

THE THREE CORE PRINCIPLES



1. *Ensure that results information is available*



2. *Use results information to inform planning and reporting*



3. *Practice learning and adaptive management, using results information*

THE FIVE SUPPORTING PRINCIPLES

1. *Foster transformational leadership in results-based management*



2. *Promote and support a results-oriented culture*



3. *Build and maintain results-based plans and frameworks*



4. *Ensure effective partnerships*



5. *Review and update results-based management practices*



Results-based management principles and standards

The **3+5** Framework for Self-Assessment



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Results-based management principles and standards

The **3+5** Framework for Self-Assessment



Contents

Foreword	1	Supporting Principle 1: Foster transformational leadership in results-based management	15
The 3+5 Framework for Self-Assessment	2	Supporting Principle 2: Promote and support a results-oriented culture	18
Key terms and concepts	3	Supporting Principle 3: Build and maintain results-based strategic plans, operational plans and frameworks	22
The Jellyfish Model of RBM Principles	4	Supporting Principle 4: Ensure effective partnerships for impact	26
The Three Core Principles and the Five Supporting Principles	4	Supporting Principle 5: Review and update office results-based management practices	28
Core Principle 1: Ensure that adequate and reliable results information is available when needed	5	Annex: Results questions for managers	30
Core Principle 2: Use results information to inform planning and reporting	9		
Core Principle 3: Practice learning and adaptive management, using results information	12		

Foreword

UNFPA is committed to achieving three transformative results by 2030: (a) ending preventable maternal deaths; (b) ending the unmet need for family planning; and (c) ending gender-based violence and all harmful practices, including female genital mutilation and child, early and forced marriage.

UNFPA cannot achieve these ambitious, people-centred transformative results by 2030 without investing in results-based management. The 3+5 Framework for Self-Assessment introduced learning and adaptation as the heart of results-based management.

UNFPA offices are requested to use this Framework to identify areas for improvement in results-based management, with a focus on learning and adapting. I also recommend that UNFPA offices develop a results-based improvement plan for areas requiring improvement that have been identified during the assessment.

To achieve the transformative results, we must work together. Although the main audience for this publication is UNFPA offices, I believe our implementing partners and other organizations around the world may also benefit from it.

I would like to thank the UNFPA offices that provided their inputs during the piloting phase of the 3+5 Framework for Self-Assessment. Let us recognize the power of learning and managing adaptively through continuous learning, and their importance in achieving the transformative results.

Ramiz Alakbarov

Director, Policy and Strategy Division
United Nations Population Fund

The 3+5 Framework for Self-Assessment

UNFPA is committed to achieving three ambitious, people-centred transformative results by 2030. These transformative results are:

- 1. Ending preventable maternal deaths;**
- 2. Ending the unmet need for family planning; and**
- 3. Ending gender-based violence and all harmful practices, including female genital mutilation and child, early and forced marriage.**

With just a few years remaining to the 2030 deadline for achieving the transformative results, there is a need to inject a sense of urgency into the process. In order to do so, UNFPA requires its managers and staff to: (a) be guided by results; (b) accelerate the implementation of interventions; (c) go beyond “business as usual”; and (d) enhance partnerships and move towards joint accountability.

To support these efforts, UNFPA must enhance and strengthen results-based management (RBM) within the organization by shifting the focus to learning — a key aspect of RBM. The 3+5 Framework for Self-Assessment (hereafter mentioned as the 3+5 framework) will enable UNFPA to realize this vision.

The 3+5 framework consists of three core RBM principles plus five supporting principles. Each principle has an associated set of standards that capture the essential elements of RBM for generating and using results information. The primary focus of the 3+5 framework is to enhance the availability of results information and to manage adaptively through continuous learning.

The 3+5 framework helps UNFPA and its partners to assess their status in terms of results-based management and to identify areas for improvement. The RBM standards are assessed on a four-point scale that is intended to provide a rating of the extent to which the RBM standard has been met. These ratings are:

- Fully met the RBM standard;**
- Partially met the RBM standard;**
- Minimally met the RBM standard; and**
- Not met the RBM standard**

UNFPA believes that there is no “one size fits all” approach for RBM. With the 3+5 framework, UNFPA presents the main requirements of RBM. A genuine interest in learning among all the offices that use this framework is essential. In undertaking a self-assessment, offices should ask themselves the following questions:

- 1. What must the office do to improve its ratings for each RBM standard?**
- 2. Has the office developed any innovative RBM practices that it could share with others?**

While the primary audience for the 3+5 framework is UNFPA country offices, this publication may also be useful for UNFPA implementing partners and other organizations.

Key terms and concepts

Results-based management (RBM)

RBM 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). The actors, in turn, use information and evidence regarding actual results to inform decision-making on the design, resourcing and delivery of programmes and activities. This information and evidence is also used for accountability and reporting.

Results

Results are defined as the outputs, outcomes or impacts of development interventions, with each element contributing to the next, as set out in the results chain. The links between each element are as important as the results themselves, reflecting the theory of change and the roles of providers and other stakeholders.

Results information

Results information in UNFPA consists of evidence about the results of development interventions. It includes:

- **Results data from monitoring the outputs and outcomes of UNFPA interventions;**
- **Results findings from UNFPA evaluations of results, such as what has been achieved, and why and how results have been brought about, as well as findings from other studies and research on the effectiveness, efficiency and impact of development interventions; and**
- **Results analysis (assessments, interpretation, synthesis and generalizations) about results (that is, how the results have been influenced by UNFPA) to determine how UNFPA can strengthen its contribution to development results.**

Learning

Learning is the process of acquiring new – or of modifying existing – knowledge, behaviours, skills, values or preferences. Thus, learning involves the reflection and consideration of results information to enhance knowledge, skills and understanding.

Using results information

Using results information for *informing* means that results information is deliberately considered when learning and managing takes place. Results information is part of the discussions and debates when management decisions are being taken. Therefore, results information is expected to *influence* managing, and, in many cases, to have an impact on the management decisions being taken. Decisions are influenced by a number of factors, only one of which may be results information. Thus some decisions, such as funding decisions, may be based on other factors, such as UNFPA, country or partner priorities.

The Jellyfish Model of RBM Principles



The Three Core Principles

The principle aim of RBM is to use results information to help “manage” effectively. Managing involves a number of activities: planning and reporting, and learning and adapting, all of which involve making decisions. The three core principles of RBM are:



Core Principle 1

Ensure that adequate and reliable results information is available when needed



Core Principle 2

Use results information to inform planning and reporting



Core Principle 3

Practice learning and adaptive management, using results information

The Five Supporting Principles

The five supporting principles of RBM are:



Supporting Principle 1

Foster transformational leadership in RBM



Supporting Principle 2

Promote and support a results-oriented culture



Supporting Principle 3

Build and maintain results-based strategic plans, operational plans and frameworks



Supporting Principle 4

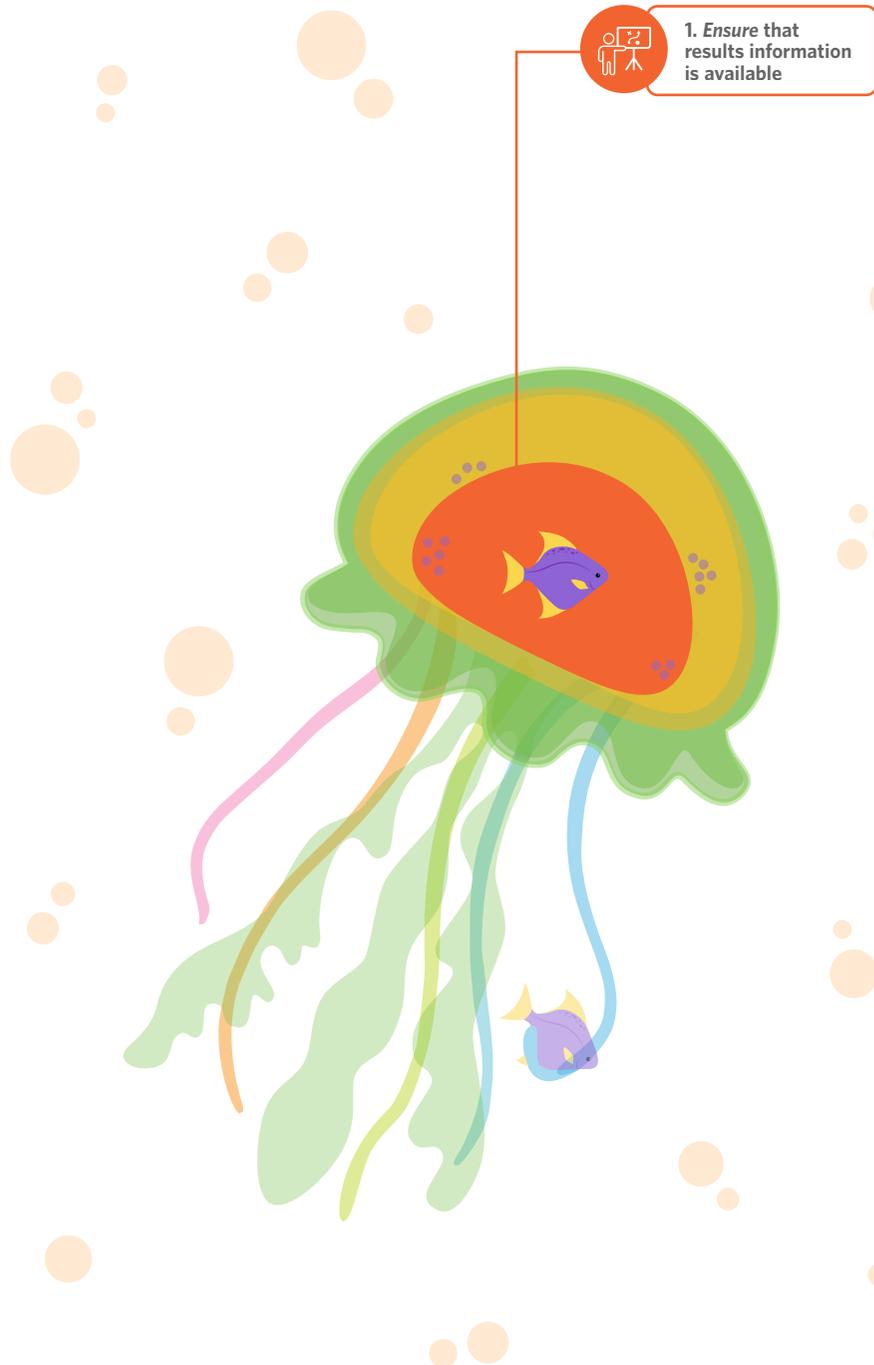
Ensure effective partnerships for impact



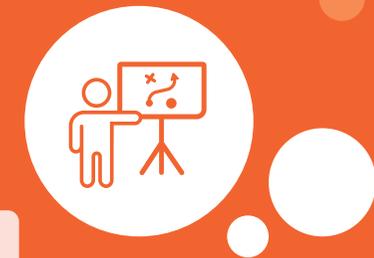
Supporting Principle 5

Review and update office RBM practices

The supporting principles are the conditions that must be in place in an office so that reliable results information is available and used to manage adaptively through continuous learning. These conditions support and encourage effective RBM practices, whereby results information is valued and in demand, and seen as an essential tool to effectively assist UNFPA in achieving the three transformative results.



1. Ensure that results information is available



CORE PRINCIPLE 1

Ensure that adequate and reliable results information is available when needed

To be able to use results information for learning and managing, results information must be available in offices when it is needed. The standards under this core principle address the need to measure, collect, analyse and store, in an accessible manner, relevant and reliable information that may be used with confidence about the results of office efforts.

CORE PRINCIPLE STANDARD 1.1

A strategy is in place for measuring key results, including:

- A multi-year costed monitoring plan covering all programmes and projects with a manageable set of performance indicators;
- A multi-year costed evaluation plan;
- Results measured in evaluations, studies, research, reviews and participatory assessments that complement the monitoring data and fill in gaps; and
- Monitoring and evaluation costed plans that reflect the proven capacity of the office.

Fully met	Partially met	Minimally met	Not met
Credible and coordinated costed monitoring and evaluation plans are in place	Reasonable costed monitoring and evaluation plans are in place, with some coordination between them	Ad hoc monitoring with some evaluations is planned, but no link between the two exists	No measurement strategy is in place

Evidence may include:

- (a) A realistic costed monitoring plan;
- (b) A realistic costed evaluation plan;
- (c) Coordinated and linked monitoring and evaluation plans; and
- (d) A realistic and manageable set of indicators.

CORE PRINCIPLE STANDARD 1.2

Reliable results data from monitoring on a range of results are regularly collected and stored. This includes the following:

- Monitoring data are collected and stored on the results of the country programme and projects;
- Output data are collected and stored at least annually from monitoring; and
- All available outcome and impact data from monitoring are collected and stored.

Fully met	Partially met	Minimally met	Not met
The monitoring of the programme and projects routinely provides a range of reliable results data covering outputs, outcomes and impacts, all of which is stored	The monitoring of some programmes and projects provides reasonably reliable results data covering outputs and some outcomes, most of which is stored	The monitoring of some programmes and projects provides reasonably reliable results data covering outputs, but only a few outcomes	Results data on some outputs is collected

Evidence may include:

- (a) Examples of the range of results data collected from monitoring, as well as examples of the results data, that are stored;
- (b) Evidence of when and how various data are collected; and
- (c) The quality assurance process that has been established.

CORE PRINCIPLE STANDARD 1.3

Reliable results findings from office evaluations on a full range of evaluation questions are collected and stored. These may include:

- The evaluation questions based on those of the Organisation for Economic Co-operation and Development as well as evaluation questions based on other applicable evaluation criteria;
- The purpose and scope of the evaluations that justify the range of questions addressed; and
- Evaluations that assess the influence of and the contributions made by the programme and projects with regard to the observed results.

Fully met	Partially met	Minimally met	Not met
Evaluations of the programmes and projects are routinely undertaken and provide a range of reliable results findings about outputs, outcomes and impacts, all of which is stored	Evaluations of the programmes and projects are usually undertaken and provide reasonably reliable results findings about outputs and some outcomes, most of which is stored	Evaluations of the programmes and projects are occasionally undertaken and provide reasonably reliable results findings about outputs, but only on a few outcomes	Few evaluations are undertaken and they only consider outputs

Evidence may include:

- (a) Examples of the range of results findings (from evaluations) that are collected and stored; and
- (b) The quality assurance practices that have been established.

CORE PRINCIPLE STANDARD 1.4

The office has established procedures to analyse and store available results information and, in particular, to assess the influence of and the contributions made by the programmes and projects with regard to the observed results.

Fully met	Partially met	Minimally met	Not met
The analysis of results information is always undertaken and/or undertaken as needed, including with regard to the contributions made by UNFPA, and the findings are stored	The analysis of results information is sometimes undertaken, including with regard to the contributions made by UNFPA, and the findings are stored	The analysis of results information is rarely undertaken, and the findings are stored	No analysis of results information is undertaken

Evidence may include:

- (a) Examples of the types of analysis undertaken and stored;
- (b) Assessments made of the contributions; and
- (c) Assessments of the quality of the analysis.

CORE PRINCIPLE STANDARD 1.5

Relevant results findings and information from other evaluations, studies and sources are collected and stored.

Fully met	Partially met	Minimally met	Not met
Results information from external evaluations, studies and other sources outside the office are routinely sought, assessed and stored	Results information from external evaluations, studies and other sources outside the office are sometimes sought, assessed and stored	When the situation arises, discussions are held with other development partners to collect results information	No attention is paid to outside sources of results information

Evidence may include:

- (a) Examples of the range of other results findings collected and stored; and
- (b) The minutes of UNFPA meetings where evidence has been sought.

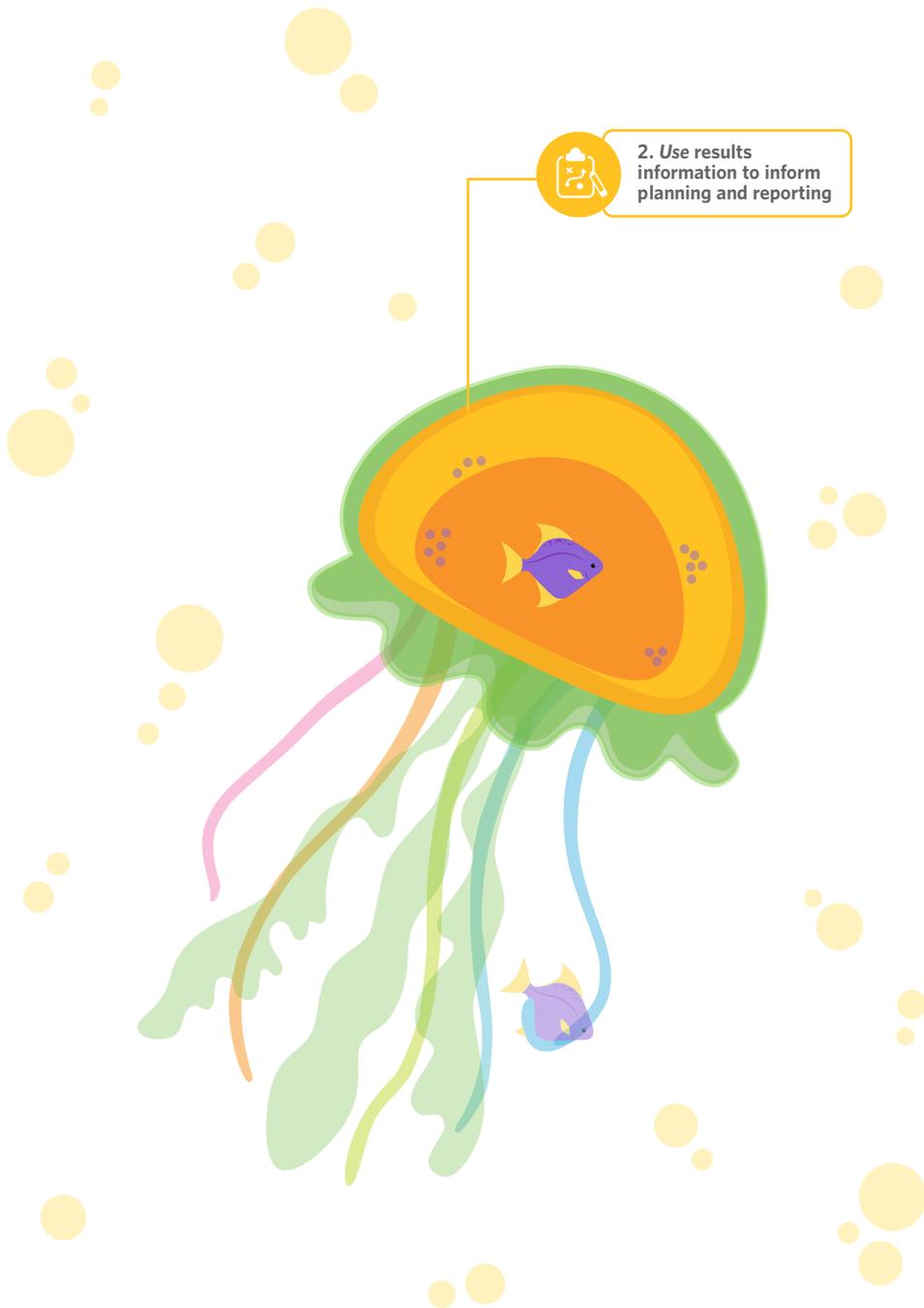
CORE PRINCIPLE STANDARD 1.6

The stored results information is readily accessible when needed.

Fully met	Partially met	Minimally met	Not met
The stored results information is readily accessible by managers and staff when needed	The stored results information is reasonably accessible by managers and staff when needed	The stored results information is accessible with difficulty by managers and staff when needed	The stored results information is very difficult to access when needed

Evidence may include:

- (a) Examples of the ease with which stored results information is accessed; and
- (b) Surveys of the users of results information.



2. Use results information to inform planning and reporting



CORE PRINCIPLE 2

Use results information to inform planning and reporting

Planning and reporting on performance are key aspects of managing. The standards under this core principle include using results information on past performance to inform and influence strategic and operational plans, as well as reporting.

CORE PRINCIPLE STANDARD 2.1

Results information is regularly used to influence strategic plans.

Fully met	Partially met	Minimally met	Not met
Relevant results information is always used to influence strategic plans	Relevant results information is often used to influence strategic plans	Relevant results information is occasionally used to influence strategic plans	Relevant results information is not used to influence strategic plans

Evidence may include:

- (a) The extent to which past performance on results is discussed in strategic plans;
- (b) The extent to which results information was considered or discussed in developing plans;
- (c) The expected contribution of results information to development results;
- (d) The extent to which results information was used in problem analysis; and
- (e) The extent to which work plans reflect relevant results information.

CORE PRINCIPLE STANDARD 2.2

Results information is regularly used to influence operational plans, such as project design and implementation plans, and work plans.

Fully met	Partially met	Minimally met	Not met
Relevant results information is always used to influence operational plans	Relevant results information is often used to influence operational plans	Relevant results information is occasionally used to influence operational plans	Relevant results information is not used to influence operational plans

Evidence may include:

- (a) The extent to which past performance on results in operational plans is discussed;
- (b) The extent to which results information was considered or discussed in developing plans and performance expectations;
- (c) The extent to which results information was used in problem analysis; and
- (d) The extent to which work plans reflect relevant results information.

CORE PRINCIPLE STANDARD 2.3

Results information is used periodically to report credibly on, and communicate information on, performance internally and externally, in particular on the contribution and progress the office is making to higher-level results.

Fully met	Partially met	Minimally met	Not met
Results information is used routinely to report credibly on performance internally and externally	Results information is sometimes used to report credibly on performance internally and externally	Results information is rarely used to report credibly on performance internally and externally	Results information is not used to report on performance internally and externally

Evidence may include:

- (a) External reports on performance;
- (b) Assessments of the quality of results reporting;
- (c) Internal accountability reports on the use of results information; and
- (d) The use of results-based performance agreements.

3. Practice learning and adaptive management, using results information



CORE PRINCIPLE 3

Practice learning and adaptive management, using results information

Implementing – learning from results information and then practicing adaptive management to reflect what has been learned – is another key element of managing. Standards for learning include the need for structured learning events and the documentation of lessons learned. Standards for adapting include using results information to manage adaptively through continuous learning.

CORE PRINCIPLE STANDARD 3.1

Pause and reflect on opportunities for learning that are planned and undertaken. These include, for example:

- Scheduled learning events (such as meetings, workshops and sessions); and
- Learning events that occur on an as-needed basis.

Fully met	Partially met	Minimally met	Not met
Learning events are routinely scheduled as well as occurring as needed, and held at various levels of the organization	Learning events are sometimes scheduled and held in the organization	Learning events are rarely held, mainly at annual events	There are no learning events held
<p>Evidence may include:</p> <p>(a) The number and type of learning events planned; and</p> <p>(b) The number and type of learning events held.</p>			

CORE PRINCIPLE STANDARD 3.2

Good practices (lessons learned and innovations specific to the office context) for improving performance and RBM are identified, well documented, indicate how they can be incorporated into current and future programming, and are shared.

Fully met	Partially met	Minimally met	Not met
Lessons learned and innovations are always identified, well documented and shared	Lessons learned and innovations are often identified, well documented and shared	Lessons learned and innovations are occasionally identified, well documented and shared	Lessons learned and innovations are rarely identified, well documented or shared
<p>Evidence may include:</p> <p>(a) The number and examples of lessons learned that have been documented;</p> <p>(b) The number and examples of innovations that have been documented; and</p> <p>(c) Examples of sharing lessons learned and innovations.</p>			

CORE PRINCIPLE STANDARD 3.3

Results information on the current state of implementation of programmes and projects is regularly used to manage adaptively for continuous learning, and includes information on:

- The progress toward results;
- The costs of interventions;
- Likely contributions;
- Bottlenecks and challenges; and
- Possible improvements in implementation.

Adaptive management is an intentional approach to making decisions and adjustments in response to new information on results and changes in context. Adaptive management is not about changing goals during the implementation of programmes and projects. It is about changing the path used to achieve the goals in response to changes. Effective adaptive management requires that we learn, reflect, decide and act.

Fully met	Partially met	Minimally met	Not met
Relevant results information on the current state of implementation of programmes and projects is always used to manage adaptively	Relevant results information on the current state of implementation of programmes and projects is often used to manage adaptively	Relevant results information on the current state of implementation of programmes and projects is occasionally used to manage adaptively	Relevant results information on the current state of implementation of programmes and projects is not used to manage adaptively

Evidence may include:

- (a) Reference to instances where modifications were based on results information;
- (b) References to how often results information was discussed when implementation was reviewed; and
- (c) Progress review meeting reports.

CORE PRINCIPLE STANDARD 3.4

Results information is used to inform resource allocation decisions within and among programmes and projects.

Fully met	Partially met	Minimally met	Not met
Relevant results information is always used to inform resource allocation decisions within and among interventions	Relevant results information is often used to inform resource allocation decisions within and among interventions	Relevant results information is occasionally used to inform resource allocation decisions within and among interventions	Results information is not used to inform resource allocation decisions within and among interventions

Evidence may include:

- (a) Cases or examples of resource allocation where the influence of results information is clear; and
- (b) Cases where results information was readily available when resource allocations were being discussed.



SUPPORTING PRINCIPLE 1

Foster transformational leadership in results-based management

RBM presents many challenges in an organization. Transformational leadership at all levels is essential in bringing about effective RBM, with leaders leading by example, creating, nurturing and maintaining a conducive environment in which others may follow. The standards include the need for UNFPA managers to demonstrate consistent leadership in RBM, to have the capacity to do so, to routinely ask about results information, and to promote the use of results information.

Transformational leadership enhances the motivation, morale and performance of staff through a variety of mechanisms. These mechanisms include: (a) connecting the follower's sense of identity and self to the project and to the collective identity of the organization; (b) the leader acting as a role-model for followers – one who inspires them and holds their interest; (c) challenging staff to take greater ownership for their work; and (d) understanding the strengths and weaknesses of followers, so that the leader may align staff with tasks that enhance their performance. This is in contrast to transactional leadership, which focuses on supervision and the compliance of followers with rewards and punishments.

1. Foster transformational leadership in results-based management



SUPPORTING PRINCIPLE STANDARD 1.1

There is demonstrated, consistent transformational leadership that provides ongoing commitment to RBM and manages expectations for RBM.

Fully met	Partially met	Minimally met	Not met
Office leadership demonstrates ongoing commitment to RBM and manages expectations for RBM	Office leadership expresses verbal commitment to RBM and provides some support for RBM	Office leadership expresses verbal commitment to RBM	Office leadership shows little interest in RBM

Evidence may include:

- (a) Visibly leading and demonstrating the benefits of RBM;
- (b) Using results information in decision-making;
- (c) Fostering peer RBM “champions”;
- (d) Supporting resources for RBM;
- (e) Maintaining an ongoing commitment to RBM;
- (f) Allowing sufficient time for RBM;
- (g) Maintaining consistent communication on RBM to all staff;
- (h) Defining reasonable yet challenging expectations for RBM; and
- (i) Balancing accountability and learning.

SUPPORTING PRINCIPLE STANDARD 1.2

Managers are equipped with adequate knowledge, skills and understanding about RBM, including an understanding of the benefits that can be realized.

Fully met	Partially met	Minimally met	Not met
Managers are very comfortable assessing and working with results information to improve performance	Managers are reasonably comfortable assessing and working with results information to improve performance	Managers know about RBM, but have little RBM experience	Managers show little interest in RBM

Evidence may include:

- (a) RBM training for managers;
- (b) Using peer “champions” to explain the benefits of RBM;
- (c) Bringing in outside managers to discuss RBM experiences;
- (d) Having an RBM expert observe managers and provide feedback to them on how they could make better use of RBM; and
- (e) Surveys of managers regarding their ease in using RBM.

SUPPORTING PRINCIPLE STANDARD 1.3

Managers at all levels routinely create informed demand for results information.

Results questions may be found in the annex.

Fully met	Partially met	Minimally met	Not met
Managers always ask for and about results	Managers often ask for and about results	Managers occasionally ask for and about results	Managers rarely ask for and about results

Evidence may include:

- (a) Managers asking results questions (see annex) in meetings; and
- (b) Having requirements in place for results-based planning, budgeting and reporting.

SUPPORTING PRINCIPLE STANDARD 1.4

Managers at all levels promote the use of results information for internal and external communication.

Fully met	Partially met	Minimally met	Not met
Managers always promote the importance of the use of results information	Managers often promote the importance of the use of results information	Managers occasionally promote the importance of the use of results information	Managers rarely promote the importance of the use of results information

Evidence may include:

- (a) Communications by managers regarding the use of results information;
- (b) The minutes of meetings; and
- (c) Appropriately packaged results information for internal and external communication.



SUPPORTING PRINCIPLE 2

Promote and support a results-oriented culture

RBM implies that there is a results-oriented culture in the office, where evidence-based learning is valued and results information is viewed as essential to good management. To achieve this, there is a need for: (a) organizational systems, incentives and procedures that support RBM; (b) accountability that supports learning; (c) a conducive environment for learning; and (d) staff and managers that have adequate RBM capacity.

SUPPORTING PRINCIPLE STANDARD 2.1

Systems, procedures and practices are in place to support RBM, including:

- The adequate use of corporate RBM systems;
- Providing adequate autonomy and flexibility to manage adaptively for results;
- Clear and concrete guidance on RBM office practices, including the expected roles and responsibilities for managers and staff; and
- Human resource practices that support experience with and knowledge of RBM.

Note: Incentives for good RBM practices are included under Supporting Principle Standard 2.2.

Fully met	Partially met	Minimally met	Not met
There are a full range of visible RBM supports in place	There are a number of visible RBM supports in place	There are a number of RBM supports in place, but they are not well known	There are very few or no RBM supports in place

Evidence may include:

- (a) The documented use of corporate RBM systems;
- (b) The documentation of office RBM roles and responsibilities;
- (c) The assessment of corporate RBM guidance;
- (d) The ability to adjust operations; and
- (e) Supportive human resource practices.

SUPPORTING PRINCIPLE STANDARD 2.2

Incentives (both formal and informal) are in place and used to recognize and reward good RBM practices, such as:

- Incentives for groups and individuals;
- Incentives for all aspects of managing;
- Incentives aligned with a focus on results; and
- Recognizing RBM “champions”.

RBM incentives may be used to recognize effective results-based planning, monitor implementation results, promote results-based learning and influence performance.

Fully met	Partially met	Minimally met	Not met
There are a number of RBM incentives in place, and they have been used	There are some RBM incentives in place, and a few have been used	There are RBM incentives in place, but they have not been used	There are no RBM incentives in place

Evidence may include:

- (a) The use of non-financial incentives, such as personal and public recognition, honour awards and perks;
- (b) Celebrating results achievements; and
- (c) Identifying and encouraging RBM “champions”.

SUPPORTING PRINCIPLE STANDARD 2.3

A robust, results-oriented accountability system is in place that supports learning, and that:

- Bases accountability on demonstrating that the office is influencing outcomes, not only achieving outcomes;
- Bases accountability in part on demonstrating good RBM practices;
- Bases accountability in part on demonstrating that learning has occurred; and
- Fosters accountability for learning and the implementation of lessons learned.

Fully met	Partially met	Minimally met	Not met
A robust, results-oriented accountability system that supports learning is in place and functioning	The accountability system includes some of the features of a robust, results-oriented system that supports learning	The accountability system is primarily focused on accountability for results, with little attention paid to learning	The accountability system focuses only on the achievement of results

Evidence may include:

Examples of the elements of a robust, results-oriented and practical accountability system that is in place and in use.

SUPPORTING PRINCIPLE STANDARD 2.4

There is a conducive environment in place for: (a) learning and adapting from past performance in order to achieve better results; (b) encouraging risk-taking; (c) making time for learning; and (d) tolerating and learning from mistakes.

Fully met	Partially met	Minimally met	Not met
The office routinely learns and adapts from past performance, making time for learning, encouraging taking considered risks, and tolerating mistakes	The office sometimes learns and adapts from past performance, making time for learning, encouraging taking considered risks, and tolerating mistakes	The office rarely learns and adapts from past performance, making some time for learning	The office does not learn or adapt from past performance

Evidence may include:

- (a) Structured learning events held;
- (b) Learning through experience;
- (c) Information sharing;
- (d) Making time for learning;
- (e) Taking considered risks;
- (f) Learning from mistakes; and
- (g) Documented implementation or planning changes made as a result of learning.

SUPPORTING PRINCIPLE STANDARD 2.5

Staff have been equipped with adequate knowledge, skills and appreciation for results-based management, including the ability to communicate the successes of development results.

Fully met	Partially met	Minimally met	Not met
Staff has adequate knowledge, skills and appreciation of RBM principles and practices	Staff has some knowledge, skills and appreciation of RBM principles and practices	Staff has little knowledge and skills about RBM principles and practices	Staff has almost no knowledge and skills about RBM principles and practices
Evidence may include:			
<ul style="list-style-type: none"> (a) The availability of professional support for RBM; (b) The availability of ongoing RBM training and/or coaching for staff; (c) The use of RBM networks to nurture a results culture and build understanding of RBM; (d) Examples of effective communication of the office's contribution to development results; and (e) Staff surveys. 			



3. Build and maintain results-based plans and frameworks



SUPPORTING PRINCIPLE 3

Build and maintain results-based strategic plans, operational plans and frameworks

RBM needs results-based planning tools to provide a common understanding of what UNFPA is trying to accomplish and how it intends to do so. Performance expectations are statements of the results (outputs, outcomes and impacts) that UNFPA is expecting to achieve or contribute to, and by when. Where practical, performance expectations should include specific indicators and targets.

SUPPORTING PRINCIPLE STANDARD 3.1

The office has a high-quality, results-based UNFPA country programme and projects that include the following criteria:

- Context and programme rationale, with evidence from evaluations to inform the development of a new country programme and projects;
- Clear goals and objectives that identify the results sought and a theory of change, as well as related performance expectations;
- Clear articulation of the country programme and the contribution of projects to national priorities and alignment to the UNFPA strategic plan;
- Intervention strategies aligned with the UNFPA business model;
- An analysis of major risks and risk-mitigation measures; and
- Financial and human resources required (both core and non-core), including resource mobilization with partners.

Fully met	Partially met	Minimally met	Not met
Country programme and project documents contain all elements of a high-quality, results-based programme or project	Country programme and project documents contain most elements of a high-quality, results-based programme or project	Country programme and project documents contain some elements of a high-quality, results-based programme or project	Country programme and project documents contain few elements of a high-quality, results-based programme or project

Evidence may include:

An assessment of the country programme and project documents with respect to high-quality criteria

SUPPORTING PRINCIPLE STANDARD 3.2

The UNFPA country programme and projects have robust results frameworks in place that reflect the complexity of development interventions. These results frameworks include:

- Clear objectives and the resources required;
- Results chains and the roles of partners;
- The alignment of project results with country programme results; and
- Performance expectations for outputs and outcomes.

Fully met	Partially met	Minimally met	Not met
The country programme results framework and the project results frameworks contain all the aspects of robust results frameworks	The country programme results framework and the project results frameworks contain most aspects of robust results frameworks	The country programme results framework and the project results frameworks contain some aspects of robust results frameworks	The country programme results framework and the project results frameworks contain few aspects of robust results frameworks

Evidence may include:

An assessment of the country programme results framework and the project results frameworks

SUPPORTING PRINCIPLE STANDARD 3.3

Results-based plans are in place to operationalize the UNFPA country programme and projects, including high-quality:

- Output operationalization plans;
- Workplans and annual results plans;
- Resource mobilization and partnership strategies.

Fully met	Partially met	Minimally met	Not met
All results-based plans (see the above bullet points) are of high quality	Most results-based plans (see the above bullet points) are of high quality	Some results-based plans (see the above bullet points) are of high quality	Few results-based plans (see the above bullet points) are of high quality

Evidence may include an assessment of:

- (a) Output operationalization plans;
- (b) Workplans;
- (c) Annual results plans; and
- (d) Other results-based plans.

SUPPORTING PRINCIPLE STANDARD 3.4

The UNFPA country programme and projects address cross-cutting themes that enhance human rights, gender equality and sustainability.

Fully met	Partially met	Minimally met	Not met
The programme and projects fully address cross-cutting themes that enhance human rights, gender equality and sustainability	The programme and projects sometimes address cross-cutting themes that enhance human rights, gender equality and sustainability	The programme and projects seldom address cross-cutting themes that enhance human rights, gender equality and sustainability	The programme and projects do not address cross-cutting themes that enhance human rights, gender equality and sustainability

Evidence may include:

An assessment of the attention paid to cross-cutting themes in programmes and projects

SUPPORTING PRINCIPLE STANDARD 3.5

The office has a strategic approach for reporting and for identifying which aspects of performance will be reported on to whom and when.

Reporting on *all* aspects of office performance every year is not practical or useful. Yet users of performance reports need to know when they can expect reports on different aspects of performance. A reporting strategy will detail which aspects of UNFPA performance will be reported on, and when this reporting will occur. This will permit a country office to report on outputs regularly and to report in more detail on projects and programmes when data and information are available.

Fully met	Partially met	Minimally met	Not met
The office has a strategic approach for reporting and for identifying which aspects of performance will be reported on to whom and when	The office has a strategic approach for reporting, but not for identifying which aspects of performance will be reported on to whom and when	The office reports only when findings from specific evaluations will be reported on	The office has no strategic approach for reporting

Evidence may include:

An assessment of the completeness and feasibility of the office's strategic approach for reporting

SUPPORTING PRINCIPLE STANDARD 3.6

Strategic and implementation partners, managers and staff take ownership of plans and results frameworks that are relevant and useful.

Fully met	Partially met	Minimally met	Not met
All partners and staff have been involved in the development of strategic plans, operational plans and results frameworks, and take ownership of them	Many partners and staff have been involved in the development of strategic plans, operational plans and results frameworks	There has been some consultation with partners and staff in the development of strategic plans, operational plans and results frameworks	There has been almost no consultation with partners and staff in the development of strategic plans, operational plans and results frameworks

Evidence may include:

- (a) Surveys of staff, partners and stakeholders; and
- (b) Minutes of meetings on developing programmes, projects and results frameworks.



4. *Ensure effective partnerships*



SUPPORTING PRINCIPLE 4

Ensure effective partnerships for impact

UNFPA is a partner in development. Working effectively with its partners to plan for and achieve development results is a key aspect of effective RBM. The standards detailed below include the need for: (a) coherent engagement with partners by employing an RBM perspective; and (b) coherent engagement with implementing partners with adequate RBM capacity.

RBM coherence involves planning and implementing strategies that recognize the respective capacities and comparative added value of diverse partners.

SUPPORTING PRINCIPLE STANDARD 4.1

The office actively works towards an RBM focus through coherence with partners (United Nations organizations and other development partners) that support national priorities.

Fully met	Partially met	Minimally met	Not met
The office actively works towards an RBM focus through coherence with partners that support national priorities	The office takes some action to work towards an RBM focus through coherence with partners that support national priorities	The office takes minimal action towards an RBM focus through coherence with partners that support national priorities	The office takes no action towards an RBM focus through coherence with partners that support national priorities

Evidence may include:

- (a) Memorandums of understanding, with partners, that stress the need for coherent RBM approaches that reflect mutual capacities and comparative advantages;
- (b) Agreed common RBM frameworks, including measurement and analysis approaches with partners;
- (c) Agreed common reporting frameworks; and
- (d) Joint resource mobilization frameworks that support national priorities.

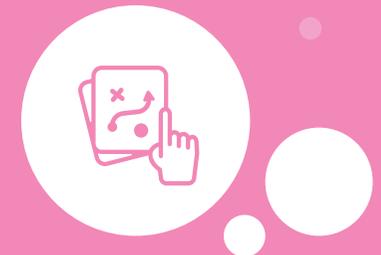
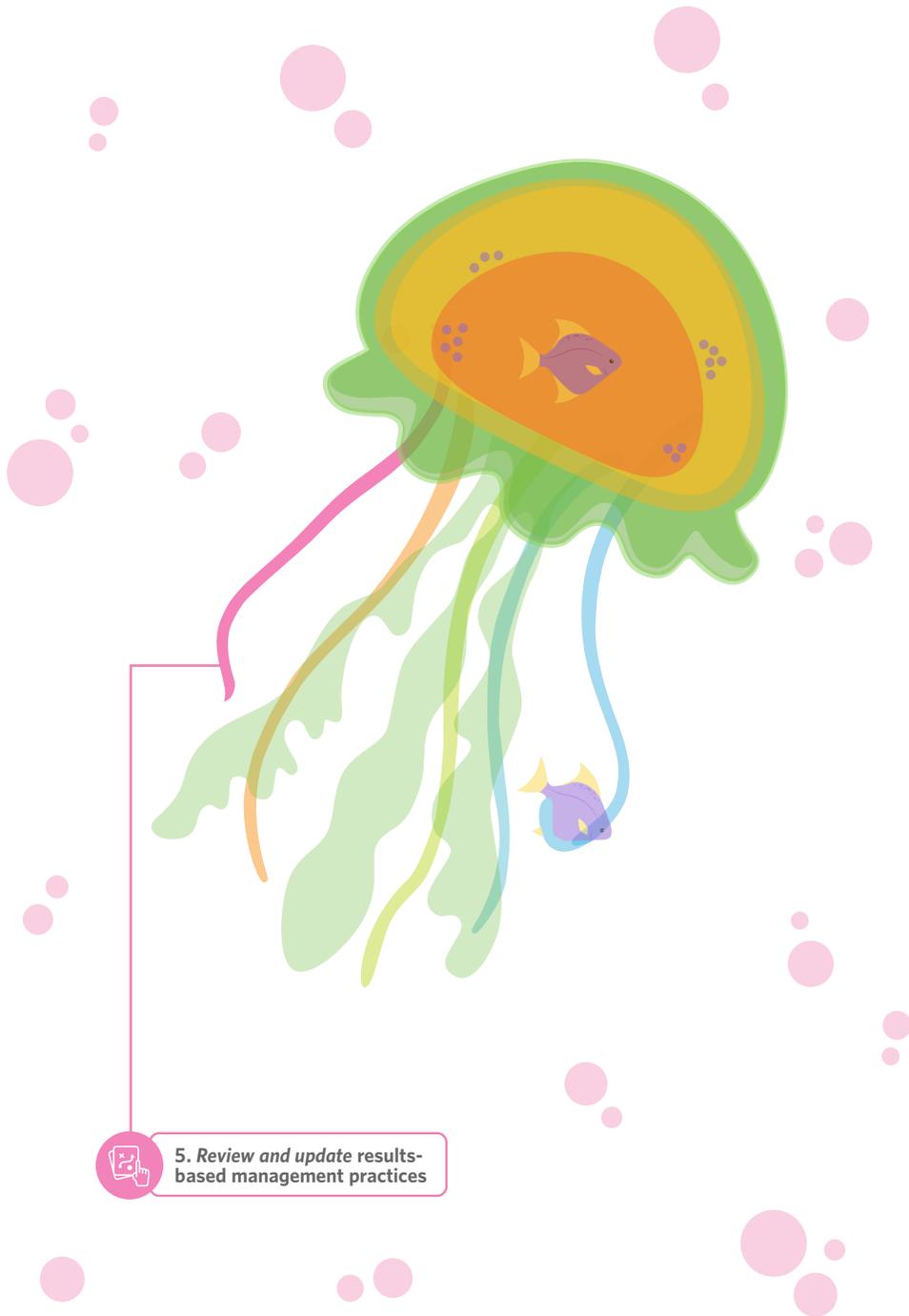
SUPPORTING PRINCIPLE STANDARD 4.2

The office actively supports building the capacity of its implementing partners.

Fully met	Partially met	Minimally met	Not met
The office actively supports building the capacity of its implementing partners	The office sometimes supports building the capacity of its implementing partners	The office supports, in an ad hoc manner, building the capacity of its implementing partners	The office does not support building the capacity of its implementing partners

Evidence may include:

- (a) The inclusion of implementing partners in RBM training;
- (b) RBM approaches that are part of implementing partner agreements; and
- (c) Reiteration by the office that implementing partners must have RBM capacity.



SUPPORTING PRINCIPLE 5

Review and update office results-based management practices

RBM is about learning from past performance; therefore learning from one's own RBM experience is a critical part of effective RBM. The standard below specifies what this implies in terms of reviewing, on a regular basis, the various RBM components and assessing how RBM is being used.

SUPPORTING PRINCIPLE STANDARD 5.1

RBM practices – results frameworks, measurement strategies and the use of results information – are regularly reviewed and updated to ensure continued relevance, usefulness and cost.

Fully met	Partially met	Minimally met	Not met
Office RBM practices are regularly reviewed and updated to ensure continued relevance, usefulness and cost	Office RBM practices are sometimes reviewed and updated to ensure continued relevance, usefulness and cost	Office RBM practices are seldom reviewed and updated to ensure continued relevance, usefulness and cost	Office RBM practices are not reviewed and updated to ensure continued relevance, usefulness and cost

Evidence may include:

- (a) RBM reviews that have been undertaken or planned;
- (b) Revisions made to office RBM practices;
- (c) Suggestions made to revise the RBM system; and
- (d) User surveys.

Annex: Results questions for managers

Results-based planning

- What immediate and longer-term results are you trying to achieve or contribute to?
- How do the intended results align with the other priorities of the organization and its partners?
- Why do you expect the intended results to be achieved?
- How robust is the theory of change? What evidence is there supporting the assumptions of how the programme is supposed to work? How good is the evidence?
- Who is accountable for what? What are the roles and responsibilities for results of those involved?
- What risks exist to attaining or contributing to the expected results and how will they be managed?
- Is the budget commensurate with the expected results?
- What targets for performance have been set?
- What monitoring and evaluation will be undertaken?
- What reporting on results will be done?

Monitored implementation

- What has been accomplished? What evidence is there that the results you were expecting were achieved?
- How do you know your programme or project made a contribution to the observed results?
- Has there been significant variation in the planned budget expenditures?
- How well were the risks managed?

Results-based learning

- What have you learned from this experience with respect to the delivery approach, data collection, the theory of change and its underlying assumptions?
- Have you modified your monitoring and evaluation strategy?

Accounting for performance

- What is the performance story? What can you credibly report on that has been accomplished?
- How solid is the evidence?



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