear logic of the results hierarchy and the other conditions external to the intervention that are necessary for success.

**Results reporting:** The aggregation of results for reporting on the outcomes achieved and to respond to demands for decision-making at various levels. Thus, in aggregating results, consideration should be given to issues such as at what level, for whom and how useful for decision-making will it be. This is important to enhance credibility and utility in reporting.

**Standard**: An agreed and widely accepted model or set of criteria that determine how something should be done and/or specifies the quality levels it should have. Standards are often referred to as the set of minimum requirements for an acceptable operational system.

**Sustainability**: The continuation of benefits from an intervention after major assistance has been completed. It refers to the likelihood of continued long-term benefits and the resilience to risk.[35]

**Theory of change:** Theory of change is a methodology for planning and evaluation which explains how a particular intervention leads to intended results and ultimately contributes to intended impacts. Within the evaluation context, a theory of change provides a framework for defining and measuring results.[36]

**Tracking system**: A tracking system is used for observing evolving changes, for example movement or progress, and supplying a timely, ordered sequence of respective situation data to a model. It should be capable of tracing back to the cause of effects and of distinguishing when something has gone astray of what was planned.

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[34] Various logic models have been developed for different purposes, each with relatively different terms for a high-level result, such as an outcome or impact. In some of them, an outcome can be synonymous with an impact, ultimate outcome, effect, strategic objective, intermediate result, end result, goal or purpose.

[35] Adapted from the OECD glossary of key terms in evaluation and results-based management.

[36] See Angela Bester, "Results-based management in the United Nations development system".

**Annex VII**

**Overview of actions to be taken by participating organizations on the recommendations of the Joint Inspection Unit
JIU/NOTE/2017/1**

| | | Intended impact | CEB | United Nations and its funds and programmes* | | | | | | | | | | | | | | | Specialized agencies and I A E A | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | United Nations | UNAIDS | UNCTAD | ITC | UNDP | UNEP | UNFPA | UN-Habitat | UNHCR | UNICEF | UNODC | UNOPS | UNRWA | UN-Women | WFP | FAO | IAEA | ICAO | ILO | IMO | ITU | UNESCO | UNIDO | UNWTO | UPU | WHO | WIPO | WMO |
| **Note** | **For action** | | ☐ | ⊠ | ⊠ | ⊠ | ⊠ | ⊠ | ⊠ | ⊠ | ⊠ | ⊠ | ⊠ | ⊠ | ⊠ | ⊠ | ⊠ | ⊠ | ⊠ | ⊠ | ⊠ | ⊠ | ⊠ | ⊠ | ⊠ | ⊠ | ⊠ | ⊠ | ⊠ | ⊠ | ⊠ |
| | **For information** | | ⊠ | ☐ | ☐ | ☐ | ☐ | ☐ | ☐ | ☐ | ☐ | ☐ | ☐ | ☐ | ☐ | ☐ | ☐ | ☐ | ☐ | ☐ | ☐ | ☐ | ☐ | ☐ | ☐ | ☐ | ☐ | ☐ | ☐ | ☐ | ☐ |
| **Recommendation 1** | | f | | E | E | E | E | E | E | E | E | E | E | E | E | E | E | E | E | E | E | E | E | E | E | E | E | E | E | E | E |
| **Recommendation 2** | | c | | E | E | E | E | E | E | E | E | E | E | E | E | E | E | E | E | E | E | E | E | E | E | E | E | E | E | E | E |

**Legend: L:** Recommendation for decision by legislative organ **E:** Recommendation for action by executive head

▇ **:** Recommendation does not require action by this organization
**Intended impact: a:** enhanced transparency and accountability **b:** dissemination of good/best practices **c:** enhanced coordination and cooperation **d:** strengthened coherence and harmonization **e:** enhanced control and compliance **f:** enhanced effectiveness **g:** significant financial savings **h:** enhanced efficiency **i:** other.

* As listed in ST/SGB/2015/3.

# ANNEX VIII. BENCHMARKING FRAMEWORK FOR RESULTS-BASED MANAGEMENT

| Management areas | PILLARS | Components | | | Outcome areas identified in the quadrennial comprehensive policy review |
|---|---|---|---|---|---|
| Strategic management | 1. Results-based management conceptual | 1.1. Results-based management strategy | 1.2. Change management framework | 1.3. Accountability framework | ▪ Improving development results as well as organizational effectiveness (para. 168)<br>▪ Strengthen and institutionalize results-based management in the United Nations system (para. 168)<br>▪ Clear and robust results frameworks that demonstrate complete results chains (para. 170)<br>▪ A more robust, coherent and harmonized approach to operational activities for development, focused on results, which would streamline and improve the planning, monitoring, measurement and reporting on system-wide results (para. 169)<br>▪ Improving transparency and complementarity in the oversight functions, audits and evaluations across the United Nations system (para. 167)<br>▪ Improving results tracking and reporting mechanisms (para. 165)<br>▪ Developing and sustaining a results culture at all levels (para. 166)<br>▪ Ensuring increased mutual accountability for results-based management and reporting at the country level (para. 171)<br>▪ Results-based management as an essential element of accountability (para. 164) |
| Operational management | 2. Planning, programming and budgeting | 2.1. Corporate strategic results framework | 2.2. Results frameworks for programmes and projects | | |
| | | 2.3. Results measurement system | 2.4. Results-based budgeting | 2.5. Human resources management | |
| Accountability and learning management | 3. Monitoring, evaluation and reporting | 3.1. Performance monitoring | 3.2. Results reporting | | |
| | | 3.3. Evaluation | 3.4. Management information system | | |
| Change management | 4. Fostering a culture of results | 4.1. Internalization | 4.2. Leadership | 4.3. Use of results | |
| Responsibility management | 5. Collective accountability | 5.1. United Nations coherence for outcome achievement | 5.2. Alignment between United Nations and other partners for outcome achievement | | |

# Contents

**PILLAR 1: Results-based management conceptual foundation**

## Rationale

Adopting results-based management as a management strategy requires great clarity in the minds of the executive heads as to why they should adopt results-based management, what it means and its implications for the total organization. Its adoption requires the development of an overall organizational outcome from results-based management and an analysis of the structural and systemic factors and conditions for success, as well as a risk management strategy. The mainstreaming of results-based management is recognized as an important change process involving transformations at different levels of an organization. The scope of change may be large, and include structures, procedures, practices, tools and behaviours, depending on organizational peculiarities. To support such mainstreaming, it is necessary that all parts of the organization build a common understanding and commitment with regard to the scope of change required, its rationale and their respective roles in supporting such a process. Based on the scope of change and its expected time frame, it is also critical that the organization define and adopt a clear, adaptive and holistic organizational strategy that provides a clear road map and operationally defines and guides how results-based management is going to be mainstreamed into the existing operational and programmatic processes of the organization. This should include expected outcomes, progress indicators, milestones and conditions for success in mainstreaming results-based management (assumptions/risks). It should allow for the monitoring of performance against clear performance measures, evaluate the mainstreaming process and its results in the organization and engage in double-loop learning to support learning for the refinement of the strategy over time, based on progress and results achieved. This should be complemented by a change management framework that addresses the "people side" of change and identifies the necessary conditions required to build commitment for change to occur. The strategy also has to be supported by an accountability framework that assigns clear responsibilities for the change process as well as for the new results regime.

## Some expected outcomes

- *Enhanced common understanding and buy-in of the management strategy within the organization*
- *Enhanced commitment at all levels within the organization, including its governing bodies, to achieve organizational effectiveness*
- *Enhanced external and internal transparency in the strategic orientation for the management of the organization and for achieving organizational effectiveness*
- *Enhanced basis for resource allocation dedicated to the implementation of the management strategy*
- *Enhanced transparency, and thus acceptance and ownership, of the change process and its implications for staff within the organization.*

## Components

## Component 1.1. Results-based management strategy

| Management areas | PILLARS | Components | | |
|---|---|---|---|---|
| Strategic management | 1. Results-based management | 1.1. Results-based management strategy | 1.2. Change management framework | 1.3. Accountability framework |

### DESCRIPTION

The results-based management strategy should be a well-thought-out plan on how the organization intends to mainstream results-based management into the existing systems of the organization. It should provide clarity and draws from analysis on the baseline situation within the organization, addressing what is expected from mainstreaming results-based management, how it will be done and what it will take to get there. The design of this strategy should build not only on the participation of key stakeholders within the organization but also on the participation of those from outside the organization, depending on the nature of funding. This is important not only to guide the organization's efforts towards managing for results but also to establish a structured, evidence-based and continuous dialogue on organizational effectiveness in (board members, senior management and staff) and outside (donors and other development partners) the organization.

### OUTPUT QUALITY

A comprehensive and holistic conceptual strategy for results-based management is in place and there is commitment for it.

### INDICATIVE OUTCOMES

- Enhanced common understanding of results-based management, its rationale and its implications throughout the organization
- Enhanced ability to strategically allocate and commit resources to support mainstreaming efforts of results-based management
- Enhanced transparency and consistency in internal and external communication about the organizational management strategy

### PERFORMANCE INDICATORS

A clear conceptual strategy for mainstreaming results-based management should:

- Build upon an assessment of a baseline situation in the organization, particularly in areas where changes are deemed necessary
- Seek to build on inclusive participation of the organization's stakeholders in its design
- Specify the rationale for mainstreaming results-based management in the context of the organization
- Specify the key principles of the results framework and in managing for results*
- Include clear definitions of results-based management concepts and techniques*
- Specify expected outcomes from mainstreaming results-based management and the key success factors
- Define the indicators of achievement
- Identify the implications and requirements of mainstreaming results-based management, emphasizing all levels*
- Specify the required resource allocation according to implications and requirements
- Link results-based management initiatives with other organizational reform processes
- Provide a time-bound road map for implementing a results-based management strategy*
- Be endorsed by senior managers and governing bodies*

# Component 1.2. Change management framework

| Management areas | PILLARS | Components | | |
|---|---|---|---|---|
| Strategic management | 1. Results-based management | 1.1. Results-based management strategy | **1.2. Change management framework** | 1.3. Accountability framework |

## DESCRIPTION

In the context of results-based management, emphasis is placed on the development of a results culture where staff act as knowledge workers and engage in critical inquiry and transformative learning (double-loop learning) in understanding and addressing complexity in the achievement of outcomes. In this regard, mainstreaming results-based management requires not only new procedures and tools but also changes in mindsets and ways of doing business for all staff in the organization. This puts an important emphasis on change management, and in leading the "people side" of change. It seeks to identify specific actions and strategies to ensure a smooth transition in the integration of the new business principles into existing systems, functions, practices and behaviours. In the context of results-based management, a change management framework should seek to empower all staff within the organization and establish the basis for the development of an enabling environment that values generative learning that enhances the capacity of the organization to innovate in order to achieve results (see also pillar 3).

## OUTPUT QUALITY

An operational change management framework supporting behavioural change, in line with the results-based management strategy, is established in the organization.

## PERFORMANCE INDICATORS

A change management framework supporting the mainstreaming of results-based management should do the following to enhance success:

- Prioritize mechanisms that focus on the development of a results culture rather than on ensuring compliance with new tools and procedures
- Identify skills, knowledge and behaviours required for mainstreaming results-based management in the organization and create a plan for enhancing behaviour change
- Identify and define measures to reinforce and sustain changes in new practices and behaviours
- Identify levels of employee resistance and define processes and tools to manage it
- Define how supervisors' and managers' involvement will be supported and sustained during the change process
- Identify and support key champions within the organization and results-based management sponsors within management and staff
- Define a comprehensive communications plan for mainstreaming results-based management processes aimed at creating awareness and desire for expected behavioural change
- Be supported by a clear monitoring plan that tracks progress, identifies obstacles or disincentives and adopts corrective measures

## INDICATIVE OUTCOMES

- Increased understanding, acceptance and commitment to the change process by the organization's staff
- Enhanced ownership and buy-in of the change process within the organization

## Component 1.3. Accountability framework

| Management areas | PILLARS | Components | | |
|---|---|---|---|---|
| Strategic management | 1. Results-based management | 1.1. Results-based management strategy | 1.2. Change management framework | 1.3. Accountability framework |

### DESCRIPTION

Accountability refers to the obligation to demonstrate that work has been conducted in compliance with agreed rules and standards. In the results-based management system, focus is given to accountability for the achievement of the results of the organization, and of the United Nations system as a whole. Each level in the hierarchy of results, as defined in the corporate strategic framework, implies accountability. While accountability for the use of inputs and delivery of outputs rests with the organization, accountability for outcomes is usually beyond the control of an organization, requiring inputs from other stakeholders and/or certain conditions in the overall environment where results are sought (see pillar 5). This makes it difficult to hold organizations accountable for the achievement of outcomes. In the context of results-based management, accountability beyond inputs and outputs should be tied to the organization's responsibility in influencing and ensuring progress towards the achievement of outcomes. This puts greater emphasis on the analysis of conditions of success and risk factors. Key functions supporting accountability (i.e., monitoring, evaluation, audits and inspections) are aligned and provide information that supports managing for the achievement of results.

### OUTPUT QUALITY

Accountability at all levels of results (inputs, outputs, outcomes, impact), as well as the conditions of success and risk factors and their assessment, is based on relevant management information provided by credible oversight functions.

### PERFORMANCE INDICATORS

The organization's results-based accountability system should meet the following criteria:

- Accountability is based on the assessment of not only the degree of achievement of expected results but also the demonstration of competencies required in managing for results, including managing challenges, conditions of success and unintended consequences*
- The legal framework of the organization is reviewed to enable the adequate delegation of authority and identify potential bottlenecks to managing for results*
- Accountability for results is applicable at all levels, from the top down (vertical accountability)*
- Accountability for results also addresses the responsibility: (a) for partnering with others for achieving outcomes (i.e., horizontal/mutual accountability for achieving higher-level results); (b) influencing others to support the achievement of outcomes; and (c) sharing information for global use
- The accountability framework reflects the roles and responsibilities defined in the organization's strategy and change management framework for results-based management
- Performance-oriented systems of accountability replace traditional, compliance-based systems wherever applicable, resulting in an increase in performance assessment*
- Effective monitoring, evaluation, inspection and reporting systems provide objectively derived evidence that is valid and useful, explaining the what, why and how, and providing clear recommendations to guide decision-making and action aimed at enhancing the organization's contribution to its strategic goals*

### INDICATIVE OUTCOMES

- Enhanced transparency and objectivity in assessing responsibilities in the results (successes or failures) of the organization
- Enhanced ability to identify and manage risks
- Enhanced ability to identify areas where strategic partnerships are required to achieve results

**PILLAR 2: Planning, programming, budgeting and human resources management**

## Rationale

From a development cooperation point of view, the results agenda matters if it contributes not only to organizational effectiveness but also to long-term sustainable improvements in the lives of people in the world. Results should be linked to the higher-level organizational objectives that are aligned with organizational mandates, with internationally agreed Conventions and in some cases with national goals and priorities. The organization has long-term strategic plans that contain performance indicators for the measurement of corporate organization-wide strategic goals. These should be aligned with operational (programme and/or project) objectives and indicators and to risk management indicators or measures. The strategic and operational objectives and indicators should have a logical linkage no matter how loosely defined. It is important to align operational results frameworks with strategic priorities and the critical demand of stakeholders, thus making them manageable while also meaningful. Planning, programming and budgeting are the road map for priority-setting, and provide the basis for strategic decision-making based on performance. Results are tied to their corresponding resources through budgeting and human resources planning policies.

## Some expected outcomes

- *Enhanced logical linkages and internal coherence and coordination in the planning and programming processes for results at all levels within the organization*
- *Increased optimization of resources towards the achievement of results at all levels*
- *Enhanced transparency and coherence in the planning, allocation and use of resources (human and financial) within the organization*
- *Enhanced ability for decision makers to assess progress and to take informed decisions aimed at improving the organization's contribution to internationally agreed goals*
- *Enhanced linkages with the organization's accountability framework*

## Components

# Component 2.1. Corporate strategic results framework and strategic planning

| Management areas | PILLARS | Components | | | | |
|---|---|---|---|---|---|---|
| Operational management | 2. Planning, programming and budgeting | 2.1. Corporate strategic results framework | 2.2. Results frameworks for programmes and projects | 2.3. Results measurement system | 2.4. Results-based budgeting | 2.5. Human resources management |

## DESCRIPTION

The corporate strategic results framework should rest on a vision of achieving the mandate of the organization and of the United Nations system as a whole, as part of the United Nations reform agenda for coherence with regard to common outcomes. It defines the "long-term", "medium-term" and "short-term" objectives of the organization in achieving its goals. The pressure to account for clear and manageable results should not lead organizations to focus exclusively on the short-term. Focusing on the long-term development changes requires analyses on how results interlink over time and across sectors. The sound use of the theory of change can aid in understanding these linkages. Such an approach requires strong monitoring and analytic capacities at all levels (see pillar 3).

## OUTPUT QUALITY

The organization's mandate and vision for change is translated into an operational long-term and medium-term plan within a clearly defined results framework.

## INDICATIVE OUTCOMES

- Enhanced common understanding with regard to the strategic results that the organization is committed to achieving
- Enhanced transparency in assessing accountability for successes and/or failures
- Enhanced transparency in the organization's planning and prioritization process for programmes and projects
- Enhanced ability to objectively prioritize resource allocations based on contributions to strategic goals
- Enhanced internal coherence in the organization's undertakings

## PERFORMANCE INDICATORS

A high-quality corporate strategic results framework does the following:

- Sets strategic goals for the organization based on a strong analysis of contributions to development, the comparative added value to the organization* and the roles of all other partners and actors
- Provides a transparent and aggregated overview of both the development objectives and the institutional objectives of the organization
- Defines the long-term and medium-term objectives to support the strategic goals and establish the performance indicators and means for measurement (quantity, quality, time)*
- Shows the logical linkage and alignment between the long-term and medium-term objectives and the organization's operations (programmes/projects) and institutional corporate/organization-wide set-up
- Is supported by a theory of change which identifies assumptions and risks, including mitigation plans, to facilitate the achievement of the organizational strategy
- Shows linkages among strategy, priorities and resources required, and identifies the sources of financing (results-based budget) in a given period of time (regular and extrabudgetary resources)
- Builds on stakeholder involvement and participation to enhance relevance and ownership and thus commitment*

# Component 2.2. Results frameworks for programmes and projects

| Management areas | PILLARS | Components | | | | |
|---|---|---|---|---|---|---|
| Operational management | 2. Planning, programming and budgeting | 2.1. Corporate strategic results framework | 2.2. Results frameworks for programmes and projects | 2.3. Results measurement system | 2.4. Results-based budgeting | 2.5. Human resources management |

## DESCRIPTION

Developing a results framework to measure and report on results for projects and programmes has been an area of key focus in the adoption of results-based management in many organizations. Critical success criteria include: (a) creating logical linkages with organizational strategic goals and in some cases with national priorities; (b) establishing internal logic in the levels of results to be achieved; (c) establishing performance indicators describing the identified result; and (d) establishing the means for measurement. The programme and project logic model also outlines the broader context and the conditions for success, risk factors and the management partnerships required for the achievement of desired changes or to create the conditions for change to happen. Other success criteria include developing a manageable results framework that is aligned with priorities. This involves limiting the number of indicators in order to address strategic priorities and respond to critical demands.

## OUTPUT QUALITY

All programmes and projects contribute to strategic corporate-level priorities and their contribution to these priorities is measurable.

## INDICATIVE OUTCOMES

▪ Enhanced ability of the organization to track and assess its contribution to the organization's strategic goals and internationally agreed goals
▪ Enhanced coherence and linkages between the different levels of the organization's accountability framework
▪ Enhanced transparency and internal coherence in the design and implementation of the organization's programmes and projects

## PERFORMANCE INDICATORS

- Programmes and projects are prioritized based on an assessed contribution to strategic priorities, as defined in the corporate strategic results framework
- The results hierarchy is developed highlighting the logical causal linkages for achieving the desired outcome and impacts; tautologies are eliminated and sequential logic is avoided (vertical logic and linkages)*
- The results of the programmes and projects are defined in operational terms and are SMART (specific, measurable, attainable, realistic, time-bound)
- The conditions for success and risk factors in achieving the intended outcomes are identified, and are monitored during implementation
- The plan for monitoring and evaluating the programmes and projects is well defined
- There is a clear focus on addressing cross-cutting themes that enhance sustainability and impact to include national capacity development, human rights and gender equality, environmental sustainability, United Nations coherence, mutual agreement and alignment with partners' interventions with national systems
- The development of the results framework and indicators is done in an inclusive and participatory fashion to enhance engagement and ownership
- The framework is endorsed by its stakeholders

# Component 2.3. Results measurement system

| Management areas | PILLARS | Components | | | | |
|---|---|---|---|---|---|---|
| Operational management | 2. Planning, programming and budgeting | 2.1. Corporate strategic results framework | 2.2. Results frameworks for programmes and | **2.3. Results measurement system** | 2.4. Results-based budgeting | 2.5. Human resources management |

## DESCRIPTION

Results-based management requires performance measurement for effective management: if you cannot measure (quantity or quality metrics), you cannot manage. A performance measurement system requires quality and timely measurement of the strategic and operational indicators and the production of credible information that is critical to supporting decision-making in managing for results. Data collection includes outcomes in addition to the measurement of inputs, activities and outputs. The measurement system provides the basis for monitoring and reporting. The results measurement system is given full recognition in the organization and necessary resources for its operationalization are provided.

## OUTPUT QUALITY

Professionally robust and credible results measurement systems and mechanisms are in place, and measures to enhance the sustainability of producing quality data and analysis are established and made operational.

## PERFORMANCE INDICATORS

A high-quality performance measurement system does the following:

- Has a clearly defined purpose: it measures results indicators as demanded by the results frameworks (at strategic and operational levels) and key stakeholders, while adopting a balanced approach to varying demands for accountability, learning and improvement, and policy development
- Meets agreed professional quality standards and norms that deliver credibility and robustness (validity, reliability) including: (a) the standardization of procedures for administration and other methods to limit error; and (b) the provision of a context or ecological and cultural validity (e.g., incorporates context and cultural factors that affect measurement)
- Addresses demands for results reporting, monitoring and evaluation to support decision-making
- Seeks to capitalize on the availability of other measurement systems (national systems, coordination and participative mechanisms) in order to provide comparability
- Prioritizes resource allocations for measurements of priority strategic results
- Measures quality assurance, ethical codes of conduct and risk management
- Defines competencies for measurement and statistical analysis and has measurement specialists and statisticians that work to support the results-based management
- Has close linkages with the statistical and evaluation functions of the organization in the development of a measurement strategy

## INDICATIVE OUTCOMES

- Common understanding of data provided from indicators (content and construct validity)
- Enhanced standardizations and comparability in the measurement of results within the organization
- Increased confidence in and use of the aggregated data reported to stakeholders to inform decision-making
- Enhanced capacity of the organization to measure its contribution to strategic and internationally agreed goals

# Component 2.4. Results-based budgeting

| Management areas | PILLARS | Components | | | | |
|---|---|---|---|---|---|---|
| Operational management | 2. Planning, programming and budgeting | 2.1. Corporate strategic results framework | 2.2. Results frameworks for programmes and | 2.3. Results measurement system | 2.4. Results-based budgeting | 2.5. Human resources management |

## DESCRIPTION

The core objective of results-based budgeting, sometimes described as performance-based budgeting, is to improve and provide an objective basis for budget prioritization. This means using information on the costs and benefits of alternative programmes and projects to facilitate decisions about budget prioritization based on needs, performance and contributions to strategic objectives. The budget allocation and resource mobilization activities are guided with a view to maximizing contributions to the organization's objectives and its goals in managing for results. In this context, budget formulation revolves around a set of predefined objectives and expected results. Expected results justify the resource requirements, which are derived from and linked to outputs required to achieve such results, and actual performance in achieving results is measured by objective performance indicators, as defined in the corporate results framework.

## OUTPUT QUALITY

The organization's resource mobilization and allocation strategy is aligned with its objectives and priority needs based on their assessed contributions to strategic objectives.

## INDICATIVE OUTCOMES

- Enhanced transparency in the allocation and use of financial resources within the organization
- Enhanced ability to identify resource needs and priorities for resource mobilization efforts
- Enhanced capacity for the organization to reflect, and demonstrate relative value for money

## PERFORMANCE INDICATORS

- The budget is formulated with a long-term strategic and institutional results forecast in view (not activities)*
- Budget documents account for both regular budget resources and extrabudgetary resources
- Resource allocation is by outcome and is linked to the prioritization of funds for programmes/projects based on expected levels of contribution to the strategic goals, and for enhancing impact and sustainability
- Adequate cost-accounting policies support the results-based funding allocation aligned with agreed quality standards (International Public Sector Accounting Standards, rules and regulations)*
- Funds availability and use is updated, based on updated forecasts that take into account indicators of progress and resource gaps (amount of funds needed to complete the achievement)
- Performance against budget (execution) is periodically assessed, and underperforming, obsolete or marginal programmes and activities are identified for sound decision-making tied to their relevance in achieving outcomes*
- Risk management is performed to prevent underfunding for projects that have a high priority for strategic results
- The development of budgets as well as the decisions on major deviations are participatory (e.g., across units in the same organization, other United Nations organizations, etc.)
- Structured financial dialogues, bringing together donors and the organization's constituents, are organized to discuss funding based on strategic priorities

## Component 2.5. Human resources management

| Management areas | PILLARS | Components | | | | |
|---|---|---|---|---|---|---|
| Operational management | 2. Planning, programming and budgeting | 2.1. Corporate strategic results framework | 2.2. Results frameworks for programmes and | 2.3. Results measurement system | 2.4. Results-based budgeting | 2.5. Human resources management |

### DESCRIPTION

Human resources (staff at every level of the hierarchy) are tied to the strategic objectives. Corporate (organization-wide) and/or operational (project/programme) levels are planned and managed in response to results achievement.

### OUTPUT QUALITY

Human resources policies and systems are driven by requirements and needs are assessed to enhance the organization's ability to achieve its strategic objectives.

### INDICATIVE OUTCOMES

- Enhanced capacity to strategically assign staff for the achievement of results based on their competencies and performance within the organization
- Enhanced alignment of staff competencies with the requirements identified to achieve results
- Increased relevance in the selection of training provided to staff within the organization

### PERFORMANCE INDICATORS

Within a results-based management system, human resources policies and systems should apply the following principles:

- Human resources needs are established and updated based on a periodic capabilities assessment guided by the need to enhance the achievement of the organization's strategic objectives*
- Competency frameworks, job categories and profiles are established, aligned with accountability frameworks and harmonized across the organization
- Capacity development initiatives support the internalization of competencies according to job profiles
- Staff is recruited/mobilized based on competencies identified as key to the delivery of strategic results*
- Mobility policies support career development for staff, and are guided by the need to enhance contribution to strategic results
- Policies include risk management (e.g., codes of conduct, backup trainees, succession plans, etc.)
- Individual performance expectations are aligned with organizational goals; performance is assessed based on respective unit/department results frameworks and the organizational strategic results*
- Performance management systems cover all staff within the organization, including senior leadership
- Performance management systems use appropriate and balanced measures of achievement of goals and of performance against the organization's competencies framework*
- Performance management systems ensure consistency and transparency in assessment throughout a given organization
- Incentives are established at individual and organizational unit/department levels, as appropriate*
- Performance management systems identify and address staff developmental needs, and also identify and address chronic underperformance*

## PILLAR 3: Monitoring, evaluation and reporting

### Rationale

The monitoring, evaluation and reporting functions need to operate in an integrated manner to support the production and dissemination of credible and meaningful evidence on performance of the organization against its expected results, at all levels, in order to inform decision-making processes for the improvement or selection of alternatives and to support the accountability for results. Monitoring assesses the attainment of defined indicators and set targets and the progress toward the attainment of outcomes, and makes recommendations for improvement and corrections needed to achieve outcomes. It is thus a strategic monitoring process, which differs from compliance monitoring. Evaluation is a judgment of value or worth in achieving outcomes and other higher-order results, and has the strategic function of assessing the comparative added value in a context of multiple actors and partners who support interventions. It serves as an agent of change in guiding the organization in the decision-making process for organizational direction-setting and in setting goals and actions in the future. A results reporting system makes available to decision-makers and stakeholders the information from monitoring, reviews, inspections and evaluations, presented in a way that enhances the use of the information to support decision-making. Results reporting processes should ensure the timely sharing and dissemination of performance evidence and explanations to enhance their integration into decision-making processes.

### Some expected outcomes

- *Enhanced availability of and accessibility to credible, timely and meaningful performance evidence to inform decision-making processes*
- *Enhanced capacity of the organization to generate and internalize knowledge based on its progress towards the achievement of its strategic goals*
- *Enhanced credibility and confidence in the internal and external use of results evidence and performance data by stakeholders*
- *Enhanced internal coherence between the existing knowledge base and the functions involved in the production of performance evidence within the organization*
- *Increased ability of the organization to make informed management and strategic decisions during and after the implementation of policies, programmes and projects*

### Components

| Management areas | PILLARS | Components | |
|---|---|---|---|
| Accountability and learning management | 3. Monitoring, evaluation and reporting | 3.1. Performance monitoring | 3.2. Results reporting |
| | | 3.3. Evaluation | 3.4. Management information system |

# Component 3.1. Performance monitoring

| Management areas | PILLARS | Components | | | |
|---|---|---|---|---|---|
| Accountability and learning management | 3. Monitoring, evaluation and reporting | **3.1. Performance monitoring** | 3.2. Results reporting | 3.3. Evaluation | 3.4. Management information system |

## DESCRIPTION

Results-based management requires a robust management system for monitoring based on evidence accumulated through the careful tracking of the attainment of results. This involves a continuous and systematic process of collecting and analysing data and management information to provide ongoing feedback to fine-tune the implementation strategy as well as to consider the reforming of policies as required. A performance monitoring system seeks to determine progress made towards the attainment of outcomes by measuring a set of key performance indicators that inform on the delivery of outputs, as well as indicators that inform on the causal linkage between outputs achieved and expected outcomes. Monitoring collects dynamic information according to specifications, validates the assumptions or theory of change made during the project formulation and supports the use of such information for problem-solving by key actors. In the context of results-based management and its focus on outcomes, greater emphasis is placed on identifying proxy indicators that reflect contribution or progress towards outcomes, and the monitoring of conditions of success and risks related to the external environment. This should apply to all programmes, projects or other undertakings of the organization.

## OUTPUT QUALITY

A monitoring system enables the tracking of progress towards the achievement of strategic results and the making of pertinent adjustments in implementation strategies to enhance the achievement of results.

## PERFORMANCE INDICATORS

Results-based performance monitoring should:

- Assess actual results against intended results (against baseline and target measures)* and their evolution in the context in which results are expected to occur
- Identify the proxy indicators that are significant for tracking progress towards the achievement of outcomes
- Adopt a balanced and complementary approach to the identification of both quantitative and qualitative indicators* in order to include information on perception/opinions/judgments of change among stakeholders
- Capture information on the successes and failures/challenges of the implementation strategy
- Be fully integrated and costed as part of implementation activities
- Be based on a clearly defined framework with a solid technical basis for data collection and the assessment of indicators (baselines, valid and reliable measurement methods, analytical tools) to explain factors affecting intervention
- Assign clear responsibilities for the collection and analysis of performance data and competencies required*
- Be supported by specialized personnel or those trained in defined competencies for monitoring and formative evaluation for improvement, who are assigned to conduct monitoring and are independent of the entity being evaluated*

## INDICATIVE OUTCOMES

- Timely availability of performance information to assess progress towards intended results of policies, programmes and projects during and after their implementation
- Increased availability of valid and credible performance data for more effective and efficient reviews and evaluations
- Increased ability for decision makers to take informed and timely management decisions
- Enhanced culture of continuous learning and self-directed continuous improvement and innovation while project is still in process

# Component 3.2. Results reporting

| Management areas | PILLARS | Components | | | |
|---|---|---|---|---|---|
| Accountability and learning management | 3. Monitoring, evaluation and reporting | 3.1. Performance monitoring | **3.2. Results reporting** | 3.3. Evaluation | 3.4. Management information system |

## DESCRIPTION

Results-based reporting shifts attention away from reporting focused on activities to communicating important information about key activities, outputs and the resulting outcomes or changes associated with the output strategy. Reporting is tied to stakeholder demands and intention to use the information being provided. This includes reporting to governing bodies, executive management and at the programming management level, as well as to reporting partners and at the national level as deemed pertinent for some organizations. The objective is accountability, improvement and the development of knowledge systems at organizational and global levels.

## OUTPUT QUALITY

Comprehensive, integrated and credible performance stories address the results information needs of stakeholders to support decision-making, while highlighting what works and what does not, and adjustments needed.

## INDICATIVE OUTCOMES

- Enhanced ability for decision makers to take informed decisions aimed at improving an organization's contribution to strategic results and internationally agreed goals
- Enhanced confidence in the use of results reports for decision-making
- Increased use of results reports to support internal and external communications

## PERFORMANCE INDICATORS

The production of comprehensive and credible results reports requires a results reporting system that:

- Is based on a clear indication of demand and intention to use the information
- Identifies and targets its audience/stakeholders
- Provides clear guidance on reporting expectations and standards
- Is aligned with decision-making cycles
- Is aligned with the cycles of other knowledge-generative functions

A credible results report should be clear and well substantiated and do the following:

- Provide an analysis of consistency or discrepancy between planned (expected results) and actual results (against baselines and targets)
- Report results that cover the different levels of the results chain and their logical linkages (activities, outputs, outcomes, impact)
- Ensure there is sufficient data to describe/demonstrate linkages between activities undertaken, their outputs and their observed or hypothesized effects

**Component 3.2. Results reporting (continued)**

**OUTPUT QUALITY**

Comprehensive, integrated and credible performance stories address the results information needs of stakeholders to support decision-making, while highlighting what works and what does not, and adjustments needed.

**INDICATIVE OUTCOMES**

- Enhanced transparency in how the organization progresses and how it is achieving results

**PERFORMANCE INDICATORS (continued)**

A credible results report should be clear and well substantiated and do the following:

- Demonstrate progress in achieving strategic/corporate-level priorities and/or internationally agreed goals
- Explain the reasons for over- and/or underachievement, and provide an analysis of performance (where strong, weak, reasons, etc.) and recommendations or reflections on alternatives or other lessons learned
- Highlight any unforeseen problems or opportunities that may require new strategies or a redesign of the initiative
- Identify key success factors or obstacles in achieving results and highlight where there is potential for wider lessons learned
- Recognize fully the involvement of others (partners, stakeholders, rights holders) and their contribution to the observed results and progress towards the outcomes
- Sets out actions needed to improve performance or make adjustments to achieve results and outcomes.

## Component 3.3. Evaluation

| Management areas | PILLARS | Components | | | |
|---|---|---|---|---|---|
| Accountability and learning management | 3. Monitoring, evaluation and reporting | 3.1. Performance monitoring | 3.2. Results reporting | **3.3. Evaluation** | 3.4. Management information system |

### DESCRIPTION

Evaluation is a judgment of an activity, project, programme, strategy, policy, topic, theme, sector, operational area or institutional mechanism. It provides information that is credible, reliable and useful, enabling the timely incorporation of findings, recommendations and lessons learned into decision-making processes. It is based on a method of critical inquiry driven by the need to provide valid and useful information to support management decision-making and strategic action. It questions whether the organization is doing the right things (e.g., are we doing things right, are we ensuring sustainability and impact?) It uses a systematic process, applied professional standards and knowledge of context and culture to enhance the credibility, validity, reliability and utility of information provided. Within a results-based management system, the evaluation function seeks to play the role of agent of change and transformation, going beyond the tendency to focus on accountability to focusing on transformative learning aimed at enhancing the organization's contribution to long-term results.

### OUTPUT QUALITY

Evaluations provide robust evidence and credible explanation of achievements or progress towards strategic results, and serve as a basis for strategic direction-setting.

### INDICATIVE OUTCOMES

- Enhanced and increased availability of credible and useful evaluative evidence and explanations on the organization's performance levels
- Increased ability of the organization to generate lessons learned on performance for internal and external use

### PERFORMANCE INDICATORS

A results-oriented evaluation function should:

- Examine the relevance of interventions to outcomes and longer term goals
- Examine the hypothesized causal linkages (attribution and contribution) in results logic
- Examine contextual factors of causality to understand and explain achievement or the lack thereof
- Examine the added value or difference made by the organization, which guides strategic decision-making
- Examine the comparative added value in systems context, with due regard to the multiple actors involved in the intervention
- Evaluate the achievement of intended and unintended outcomes and implications
- Provide an assessment of implications of evaluative evidence for direction-setting and future action
- Align its evaluation plans with organizational strategic priorities and principles to enhance its utility in supporting the attainment of management for results
- Carry out ex ante evaluations and appraisal evaluations to guide the design of interventions

**Component 3.3. Evaluation (continued)**

### OUTPUT QUALITY

Evaluations provide robust evidence and credible explanation of achievements or progress towards strategic results, and serve as a basis for strategic direction-setting.

### INDICATIVE OUTCOMES

- Increased capacity of the organization to introduce innovations in its programmatic approach, aimed at improving its performance/progress towards strategic results
- Enhanced clarity in the contribution of projects, programmes and policies to strategic results and internationally agreed goals

### PERFORMANCE INDICATORS (continued)

A results-oriented evaluation function should:

- Prioritize formative evaluation and make use of methodologies conducive to learning (meta-evaluations and synthesis, participatory approaches, etc.)
- Seek to stimulate demand for evaluation evidence and the use of its findings, notably through investments in communication capacity*
- Support efforts to enhance the development of national capacities for results-based management and evaluation
- Support the evaluability of interventions and provide clear guidance for enhancing the measurement and monitoring systems
- Seek to balance the need for evidence to inform accountability and the need for evidence of transformative learning to enhance the achievement of outcomes and impacts
- Seek to align its evaluation plans with plans of other relevant stakeholders within or outside the United Nations system to enhance efficiencies and economies as well as complementarities with other knowledge-generating functions

# Component 3.4. Management information system

| Management areas | PILLARS | Components | | | |
|---|---|---|---|---|---|
| Accountability and learning management | 3. Monitoring, evaluation and reporting | 3.1. Performance monitoring | 3.2. Results reporting | 3.3. Evaluation | 3.4. Management information system |

## DESCRIPTION

The aim of a management information system is to maximize relevance and efficiency in the accessibility of performance data available to support decision-making. Management information systems should strive to provide efficient solutions to make strategic performance easily available and accessible within an organization.  In order to provide past, present and prediction information, a management information system can include: financial management systems; asset management systems; human resources management systems; project management systems; and knowledge database systems. Given the integrated nature of strategies, programmes, projects, budgeting and human resources management, a management information system that supports results-based management has to be integrated on multiple levels and designed in a way that enhances both quality and efficiency in the information it provides to support decision-making processes.

## OUTPUT QUALITY

Integrated management information systems support the timely availability of strategic and operational performance information to support decision-making processes.

## PERFORMANCE INDICATORS

The development of management information systems* should be supported by a strategy that:

- Continuously seeks to enhance the integration of strategic and operational (programme/project) performance data available within the organization
- Recognizes the cause-effect relationships between use behaviours and the organization's requirements, the technological architecture and infrastructure, and the governance model of the information management
- Ensures alignment with the corporate strategy of the organization
- Establishes and determines priorities for information management value initiatives for the organization
- Has an organized growth path for the information management platforms and detects synergies between the different information systems
- Leverages and exploits the investments already made in technology
- Takes stock of best practices, lessons learned and regular users' feedback on information management practices
- Is implemented by a dedicated unit

## INDICATIVE OUTCOMES

- Enhanced ability within the organization to reflect back on past performance in order to guide future decisions
- Enhanced capacity to make informed tactical and strategic decisions within the organization with speed
- Enhanced relevance and efficiency in the accessibility of data within the organization
- Increased ability for all staff within the organization to self-evaluate their progress towards results
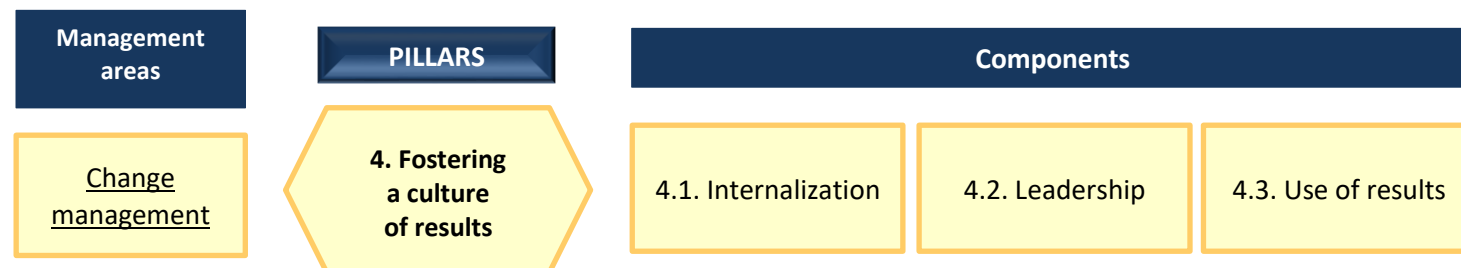
# PILLAR 4: Fostering a culture of results

## Rationale

Managing for results requires more than technical capacities and compliance with a set of new procedures and tools. It requires a strong and mature results culture among all stakeholders. Mainstreaming results-based management implies a change process in all aspects of planning, management and accountability systems. It also implies changes in the mindset and values that guide individual and collective behaviours within the organization towards a results culture. A results culture is characterized by engaging in critical reflection and self-evaluation, engaging in evidence-based learning and encouraging experimentation and change, at all levels of the organization. Thus, underlying a culture of results is a clear and shared vision of the perceived value of results information and the role it should play in managing the organization, and of its performance in achieving result outcomes. This puts an important emphasis on the use of results-based evidence in decision-making. This requires investments to enhance the capacity to implement results-based management, including having the requisite technical and professional competencies in staff and managers (internalization). It also requires the integration of these values in individual performance expectations, and the provision of incentives for staff to adopt new behaviours. However, increased technical abilities and holding people accountable may not be enough to support behavioural changes and sustain a results culture. In supporting such behavioural changes, executive heads, senior leadership and managers have a critical role to play in supporting the development of such a culture, and should provide consistent leadership in results management and manage expectations for results management. They need to act as agents of change not only by enabling their staff but also by visibly and consistently demonstrating their commitment to results-based management, thus providing role models to the staff of their organization.
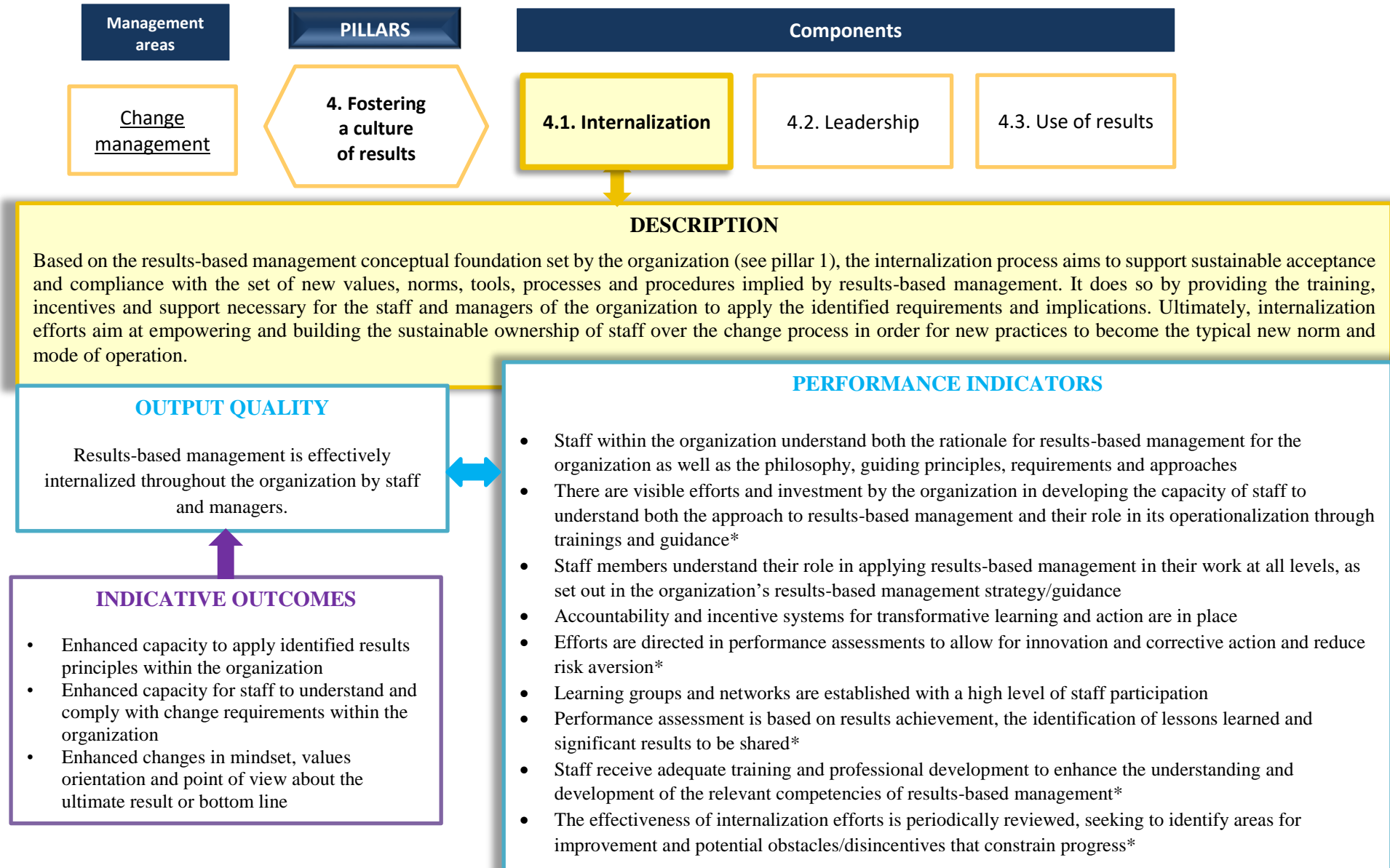
## Some expected outcomes

- *Enhanced demand for and use of results information within the organization*
- *Enhanced sustainability in the behavioural change (values and practices) expected from the change process implied by mainstreaming results-based management*
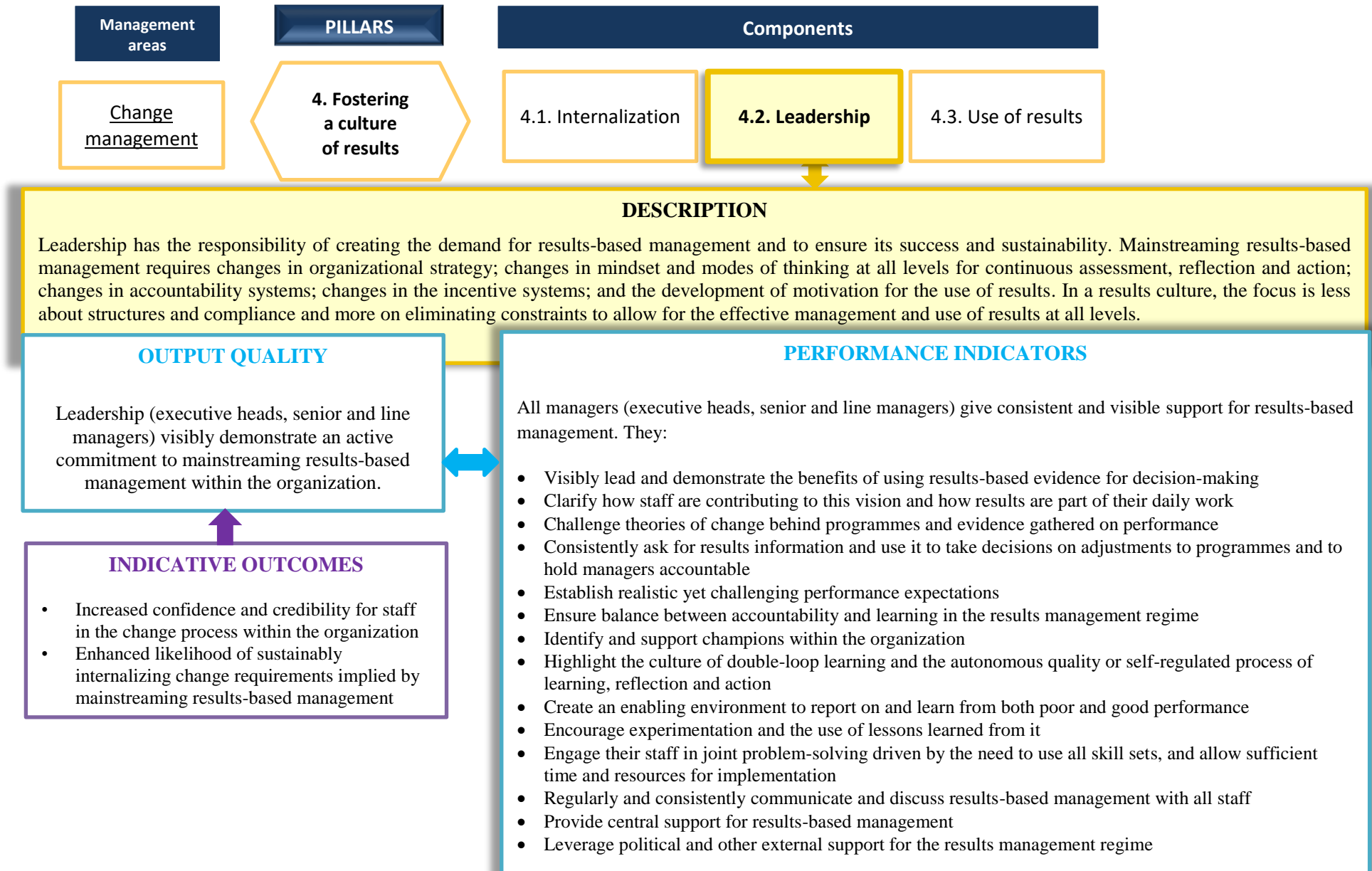- *Increased capacity and commitment to results principles within the entire organization*
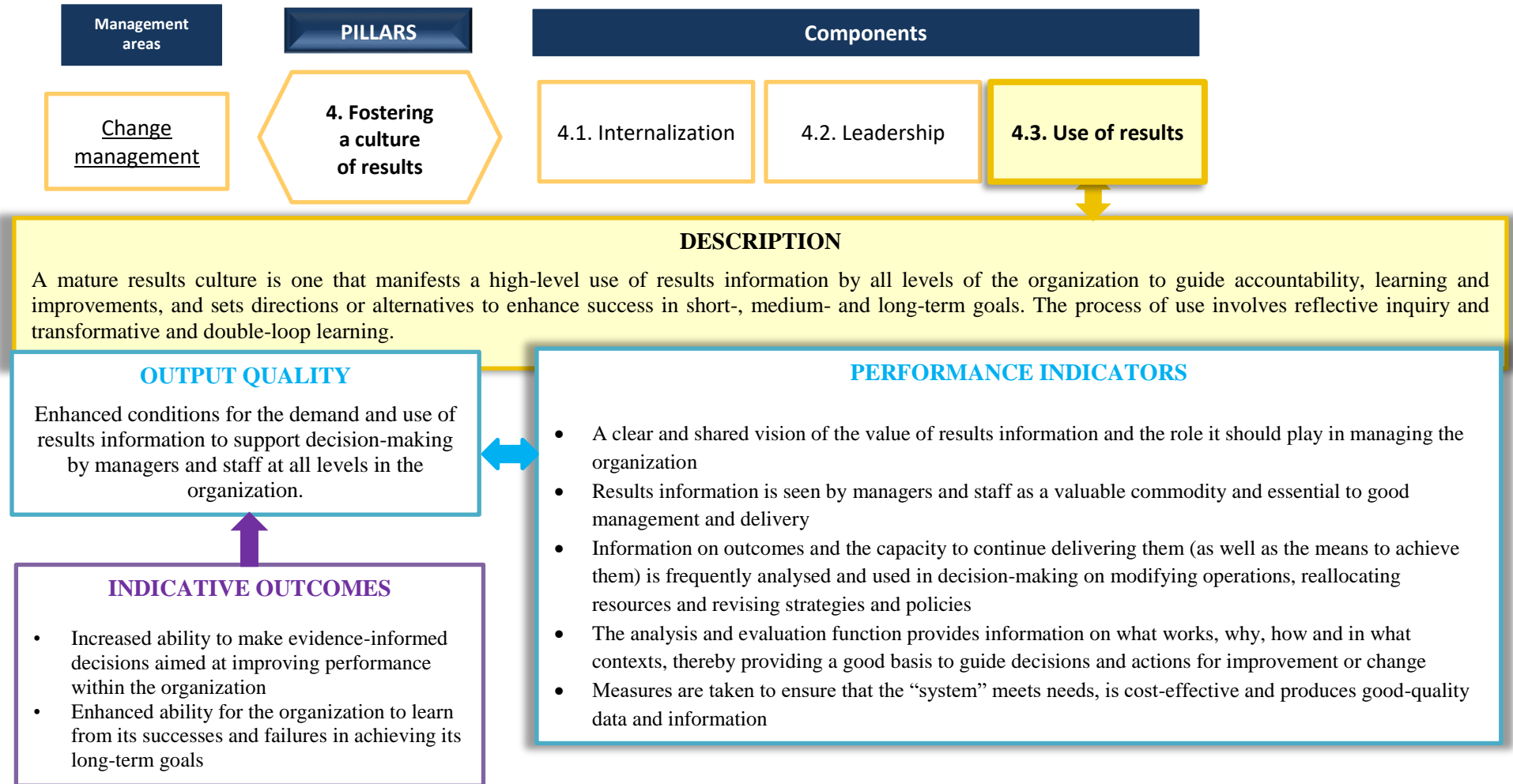
## Components

# Component 4.1. Internalization

| Management areas | PILLARS | Components | | |
|---|---|---|---|---|
| Change management | 4. Fostering a culture of results | 4.1. Internalization | 4.2. Leadership | 4.3. Use of results |

## DESCRIPTION

Based on the results-based management conceptual foundation set by the organization (see pillar 1), the internalization process aims to support sustainable acceptance and compliance with the set of new values, norms, tools, processes and procedures implied by results-based management. It does so by providing the training, incentives and support necessary for the staff and managers of the organization to apply the identified requirements and implications. Ultimately, internalization efforts aim at empowering and building the sustainable ownership of staff over the change process in order for new practices to become the typical new norm and mode of operation.

## OUTPUT QUALITY

Results-based management is effectively internalized throughout the organization by staff and managers.

## INDICATIVE OUTCOMES

- Enhanced capacity to apply identified results principles within the organization
- Enhanced capacity for staff to understand and comply with change requirements within the organization
- Enhanced changes in mindset, values orientation and point of view about the ultimate result or bottom line

## PERFORMANCE INDICATORS

- Staff within the organization understand both the rationale for results-based management for the organization as well as the philosophy, guiding principles, requirements and approaches
- There are visible efforts and investment by the organization in developing the capacity of staff to understand both the approach to results-based management and their role in its operationalization through trainings and guidance*
- Staff members understand their role in applying results-based management in their work at all levels, as set out in the organization's results-based management strategy/guidance
- Accountability and incentive systems for transformative learning and action are in place
- Efforts are directed in performance assessments to allow for innovation and corrective action and reduce risk aversion*
- Learning groups and networks are established with a high level of staff participation
- Performance assessment is based on results achievement, the identification of lessons learned and significant results to be shared*
- Staff receive adequate training and professional development to enhance the understanding and development of the relevant competencies of results-based management*
- The effectiveness of internalization efforts is periodically reviewed, seeking to identify areas for improvement and potential obstacles/disincentives that constrain progress*

## Component 4.2. Leadership

| Management areas | PILLARS | Components | | |
|---|---|---|---|---|
| Change management | 4. Fostering a culture of results | 4.1. Internalization | **4.2. Leadership** | 4.3. Use of results |

### DESCRIPTION

Leadership has the responsibility of creating the demand for results-based management and to ensure its success and sustainability. Mainstreaming results-based management requires changes in organizational strategy; changes in mindset and modes of thinking at all levels for continuous assessment, reflection and action; changes in accountability systems; changes in the incentive systems; and the development of motivation for the use of results. In a results culture, the focus is less about structures and compliance and more on eliminating constraints to allow for the effective management and use of results at all levels.

### OUTPUT QUALITY

Leadership (executive heads, senior and line managers) visibly demonstrate an active commitment to mainstreaming results-based management within the organization.

### INDICATIVE OUTCOMES

- Increased confidence and credibility for staff in the change process within the organization
- Enhanced likelihood of sustainably internalizing change requirements implied by mainstreaming results-based management

### PERFORMANCE INDICATORS

All managers (executive heads, senior and line managers) give consistent and visible support for results-based management. They:

- Visibly lead and demonstrate the benefits of using results-based evidence for decision-making
- Clarify how staff are contributing to this vision and how results are part of their daily work
- Challenge theories of change behind programmes and evidence gathered on performance
- Consistently ask for results information and use it to take decisions on adjustments to programmes and to hold managers accountable
- Establish realistic yet challenging performance expectations
- Ensure balance between accountability and learning in the results management regime
- Identify and support champions within the organization
- Highlight the culture of double-loop learning and the autonomous quality or self-regulated process of learning, reflection and action
- Create an enabling environment to report on and learn from both poor and good performance
- Encourage experimentation and the use of lessons learned from it
- Engage their staff in joint problem-solving driven by the need to use all skill sets, and allow sufficient time and resources for implementation
- Regularly and consistently communicate and discuss results-based management with all staff
- Provide central support for results-based management
- Leverage political and other external support for the results management regime

## Component 4.3. Use of results

| Management areas | PILLARS | Components | | |
|---|---|---|---|---|
| Change management | 4. Fostering a culture of results | 4.1. Internalization | 4.2. Leadership | **4.3. Use of results** |

### DESCRIPTION

A mature results culture is one that manifests a high-level use of results information by all levels of the organization to guide accountability, learning and improvements, and sets directions or alternatives to enhance success in short-, medium- and long-term goals. The process of use involves reflective inquiry and transformative and double-loop learning.

### OUTPUT QUALITY

Enhanced conditions for the demand and use of results information to support decision-making by managers and staff at all levels in the organization.

### INDICATIVE OUTCOMES

- Increased ability to make evidence-informed decisions aimed at improving performance within the organization
- Enhanced ability for the organization to learn from its successes and failures in achieving its long-term goals

### PERFORMANCE INDICATORS

- A clear and shared vision of the value of results information and the role it should play in managing the organization
- Results information is seen by managers and staff as a valuable commodity and essential to good management and delivery
- Information on outcomes and the capacity to continue delivering them (as well as the means to achieve them) is frequently analysed and used in decision-making on modifying operations, reallocating resources and revising strategies and policies
- The analysis and evaluation function provides information on what works, why, how and in what contexts, thereby providing a good basis to guide decisions and actions for improvement or change
- Measures are taken to ensure that the "system" meets needs, is cost-effective and produces good-quality data and information

# PILLAR 5: Collective accountability

## Rationale

Managing for the achievement of results inherently requires partnerships and collaborative work. Outcomes, in the context of development and humanitarian interventions, are not generally under the direct control of an agency but subject to the influence of a set of external factors arising from the environment and contributions from other development stakeholders. They therefore constitute a "partnership proposition", to which stakeholders contribute differently based on their respective mandates, capacities and visions for change. Thus, in the context of results-based management and managing for the achievement of outcomes, leveraging the inputs and interventions of all actors who directly or indirectly contribute to a common outcome, with a view to optimizing this contribution to enhance its impact and sustainability, becomes an imperative. This highlights an inherent shared responsibility by all relevant actors who seek to achieve a common or interrelated result at the outcome level, and at higher levels of the results logic, to contribute to a given outcome to sustainably ensure the collective impact and success of all contributions to that same outcome. It also highlights a form of mutual accountability between these actors, as it is the sum of their separate contributions which enables the achievement of outcomes. This aspiration is well reflected in the 2030 Agenda for Sustainable Development, which asks the United Nations system to move beyond coherence and coordination to work in interdependent ways, and places partnerships at the heart of the implementation of the Agenda. In this regard, through its recognized convening power, the United Nations system has a special responsibility to play in convening all players under a common framework and coordinating the actions of a large range of actors, with a view to enhancing commitment to a shared vision for change, strengthening overall coherence in actions, identifying and coordinating mutually reinforcing activities to achieve greater collective impact and enhancing mutual accountability among all stakeholders.

## Some expected outcomes

- *Increased opportunities for streamlining joint planning, implementation, monitoring, evaluating and reporting among partners (delivering as one, evaluating as one, reporting as one)*
- *Optimal use of respective capacities and the comparative added value of United Nations system organizations*
- *Decreased overlaps and duplication between the different interventions of stakeholders*
- *Decreased transaction costs for all stakeholders (recipient countries, donor countries, United Nations organizations and other development partners)*
- *Enhanced complementarities and synergies among the different interventions of all stakeholders at all levels (global, regional, country)*
- *Enhanced harmonization, trust and confidence among partners*
- *Enhanced development outcomes (added value and sustainability)*
- *Enhanced transparency in the analysis of the contribution and added value of stakeholders to the achievement of outcomes*
- *Enhanced confidence and trust of the United Nations system as a single entity with a clearly visible integrated result and contribution*
- *Enhanced ability for the United Nations system to demonstrate its leadership and continued relevance*
- *Improvements in the governance system for joint, subsystem-wide and system-wide interventions, results reporting and evaluation*

## Components

| Management areas | PILLARS | Components | |
|---|---|---|---|
| Responsibility management | 5. Collective accountability | 5.1. United Nations coherence for outcome achievement | 5.2. Alignment between United Nations and other partners for outcome achievement |

## 5.1. United Nations coherence for outcome achievement

| Management areas | PILLARS | Components | |
|---|---|---|---|
| Responsibility management | 5. Collective Accountability | **5.1. United Nations coherence for outcome achievement** | 5.2. Alignment between United Nations and other partners for outcome achievement |

### DESCRIPTION

Mutual accountability refers to the shared obligation to demonstrate to each other that respective responsibilities towards the achievement of results are fulfilled in compliance with agreed rules and standards and to report fairly and accurately on results performance. This obligation may be reflected in a memorandum of understanding in which the roles, responsibilities and accountabilities, as well as the principles for operation, are established. In other cases, the parties provide signatures to a common framework for action, as in the case of the United Nations Development Assistance Framework. The effectiveness of this agreement is enhanced when there is a system holding the parties accountable for the agreement and the results achieved. This is premised upon: (a) a common understanding of the overall results and how the various results of United Nations system organizations are strategically aligned or interrelated with them; (b) common definitions, concepts, measurement principles and standards; (c) a central coordination function for system-wide or joint results; (d) one common format or one set of aligned formats in results reporting; and (e) a governance structure and system for the reporting of joint, inter-agency, subsystem-wide and system-wide results from performance assessments, reviews and evaluations (at strategic, global, regional and country programme levels).

### OUTPUT QUALITY

A legitimate, transparent and coherent framework for collective impact among United Nations system organizations.

### INDICATIVE OUTCOMES

- Increased streamlined reporting and common aggregation information
- Enhanced ability to enforce obligations for results within the United Nations system
- Decrease in transaction costs for all parties (countries, United Nations partners and governing bodies)
- The United Nations system working as one and the transparency of its collective impact

### PERFORMANCE INDICATORS

United Nations coherence in the context of results-based management and the 2030 Agenda for Sustainable Development should include:

- The identification/mapping of relevant parties, guided by an analysis of the degree to which they can influence the achievement of specific Sustainable Development Goals and targets, or the context in which results are expected to occur
- The establishment and agreement of a shared vision for change and a joint approach to implementing change, all of which should be based on dialogue that enables the development of joint approaches to define problems to be tackled, and their solutions
- The definition of a shared measurement system, and a common approach to data analysis, monitoring and evaluation
- The definition of clear roles and responsibilities based on a transparent analysis of mandates and comparative advantages with a view to leveraging existing resources (e.g., expertise, geographical presence, etc.)
- The clear identification of duplications, complementarities and synergies in the delivery of outputs for common outcomes seeking to emphasize mutually reinforcing activities, which may require stronger coordination
- Ensuring that individual agencies formally recognize and endorse the agreement and ensure adequate balance between agency-specific requirements and the requirement for collective impact

**Component 5.1. United Nations coherence for outcome achievement (continued)**

**OUTPUT QUALITY**

A legitimate, transparent and coherent framework for collective impact among the United Nations system organizations.

**INDICATIVE OUTCOMES**

- Enhanced ability for relevant decision-making in the interests of United Nations system
- Enhanced trust and confidence among United Nations organizations
- Enhanced contribution of the United Nations system to development outcomes (added value)
- Enhanced transparency in the implications of failure and success
- Enhanced collaboration to achieve success and sustainability
- Enhanced ability to determine and attribute optimal responsibility levels in the achievement of results among agencies of the United Nations system

**PERFORMANCE INDICATORS (continued)**

United Nations coherence in the context of results-based management and the 2030 Agenda for Sustainable Development should include:

- Ensuring that there is consistent and open communication to and across all players
- A mutual accountability framework based on common outcomes (horizontal accountability across entities, and vertical linking at the global, regional and country levels)
- A system for the enforcement of mutual agreement (incentives and obligations)
- The establishment of common rules of the game for governing bodies to work in aligned and integrated ways
- Support from a backbone support function acting as a coordinating function for collaboration between entities (guides the strategy, supports the alignment of activities and the shared measurement practices, advances policy, mobilizes funding, supports advocacy efforts)

**Component 5.2. Alignment between United Nations and other partners for outcome achievement**

| Management areas | PILLARS | Components | |
|---|---|---|---|
| Responsibility management | 5. Collective Accountability | 5.1. United Nations coherence for outcome achievement | **5.2. Alignment between United Nations and other partners for outcome achievement** |

## DESCRIPTION

A number of conventions drive objectives for mutual accountability, such as the Monterrey Consensus, the Paris Declaration, the Accra Agenda for Action and the Busan Partnership for Effective Development Cooperation. The 2030 Agenda for Sustainable Development complements and strengthens these, recognizing the important changes in a broader context, notably the increased complexity of global challenges and the increasing number of development actors directly or indirectly influencing development results. This puts an important emphasis on mutual accountability among stakeholders in the achievement of results beyond outputs. However, for this to materialize, relevant stakeholders need to be engaged and engage each other under a common framework that drives and supports their collective impact efforts. The United Nations system, through its recognized convening power, has a comparative advantage in as well as a responsibility for the facilitation of multi-stakeholder dialogues for policy and institutional coherence, the coordination of implementation strategies and the monitoring of progress towards the achievements of the Sustainable Development Goals. This should be guided by an aim to leverage all existing capacities and resources and ensure the mutually reinforcing nature of stakeholder interventions towards a common vision for change and the optimization of impact.

## OUTPUT QUALITY

A legitimate, transparent and coherent framework for collective impact among United Nations system and other stakeholders.

## PERFORMANCE INDICATORS

Alignments in the context of results-based management and the 2030 Agenda for Sustainable Development should include:

- The identification of relevant parties, guided by an analysis of the degree to which they can influence the achievement of outcomes, or the context in which results are expected to occur
- The establishment and agreement of a common agenda, a shared vision for change and a joint approach to implementing change, all of which should be based on dialogue enabling the development of joint approaches to define problems to be tackled, and their solutions
- The definition of a shared measurement system, and a common approach to data analysis, monitoring and evaluation
- The definition of clear roles and responsibilities based on a transparent analysis of mandates and comparative advantages with a view to leveraging existing resources (e.g., expertise, geographical presence, etc.)
- The clear identification of duplications, complementarities and synergies in the delivery of outputs for common outcomes seeking to emphasize mutually reinforcing activities which may require stronger coordination

## INDICATIVE OUTCOMES

- Increased streamlined reporting and common aggregation information
- Decrease in transaction costs for all parties (countries, United Nations partners and governing bodies)
- Enhanced relevance and alignment of decision-making with the achievement of national development objectives
- Enhanced collective vigilance and learning with regard to successes/failures

**Component 5.2. Alignment between United Nations and other partners for outcome achievement (continued)**

**OUTPUT QUALITY**

A legitimate, transparent and coherent framework for collective impact among United Nations system and other stakeholders.

**INDICATIVE OUTCOMES**
- Enhanced trust and confidence among partners
- Enhanced development outcomes (added value and sustainability)
- Enhanced transparency in the implications of failure and success
- Enhanced collaboration to achieve success and sustainability
- Increased relevance and alignment of resource mobilization according to national objectives

**PERFORMANCE INDICATORS (continued)**

Alignments in the context of results-based management and the 2030 Agenda for Sustainable Development should include:

- Ensuring that dialogues are comprehensive, open and inclusive, covering all interests of parties involved and all aspects of strategies to achieve results (i.e., valuing the dialogue process as much as the agreement)
- Ensuring that there is consistent and open communication to and across all players
- A multi-stakeholder governance system enabling appropriate representation of all stakeholders involved
- A system for the enforcement of mutual agreement (incentives and obligations)
- Ensuring that individual agencies formally recognize and endorse the agreement and ensure adequate balance between agency-specific requirements and the requirement for collective impact
- A mutual accountability framework based on common outcomes (horizontal accountability across entities, and vertical linking at the global, regional and country levels)
- The establishment of common rules of the game for governing bodies to work in aligned and integrated ways
- Support from a backbone support function acting as a coordinating function for collaboration between entities (guides the strategy, supports the alignment of activities and shared measurement practices, advances policy, mobilizes funding, supports advocacy efforts)

## ANNEX IX. ASSESSMENT METHODOLOGY FOR STAGES OF DEVELOPMENT

| Management areas | Pillars | Components | | | Outcome areas identified in the quadrennial comprehensive policy review |
|---|---|---|---|---|---|
| Strategic management | 1. Results-based management conceptual foundation | 1.1. Results-based management strategy | 1.2. Change management framework | 1.3. Accountability framework | • Improving development results as well as organizational effectiveness (para. 168)<br>• Strengthen and institutionalize results-based management in the United Nations system (para. 168)<br>• Clear and robust results frameworks that demonstrate complete results chains (para. 170)<br>• A more robust, coherent and harmonized approach to operational activities for development, focused on results, which would streamline and improve the planning, monitoring, measurement and reporting on system-wide results (para. 169)<br>• Improving transparency and complementarity in the oversight functions, audits and evaluations across the United Nations system (para. 167)<br>• Improving results tracking and reporting mechanisms (para. 165)<br>• Developing and sustaining a results culture at all levels (para. 166)<br>• Ensuring increased mutual accountability for results-based management and reporting at the country level (para. 171)<br>• Results-based management as an essential element of accountability (para. 164) |
| Operational management | 2. Planning, programming and budgeting | 2.1. Corporate strategic results framework / 2.3. Results measurement system / 2.4. Results-based budgeting | 2.2. Results frameworks for programmes and projects / 2.5. Human resources management | | |
| Accountability and learning management | 3. Monitoring, evaluation and reporting | 3.1. Performance monitoring / 3.3. Evaluation | 3.2. Results reporting / 3.4. Management information system | | |
| Change management | 4. Fostering a culture of results | 4.1. Internalization | 4.2. Leadership | 4.3. Use of results | |
| Responsibility management | 5. Collective accountability | 5.1. United Nations coherence for outcome achievement | 5.2. Alignment between United Nations and other partners for outcome achievement | | |

**Contents**

The present annex for assessing stage of development has three parts.

   ☐ **Part 1: Assessment of stages of development by component**

For each component of the maturity model, there are definitions, expected outputs, specific performance indicators and the stages of development for an organization's self-evaluation. Detailed instructions are provided for assessing the stage of development and factors of influence.

   ☐ **Part 2:  Summary of Assessed Stage of Development**

This summary sheet is provided for listing the assessed stage of development. The final product allows one to begin to assess the patterns of high and low performance.

   ☐ **Part 3: Validation of self-assessment of stages of development**

   This part presents the various steps intended for the validation of results from the self-assessment.

Indicators covered in the benchmarking framework published by the Joint Inspection Unit in 2004 (see JIU/REP/2004/5 to 8) are indicated by an asterisk.

**PART 1:  ASSESSMENT OF STAGES OF DEVELOPMENT BY COMPONENT**

**1.1. Results-based management strategy:** The results-based management strategy should be a well-thought-out plan on how the organization intends to mainstream results-based management into the existing systems of the organization. It should provide clarity and draws from analysis on the baseline situation within the organization, addressing what is expected from mainstreaming results-based management, how it will be done and what it will take to get there. The design of this strategy should build not only on the participation of key stakeholders within the organization, but also on the participation of those from outside the organization, depending on the nature of funding. This is important not only to guide the organization's efforts towards managing for results but also to establish a structured, evidence-based and continuous dialogue on organizational effectiveness in (board members, senior management and staff) and outside (donors and other development partners) the organization.

**Output quality**: A comprehensive and holistic conceptual strategy for results-based management is in place and there is commitment for it.

## Performance indicators

A clear conceptual strategy for mainstreaming results-based management should:

- Build upon an assessment of a baseline situation in the organization, particularly in areas where changes are deemed necessary
- Seek to build on inclusive participation of the organization's stakeholders in its design
- Specify the rationale for mainstreaming results-based management in the context of the organization
- Specify the key principles of the results framework and in managing for results*
- Include clear definitions of results-based management concepts and techniques*
- Specify expected outcomes from mainstreaming results-based management and the key success factors
- Define the indicators of achievement
- Identify the implications and requirements of mainstreaming results-based management, emphasizing all levels*
- Specify the required resource allocation according to implications and requirements
- Link results-based management initiatives with other organizational reform processes
- Provide a time-bound road map for implementing a results-based management strategy*
- Be endorsed by senior managers and governing bodies*

## Stages of development

**Stage 1 – Not started and no strategy for results-based management:** The organization does not have a results-based management strategy and does not recognize the need to have one.

**Stage 2 – Exploration for developing a results-based management strategy – exploring and experimenting:** The organization is exploring the requirements for a results-based management strategy in response to demand or interest of the organization, led by a few champions. It might begin experimenting with a few of the results-based management concepts, based on recognized practices from champions within the organization or through examining what other organizations are doing. No comprehensive strategy is defined and there are no coordinated tactics. None or few decision makers refer to it. None or few of the actions listed to the left are included.

**Stage 3 – Integrated strategy in the process to be developed:** There is no overarching strategy for mainstreaming results-based management. If one exists, it is limited to some of the components of the results-based management system, with elements of a strategy existing in different strategy documents. The process of development of a comprehensive strategy is emergent and incremental, and generally reactive. Some of the actions listed to the left are included, and some/few decision makers refer to it.

**Stage 4 – Integrated overarching strategy exists and has been refined:** The organization has developed a formal overarching results-based management strategic framework with all dimensions integrated, including accountability and a change management system, for the mainstreaming process. The results-based management strategy is being refined and adjusted to the organization's specific context and to reflect lessons learned. Many of the actions listed to the left are included, and many decision makers systematically refer to it. The results-based management strategy is endorsed by key stakeholders and governing bodies.

**Stage 5 – The overarching strategy has been developed and updated based on a comprehensive evaluation:** The formal coherent results-based management strategy for the mainstreaming process and anticipated outcomes for the organization have been evaluated and renewed. The organization has developed a strategy built on its experience of what worked and what did not to optimize development impact and transformative change. The strategy manifests linkages and alignments with systems of other United Nations system entities and external partners, as deemed pertinent. Most/all of the features listed to the left are included, and all decision makers consistently refer to it.

# 1.1. Results-based management strategy

**Q.1: Assessment of stage of development and evidence for assessment**

**Based on the description of the stages above, please make your judgment of the current stage of development of your organization <u>and</u> answer the following questions.**
It is important to note that, in making the judgment, you should avoid averaging out across the various indicators identified for that component, since in reality some will be absolutely vital and some may be desirable, but not vital, and some may even be irrelevant to your organization. The stages are characterized by the drivers described in annex V of this note; please review them to help guide your assessment and judgment.

**1.1.** Select the stage of development:

**Stage 1** ☐    **Stage 2** ☐    **Stage 3** ☐    **Stage 4** ☐    **Stage 5** ☐

**1.2.** Provide the rationale or justification for your selection:

**1.3.** Provide evidence supporting the stage of development selected: list the documented evidence available that supports your judgment. If no documented evidence is available, please provide the names of experts/staff/managers involved in the selection of the stage of development.

**1.4.** Provide any comments on the stage selected and/or on the component (successes, opportunities, challenges, constraints):

**1.5.** Are there future plans for the further development of the component?

**Q.2: Identification of activities and output strategies for mainstreaming results-based management in the component**

Select the activities that pertain to your organization and rate them. Add other main activities from your organization and rate them also. (**1** = No contribution; **2** = Little contribution; **3** = Significant contribution)

| | | | | |
|---|---|---|---|---|
| ☐ | Invests in promoting a common understanding of results-based management within the organization, with the governing body and with significant external stakeholders | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Holds consultations with internal and external stakeholders to define the strategy or part of the strategy | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Pilots recognized results-based management tools and techniques to assess their adequacy | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Conducts a comprehensive assessment of the performance of the organization to guide the development of the strategy | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Uses external expertise to support the definitions of the conceptual strategy | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Makes use of independent and/or external assessments to inform the design of the strategy | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Uses targeted communication about the need/rationale to mainstream results-based management | 1 ☐ | 2 ☐ | 3 ☐ |
| **OTHER ACTIVITIES FROM YOUR ORGANIZATION (please specify and rate each):** | | | | |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |

**1.2. Change management framework:** In the context of results-based management, emphasis is placed on the development of a results culture where staff act as knowledge workers and engage in critical inquiry and transformative learning (double-loop learning) in understanding and addressing complexity in the achievement of outcomes. In this regard, mainstreaming results-based management requires not only new procedures and tools but also changes in mindsets and ways of doing business for all staff in the organization. This puts an important emphasis on change management, and in leading the "people side" of change. It seeks to identify specific actions and strategies to ensure a smooth transition in the integration of the new business principles into existing systems, functions, practices and behaviours. In the context of results-based management, a change management framework should seek to empower all staff within the organization and establish the basis for the development of an enabling environment that values generative learning that enhances the capacity of the organization to innovate in order to achieve results (see also pillar 3).

**Output quality:** An operational change management framework supporting behavioural change, in line with the results-based management strategy, is established in the organization.

## Performance indicators

A change management framework supporting the mainstreaming of results-based management should do the following to enhance success:

- Prioritize mechanisms that focus on the development of a results culture rather than on ensuring compliance with new tools and procedures
- Identify skills, knowledge and behaviours required for mainstreaming results-based management in the organization and create a plan for enhancing behaviour change
- Identify and define measures to reinforce and sustain changes in new practices and behaviours
- Identify levels of employee resistance and define processes and tools to manage it
- Define how supervisors' and managers' involvement will be supported and sustained during the change process
- Identify and support key champions within the organization and results-based management sponsors within management and staff
- Define a comprehensive communications plan for mainstreaming results-based management processes aimed at creating awareness and desire for expected behavioural change
- Be supported by a clear monitoring plan that tracks progress, identifies obstacles or disincentives and adopts corrective measures

## Stages of development

**Stage 1 – Not started:** The organization does not have a change management framework for mainstreaming results-based management.

**Stage 2 – Exploration for mainstreaming:** The organization is exploring ways to design and implement a change management framework supporting results-based management mainstreaming. Some initiatives aimed at supporting the change effort implied by mainstreaming results-based management are implemented on an ad hoc basis and with limited outreach at the discretion of a few champions within the organization. The organization might have an experimental change management framework or some elements of it, decision makers do not refer to it and none or few of the actions listed to the left are included.

**Stage 3 – In the process of mainstreaming:** The organization is integrating all elements of its results-based management change management framework. Initiatives aimed at supporting the change process implied by mainstreaming results-based management are implemented in the entire organization but not in an integrated and sustained manner. Some of the actions listed to the left are included, and some/few decision makers refer to it when implementing changes.

**Stage 4 – Fully mainstreamed and continuous learning for refinement/adjustment:** The organization has a comprehensive and operational change management framework supporting results-based management mainstreaming in all its operations. Its effectiveness is being refined and adjusted in accordance with the organization's context and to reflect lessons learned. Most of the actions listed to the left are included. Many decision makers and the governing body regularly refer to it for implementing changes and assigning funds supporting the mainstreaming of results-based management.

**Stage 5 – Evaluation and renewal:** The results-oriented change management framework has been evaluated and renewed. The organization has developed a change management framework built on its experience of what worked and what did not to optimize development impact and transformative change. Most/all of the features listed to the left are included. All senior managers and the governing body refer to it for implementing changes and assigning funds.

# 1.2. Change management framework

**Q.1: Assessment of stage of development and evidence for assessment**

**Based on the description of the stages above, please make your judgment of the current stage of development of your organization _and_ answer the following questions.**
It is important to note that, in making the judgment, you should avoid averaging out across the various indicators identified for that component, since in reality some will be absolutely vital and some may be desirable, but not vital, and some may even be irrelevant to your organization. The stages are characterized by the drivers described in annex V of the note of the Joint Inspection Unit; please review them to help guide your assessment and judgment.

**1.1.** Select the stage of development**:**

**Stage 1** ☐   **Stage 2** ☐   **Stage 3** ☐   **Stage 4** ☐   **Stage 5** ☐

**1.2.** Provide the rationale or justification for your selection:

**1.3.** Provide evidence supporting  the stage of development selected: list the documented evidence available that supports your judgment. If no documented evidence is available, please provide the names of experts/staff/managers involved in the selection of the stage of development.

**1.4.** Provide any comments on the stage selected   and/or on the component (successes, opportunities, challenges, constraints):

**1.5.** Are there future plans for the further development of the component?

**Q.2: Identification of activities and output strategies for mainstreaming results-based management in the component**

Select the activities that pertain to your organization and rate them. Add other main activities from your organization and rate them also. (**1** = No contribution**; 2** = Little contribution; **3** = Significant contribution)

| | | | | |
|---|---|---|---|---|
| ☐ | Work programmes of oversight bodies, both internal and external, include work to advise and guide the organization in its efforts towards greater efficiency and effectiveness, as appropriate | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Establishes formal mechanisms to report on the implementation of the accountability framework | 1 ☐ | 2 ☐ | 3 ☐ |

**OTHER ACTIVITIES FROM YOUR ORGANIZATION (please specify and rate each):**

| | | | |
|---|---|---|---|
| ☐ | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | 1 ☐ | 2 ☐ | 3 ☐ |

**1.3. Accountability framework:** Accountability refers to the obligation to demonstrate that work has been conducted in compliance with agreed rules and standards. In the results-based management system, focus is given to the accountability for the achievement of the results of the organization, and of the United Nations system as a whole. Each level in the hierarchy of results, as defined in the corporate strategic framework, implies accountability. While accountability for the use of inputs and delivery of outputs rests with the organization, accountability for outcomes is usually beyond the control of an organization, requiring inputs from other stakeholders and/or certain conditions in the overall environment where results are sought. This makes it difficult to hold organizations accountable for the achievement of outcomes. In the context of results-based management, accountability beyond inputs and outputs should be tied to the organization's responsibility in influencing and ensuring progress towards the achievement of outcomes. This puts greater emphasis on the analysis of conditions of success and risk factors. Key functions supporting accountability (i.e., monitoring, evaluation, audits and inspections) are aligned and provide information that supports managing for the achievement of results.

**Output quality**: Accountability at all levels of results (inputs, outputs, outcomes, impact), as well as the conditions of success and risk factors and their assessment, is based on relevant management information provided by credible oversight functions.

## Performance indicators

The organization's results-based accountability system should meet the following criteria:

- Accountability is based on the assessment of not only the degree of achievement of expected results but also the demonstration of competencies required in managing for results, including managing challenges, conditions of success and unintended consequences*
- The legal framework of the organization is reviewed to enable the adequate delegation of authority and identify potential bottlenecks to managing for results*
- Accountability for results is applicable at all levels, from the top down (vertical accountability)*
- Accountability for results also addresses the responsibility: (a) for partnering with others for achieving outcomes (i.e., horizontal/mutual accountability for achieving higher-level results); (b) influencing others to support the achievement of outcomes; and (c) sharing information for global use
- The accountability framework reflects the roles and responsibilities defined in the organization's strategy and change management framework for results-based management
- Performance-oriented systems of accountability replace traditional, compliance-based systems wherever applicable, resulting in an increase in performance assessment*
- Effective monitoring, evaluation, inspection and reporting systems provide objectively derived evidence that is valid and useful, explaining the what, why and how, and providing clear recommendations to guide decision-making and action aimed at enhancing the organization's contribution to its strategic goals*

## Stages of development

**Stage 1 – Not started**: The organization does not have an accountability system tied to results.

**Stage 2 – Exploration for mainstreaming:** The organization's accountability framework is tied to the use of resources, activities and outputs. The organization is exploring ways to elaborate an accountability system tied to results (outcomes) to reflect the principles of results-based management. The organization might have an experimental framework; none or few decision makers refer to it. None or few of the actions listed to the left are included.

**Stage 3 – In the process of mainstreaming:** The organization is designing a performance-oriented accountability system tied to outcomes in order to replace or complement the traditional compliance-based system tied to the delivery of outputs and the use of resources. Some of the actions listed to the left are included, and some/few decision makers have enforced and used it to drive accountability decisions (on an ad hoc basis), based on results performance data.

**Stage 4 – Fully mainstreamed and continuous learning for refinement/adjustment:** The organization has replaced the traditional approach with a framework tied to the achievement of outcomes, which is being refined/adjusted to its context and to reflect lessons learned. Many of the actions listed to the left are included. Many decision makers routinely refer to it and use it to drive their decision-making on accountability.

**Stage 5 – Evaluation and renewal:** The results-oriented accountability framework has been evaluated and renewed. The information on the effectiveness in achieving outcomes drives accountability at all levels. The organization has developed an accountability system built on experience and information on contextual factors important to the optimization of development impact and transformative change. It is shifting its approach to mutual accountability in consideration of joint outcomes and collective impact. The changes made are based on systemic reviews and evaluation as well as on dialogue with Member States. Most/all of the features listed to the left are included, and all decision makers consistently refer to it.

# 1.3. Accountability framework

**Q.1: Assessment of stage of development and evidence for assessment**

**Based on the description of the stages above, please make your judgment of the current stage of development of your organization <u>and</u> answer the following questions.**
It is important to note that, in making the judgment, you should avoid averaging out across the various indicators identified for that component, since in reality some will be absolutely vital and some may be desirable, but not vital, and some may even be irrelevant to your organization. The stages are characterized by the drivers described in annex V of this note; please review them to help guide your assessment and judgment.

**1.1.** Select the stage of development**:**

**Stage 1** ☐    **Stage 2** ☐    **Stage 3** ☐    **Stage 4** ☐    **Stage 5** ☐

**1.2.** Provide the rationale or justification for your selection:

**1.3.** Provide evidence supporting the stage of development selected: list the documented evidence available that supports your judgment. If no documented evidence is available, please provide the names of experts/staff/managers involved in the selection of the stage of development.

**1.4.** Provide any comments on the stage selected   and/or on the component (successes, opportunities, challenges, constraints):

**1.5.** Are there future plans for the further development of the component?

**Q.2: Identification of activities and output strategies for mainstreaming results-based management in the component**

Select the activities that pertain to your organization and rate them. Add other main activities from your organization and rate them also. (**1** = No contribution**; 2** = Little contribution; **3** = Significant contribution)

| | | | | |
|---|---|---|---|---|
| ☐ | Work programmes of oversight bodies | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Bases its change management framework on evaluation of the results-based management system | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Establishes a system to monitor organizational change management processes and success criteria | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Develops objectives and criteria to identify key change actors | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Provides training to the staff made responsible for implementing the change process | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Develops specific communications to ensure the adoption of change management frameworks/plans by staff/senior management/Member States/donors | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Establishes a change management team or task force (or unit)  to manage the change process | 1 ☐ | 2 ☐ | 3 ☐ |

**OTHER ACTIVITIES FROM YOUR ORGANIZATION (please specify and rate each):**

| | | | | |
|---|---|---|---|---|
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |

## 2.1. Corporate strategic results framework:

The corporate strategic results framework should rest on a vision of achieving the mandate of the organization and of the United Nations system as a whole, as part of the United Nations reform agenda for coherence with regard to common outcomes. It defines the "long-term", "medium-term" and "short-term" objectives of the organization in achieving its goals. The pressure to account for clear and manageable results should not lead organizations to focus exclusively on the short-term. Focusing on the long-term development changes requires analyses on how results interlink over time and across sectors. The sound use of the theory of change can aid in understanding these linkages. Such an approach requires strong monitoring and analytic capacities at all levels (see pillar 3).

### Output quality:
The strategy to achieve the organization's mandate is translated into an operational long-term and medium-term plan within a clearly defined results framework, providing a clear vision for change and enabling the monitoring and tracking of progress.

### Performance indicators

A high-quality corporate strategic results framework does the following:

- Sets strategic goals for the organization based on a strong analysis of contributions to development, the comparative added value to the organization and the roles of all other partners and actors
- Provides a transparent and aggregated overview of both the development objectives and the institutional objectives of the organization
- Defines the long-term and medium-term objectives to support the strategic goals and establish the performance indicators and means for measurement (quantity, quality, time)
- Shows the logical linkage and alignment between the long-term and medium-term objectives and the organization's operations (programmes/projects) and institutional corporate/organization-wide set-up
- Is supported by a theory of change, which identifies assumptions and risks, including mitigation plans, to facilitate the achievement of the organizational strategy
- Shows linkages among strategy, priorities and resources required, and identifies the sources of financing (results-based budget) in a given period of time (regular and extrabudgetary resources)
- Builds on stakeholder involvement and participation to enhance relevance and ownership and thus commitment

### Stages of development

**Stage 1 – Not started:** The organization does not have a corporate strategic results framework.

**Stage 2 – Exploration for mainstreaming:** The organization is exploring ways to elaborate a corporate strategic results framework tied to its specific mandate, and how to define long-term objectives and indicators. It might have a pilot; key decision-makers (either the governing body or senior managers) do not refer to it. None or few of the actions listed to the left are included.

**Stage 3 – In the process of mainstreaming:** The organization is setting up its corporate strategic results framework, which contains long-term objectives and indicators. Some of the actions listed to the left are included, and some/few key decision makers use it to take informed corporate-level prioritization/planning decisions.

**Stage 4 – Fully mainstreamed and continuous learning for refinement/adjustment:** The organization has an operational corporate strategic results framework with long-term objectives and it is being refined and adjusted to the organization's context and to reflect lessons learned. Many of the actions listed to the left are included. Many key decision makers use it to take informed corporate-level prioritization/planning decisions.

**Stage 5 – Evaluation and renewal:** The corporate results framework has been evaluated and renewed, based on what worked and what did not, to optimize development impact and transformative change. The framework demonstrates linkages and alignments with other United Nations system entities and external partners contributing to the same outcomes. Most/all of the features listed to the left are included. All key decision makers use it to take informed corporate-level prioritization/planning and strategic decisions.

## 2.1. Corporate strategic results framework

**Q.1: Assessment of stage of development and evidence for assessment**

**Based on the description of the stages above, please make your judgment of the current stage of development of your organization and answer the following questions.**
It is important to note that, in making the judgment, you should avoid averaging out across the various indicators identified for that component, since in reality some will be absolutely vital and some may be desirable, but not vital, and some may even be irrelevant to your organization. The stages are characterized by the drivers described in annex V of the note of the Joint Inspection Unit; please review them to help guide your assessment and judgment.

**1.1.** Select the stage of development:

     **Stage 1** ☐    **Stage 2** ☐    **Stage 3** ☐    **Stage 4** ☐    **Stage 5** ☐

**1.2.** Provide the rationale or justification for your selection:

 

**1.3.** Provide evidence supporting the stage of development selected: list the documented evidence available that supports your judgment. If no documented evidence is available, please provide the names of experts/staff/managers involved in the selection of the stage of development.

 

**1.4.** Provide any comments on the stage selected and/or on the component (successes, opportunities, challenges, constraints):

 

**1.5.** Are there future plans for the further development of the component?

 

**Q.2: Identification of activities and output strategies for mainstreaming results-based management in the component**

Select the activities that pertain to your organization and rate them. Add other main activities from your organization and rate them also. (**1** = No contribution; **2** = Little contribution; **3** = Significant contribution)

| | | | | |
|---|---|---|---|---|
| ☐ | Conducts workshops with management on strategic goals | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Holds presentations for stakeholders on alignment of shared strategic goals | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Develops risk registers for each strategic goal | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Obtains a contract agreement showing commitment between stakeholders and the organization to the developed strategic framework | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Ensures the results framework extends its results-based approach to non-technical and support departments | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Uses a set of balanced indicators | 1 ☐ | 2 ☐ | 3 ☐ |

**OTHER ACTIVITIES FROM YOUR ORGANIZATION (please specify and rate each):**

| | | | | |
|---|---|---|---|---|
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |

**2.2. Results frameworks for programmes and projects:** Developing a results framework to measure and report on results for projects and programmes has been an area of key focus in the adoption of results-based management in many organizations. Critical success criteria include: (a) creating logical linkages with organizational strategic goals and in some cases with national priorities; (b) establishing internal logic in the levels of results to be achieved; (c) establishing performance indicators describing the identified result; and (d) establishing the means for measurement. The programme and project logic model also outlines the broader context and the conditions for success, risk factors and the management partnerships required for the achievement of desired changes or to create the conditions for change to happen. Other success criteria include developing a manageable results framework that is aligned with priorities. This involves limiting the number of indicators in order to address strategic priorities and respond to critical demands.

**Output quality:** All programmes and projects are aligned with corporate-level priorities and their contribution to these priorities is measurable.

## Performance indicators

- The organization's programmes and projects are aligned and contribute to the strategic objectives of the organization; programmes and projects are prioritized based on this assessed contribution
- The results hierarchy is developed highlighting the logical causal linkages for achieving the desired outcome and impacts; tautologies are eliminated and sequential logic is avoided (vertical logic and linkage)
- The results of the programmes and projects are defined in operational terms and are SMART (specific, measurable, attainable, realistic, time-bound)
- The conditions for success and risk factors in achieving the intended outcomes are identified, and are monitored during implementation
- The plan for monitoring and evaluating the programmes and projects is well defined
- There is a clear focus on addressing cross-cutting themes that enhance sustainability and impact to include national capacity development, human rights and gender equality, environmental sustainability, United Nations coherence, mutual agreement and alignment with partners' interventions with national systems
- The development of the results framework and indicators is done in an inclusive and participatory fashion to enhance engagement and ownership
- The framework is endorsed by its stakeholders

## Stages of development

**Stage 1 – Not started:** The organization does not have results frameworks for programmes and projects.

**Stage 2 – Exploration for mainstreaming:** The organization is exploring ways to set measurable results levels or hierarchical programme/project performance expectations. Measurable performance expectations at the outcome level are defined in an ad hoc manner driven by other parties as a precondition for cooperation. None or few decision makers/staff find it useful, know how to use it or refer to it when taking decisions.

**Stage 3 – In the process of mainstreaming:** The organization is mainstreaming results-based management principles into performance expectations for programmes/projects. Some programmes have measurable results hierarchies, and the focus in planning/management is moving to the achievement of a higher level of results and alignment with the organization's strategic objectives. Some of the actions listed to the left are included. Some/few decision makers occasionally find them useful when taking decisions at operational and corporate levels.

**Stage 4 – Fully mainstreamed and continuous learning for refinement/adjustment:** The organization's expectations for the results of programmes and projects are aligned with its long-term objectives, and the measurement and assessment are focused at the outcome level. The effectiveness of programmes and projects results frameworks is being refined and adjusted to the organization's context and to reflect lessons learned. Many of the actions listed to the left are included. Many key decision makers use them to take informed operational decisions and corporate-level prioritization/planning decisions.

**Stage 5 – Evaluation and renewal:** The organization's expectations for the results of projects/programmes have been evaluated and renewed, based on what worked and what did not, to optimize development impact and transformative change. The results frameworks demonstrate linkages and alignments with other United Nations system entities and external partners contributing the same outcomes. Most/all of the features listed to the left are included. All key decision makers use them to take informed operational decisions and corporate-level prioritization/planning decisions.

## 2.2. Results frameworks for programmes and projects

**Q.1: Assessment of stage of development and evidence for assessment**

**Based on the description of the stages above, please make your judgment of the current stage of development of your organization and answer the following questions.**
It is important to note that, in making the judgment, you should avoid averaging out across the various indicators identified for that component, since in reality some will be absolutely vital and some may be desirable, but not vital, and some may even be irrelevant to your organization. The stages are characterized by the drivers described in annex V of the note of the Joint Inspection Unit; please review them to help guide your assessment and judgment.

**1.1.** Select the stage of development**:**

**Stage 1** ☐    **Stage 2** ☐    **Stage 3** ☐    **Stage 4** ☐    **Stage 5** ☐

**1.2.** Provide the rationale or justification for your selection:

|  |
|--|
|  |

**1.3.** Provide evidence supporting the stage of development selected: list the documented evidence available that supports your judgment. If no documented evidence is available, please provide the names of experts/staff/managers involved in the selection of the stage of development.

|  |
|--|
|  |

**1.4.** Provide any comments on the stage selected and/or on the component (successes, opportunities, challenges, constraints):

|  |
|--|
|  |

**1.5.** Are there future plans for the further development of the component?

|  |
|--|
|  |

**Q.2: Identification of activities and output strategies for mainstreaming results-based management in the component**

Select the activities that pertain to your organization and rate them. Add other main activities from your organization and rate them also. (**1** = No contribution**; 2** = Little contribution; **3** = Significant contribution)

| | | | |
|--|--|--|--|
| ☐ | Ensures logical consistency of objectives among levels (programme, project) and ensures the strategic framework reflects cause-effect linkages (theory of change, results chains, logic model, etc.) | 1 ☐   2 ☐   3 ☐ |
| ☐ | Develops risk registers for each objective | 1 ☐   2 ☐   3 ☐ |
| ☐ | Regroups and reformulates programmes within the framework so they match the organization-wide results framework | 1 ☐   2 ☐   3 ☐ |
| ☐ | Ensures a contract agreement is signed by stakeholders and management after developing the programme/project results framework and indicators to secure commitment | 1 ☐   2 ☐   3 ☐ |
| ☐ | Conducts participative reviews to evaluate the usefulness of indicators at programme and project levels | 1 ☐   2 ☐   3 ☐ |

**OTHER ACTIVITIES FROM YOUR ORGANIZATION (please specify and rate each):**

| | |
|--|--|
| ☐ | 1 ☐   2 ☐   3 ☐ |
| ☐ | 1 ☐   2 ☐   3 ☐ |
| ☐ | 1 ☐   2 ☐   3 ☐ |
| ☐ | 1 ☐   2 ☐   3 ☐ |
| ☐ | 1 ☐   2 ☐   3 ☐ |

**2.3. Results measurement system:** Results-based management requires performance measurement for effective management: if you cannot measure (quantity or quality metrics), you cannot manage. A performance measurement system requires quality and timely measurement of the strategic and operational indicators and the production of credible information that is critical to supporting decision-making in managing for results. Data collection includes outcomes in addition to the measurement of inputs, activities and outputs. The measurement system provides the basis for monitoring and reporting. The results measurement system is given full recognition in the organization and necessary resources for its operationalization are provided.

**Output quality:** Professionally robust and credible results measurement systems and mechanisms are in place, and measures to enhance the sustainability of producing quality data and analysis are established and made operational.

## Performance indicators

A high-quality performance measurement system does the following:

- Has a clearly defined purpose: it measures results indicators as demanded by the results frameworks (at strategic and operational levels) and key stakeholders, while adopting a balanced approach to varying demands for accountability, learning and improvement, and policy development
- Meets agreed professional quality standards and norms that deliver credibility and robustness (validity, reliability) including: (a) the standardization of procedures for administration and other methods to limit error; and (b) the provision of a context or ecological and cultural validity (e.g., incorporates context and cultural factors that affect measurement)
- Addresses demands for results reporting, monitoring and evaluation to support decision-making
- Seeks to capitalize on the availability of other measurement systems (national systems, coordination and participative mechanisms) in order to provide comparability
- Prioritizes resource allocations for measurements of priority strategic results
- Measures quality assurance, ethical codes of conduct and risk management
- Defines competencies for measurement and statistical analysis and has measurement specialists and statisticians that work to support the results-based management
- Has close linkages with the statistical and evaluation functions of the organization in the development of a measurement strategy

## Stages of development

**Stage 1 – Not started:** The organization does not have a results measurement system.

**Stage 2 – Exploration for mainstreaming:** The organization is exploring ways to develop an approach to measure indicators at different results levels. The current approach to results measurement is not institutionalized, and is performed on an ad hoc basis at the discretion of a few champions within the organization. None or just a few key decision makers perceive it to be robust enough to contribute to informed decision-making. None or few of the actions listed to the left are included.

**Stage 3 – In the process of mainstreaming:** The organization is setting up its results measurement system. Standards and quality requirements for results measurement are being internalized at all levels. The system is being developed in order to produce credible data about results at every level of the organization's results hierarchy. Some of the actions listed to the left are included. It is used by some/few decision makers for informed decision-making.

**Stage 4 – Fully mainstreamed and continuous learning for refinement/adjustment:** The organization's performance measurement system is in place and many of the actions listed to the left are included. It has been developed to be robust and produce credible data about outcomes, and its effectiveness is being refined and adjusted to the organization's context and to reflect lessons learned, and to correct gaps in performance information at the outcome level. It has been elaborated by all levels of management to support informed decision-making; in fact, many decision makers use it constantly for taking decisions.

**Stage 5 – Evaluation and renewal:** The results measurement system has been evaluated and renewed, based on what worked and what did not. Most/all of the features listed to the left are included. All key decision-makers perceive it to be robust enough to contribute to informed corporate-level prioritization/planning decisions. Indicators and measurement standards are shared/integrated with other relevant stakeholders working towards the achievement of similar outcomes.

# 2.3. Results measurement system

**Q.1: Assessment of stage of development and evidence for assessment**

**Based on the description of the stages above, please make your judgment of the current stage of development of your organization <u>and</u> answer the following questions.**
It is important to note that, in making the judgment, you should avoid averaging out across the various indicators identified for that component, since in reality some will be absolutely vital and some may be desirable, but not vital, and some may even be irrelevant to your organization. The stages are characterized by the drivers described in annex V of the note of the Joint Inspection Unit; please review them to help guide your assessment and judgment.

**1.1.** Select the stage of development**:**

    **Stage 1** ☐    **Stage 2** ☐    **Stage 3** ☐    **Stage 4** ☐    **Stage 5** ☐

**1.2.** Provide the rationale or justification for your selection:

**1.3.** Provide evidence supporting the stage of development selected: list the documented evidence available that supports your judgment. If no documented evidence is available, please provide the names of experts/staff/managers involved in the selection of the stage of development.

**1.4.** Provide any comments on the stage selected   and/or on the component (successes, opportunities, challenges, constraints):

**1.5.** Are there future plans for the further development of the component?

**Q.2: Identification of activities and output strategies for mainstreaming results-based management in the component**

Select the activities that pertain to your organization and rate them. Add other main activities from your organization and rate them also. (**1** = No contribution**; 2** = Little contribution; **3** = Significant contribution)

| | | | | |
|---|---|---|---|---|
| ☐ | Establishes policy and legal framework for data quality | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Assigns adequate resources to the measurement activities (based on priorities) | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Assigns clear responsibilities among staff and managers for performance measurement | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Establishes unit for measurement and statistics, quality control and quality assurance | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Conducts staff training on measurement and statistical analysis, team clinics | 1 ☐ | 2 ☐ | 3 ☐ |

**OTHER ACTIVITIES FROM YOUR ORGANIZATION (please specify and rate each):**

| | | | | |
|---|---|---|---|---|
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |

## 2.4. Results-based budgeting:

The core objective of results-based budgeting, sometimes described as performance-based budgeting, is to improve and provide an objective basis for budget prioritization. This means using information on the costs and benefits of alternative programmes and projects to facilitate decisions about budget prioritization based on needs, performance and contributions to strategic objectives. The budget allocation and resource mobilization activities are guided with a view to maximizing contributions to the organization's objectives and its goals in managing for results. In this context, budget formulation revolves around a set of predefined objectives and expected results. Expected results justify the resource requirements, which are derived from and linked to outputs required to achieve such results, and actual performance in achieving results is measured by objective performance indicators, as defined in the corporate results framework.

### Output quality:
The organization's resource mobilization and allocation strategy is aligned with its objectives and priority needs based on their assessed contributions to strategic objectives.

### Performance indicators

- The budget is formulated with a long-term strategic and institutional results forecast in view (not activities)
- Budget documents account for both regular budget resources and extrabudgetary resources
- Resource allocation is by outcome and is linked to the prioritization of funds for programmes/projects based on expected levels of contribution to the strategic goals, and for enhancing impact and sustainability
- Adequate cost-accounting policies support the results-based funding allocation aligned with agreed quality standards (International Public Sector Accounting Standards, rules and regulations)
- Funds availability and use is updated, based on updated forecasts that take into account indicators of progress and resource gaps (amount of funds needed to complete the achievement)
- Performance against budget (execution) is periodically assessed, and underperforming, obsolete or marginal programmes and activities are identified for sound decision-making tied to their relevance in achieving outcomes
- Risk management is performed to prevent underfunding for projects that have a high priority for strategic results
- The development of budgets as well as decisions on major deviations are participatory (e.g., across units in the same organization, other United Nations organizations, etc.)
- Structured financial dialogues, bringing together donors and the organization's constituents, are organized to discuss funding based on strategic priorities

### Stages of development

**Stage 1 – Not started:** The organization does not have a process for budgeting and for assessing budget performance aligned to expected results.

**Stage 2 – Exploration for mainstreaming:** The organization has an undeveloped process for budgeting and for assessing budget performance against expected results that considers mostly outputs and has none or few of the features described on the left. None or just a few decision makers use this process to prioritize resource allocation.

**Stage 3 – In the process of mainstreaming:** The organization is developing a process for budgeting and for assessing budget performance against strategic outcomes in order to allocate resources. Some of the features described on the left are included. Some/few decision makers use this process to prioritize financial and human resource allocation.

**Stage 4 – Fully mainstreamed and continuous learning for refinement/adjustment:** The organization has a process for budgeting in place, with many of the features described on the left. It has been developed to assess budget performance in order to allocate resources and guide financial resources mobilization efforts to support the achievement of strategic outcomes. The effectiveness of the component is being refined and adjusted to reflect lessons learned, and to correct gaps in performance and mobilization of resources associated to outcomes. Many decision makers use this process constantly to prioritize financial and human resource allocation.

**Stage 5 – Evaluation and renewal:** The results-based budgeting process has been evaluated and renewed, based on what worked and what did not. The budgeting system demonstrates linkages and alignments with systems of other United Nations system entities and external partners contributing to the same outcomes. Most/all of the features listed to the left are included. All decision makers use this process to prioritize financial and human resource allocation at all levels.

# 2.4. Results-based budgeting

**Q.1: Assessment of stage of development and evidence for assessment**

**Based on the description of the stages above, please make your judgment of the current stage of development of your organization <u>and</u> answer the following questions.**
It is important to note that, in making the judgment, you should avoid averaging out across the various indicators identified for that component, since in reality some will be absolutely vital and some may be desirable, but not vital, and some may even be irrelevant to your organization. The stages are characterized by the drivers described in annex V of the note of the Joint Inspection Unit; please review them to help guide your assessment and judgment.

**1.1.** Select the stage of development**:**

**Stage 1** ☐ **Stage 2** ☐ **Stage 3** ☐ **Stage 4** ☐ **Stage 5** ☐

**1.2.** Provide the rationale or justification for your selection:

|  |
|  |
|  |

**1.3.** Provide evidence supporting the stage of development selected: list the documented evidence available that supports your judgment. If no documented evidence is available, please provide the names of experts/staff/managers involved in the selection of the stage of development.

|  |
|  |
|  |

**1.4.** Provide any comments on the stage selected  and/or on the component (successes, opportunities, challenges, constraints):

|  |
|  |
|  |

**1.5.** Are there future plans for the further development of the component?

|  |
|  |

**Q.2: Identification of activities and output strategies for mainstreaming results-based management in the component**

Select the activities that pertain to your organization and rate them. Add other main activities from your organization and rate them also. (**1** = No contribution**; 2** = Little contribution; **3** = Significant contribution)

| ☐ | Introduces/strengthens programming instrument linking resources to results | 1 ☐ | 2 ☐ | 3 ☐ |
|---|---|---|---|---|
| ☐ | Aggregates budget performance within a portfolio of programmes that work on the same | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | In cases of a short programming cycle (2-3 years), budgeting with programming processes is merged and appropriately resourced | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | In cases of a medium-term programming cycle (4 years or more), moves to timetable in which a targeted overall level of resources and appropriation is carried out on an annual or biennial basis | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Carries out joint assessment reports with donors (budget and programme) | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Uses common budgetary framework for United Nations organization in a country | 1 ☐ | 2 ☐ | 3 ☐ |

**OTHER ACTIVITIES FROM YOUR ORGANIZATION (please specify and rate each):**

| ☐ |  | 1 ☐ | 2 ☐ | 3 ☐ |
|---|---|---|---|---|
| ☐ |  | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ |  | 1 ☐ | 2 ☐ | 3 ☐ |

**2.5. Human resources management:** Human resources (staff at every level of the hierarchy) are tied to the strategic objectives. Corporate (organization-wide) and/or operational (project/programme) levels are planned and managed in response to results achievement.

**Output quality**: Human resources policies and systems are driven by requirements and needs are assessed to enhance the organization's ability to achieve its strategic objectives.

## Performance indicators

Within a results-based management system, human resources policies and systems should apply the following principles:

- Human resources needs are established and updated based on a periodic capabilities assessment guided by the need to enhance the achievement of the organization's strategic objectives
- Competency frameworks, job categories and profiles are established, aligned with accountability frameworks and harmonized across the organization
- Capacity development initiatives support the internalization of competencies according to job profiles
- Staff is recruited/mobilized based on competencies identified as key to the delivery of strategic results
- Mobility policies support career development for staff, and are guided by the need to enhance contribution to strategic results
- Policies include risk management (e.g., codes of conduct, backup trainees, succession plans, etc.)
- Individual performance expectations are aligned with organizational goals; performance is assessed based on respective unit/department results frameworks and the organizational strategic results;
- Performance management systems cover all staff within the organization, including senior leadership
- Performance management systems use appropriate and balanced measures of achievement of goals and of performance against the organization's competencies framework
- Performance management systems ensure consistency in assessment throughout a given organization.
- Reward incentives are established at individual and organizational unit/department levels, as appropriate
- Performance management systems identify and address staff developmental needs, and also identify and address chronic underperformance

## Stages of development

**Stage 1 – Not started:** Human resources plans and performance appraisal systems, including rewards and recognition, are not linked to the achievement of strategic objectives (outcomes) of the organization.

**Stage 2 – Exploration for mainstreaming:** Human resources plans and performance appraisal systems, including rewards and recognition, are loosely linked to the achievement of strategic objectives of the organization, but are mostly focused on inputs and activities. None or few of the actions listed on the left are included. None or few managers and staff members are committed and held accountable for the achievement of results.

**Stage 3 – In the process of mainstreaming:** Human resources plans and performance appraisal systems, including rewards and recognition, are being developed and linked to the achievement of strategic objectives of the organization and a hierarchy of results: inputs (spending of resources) and outputs, but few outcomes. Some of the actions listed on the left are included. Some/few managers and staff members are committed to and held accountable for the achievement of results.

**Stage 4 – Fully mainstreamed and continuous learning for refinement/adjustment:** Human resources plans and performance appraisal systems, including rewards and recognition, are fully developed and linked to the achievement of strategic objectives of the organization and to the hierarchy of results (particularly to outcomes). A rewards system is in place for the achievement of desired values, behaviours and outcomes. Human resources management is being refined and adjusted to the organization's specific context and to reflect lessons learned. Many of the actions listed on the left are included. Many managers and staff members are committed to and held accountable for the achievement of results.

**Stage 5 – Evaluation and renewal:** The results-oriented human resources management system has been evaluated and renewed, based on what worked and what did not. Most/all of the features listed to the left are included. Decision-making in human resources and performance management reflects the need for results achievement, and all managers and staff members (at all levels) are committed to and held accountable for it.

# 2.5. Human resources management

**Q.1: Assessment of stage of development and evidence for assessment**

**Based on the description of the stages above, please make your judgment of the current stage of development of your organization <u>and</u> answer the following questions.**
It is important to note that, in making the judgment, you should avoid averaging out across the various indicators identified for that component, since in reality some will be absolutely vital and some may be desirable, but not vital, and some may even be irrelevant to your organization. The stages are characterized by the drivers described in annex V of the note of the Joint Inspection Unit; please review them to help guide your assessment and judgment.

**1.1.** Select the stage of development**:**

**Stage 1** ☐   **Stage 2** ☐   **Stage 3** ☐   **Stage 4** ☐   **Stage 5** ☐

**1.2.** Provide the rationale or justification for your selection:

**1.3.** Provide evidence supporting the stage of development selected: list the documented evidence available that supports your judgment. If no documented evidence is available, please provide the names of experts/staff/managers involved in the selection of the stage of development.

**1.4.** Provide any comments on the stage selected   and/or on the component (successes, opportunities, challenges, constraints):

**1.5.** Are there future plans for the further development of the component?

**Q.2: Identification of activities and output strategies for mainstreaming results-based management in the component**
Select the activities that pertain to your organization and rate them. Add other main activities from your organization and rate them also. (**1** = No contribution**; 2** = Little contribution; **3** = Significant contribution)

| | | | | |
|---|---|---|---|---|
| ☐ | Establishes human resources procedures that guide all employee aspects of the results achievement | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Designs a comprehensive and  transparent human resources plan on how to align staff to the strategy and support the achievement | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Introduces policies that foster accountability and ethical behaviour | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Ensures human resources systems conduct monitoring so that  the empowerment of managers does not result in arbitrary decision-making and the misuse of power, and that effective accountability mechanisms are in place | 1 ☐ | 2 ☐ | 3 ☐ |

**OTHER ACTIVITIES FROM YOUR ORGANIZATION (please specify and rate each):**

| | | | | |
|---|---|---|---|---|
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |

**3.1. Performance monitoring:** Results-based management requires a robust management system for monitoring based on evidence accumulated through the careful tracking of the attainment of results. This involves a continuous and systematic process of collecting and analysing data and management information to provide ongoing feedback to fine-tune the implementation strategy as well as to consider the reforming of policies as required. A performance monitoring system seeks to determine progress made towards the attainment of outcomes by measuring a set of key performance indicators that inform on the delivery of outputs, as well as indicators that inform on the causal linkage between outputs achieved and expected outcomes. Monitoring collects dynamic information according to specifications, validates the assumptions or theory of change made during the project formulation and supports the use of such information for problem-solving by key actors. In the context of results-based management and its focus on outcomes, greater emphasis is placed on identifying proxy indicators that reflect contribution or progress towards outcomes, and the monitoring of conditions of success and risks related to the external environment. This should apply to all programmes, projects or other undertakings of the organization.

**Output quality**: A monitoring system enables the tracking of progress towards the achievement of strategic results and the making of pertinent adjustments in implementation strategies to enhance the achievement of results.

## Performance indicators

Results-based performance monitoring should:

- Assess actual results against intended results (against baseline and target measures) and their evolution in the context in which results are expected to occur
- Identify the proxy indicators that are significant for tracking progress towards the achievement of outcomes
- Adopt a balanced and complementary approach to the identification of both quantitative and qualitative indicators in order to include information on perceptions/opinions/judgments of change among stakeholders
- Capture information on the successes/failures of the implementation strategy
- Be fully integrated and costed as part of implementation activities
- Be based on a clearly defined framework with a solid technical basis for data collection and the assessment of indicators (baselines, valid and reliable measurement methods, analytical tools) to explain factors affecting intervention
- Assign clear responsibilities for the collection and analysis of performance data and competencies required
  - Be supported by specialized personnel or those trained in defined competencies for monitoring and formative evaluation for improvement, who are assigned to conduct monitoring and are independent of the entity being evaluated

## Stages of development

**Stage 1 – Not started:** Performance expectations on results are not defined, and the need for a results monitoring system is not perceived.

**Stage 2 – Exploration for mainstreaming:** Performance expectations on results are defined, but few are measureable at all levels of results; mechanisms are not in place to provide credible and timely evidence of progress in achieving expected performance by the organization.

**Stage 3 – In the process of mainstreaming:** The organization is developing measureable targets and implementing mechanisms to provide credible evidence of the progress of indicators related to each level of results in order to track performance against expectations. Some of the features listed on the left are included, and some/few decision makers refer to it in taking decisions.

**Stage 4 – Fully mainstreamed and continuous learning for refinement/adjustment:** The organization has a results monitoring system in place, its focus shifted towards monitoring corporate-level targets and indicators that reflect: (a) what the organization can realistically be expected to deliver/contribute in each level of results, particularly outcomes; and (b) the definition of targets and indicators that make sense to programmatic staff. The effectiveness of the component is being refined and adjusted to the organization's specific context and to reflect lessons learned and changes in the wider external context (e.g., what is needed by donors, countries and partners). Many of the features listed on the left are included, and many decision makers use it to inform the decision-making process.

**Stage 5 – Evaluation and renewal:** The approach to monitoring targets and indicators of performance has a clear focus on outcomes, and it is being evaluated and renewed, based on what worked and what did not, relative to: (a) the measurement of what is reasonable to expect the organization to deliver/contribute; (b) the definition of targets and indicators that make sense to programmatic staff; and (c) a process to reassess the validity and value of targets and indicators on a regular basis. Monitoring systems manifest linkages and alignment with systems of other United Nations entities and external partners working to contribute to the same outcomes. All decision makers use it to inform the decision-making process. Most/all of the features listed to the left are included.

# 3.1. Performance monitoring

**Q.1: Assessment of stage of development and evidence for assessment**

**Based on the description of the stages above, please make your judgment of the current stage of development of your organization <u>and</u> answer the following questions.**
It is important to note that, in making the judgment, you should avoid averaging out across the various indicators identified for that component, since in reality some will be absolutely vital and some may be desirable, but not vital, and some may even be irrelevant to your organization. The stages are characterized by the drivers described in annex V of the note of the Joint Inspection Unit; please review them to help guide your assessment and judgment.

**1.1.** Select the stage of development**:**

**Stage 1** ☐   **Stage 2** ☐   **Stage 3** ☐   **Stage 4** ☐   **Stage 5** ☐

**1.2.** Provide the rationale or justification for your selection:

**1.3.** Provide evidence supporting the stage of development selected: list the documented evidence available that supports your judgment. If no documented evidence is available, please provide the names of experts/staff/managers involved in the selection of the stage of development.

**1.4.** Provide any comments on the stage selected   and/or on the component (successes, opportunities, challenges, constraints):

**1.5.** Are there future plans for the further development of the component?

**Q.2: Identification of activities and output strategies for mainstreaming results-based management in the component**

Select the activities that pertain to your organization and rate them. Add other main activities from your organization and rate them also. (**1** = No contribution**; 2** = Little contribution; **3** = Significant contribution)

| | | | | |
|---|---|---|---|---|
| ☐ | Sets meaningful performance expectations | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Develops a medium/long-term  strategy for setting performance expectations, when applicable | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Avoids falling back on easy-to-measure indicators | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Bases expectations on baseline, past trends, internal knowledge and external resources | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Uses internal oversight bodies to assess quality and recommend improvements | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Has an annual (or more frequent) review of performance against expectations | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Engages stakeholders in interventions in the analysis of performance data | 1 ☐ | 2 ☐ | 3 ☐ |

**OTHER ACTIVITIES FROM YOUR ORGANIZATION (please specify and rate each):**

| | | | | |
|---|---|---|---|---|
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |

## 3.2. Results reporting:
Results-based reporting shifts attention away from reporting focused on activities to communicating important information about key activities, outputs and the resulting outcomes or changes associated with the output strategy. Reporting is tied to stakeholder demands and intention to use the information being provided. This includes reporting to governing bodies, executive management and at the programming management level, as well as to reporting partners and at the national level as deemed pertinent for some organizations. The objective is accountability, improvement and the development of knowledge systems at organizational and global levels.

### Output quality:
Comprehensive, integrated and credible performance stories address the results information needs of stakeholders to support decision-making, while highlighting what works and what does not, and adjustments needed.

### Performance indicators

The production of comprehensive and credible results reports requires a results reporting system that:

- Is based on a clear indication of demand and intention to use the information
- Identifies and targets its audience/stakeholders
- Provides clear guidance on reporting expectations and standards
- Is aligned with decision-making cycles
- Is aligned with the cycles of other knowledge-generative functions

A credible results report should be clear and well substantiated and do the following:

- Provide an analysis of consistency or discrepancy between planned (expected results) and actual results (against baselines and targets)
- Report results that cover the different levels of the results chain and their logical linkages (activities, outputs, outcomes, impact)
- Ensure there is sufficient data to describe/demonstrate linkages between activities undertaken, their outputs and their observed or hypothesized effects
- Demonstrate progress in achieving strategic/corporate-level priorities and/or internationally agreed goals
- Explain the reasons for over- and/or underachievement, and provide an analysis of performance (where strong, weak, reasons, etc.) and recommendations or reflections on alternatives or other lessons learned
- Highlight any unforeseen problems or opportunities that may require new strategies or a redesign of the initiative
- Identify key success factors or obstacles in achieving results and highlight where there is potential for wider lessons learned
- Recognize fully the involvement of others (partners, stakeholders, rights holders) and their contribution to the observed results and progress towards the outcomes

### Stages of development

**Stage 1 – Not started:** External reporting is not linked with internal management reporting practices.

**Stage 2 – Exploration for mainstreaming:** Results reporting (both internal and external) is usually requested by partners or donors; it is rarely used for internal decision-making and programme management. The organization is exploring and prototyping reports to address the hierarchy of results, including resources used. None or few of the features listed on the left are included.

**Stage 3 – In the process of mainstreaming:** External reporting is being linked with internal reporting and is being used by some/few decision makers. Reports address the hierarchy of results (inputs, outputs, outcomes and impact) and their aggregation. Some of the features listed on the left are included.

**Stage 4 – Fully mainstreamed and continuous learning for refinement/adjustment:** External and internal reporting are fully aligned. The reporting is focused on the outcome level, and links the results and resources used for their achievement. The reporting system is being refined and adjusted to the organization's specific context and to reflect lessons learned. The information reported internally and externally is credible and is used by many decision makers.

**Stage 5 – Evaluation and renewal:** The reporting system has been evaluated and renewed based on what worked and what did not. The reporting system produces credible, timely and comprehensive results information for informed decision-making. The reporting on results information integrates the contributions of relevant United Nations and non-United Nations stakeholders, and seeks to provide credible information on progress/contribution towards outcomes. All key decision makers use the information produced by the reporting to take decisions. Most/all of the features listed to the left are included.

- Set out actions needed to improve performance or make adjustments to achieve results and outcomes

# 3.2. Results reporting

**Q.1: Assessment of stage of development and evidence for assessment**

**Based on the description of the stages above, please make your judgment of the current stage of development of your organization <u>and</u> answer the following questions.**
It is important to note that, in making the judgment, you should avoid averaging out across the various indicators identified for that component, since in reality some will be absolutely vital and some may be desirable, but not vital, and some may even be irrelevant to your organization. The stages are characterized by the drivers described in annex V of the note of the Joint Inspection Unit; please review them to help guide your assessment and judgment.

**1.1.** Select the stage of development**:**

**Stage 1** ☐     **Stage 2** ☐     **Stage 3** ☐     **Stage 4** ☐     **Stage 5** ☐

**1.2.** Provide the rationale or justification for your selection:

**1.3.** Provide evidence supporting the stage of development selected: list the documented evidence available that supports your judgment. If no documented evidence is available, please provide the names of experts/staff/managers involved in the selection of the stage of development.

**1.4.** Provide any comments on the stage selected and/or on the component (successes, opportunities, challenges, constraints):

**1.5.** Are there future plans for the further development of the component?

**Q.2: Identification of activities and output strategies for mainstreaming results-based management in the component**

Select the activities that pertain to your organization and rate them. Add other main activities from your organization and rate them also. (**1** = No contribution**; 2** = Little contribution; **3** = Significant contribution)

| | | | | |
|---|---|---|---|---|
| ☐ | Establishes internal performance reporting standards | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Develops different formats to match specific audience information needs | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Synthesizes results from projects at a programmatic level based on a transparent and rigorous methodology for corporate-level reporting | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Establishes data quality control mechanisms at the different levels of results-reporting mechanisms | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Establishes and ensures synthesis and aggregation standards to compile results obtained at the different levels of the organization (from project to programme to country/regional to corporate) | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Develops a participative approach in the definition of reporting needs by the various stakeholders | 1 ☐ | 2 ☐ | 3 ☐ |
| **OTHER ACTIVITIES FROM YOUR ORGANIZATION (please specify and rate each):** | | | | |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |

**3.3. Evaluation:** Evaluation is a judgment of an activity, project, programme, strategy, policy, topic, theme, sector, operational area or institutional mechanism. It provides information that is credible, reliable and useful, enabling the timely incorporation of findings, recommendations and lessons learned into decision-making processes. It is based on a method of critical inquiry driven by the need to provide valid and useful information to support management decision-making and strategic action. It questions whether the organization is doing the right things (e.g., are we doing things right, are we ensuring sustainability and impact?). It uses a systematic process, applied professional standards and knowledge of context and culture to enhance the credibility, validity, reliability and utility of information provided. Within a results-based management system, the evaluation function seeks to play the role of agent of change and transformation, going beyond the tendency to focus on accountability to focusing on transformative learning aimed at enhancing the organization's contribution to long-term results.

**Output quality**: Evaluations provide robust evidence and credible explanation of achievements or progress towards strategic results, and serve as a basis for strategic direction-setting.

## Performance indicators

A results-oriented evaluation function should:

- Examine the relevance of interventions to outcomes and longer term goals
- Examine the hypothesized causal linkages (attribution and contribution) in results logic
- Examine contextual factors of causality to understand and explain achievement or the lack thereof
- Examine the added value or difference made by the organization, which guides strategic decision-making
- Examine the comparative added value in systems context, with due regard to the multiple actors involved in the intervention
- Evaluate the achievement of intended and unintended outcomes and implications
- Provide an assessment of implications of evaluative evidence for direction-setting and future action
- Align its evaluation plans with organizational strategic priorities and principles to enhance its utility in supporting the attainment of management for results
- Carry out ex ante evaluations and appraisal evaluations to guide the design of interventions
- Prioritize formative evaluation and make use of methodologies conducive to learning (meta-evaluations and synthesis, participatory approaches, etc.)
- Seek to stimulate demand for evaluation evidence and the use of its findings, notably through investments in communication capacity
- Support efforts to enhance the development of national capacities for results-based management and evaluation
- Support the evaluability of interventions and provide clear guidance for enhancing the measurement and monitoring systems
- Seek to balance the need for evidence to inform accountability and the need for evidence of transformative learning to enhance the achievement of outcomes and impacts
- Seek to align its evaluation plans with plans of other relevant stakeholders within or outside the United Nations system to enhance efficiencies and economies as well as complementarities with other knowledge-generating functions

## Stages of development

**Stage 1 – Not started:** Evaluations are either not undertaken or they do not evaluate results.

**Stage 2 – Exploration for mainstreaming:** Evaluations are commissioned, through a central or decentralized system, primarily to meet external demands. Evaluations do not provide evidence of achievements of results at all levels, and the information provided is rarely used to inform about performance in results achievement for decision-making. None or few of the features listed on the left are included.

**Stage 3 – In the process of mainstreaming:** The organization is establishing an evaluation system aimed at providing evidence to measure performance at the corporate and programmatic levels. At this stage, the organization is moving to reconcile central and decentralized evaluation functions under an integrated system aligned with the strategic objectives of the organization. Evaluations are tied to a hierarchy of results (input, output, outcome); some of the features listed on the left are included.

**Stage 4 – Fully mainstreamed and continuous learning for refinement/adjustment:** The need for evidence on progress over the achievement of strategic outcomes at both the corporate and programmatic levels is driving the purpose, objective and scope of evaluations, in both central and decentralized evaluation systems. The evaluation function and its effectiveness are being refined and adjusted to the organization's context and to reflect lessons learned. Evaluations are systematically used by many decision makers in order to acquire information about performance. Many of the features listed on the left are included.

**Stage 5 – Evaluation and renewal:** The evaluation function is fully integrated with measurement and knowledge strategy and integrated as a management support function. The evaluation function is being evaluated and renewed, based on what worked and what did not. All key decision makers use the information from evaluations on a continuous basis in order to measure and explain performance at the corporate and programmatic levels. The function is seeking to strengthen its contribution to evidence-informed decision-making by integrating external sources of evaluative evidence and partnering with other United Nations entities and other external stakeholders to evaluate contributions to common outcomes. Most/all of the features listed to the left are included.

# 3.3. Evaluation

**Q.1: Assessment of stage of development and evidence for assessment**

**Based on the description of the stages above, please make your judgment of the current stage of development of your organization <u>and</u> answer the following questions.**
It is important to note that, in making the judgment, you should avoid averaging out across the various indicators identified for that component, since in reality some will be absolutely vital and some may be desirable, but not vital, and some may even be irrelevant to your organization. The stages are characterized by the drivers described in annex V of the note of the Joint Inspection Unit; please review them to help guide your assessment and judgment.

**1.1.** Select the stage of development**:**

**Stage 1** ☐     **Stage 2** ☐     **Stage 3** ☐     **Stage 4** ☐     **Stage 5** ☐

**1.2.** Provide the rationale or justification for your selection:

**1.3.** Provide evidence supporting the stage of development selected: list the documented evidence available that supports your judgment. If no documented evidence is available, please provide the names of experts/staff/managers involved in the selection of the stage of development.

**1.4.** Provide any comments on the stage selected   and/or on the component (successes, opportunities, challenges, constraints):

**1.5.** Are there future plans for the further development of the component?

**Q.2: Identification of activities and output strategies for mainstreaming results-based management in the component**

Select the activities that pertain to your organization and rate them. Add other main activities from your organization and rate them also. (**1** = No contribution**; 2** = Little contribution; **3** = Significant contribution)

| | | | | |
|---|---|---|---|---|
| ☐ | Clearly defines the different types and levels of evaluation | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Ensures that self-evaluation is a major component of a clearly elaborated evaluation system | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Ensures that resources are clearly allocated for evaluation purposes, in particular self-evaluation in each programme | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Provides support and guidance to promote the use of self-evaluations by managers | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Ensures that evaluation modalities are consistent with the objectives of the evaluation (accountability/learning) | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Ensures that timely plans of self-evaluation are elaborated as part of an overall evaluation plan for the organization | 1 ☐ | 2 ☐ | 3 ☐ |

**OTHER ACTIVITIES FROM YOUR ORGANIZATION (please specify and rate each):**

| | | | | |
|---|---|---|---|---|
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |

**3.4. Management information system:** The aim of a management information system is to maximize relevance and efficiency in the accessibility of performance data available to support decision-making. Management information systems should strive to provide efficient solutions to make strategic performance easily available and accessible within an organization. In order to provide past, present and prediction information, a management information system can include: financial management systems; asset management systems; human resources management systems; project management systems; and knowledge database systems. Given the integrated nature of strategies, programmes, projects, budgeting and human resources management, a management information system that supports results-based management has to be integrated on multiple levels and designed in a way that enhances both quality and efficiency in the information it provides to support decision-making processes.

**Output quality:** Integrated management information systems support the timely availability of strategic and operational performance information to support decision-making processes.

## Performance indicators

The development of management information systems should be supported by a strategy that:

- Continuously seeks to enhance the integration of strategic and operational (programme/project) performance data available within the organization
- Recognizes the cause-effect relationships between use behaviours and the organization's requirements, the technological architecture and infrastructure, and the governance model of the information management
- Ensures alignment with the corporate strategy of the organization
- Establishes and determines priorities for information management value initiatives for the organization
- Has an organized growth path for the information management platforms and detects synergies between the different information systems
- Leverages and exploits the investments already made in technology
- Takes stock of best practices, lessons learned and regular users' feedback on information management practices
- Is implemented by a dedicated unit

## Stages of development

**Stage 1 – Not started:** The management information system (normally the organization's enterprise resource planning system) does not provide evidence of results at corporate and programmatic levels.

**Stage 2 – Exploration for mainstreaming:** The organization recognizes the need for a management information system that makes existing results evidence available for decision-making at both the corporate and programmatic levels. The organization may already have a management information system, but the system does not enable access to timely strategic results information (mostly informing on the use of resources and outputs) for all decision makers. There might be such a management information system at the level of projects/programmes driven at the discretion of a few champions. None or few of the features listed on the left are included.

**Stage 3 – In the process of mainstreaming:** A management information system able to provide relevant evidence at the corporate and programmatic levels has been designed and is being/has been rolled out in the organization. At this stage focus is given to ensuring accessibility and that the right information is fed into the system. Some of the features listed on the left are included and some/few decision makers refer to it to take decisions.

**Stage 4 – Fully mainstreamed and continuous learning for refinement/adjustment:** The management information system provides relevant evidence at the corporate and programmatic levels and ensures that the outcome evidence is entered in the system and the information produced is reliable, stable and secure, and can be accessed when needed. The system is being refined and adjusted to its specific context and to reflect lessons learned. Many of the features listed on the left are included, and several key decision makers use it in taking decisions.

**Stage 5 – Evaluation and renewal:** The management information system has been evaluated and renewed, based on what worked and what did not. The system is fully integrated into the work practice of the organization and enables accessibility to real-time information regarding the hierarchy of results at all levels of the results chain and all structural levels of the organization. Focus is given to expanding accessibility to relevant partners and stakeholders, and to enhancing the availability of information relevant for integrating results information. All key decision makers and staff use the system to inform the decision-making process. Most/all of the features listed to the left are included.

## 3.4. Management information system

**Q.1: Assessment of stage of development and evidence for assessment**

**Based on the description of the stages above, please make your judgment of the current stage of development of your organization <u>and</u> answer the following questions.**
It is important to note that, in making the judgment, you should avoid averaging out across the various indicators identified for that component, since in reality some will be absolutely vital and some may be desirable, but not vital, and some may even be irrelevant to your organization. The stages are characterized by the drivers described in annex V of the note of the Joint Inspection Unit; please review them to help guide your assessment and judgment.

**1.1.** Select the stage of development**:**

**Stage 1** ☐     **Stage 2** ☐     **Stage 3** ☐     **Stage 4** ☐     **Stage 5** ☐

**1.2.** Provide the rationale or justification for your selection:

**1.3.** Provide evidence supporting the stage of development selected: list the documented evidence available that supports your judgment. If no documented evidence is available, please provide the names of experts/staff/managers involved in the selection of the stage of development.

**1.4.** Provide any comments on the stage selected  and/or on the component (successes, opportunities, challenges, constraints):

**1.5.** Are there future plans for the further development of the component?

**Q.2: Identification of activities and output strategies for mainstreaming results-based management in the component**

Select the activities that pertain to your organization and rate them. Add other main activities from your organization and rate them also. (**1** = No contribution**; 2** = Little contribution; **3** = Significant contribution)

| | | | | |
|---|---|---|---|---|
| ☐ | Ensures results-based management information systems are easy to use and cost-beneficial | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Builds simple and user-friendly results-based management information technology systems that are customized to the organization | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Develops management information systems with an evaluative perspective | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Embeds results-based management-related management systems in the portfolio of information systems existing within the organization | 1 ☐ | 2 ☐ | 3 ☐ |
| **OTHER ACTIVITIES FROM YOUR ORGANIZATION (please specify and rate each):** | | | | |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |

**4.1. Internalization:** Based on the results-based management conceptual foundation set by the organization (see pillar 1), the internalization process aims to support the sustainable acceptance and compliance with the set of new values, norms, tools, processes and procedures implied by results-based management. It does so by providing the training, incentives and support necessary for the staff and managers of the organization to apply the identified requirements and implications. Ultimately, internalization efforts aim at empowering and building the sustainable ownership of staff over the change process in order for new practices to become the typical new norm and mode of operation.

**Output quality**: Results-based management is effectively internalized throughout the organization by staff and managers.

## Performance indicators

- Staff within the organization understand both the rationale for results-based management for the organization as well as the philosophy, guiding principles, requirements and approaches
- There are visible efforts and investment by the organization in developing the capacity of staff to understand both the approach to results-based management and their role in its operationalization through trainings and guidance
- Staff members understand their role in applying results-based management in their work at all levels, as set out in the organization's results-based management strategy/guidance
- Accountability and incentive systems for transformative learning and action are in place
- Efforts are directed in performance assessments to allow for innovation and corrective action and reduce risk aversion
- Learning groups and networks are established with a high level of staff participation
- Performance assessment is based on results achievement, the identification of lessons learned and significant results to be shared
- Staff receive adequate training and professional development to enhance the understanding and development of the relevant competencies of results-based management
- The effectiveness of internalization efforts is periodically reviewed, seeking to identify areas for improvement and potential obstacles/disincentives that constrain progress

## Stages of development

**Stage 1 – Not started:** The organization does not invest in developing the capacity of staff to understand both the results-based management approach and their role in its operationalization.

**Stage 2 – Exploration for mainstreaming:** The organization is seeking to enhance the understanding of results-based management and its adoption by staff. Internalization initiatives exist within the organization; however, they are driven by a few champions and leaders that see the added value of results-based management in supporting the delivery of results. However, they are limited to their managerial sphere of influence. None or few of the indicators listed on the left are present.

**Stage 3 – In the process of mainstreaming:** Champions and leaders that promote results-based management are encouraged to show its added value in their organization, and pilots/initiatives are carried out (e.g., learning groups, thematic networks, etc.). The organization is integrating results-based management into its overall programme of training, and/or supporting the development of the capacity/skills of its staff through best practices sharing. Some of the indicators listed on the left are present. Some/few managers and staff members understand the value of results-based management and their role in its operationalization, and are committed to it.

**Stage 4 – Fully mainstreamed and continuous learning for refinement/adjustment:** The organization has mainstreamed a results focus, which is supported by internal guidance, and provides trainings on results-based management and related requirements to support the development of the capacity/skills of its staff. The approach used in mainstreaming the results culture within the organization (e.g., trainings, learning groups, networks, etc.) and its effectiveness is being refined and adjusted to the organization's context and to reflect lessons learned. Many of the indicators listed on the left are present. Many managers and staff members understand the value of results-based management and their role in its operationalization, and are committed to it.

**Stage 5 – Evaluation and renewal:** Training and sharing mechanisms have been evaluated and the whole approach to results-based management culture mainstreaming is being renewed, based on what worked and what did not. Training is extended to partners and government counterparts to enhance impact. Most/all of the features listed to the left are included. All staff members, as well as senior managers, understand the value of results-based management and their role in its operationalization, and are fully committed to it.

# 4.1. Internalization

**Q.1: Assessment of stage of development and evidence for assessment**

**Based on the description of the stages above, please make your judgment of the current stage of development of your organization <u>and</u> answer the following questions.**
It is important to note that, in making the judgment, you should avoid averaging out across the various indicators identified for that component, since in reality some will be absolutely vital and some may be desirable, but not vital, and some may even be irrelevant to your organization. The stages are characterized by the drivers described in annex V of the note of the Joint Inspection Unit; please review them to help guide your assessment and judgment.

**1.1.** Select the stage of development**:**

**Stage 1** ☐    **Stage 2** ☐    **Stage 3** ☐    **Stage 4** ☐    **Stage 5** ☐

**1.2.** Provide the rationale or justification for your selection:

**1.3.** Provide evidence supporting the stage of development selected: list the documented evidence available that supports your judgment. If no documented evidence is available, please provide the names of experts/staff/managers involved in the selection of the stage of development.

**1.4.** Provide any comments on the stage selected and/or on the component (successes, opportunities, challenges, constraints):

**1.5.** Are there future plans for the further development of the component?

**Q.2: Identification of activities and output strategies for mainstreaming results-based management in the component**

Select the activities that pertain to your organization and rate them. Add other main activities from your organization and rate them also. (**1** = No contribution**; 2** = Little contribution; **3** = Significant contribution)

| | | | |
|---|---|---|---|
| ☐ | Assigns clear institutional responsibility to a defined entity within the organization to assist and oversee the orderly and systematic introduction of results-based management and ensure its coherent implementation within the organization (focal point and results-based management champion) | 1 ☐   2 ☐   3 ☐ | |
| ☐ | Develops a capacity development strategy that promotes change management throughout the organization and through which managers and staff at all levels will become familiarized with results-based management concepts and requirements, and its impact on their own work, which may include:<br>• Providing ongoing results-based management training and/or coaching to all managers and staff<br>• Integrating results-based management into management training<br>• Using self-evaluation training as part of results-based management training<br>• Providing clear and effective guidance and professional support on results-based management | 1 ☐   2 ☐   3 ☐ | |

| | | |
|---|---|---|
| | • Using results-based management networks to nurture a results culture | |
| ☐ | Establishes a quality assurance system to ensure that training tools and kits are used and applied at all levels, and provides "on-the-job" training, as appropriate | 1 ☐    2 ☐    3 ☐ |
| ☐ | Reviews and adapts rules and regulations governing the various work and management aspects in the organization | 1 ☐    2 ☐    3 ☐ |
| ☐ | Systematically verifies, including through surveys, the level of understanding and application of results-based management among staff and management at all levels | 1 ☐    2 ☐    3 ☐ |
| ☐ | Takes decisions based on performance monitoring and results-reporting from both the secretariat and governing bodies | 1 ☐    2 ☐    3 ☐ |
| ☐ | Puts in place and uses mechanisms to capture stakeholders' feedback | 1 ☐    2 ☐    3 ☐ |
| ☐ | Adapts management information systems to reflect emerging and evolving needs, such as the principles of authority and accountability, those flowing from the decentralization policy and exigencies of United Nations reform and results-based management good practices; they underpin the key pillars of the results-based management approach: results, financial and human resource management through interconnected information technology-based applications | 1 ☐    2 ☐    3 ☐ |
| **OTHER ACTIVITIES FROM YOUR ORGANIZATION (please specify and rate each):** | | |
| ☐ | | 1 ☐    2 ☐    3 ☐ |
| ☐ | | 1 ☐    2 ☐    3 ☐ |
| ☐ | | 1 ☐    2 ☐    3 ☐ |

**4.2. Leadership:** Leadership has the responsibility of creating the demand for results-based management and to ensure its success and sustainability. Mainstreaming results-based management requires changes in organizational strategy; changes in mindset and modes of thinking at all levels for continuous assessment, reflection and action; changes in accountability systems; changes in the incentive systems; and the development of motivation for the use of results. In a results culture, the focus is less about structures and compliance and more on eliminating constraints to allow for the effective management and use of results at all levels.

**Output quality:** Leadership (executive heads, senior and line managers) visibly demonstrate an active commitment to mainstreaming results-based management within the organization.

## Performance indicators

All managers (executive heads, senior and line managers) give consistent and visible support for results-based management. They:

- Visibly lead and demonstrate the benefits of using results-based evidence for decision-making
- Clarify how staff are contributing to this vision and how results are part of their daily work
- Challenge theories of change behind programmes and evidence gathered on performance
- Consistently ask for results information and use it to take decisions on adjustments to programmes and to hold managers accountable
- Establish realistic yet challenging performance expectations
- Ensure balance between accountability and learning in the results management regime
- Identify and support champions within the organization
- Highlight the culture of double-loop learning and the autonomous quality or self-regulated process of learning, reflection and action
- Create an enabling environment to report on and learn from both poor and good performance
- Encourage experimentation and the use of lessons learned from it
- Engage their staff in joint problem-solving driven by the need to use all skill sets, and allow sufficient time and resources for implementation
- Regularly and consistently communicate and discuss results-based management with all staff
- Provide central support for results-based management
- Leverage political and other external support for the results management regime

## Stages of development

**Stage 1 – Not started:** Senior managers do not indicate to staff the importance of results-based management and its mainstreaming across the organization.

**Stage 2 – Exploration for mainstreaming:** Few senior managers indicate to staff that results-based management is important and must be mainstreamed across the organization, and/or demand information on all levels of results and on the capacity to deliver results (as well as the means to achieve them), and do not use this information to inform decision-making. None or few of the indicators listed on the left are present.

**Stage 3 – In the process of mainstreaming:** Some/few senior managers demonstrate leadership and commitment to the operationalization of a results-based management approach in strategic decision-making on ad hoc basis. They demand information on all levels of results, and on the capacity to deliver results (as well as the means to achieve them), in order to inform decision-making on the allocation of resources, strategies and policies. Some of the indicators listed on the left are present.

**Stage 4 – Fully mainstreamed and continuous learning for refinement/adjustment:** Many senior managers demonstrate leadership and commitment to the operationalization of a results-based management approach in strategic decision-making on a sustained basis. They require and provide the means to collect information on outcomes and on the capacity to deliver results (as well as the means to achieve them), in order to inform decision-making on operations, the allocation of resources, strategies and policies and accountability. Their approach in fostering a results-based management culture across staff (e.g., through showing its added value, discussing it with staff, leveraging external support for it, etc.) is being refined and adjusted to the organization's specific context and to reflect lessons learned. Many of the indicators listed on the left are present.

**Stage 5 – Evaluation and renewal:** All senior managers demonstrate leadership and commitment to the operationalization of a results-based management approach in strategic decision-making, and are held accountable for it. They expect, as a priority, to be provided principally with information on outcomes. Their approach in fostering a results-based management culture across staff (e.g., through showing its added value, discussing it with staff, leveraging external support for it, etc.) has been evaluated and renewed, based on what worked and what did not. Most/all of the features listed to the left are included.

# 4.2. Leadership

## Q.1: Assessment of stage of development and evidence for assessment

**Based on the description of the stages above, please make your judgment of the current stage of development of your organization <u>and</u> answer the following questions.**
It is important to note that, in making the judgment, you should avoid averaging out across the various indicators identified for that component, since in reality some will be absolutely vital and some may be desirable, but not vital, and some may even be irrelevant to your organization. The stages are characterized by the drivers described in annex V of this note; please review them to help guide your assessment and judgment.

**1.1.** Select the stage of development**:**

**Stage 1** ☐    **Stage 2** ☐    **Stage 3** ☐    **Stage 4** ☐    **Stage 5** ☐

**1.2.** Provide the rationale or justification for your selection:

 

**1.3.** Provide evidence supporting the stage of development selected: list the documented evidence available that supports your judgment. If no documented evidence is available, please provide the names of experts/staff/managers involved in the selection of the stage of development.

 

**1.4.** Provide any comments on the stage selected  and/or on the component (successes, opportunities, challenges, constraints):

 

**1.5.** Are there future plans for the further development of the component?

 

## Q.2: Identification of activities and output strategies for mainstreaming results-based management in the component

Select the activities that pertain to your organization and rate them. Add other main activities from your organization and rate them also. (**1** = No contribution**; 2** = Little contribution; **3** = Significant contribution)

| | | 1 | 2 | 3 |
|---|---|---|---|---|
| ☐ | Demonstrates senior management leadership and commitment; manages expectations for results-based management by:<br>• Setting out reasonable yet challenging expectations for results-based management<br>• Proceeding gradually and with moderation<br>• Balanceing accountability and learning | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Builds a capacity for senior-level results-based management | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Builds up the results-based management capacity of senior managers by:<br>• Building the knowledge and understanding of results-based management through the training of senior managers.<br>• Using peer champions to sell the benefits of results-based management<br>• Bringing in outside senior managers to discuss results-based management experiences<br>• Having a results-based management expert observe senior managers working and provide feedback to them on how they could make better use of results-based management<br>• Providing senior managers with the kinds of questions they could be asking | 1 ☐ | 2 ☐ | 3 ☐ |

**OTHER ACTIVITIES FROM YOUR ORGANIZATION (please specify and rate each):**

| | | 1 | 2 | 3 |
|---|---|---|---|---|
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |

**4.3. Use of results:** A mature results culture is one that manifests a high-level use of results information by all levels of the organization to guide accountability, learning and improvements, and sets directions or alternatives to enhance success in short-, medium- and long-term goals. The process of use involves reflective inquiry and transformative and double-loop learning.

**Output quality**: Enhanced conditions for the demand and use of results information to support decision-making by managers and staff at all levels in the organization.

## Performance indicators

- A clear and shared vision of the value of results information and the role it should play in managing the organization
- Results information is seen by managers and staff as a valuable commodity and essential to good management and delivery
- Information on outcomes and the capacity to continue delivering them (as well as the means to achieve them) is frequently analysed and used in decision-making on modifying operations, reallocating resources and revising strategies and policies
- The analysis and evaluation function provides information on what works, why, how and in what contexts, thereby providing a good basis to guide decisions and actions for improvement or change
- Measures are taken to ensure that the "system" meets needs, is cost-effective and produces good-quality data and information

## Stages of development

**Stage 1 – Not started:** Results information is not seen as a valuable commodity, essential to good management and delivery.

**Stage 2 – Exploration for mainstreaming:** Results information (to enable managers and staff to manage for outcomes) is seen by only a few managers and staff as a valuable commodity, and there is no institutional effort for enhancing the availability and use of results within the organization. There may be organizational guidance saying that results information is important, but no mechanisms to ensure that results information is available or that it is used in decision-making are in place. None or few of the indicators listed on the left are present.

**Stage 3 – In the process of mainstreaming:** The organization is making efforts to mainstream results-based management in the component, mainly by advocating for the use of results information in management and the strengthening of systems generating results information (outcomes). Mechanisms to ensure the systematic availability of results information at the various decision-making levels of the organization are being established. However, the importance of results information is only recognized by some/few groups within the organization (across senior leaders and staff). Some of the indicators listed on the left are present.

**Stage 4 – Fully mainstreamed and continuous learning for refinement/adjustment:** Many senior managers and staff members recognize the value of outcome information and its role in managing the organization, and are committed to learning from it. They share a clear vision of the roles and responsibilities of the various parties involved in mainstreaming results-based management within the organization. Mechanisms and systems meant to support the systematic availability of strategic results information and its use are in place. The approach and tools used in fostering the use of results information and the commitment to learn from it are being refined and adjusted to the organization's specific context and to reflect lessons learned. Many of the indicators listed on the left are present.

**Stage 5 – Evaluation and renewal:** All senior managers demonstrate leadership and commitment to the operationalization of a results-based management approach in strategic decision-making, and are held accountable for it. They expect, as a priority, to be provided principally with information on outcomes. Their approach in fostering a results-based management culture across staff (e.g., through showing its added value, discussing it with staff, leveraging external support for it, etc.) has been evaluated and renewed, based on what worked and what did not. Most/all of the features listed to the left are included.

## 4.3. Use of results:

**Q.1: Assessment of stage of development and evidence for assessment**

**Based on the description of the stages above, please make your judgment of the current stage of development of your organization <u>and</u> answer the following questions.**
It is important to note that, in making the judgment, you should avoid averaging out across the various indicators identified for that component, since in reality some will be absolutely vital and some may be desirable, but not vital, and some may even be irrelevant to your organization. The stages are characterized by the drivers described in annex V of the note of the Joint Inspection Unit; please review them to help guide your assessment and judgment.

**1.1.** Select the stage of development**:**

    **Stage 1** ☐    **Stage 2** ☐    **Stage 3** ☐    **Stage 4** ☐    **Stage 5** ☐

**1.2.** Provide the rationale or justification for your selection:

 

**1.3.** Provide evidence supporting the stage of development selected: list the documented evidence available that supports your judgment. If no documented evidence is available, please provide the names of experts/staff/managers involved in the selection of the stage of development.

 

**1.4.** Provide any comments on the stage selected   and/or on the component (successes, opportunities, challenges, constraints):

 

**1.5.** Are there future plans for the further development of the component?

 

**Q.2: Identification of activities and output strategies for mainstreaming results-based management in the component**

Select the activities that pertain to your organization and rate them. Add other main activities from your organization and rate them also. (**1** = No contribution**; 2** = Little contribution; **3** = Significant contribution)

| | | | | |
|---|---|---|---|---|
| ☐ | Introduces/strengthens requirements for results-based performance reporting, both internally and externally | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Provides room for feedback in staff appraisal: provides time/attention for learning from experience and what has been achieved in a "safe" environment | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Bases management scoreboard on use and action | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Integrates the implementation of specific recommendations from internal use of key external or internal assessment | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | Promotes the establishment of formal or informal platforms for sharing learning and lessons learned | 1 ☐ | 2 ☐ | 3 ☐ |

**OTHER ACTIVITIES FROM YOUR ORGANIZATION (please specify and rate each):**

| | | | | |
|---|---|---|---|---|
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | | 1 ☐ | 2 ☐ | 3 ☐ |

**5.1. United Nations coherence for outcome achievement:** Mutual accountability refers to the shared obligation to demonstrate to each other that respective responsibilities towards the achievement of results are fulfilled in compliance with agreed rules and standards and to report fairly and accurately on results performance. This obligation may be reflected in a memorandum of understanding in which the roles, responsibilities and accountabilities, as well as the principles for operation, are established. In other cases, the parties provide signatures to a common framework for action, as in the case of the United Nations Development Assistance Framework. The effectiveness of this agreement is enhanced when there is a system holding the parties accountable for the agreement and the results achieved. This is premised upon: (a) a common understanding of the overall results and how the various results of United Nations system organizations are strategically aligned or interrelated within them; (b) common definitions, concepts, measurement principles and standards; (c) a central coordination function for system-wide or joint results; (d) one common format or one set of aligned formats in results reporting; and (e) a governance structure and system for the reporting of joint, inter-agency, subsystem-wide and system-wide results from performance assessments, reviews and evaluations (at strategic, global, regional and country programme levels).

**Output quality**: A legitimate, transparent and coherent framework for collective impact among United Nations system organizations.

## Performance indicators

United Nations coherence in the context of results-based management and the 2030 Agenda for Sustainable Development should include:

- The identification/mapping of relevant parties, guided by an analysis of the degree to which they can influence the achievement of specific Sustainable Development Goals and targets, or the context in which results are expected to occur
- The establishment and agreement of a shared vision for change and a joint approach to implementing change, drawing from dialogues/engagements that enable the development of joint approaches to define problems to be tackled, and their solutions
- The definition of a shared measurement system, and a common approach to data analysis, monitoring and evaluation
- The definition of clear roles and responsibilities based on a transparent analysis of mandates and comparative advantages with a view to leveraging existing resources (e.g., expertise, geographical presence, etc.)
- The clear identification of duplications, complementarities and synergies in the delivery of outputs for common outcomes seeking to emphasize mutually reinforcing activities which may require stronger coordination
- Ensuring that individual agencies formally recognize and endorse the agreement and ensure adequate balance between agency-specific requirements and the requirement for collective impact
- Ensuring that there is consistent and open communication to and across all players
- A mutual accountability framework based on common outcomes (horizontal accountability across entities, and vertical linking at the global, regional and country levels)
- A system for the enforcement of mutual agreement (incentives and obligations)
- The establishment of common rules of the game for governing bodies to work in aligned and integrated ways
- Support from a backbone support function acting as a coordinating function for collaboration between entities (guides the strategy, supports the alignment of activities and measurement practices, advances policy, supports advocacy efforts).

## Stages of development

**Stage 1 – Not started:** The organization does not have a mutual accountability system with other United Nations organizations tied to results at the system-wide level.

**Stage 2 – Exploration for mainstreaming:** The organization is exploring ways to reflect a harmonized and coherent results-based management perspective in its mutual accountability system. It might implement an ad hoc framework at the request of partners/donors. None or few internal managers refer to it. None or few of the indicators listed on the left are present.

**Stage 3 – In the process of mainstreaming:** The organization is designing a performance-oriented system of accountability in cooperation with other United Nations organizations in order to replace the current (internally focused) accountability system. At this stage, some of the actions listed to the left are included, and some/few internal decision makers enforce it (on an ad hoc basis), influenced by results at all levels of hierarchy (input, output and outcome levels).

**Stage 4 – Fully mainstreamed and continuous learning for refinement/adjustment:** The organization has experience in using mutual accountability frameworks with other United Nations system organizations, and has shifted its approach mainly towards mutual accountability for outcomes. The mutual accountability framework is being refined and adjusted to the organization's specific context and to reflect lessons learned. Many of the actions listed to the left are included, and many decision makers refer to it for their routine decision-making in order to consider changes in the wider external context and actions taken by all partners.

**Stage 5 – Evaluation and renewal:** The outcome-oriented mutual accountability framework has been evaluated and renewed based on what worked and what did not in order to enhance impact, coherence and relevance as a tactic to capture the commitment, collaboration and trust of countries, donors and partners. The effectiveness in achieving shared development outcomes continuously influences the accountability decisions of most/all executives. Most/all of the actions listed to the left are included, and all decision makers refer to it for their routine decision-making. These have been evaluated and renewed based on what worked and what did not. Most/all of the features listed to the left are included.

## 5.1. United Nations coherence for outcome achievement

**Q.1: Assessment of stage of development and evidence for assessment**

**Based on the description of the stages above, please make your judgment of the current stage of development of your organization <u>and</u> answer the following questions.**
It is important to note that, in making the judgment, you should avoid averaging out across the various indicators identified for that component, since in reality some will be absolutely vital and some may be desirable, but not vital, and some may even be irrelevant to your organization. The stages are characterized by the drivers described in annex V of the note of the Joint Inspection Unit; please review them to help guide your assessment and judgment.

**1.1.** Select the stage of development**:**

**Stage 1** ☐    **Stage 2** ☐    **Stage 3** ☐    **Stage 4** ☐    **Stage 5** ☐

**1.2.** Provide the rationale or justification for your selection:

**1.3.** Provide evidence supporting the stage of development selected: list the documented evidence available that supports your judgment. If no documented evidence is available, please provide the names of experts/staff/managers involved in the selection of the stage of development.

**1.4.** Provide any comments on the stage selected  and/or on the component (successes, opportunities, challenges, constraints):

**1.5.** Are there future plans for the further development of the component?

**Q.2: Identification of activities and output strategies for mainstreaming results-based management in the component**

Add main activities from your organization and rate them. (**1** = No contribution**; 2** = Little contribution; **3** = Significant contribution)

**OTHER ACTIVITIES FROM YOUR ORGANIZATION (please specify and rate each):**

| | 1 ☐ | 2 ☐ | 3 ☐ |
|---|---|---|---|
| ☐ | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | 1 ☐ | 2 ☐ | 3 ☐ |

**5.2. Alignment between United Nations and other partners for outcome achievement:** A number of conventions drive objectives for mutual accountability, such as the Monterrey Consensus, the Paris Declaration, the Accra Agenda for Action and the Busan Partnership for Effective Development Cooperation. The 2030 Agenda for Sustainable Development complements and strengthens these, recognizing the important changes in a broader context, notably the increased complexity of global challenges and the increasing number of development actors directly or indirectly influencing development results. This puts an important emphasis on mutual accountability among stakeholders in the achievement of results beyond outputs. However, for this to materialize, relevant stakeholders need to be engaged and engage each other under a common framework that drives and supports their collective impact efforts. The United Nations system, through its recognized convening power, holds a comparative advantage in as well as a responsibility for the facilitation of multi-stakeholder dialogues for policy and institutional coherence, the coordination of implementation strategies and the monitoring of progress towards the achievements of the Sustainable Development Goals. This should be guided by an aim to leverage all existing capacities and resources and ensure the mutually reinforcing nature of stakeholder interventions towards a common vision for change and the optimization of impact.

**Output quality:** A legitimate, transparent and coherent framework for collective impact among United Nations system and other stakeholders.

## Stages of development

**Stage 1 – Not started:** The organization does not have a mutual accountability system with partners, donors and countries which is tied to country-specific results.

**Stage 2 – Exploration for mainstreaming:** The organization is exploring ways to reflect a harmonized results-based management perspective into its accountability framework. It might have a framework requested by some countries; however, it is not systematic. None or few of the indicators listed on the left are present, and decision makers do not refer to it and are not influenced by country outcomes.

**Stage 3 – In the process of mainstreaming:** The organization is designing a performance-oriented system of accountability, in cooperation with some countries, in order to replace its current external accountability system. Some of the actions listed to the left are included, and some/few decision makers have enforced it (on an ad hoc basis) influenced by development outcomes at the country level.

**Stage 4 – Fully mainstreamed and continuous learning for refinement/adjustment:** The organization has experience in using a mutual accountability framework with United Nations system organizations and other partners at the country level, and it has shifted its focus mainly to development outcomes at the country level. The mutual accountability framework has been refined and adjusted based on lessons learned. Many of the actions listed to the left are included, and many decision makers use it for their routine decision-making in order to consider changes in the wider external context and actions taken by all their diverse partners.

**Stage 5 – Evaluation and renewal:** The outcomes-oriented mutual accountability framework has been evaluated and renewed, based on what worked and what did not. The effectiveness in achieving shared development outcomes at the country level is continuously influenced by the accountability decisions of many/all executives. Most/all of the actions listed to the left are included, and all decision makers use it for their routine decision-making.

## Performance indicators

Alignments in the context of results-based management and the 2030 Agenda for Sustainable Development should include:

- The identification of relevant parties, guided by an analysis of the degree to which they can influence the achievement of outcomes, or the context in which results are expected to occur
- The establishment and agreement of a common agenda, a shared vision for change and a joint approach to implementing change, all of which should be based on dialogue enabling the development of joint approaches to define problems to be tackled, and their solutions
- The definition of a shared measurement system and a common approach to data analysis, monitoring and evaluation
- The definition of clear roles and responsibilities based on a transparent analysis of mandates and comparative advantages with a view to leveraging existing resources (e.g., expertise, geographical presence, etc.)
- The clear identification of duplications, complementarities and synergies in the delivery of outputs for common outcomes seeking to emphasize mutually reinforcing activities which may require stronger coordination
- Ensuring that dialogues are comprehensive, open and inclusive, covering all interests of parties involved and all aspects of strategies to achieve results (i.e., valuing the dialogue process as much as the agreement)
- Ensuring that there is consistent and open communication to and across all players
- A system for the enforcement of mutual agreement (incentives and obligations)
- Ensuring that individual agencies formally recognize and endorse the agreement and ensure adequate balance between agency-specific requirements and the requirement for collective impact
- A mutual accountability framework based on common outcomes (horizontal accountability across entities, and vertical linking at the global, regional and country levels)[[already included above]]
- The establishment of common rules of the game for governing bodies to work in aligned and integrated ways
- Support from a backbone support function acting as a coordinating function for collaboration between entities (guides the strategy, supports the alignment of activities and shared measurement practices, advances policy, mobilizes funding, supports advocacy efforts).

## 5.2. Alignment between United Nations and other partners for outcome achievement

**Q.1: Assessment of stage of development and evidence for assessment**

**Based on the description of the stages above, please make your judgment of the current stage of development of your organization <u>and</u> answer the following questions.**
It is important to note that, in making the judgment, you should avoid averaging out across the various indicators identified for that component, since in reality some will be absolutely vital and some may be desirable, but not vital, and some may even be irrelevant to your organization. The stages are characterized by the drivers described in annex V of the note of the Joint Inspection Unit; please review them to help guide your assessment and judgment.

**1.1.** Select the stage of development**:**

**Stage 1** ☐     **Stage 2** ☐     **Stage 3** ☐     **Stage 4** ☐     **Stage 5** ☐

**1.2.** Provide the rationale or justification for your selection:

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│                              │
│                              │
└──────────────────────────────┘
```

**1.3.** Provide evidence supporting the stage of development selected: list the documented evidence available that supports your judgment. If no documented evidence is available, please provide the names of experts/staff/managers involved in the selection of the stage of development.

```
┌──────────────────────────────┐
│                              │
│                              │
└──────────────────────────────┘
```

**1.4.** Provide any comments on the stage selected  and/or on the component (successes, opportunities, challenges, constraints):

```
┌──────────────────────────────┐
│                              │
│                              │
└──────────────────────────────┘
```

**1.5.** Are there future plans for the further development of the component?

```
┌──────────────────────────────┐
│                              │
│                              │
└──────────────────────────────┘
```

**Q.2: Identification of activities and output strategies for mainstreaming results-based management in the component**

Add main activities from your organization and rate them. (**1** = No contribution**; 2** = Little contribution; **3** = Significant contribution)

**OTHER ACTIVITIES FROM YOUR ORGANIZATION (please specify and rate each):**

| ☐ | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | 1 ☐ | 2 ☐ | 3 ☐ |
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| ☐ | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | 1 ☐ | 2 ☐ | 3 ☐ |
| ☐ | 1 ☐ | 2 ☐ | 3 ☐ |

**PART 2:  SUMMARY SHEET FOR ORGANIZATIONAL PROFILE FOR STAGES OF DEVELOPMENT**

| Pillars | Components | *Stages- Component* | *Stages -  Pillars* |
|---|---|---|---|
| **Pillar 1 -<br>RBM Conceptual Foundation** | 1.1 Conceptual Foundation | | |
| | 1.2 Accountability Framework | | |
| | 1.3 Change Management Framework | | |
| **Pillar 2 - Planning, Programming and Budgeting** | 2.1 Corporate strategic results framework | | |
| | 2.2 Results framework for organization_programmes_and_projects | | |
| | 2.3 Quality results measurement system | | |
| | 2.4 Results based budgeting | | |
| | 2.5 Human resources management | | |
| **Pillar 3 - Monitoring, Evaluation and Reporting** | 3.1 Performance Monitoring | | |
| | 3.2 Results Reporting | | |
| | 3.3 Evaluation | | |
| | 3.4 Management information systems | | |
| **Pillar 4 - Fostering a culture of results** | 4.1 Internalization | | |
| | 4.2 Leadership | | |
| | 4.3 Use of results | | |
| **Pillar 5- Collective accountability for results and results reporting** | 5.1 UN coherence for outcome achievement | | |
| | 5.2 Alignment between UN and other partners for outcome achievement | | |

## PART 3:   VALIDATION OF SELF-ASSESSMENT OF STAGES OF DEVELOPMENT

**Validation by the Joint Inspection Unit or other external body**

The Joint Inspection Unit, or other independent external assessment body, will do a validation of the self-assessment and the resulting organizational component configuration or profile. This will include a <u>desk-assessment</u> against evidence provided by the organization, and <u>consultations</u> with oversight and evaluation offices.

This desk assessment will be followed by <u>interviews,</u> as described below.

**Interviews with focal points who led the completion of the self-assessment tool**

The interview will focus on features peculiar to organizations in order to explore the nuances of experiences within individual organizations. These nuances and peculiarities are more efficiently addressed face-to-face.

The interviews on the assessment of stages of development and on the components' configuration will be done with those who took the lead in completing the assessment. For the Joint Inspection Unit, there will be three main concerns in such follow-up interviews:

1.  <u>Internal validity in rating</u>:

    - Understand the evidence used when making judgments and ensure consistency in ratings with the evidence used;
    - Discuss the overall configuration of the pillars and how the pattern is truly reflective of the organizational stage of development;
    - Discuss whether the current status of the pillars and components reflects the view within the organization that the component is not a priority for the organization in mainstreaming results-based management, or reflects the fact that results-based management mainstreaming has only recently started.

2.  <u>External validity in rating</u>:

    - Ensure consistency in the ratings of the stages of the components across the 12 organizations and explore the need for adjustments in ratings made, which is an important factor in allowing for comparability in system-wide analysis
    - Discuss the consistency or discrepancy in patterns observed across the 12 organizations (based on analysis before the interview). This aspect of external validity is further addressed as part of a synthesis workshop to be held following validation based on evidence provided for all organizations.

3.  <u>System-wide dimension of results-based management</u>:

Assess more fully the questions on coherence, alignment and collective accountability. This is addressed in stage 5 of the development of results-based management for some components (see drivers of stages of development), as well as in pillar 5 on collective accountability. The discussion would include items such as how United Nations organizations are supposed to engage/partner with: (a) the rest of the United Nations; and (b) other partners (mainly governments) at the country level. Discussion with organizations during consultations and a review of material produced under the United Nations Development Group indicates that this area of collective accountability is not well developed in terms of setting out precisely what the implications for results-based management would be.

## ANNEX X. PROTOCOL FOR ASSESSING OUTCOMES OF RESULTS-BASED MANAGEMENT

### Introduction

The annexes above (VIII and IX) focus on mainstreaming results-based management and how it manifests in management systems, as well as on the level of development in mainstreaming and in managing for the achievement of results and outcomes. This mainstreaming is expected to have several outcomes at various levels, including the enhancement of strategic decision-making.

This annex aims to assess the difference made by results-based management in a number of outcome areas identified by organization and in outcome areas that are identified by the quadrennial comprehensive policy review.

### Approach

The assessment of results-based management outcomes uses the same approach as the assessment of the stages of development, and includes two parts:

1. Self-assessment by the organization of the outcomes of results-based management, highlighting the difference it makes in decision-making and in achieving the outcomes of the quadrennial comprehensive policy review. This is done through an open-ended questionnaire.
2. Validation of the self-assessment through (a) document analysis and (b) a focused, non-structured interview.

Section 1 of this annex has a questionnaire with instructions. The questionnaire is to be completed by the senior managers of organizations with regard to the outcomes and the way forward.
Section 2 has instructions for the follow-up focused and non-structured interview with those same managers. It also includes an open-ended discussion on the way forward and the relevance and role of results-based management in the future of the United Nations system.

Before completing the questionnaire, it is important to first review the benchmarking framework for results-based management (annex VIII of this note), which provides details on the pillars and their linkages with the components and on the indicative outcomes describing some of the differences made by results-based management or its added value. It is also important to review the assessment methodology for stages of development (annex IX) and to read the note before the annexes which provides information on foundations for the self-assessment and the factors that are considered important when developing the stages of development of a results-based management system in managing for the achievement of results.

## Section 1:  Self-Assessment by Senior Managers of Results-Based Management Outcomes

Does the mainstreaming of results-based management concepts and principles in organizational culture, systems and procedures make a difference?

**Instructions**
This questionnaire is to be completed by senior management at the corporate strategic decision level (e.g., top executives).
Completion of the questionnaire can be supported by the results-based management focal points who coordinated the completion of the assessment of components and stages of development.

Before completing the questionnaire, senior managers should be provided with a summary page of the self-assessment (see annex IX Part 3) so they can see the level and patterns of the development of results-based management in the organization.  This provides an opportunity for further validation of the stage of development.

 In assessing the outcomes from results-based management, it is important to focus on top-level strategic results (i.e., outcomes and impact level results). It is important to pay close attention when explaining the added value attributed to results-based management in the area, and to reflect on whether the organization would have gained the same value without the mainstreaming of results-based management. The focus is on the added value of results-based management and whether it makes a difference.

There are two parts to the questionnaire:
Part 1, on organizational outcomes, allows the organization to identify outcomes specific to the organization that are not covered under the quadrennial comprehensive policy review.
Part 2, on quadrennial comprehensive policy review outcomes, focuses on some of the quadrennial comprehensive policy review outcomes. When completing this part, each outcome area identified should be addressed by **senior managers who are associated with the area.**

**Part 1:  Outcomes identified by your organization**

*As highlighted in this note, results-based management is not about implementing a new management system, but rather about <u>mainstreaming a set of principles into existing management systems.</u> In this regard, results-based management would manifest itself <u>in terms of how existing management has changed.  The question raised in examining outcomes is: what have these changes resulted in, from the organization's perspective?</u>*

Based on the experience, investment and resources dedicated to results-based management within your organization:

1. What are the outcomes you obtained from mainstreaming results-based management? What difference has mainstreaming results-based management made within your organization?
2. Please describe: how did these outcomes impact your organization (positive or negative)?
3. Are there any challenges and constraints with regard to achieving the outcomes and impact identified from mainstreaming results-based management that you would like to highlight?
4. Are there any opportunities or success factors with regard to achieving the outcomes and impact identified from mainstreaming results-based management that you would like to highlight?
5. What plans do you have moving forward for developing the results-based management system of your organization?
6. Can you see a linkage between the outcomes you have identified and the quadrennial comprehensive policy review outcome areas? (This question involves sharing the list of policy review outcome areas and holding a discussion about the relationship between outcomes identified for the organization and those of the quadrennial comprehensive policy review. This discussion is pertinent to part 2, where the attainment of the quadrennial comprehensive policy review outcomes are assessed. (For quadrennial comprehensive policy review outcomes, please refer to annex III of the note.)

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*Please provide answer(s) in this box:*

**Part 2:   Outcome areas of the quadrennial comprehensive policy review[1]**

## Quadrennial comprehensive policy review outcome 1: Accountability

*"Results-based management as an essential element of accountability" (para. 164)*

Accountability refers to the obligation to demonstrate that work has been conducted in compliance with agreed rules and standards, or to report fairly and accurately on objectively defined performance results. In the results-based management system, focus is given to accountability for the results of the organization and the United Nations system, the difference this makes and its added value. Each level in the hierarchy of results implies accountability. Success at higher levels, including the outcome level, requires the analysis of risk factors. Managing such risk factors could include, among other things, developing partnerships in managing for the achievement of results. The accountability system thus ensures that key functions supporting accountability (i.e., monitoring, evaluation, audit and inspection) are structured in ways responsive to the results-based management principles and provide information that supports efforts directed at managing for the achievement of results.

*Evaluation questions***:**
1. In what ways has the accountability system changed as a result of results-based management mainstreaming?
2. In the area of human resources performance assessment, what do you hold staff and managers accountable for (disbursement of funds, corporate performance indicators, etc.)?
3. What difference has this made to your organization's effectiveness?
4. What difference has this made to your development effectiveness?
5. To what extent has it been feasible to mainstream results-based management into accountability?
6. What have been the challenges and constraints?
7. What have been the opportunities for mainstreaming results-based management in this area?
8. What plans do you have moving forward with regard to developing accountability with a focus on results?
9. Please answer: who is (are) the senior manager(s) making a judgment on this area in your organization?

*Please provide answers in this box:*

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[1] See General Assembly resolution 67/226.

## Quadrennial comprehensive policy review outcome 2: Results tracking and reporting systems

*"To improve results tracking and reporting mechanisms" (para. 165)*

A tracking system is used to observe evolving changes (e.g., movement, progress) and supply a timely, ordered sequence of respective situational data to a model capable of tracing those changes back to their cause or of identifying when plans went astray.

Results reporting involves an aggregation of results to report on outcomes achieved, and is a source of valuable information required for decision-making at various levels. Thus, the aggregation should consider levels of decision, as well as for whom the information is intended and how useful it is for decision-making. This is important to enhance credibility and utility in reporting.

*Evaluation questions:*

1. In what ways have results tracking and reporting changed as a result of results-based management mainstreaming?
2. Are you reporting at the outcome level?
3. When you aggregate information about results on outcomes, does it make any sense and is it useful (i.e., is the data valid, is it comparable, does it show attribution, does it show contribution relationships)?
4. As a result of results-based management mainstreaming, has your organization been able to provide <u>credible evidence</u> on performance above the level of activities and outputs?
5. Are you able to track the difference (attribution, contribution) you make?
6. What difference has this made to your organization's effectiveness?
7. What have been the challenges and constraints?
8. What have been the opportunities for mainstreaming results-based management in this area?
9. What plans do you have moving forward with regard to developing tracking and reporting with a focus on results?
10. Please answer: who is (are) the senior manager(s) making a judgment on this area in your organization?

*Please provide answer(s) in this box:*

**Quadrennial comprehensive policy review outcome 3: Streamlining and harmonization for system-wide results**

*"A more robust, coherent and harmonized approach to operational activities for development, focused on results, which would streamline and improve the planning, monitoring, measurement and reporting on system-wide results" (para. 169)*

Streamlining and harmonization entails coordinated responses across the United Nations system in order to reduce waste, lower transaction costs and improve collaboration between organizations in all of their undertakings, where applicable. Areas for system-wide coherence may include: planning, monitoring, reporting and other relevant activities, where applicable. Ultimately, these efforts aim to break existing silos in the way the United Nations system operates in order for the system to behave as a single entity.

*Evaluation questions***:**

1. Have the organization's efforts to mainstream results-based management improved the identification of common outcomes with other United Nations organizations?
2. Has a focus on a common outcomes with other United Nations organizations helped you streamline your planning, prioritizing or measuring processes?
3. Has the streamlining enhanced in any way your ability to work with other partners?
4. Has the focus on common outcomes with other United Nations organizations helped you report on system-wide results?
5. What have been the challenges and constraints?
6. What have been the opportunities for mainstreaming results-based management in this area?
7. What plans do you have moving forward with regard to streamlining system-wide reporting with a focus on results?
8. Please answer: who is (are) the senior manager(s) making a judgment on this area in your organization?

*Please provide answer(s) in this box:*

## Quadrennial comprehensive policy review outcome 4: Influence in development results and organizational effectiveness

*"Improving development results as well as organizational effectiveness" (para. 168)*

**Development results: your contribution**

Development results are results found at the impact level and are the ultimate benefits to the target population (such impacts are normally described in national strategies and often refer to the achievement of Sustainable Development Goal indicators). The results agenda has the potential to influence joint work and the relationships among development partners.

*Evaluation questions***:**

1. Have the identified outcomes from mainstreaming results-based management improved your ability to contribute to internationally agreed goals and conventions?
2. What are the impacts that your organization subscribes to?
3. What is the role your evaluation function plays in helping you assess the contribution you make to development results?
4. What is the perception of donors and countries with regard to how results-based management helps you contribute to development outcomes?
5. What have been the challenges and constraints to contributing to development results in connection to results-based management?
6. What have been the opportunities for mainstreaming results-based management in this area?
7. What plans do you have moving forward with regard to contributing to development outcomes with a focus on results?
8. Please answer: who is (are) the senior manager(s) making a judgment on this area in your organization?

*Please provide answer(s) in this box:*

**Organizational effectiveness: your efforts in influencing outcomes**

The <u>effectiveness of an organization</u> constitutes its ability to perform activities with balanced efficiency levels related to input versus the results accomplished (i.e., successfully meeting the intended objectives). Organizations do so by overcoming organizational challenges.

*Evaluation questions***:**

1. Does the evidence of results, when aggregated, allow you to make better-informed decisions about how money should be allocated, and whether you should stop funding things that are ineffective (strategic actions)?
2. How does mainstreaming results-based management achieve the results in an efficient and efficacious (successful) manner (e.g., with regard to coherence, partnerships, priority-setting, alignment)?
3. Does results-based management help you reduce waste and enhance value for money?
4. What have been the challenges and constraints to influencing outcomes?
5. What have been the opportunities for mainstreaming results-based management in this area?
6. What plans do you have moving forward to make use of results-based management to enhance organizational effectiveness?
7. Please answers: who is (are) the senior manager(s) making a judgment on this area in your organization?

*Please provide answer(s) in this box:*

## Quadrennial comprehensive policy review outcome 5: Mutual accountability

*"Ensure increased mutual accountability for results-based management and reporting at the country level" (para. 171)*

Mutual accountability refers to the shared obligation among a group of partners to demonstrate to each other that work resulting in a common outcome, or desired change, has been conducted in compliance with agreements or conventions and that it has sought to apply measures and mechanisms to enhance coherence, alignment and capacity development.

*Evaluation questions***:**

1. Have the identified outcomes from mainstreaming results-based management improved your partnership/donor relationships and/or country?
2. Has results-based management increased your ability to actively engage in the United Nations Development Assistance Framework process?
3. How has the mainstreaming of results-based management helped you make mutual accountability assessments in collaboration with partners, donors and countries?
4. Are these mutual accountability decisions based on results information that improve outcomes and impacts at the country level?
5. What have been the challenges and constraints to increasing mutual accountability?
6. What have been the opportunities for mainstreaming results-based management in this area?
7. What plans do you have moving forward with regard to developing mutual accountability, including coherence and country ownership, with a focus on results?
8. Please answer; who is (are) the senior manager(s) making a judgment on this area in your organization?

*Please provide answer(s) in this box:*

**Section 2:    Interviews with senior managers on the difference made by results-based management and future plans**

The interview will be conducted with different senior managers who have key responsibilities associated with the outcomes of quadrennial comprehensive policy reviews as well as other areas. Ideally, it should be the same manager(s) who completed the self-assessment of outcomes. It is a focused, non-structured interview based on the questionnaire.

 The focus will be on a dialogue with senior managers regarding the written responses provided in section 1 above, and the evidence made available to support the assessment of gains from results-based management.

The dialogue will also include system-wide issues and system-wide results reporting at both the corporate strategic level and the country level. This will include issues regarding collective accountability, and pilot initiatives such as the independent system-wide evaluation of operational activities for development.  The discussion will include ways in which the United Nations system would engage with the vast range of partners, and the implications for results-based management and governance.

The interview will also include the way forward and reflections for the future within organizations and across the United Nations system, and the required governance for success. This will include a critique of the results-based management and potential alternatives or complementary approaches in current context and changes.