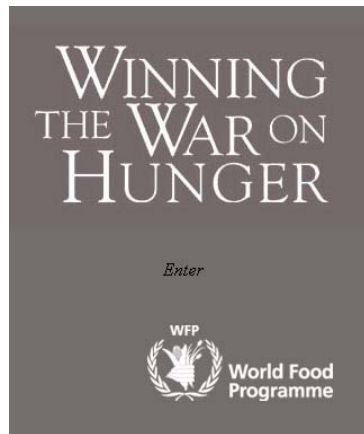


# Mainstreaming Results-Based Management at the World Food Programme

## *The Way Forward Road Map*



An Analysis and Progress Report of RBM General Principles and Critical Success Factors as they apply to WFP

January 2006

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# The RBM Way Forward Roadmap

## Introduction

OEDP (Office of Performance Measurement and Reporting), was created in May 2003 as part of the RBM division, so as to focus on performance measurement and outcome reporting, and to support the introduction of RBM principles and processes.

After a full two years of work by the RBM division, with substantial support from RBM Task Managers in regional bureaux and Focal Points in country offices and HQ divisions, there remains ample room for refinement of the governance instruments, the tools, the processes that support and report on performance, and the programme and financial information systems that should ultimately guide and inform management decisions. For RBM to be successful, its instruments, tools and systems need to be embedded in the organisation's core functional areas.

What is needed at this point as OEDP nears the end of its current 3-year mandate, is a plan that identifies the "Way Forward" to act as a guide for OEDP to use during its remaining active capacity as the lead RBM unit at WFP, as well as a plan for the other business units to use as they become increasingly responsible for the mainstreaming of RBM into their operational and strategic business.

## Purpose

This report focuses on the questions of what should we be doing, why and what has been done to-date. An updated set of Critical Success factors, stemming from the recent UN-JIU review as well as from the consultant report from D. McKay in November 2004 will be used as the basis to categorize the responses to these questions and will include the objectives, activities and other associated elements. The purpose of the report is to:

- Provide interpretation and applicability of a new set of CSF's originating from the UN Joint Inspection Unit<sup>1</sup>, vis-à-vis their relationship to WFP's operating environment and contextual mandate, as well as mapping these back to an earlier set of CSF's that were used to assess the progress made towards RBM at the mid-term point of OEDP's mandate<sup>2</sup>.
- Identify the specific objectives stemming from the CSF's, with the associated activities, stakeholders and owners, enablers, and risks.
- Assess the progress made to-date to achieving the CSF's, both from a headquarters perspective, as well as from the Regional Bureaux and Country Office perspective.

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<sup>1</sup> *Implementation of Results-Based Management in the United Nations Organisations*. Available on WFPGo at:  
[http://home.wfp.org/organisation/divisions/OEDR/docs/050420\\_Implementation\\_RBM.pdf](http://home.wfp.org/organisation/divisions/OEDR/docs/050420_Implementation_RBM.pdf)

<sup>2</sup> OEDP had also commissioned an independent review of RBM implementation which uses similar, perhaps more elaborate CSFs: McKay, "Independent Assessment of RBM at WFP", Consultant report, Nov 2004



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The findings and recommendations are organized as follows:

What should we be doing, Why and What has been done to-date.

<b>CRITICAL SUCCESS FACTOR #:</b>	
<b>Key Objectives</b>	<b>Stakeholders and Ownership</b>
These objectives are from the UN-JIU's published CSF's	Those whom the objectives will affect as either being responsible to deliver or will be affected by the outcome.
<b>Required Activities to Achieve the Key Objectives</b>	<b>Enablers</b>
Specific activities to be accomplished by WFP to address the CSF's	The tools, instruments and resources needed to enable WFP to become RBM
<b>Activities and Results achieved to-date</b>	<b>Issues and Risks still to be addressed</b>



What should we be doing, Why and What has been done to-date

Based on the above revised CSF's, the details behind the What and Why are presented below.

<p><b>CRITICAL SUCCESS FACTOR 1:</b></p> <p>A CLEAR <b>CONCEPTUAL FRAMEWORK FOR RBM</b> EXISTS AS A BROAD MANAGEMENT STRATEGY.</p> <p>The first crucial step for the introduction and implementation of RBM is the development of a clear conceptual framework as a broad management strategy, to be shared among the organization's main parties (Member States, oversight bodies and secretariats) and be formally adopted by the relevant legislative organ.</p>	
<p><b>Key Objectives</b></p> <ul style="list-style-type: none"> <li>■ A commitment to results.</li> <li>■ A common understanding of RBM.</li> <li>■ Clear definitions of RBM concepts and techniques.</li> <li>■ Harmonized RBM tools and terminology within the organization, based on the work already done in the field.</li> <li>■ An RBM approach adapted to the business and operations of the organization at all levels.</li> <li>■ An understanding of the implications and requirements of such an adaptation at all levels.</li> <li>■ A time-bound, coherent strategy for implementing RBM.</li> </ul>	<p><b>Stakeholders and Ownership</b></p> <ul style="list-style-type: none"> <li>■ Member States and other Donors</li> <li>■ Executive Board</li> <li>■ WFP Secretariat:                         <ul style="list-style-type: none"> <li>● Senior Management</li> <li>● HQ Managers</li> <li>● RBx and CO Managers</li> </ul> </li> <li>■ RBM Task Managers and Focal Points</li> <li>■ OD</li> </ul>
<p><b>Required Activities to Achieve the Key Objectives</b></p> <ul style="list-style-type: none"> <li>■ Awareness building and on-going communications.</li> <li>■ Training in RBM concepts.</li> <li>■ Create results-based project logframes.</li> <li>■ Create a results-based corporate performance framework.</li> </ul>	<p><b>Enablers</b></p> <ul style="list-style-type: none"> <li>■ Introductory Courses</li> <li>■ Newsletters</li> <li>■ Governance Instruments: Strategic and Management Plans, Annual Performance Report</li> <li>■ RBM Orientation Guide</li> <li>■ Monitoring and Evaluation</li> </ul>



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<p><b>Activities and Results achieved to-date</b></p> <ul style="list-style-type: none"> <li>✓ The establishment of OEDP and associated RBM focal points as the unit responsible to lead the agency to become a results-based organization. OEDP's tasks have included:               <ul style="list-style-type: none"> <li>○ Handling RBM-related questions from HQ and the field</li> <li>○ Providing Performance Measurement guidance</li> <li>○ Developing frameworks, processes, roles and responsibilities for a common approach to M&amp;E, results-based Standard Project Reports and annual work-plans.</li> </ul> </li> <li>✓ The new Strategic Plan 2006-2009 and Biennial Management Plan 2006-2007 are results-oriented and incorporate the organization's vision of RBM.</li> <li>✓ The Annual Performance Report For 2004 was submitted to the EB showcasing WFP's results story for the year.</li> <li>✓ An established RBM network of Task Managers (field and HQ) who interact with each other to promote and disseminate various concepts and techniques as well as provide feedback to the central group OEDP.</li> <li>✓ Awareness communications to all staff.</li> <li>✓ RBM training on concepts and tools delivered to all staff.</li> <li>✓ The RBM Orientation Guide communicates WFP's approach to RBM and key concepts and principles.</li> </ul> <p>Based on the above accomplishments, WFP can be categorized as being in the “<b>Continuous Learning</b>” phase. Mainstreaming of the concepts to ensure that they do not become lost or modified over time, once OEDP is disbanded should be the primary concern of this CSF.</p>	<p><b>Issues and Risks still to be addressed</b></p> <ul style="list-style-type: none"> <li>■ WFP undertook the implementation of RBM via a centralized group (i.e. OEDP with supporting TM's and FP's), which now requires the need to mainstream RBM principles and practices back into operations, as opposed to having originally obligated all departments to undertake RBM implementation in a decentralized fashion. Regardless of the mainstreaming need, the centralized approach was deemed to have been less risky than assuming that each department could have implemented RBM on their own in a concerted and holistic manner. The challenge is to move the ownership to those groups whom RBM affects and benefits the most.</li> <li>■ An RBM culture still needs promotion and advocacy among managers and stakeholders. Many people have the impression that it is a one-off event, and will diminish in importance after OEDP's mandate ends. The reality is that RBM should be seen as an on-going journey: one that requires continuous improvement at being able to achieve and demonstrate results.</li> <li>■ Integration with other initiatives such as SCO (supply chain optimization), BPR and BPP, needs to be assured so that RBM is both institutionalized and harmonized without conflicting or adding additional burden to users. Some doubt still lingers among some WFP managers about the utility of annual work-planning.</li> </ul>



**CRITICAL SUCCESS FACTOR #2:**

**THE RESPECTIVE RESPONSIBILITIES OF THE ORGANIZATION’S MAIN PARTIES ARE CLEARLY DEFINED.**

An orderly transition to an RBM approach calls for a shared understanding of clearly defined responsibilities (division of labor) among the organization’s main parties.

<p><b>Key Objectives</b></p> <ul style="list-style-type: none"> <li>■ A clear definition of the roles and responsibilities of member states, secretariats and oversight bodies, with well-established channels of interaction.</li> <li>■ An enhanced sense of ownership of the objectives and expected results.</li> <li>■ A shift in stakeholder focus from inputs to results.</li> <li>■ A formalization of the organizations’ responsibility, commitment and staff capacity to effectively deploy resources to ensure or contribute to achievements.</li> <li>■ Adherence to such commitments by each party throughout the planning, programming, budgeting, monitoring and evaluation cycle.</li> <li>■ Transparent reports on achievements, which are validated by stakeholders and clients (beneficiaries) through regular consultation and feedback.</li> </ul>	<p><b>Stakeholders and Ownership</b></p> <ul style="list-style-type: none"> <li>■ Although EB members are in general knowledgeable about the concept of RBM and have been, in effect, the main drivers behind this initiative, there remains a number of principles that should be discussed to better clarify what can be done by donors to improve the use for RBM at WFP.</li> <li>■ Senior Management – show Leadership, by demanding and using evidence of results and demonstrating accountability for managing for results.</li> <li>■ Operations – implementing and monitoring of a results-based project lifecycle.</li> <li>■ Evaluators – support for determining outcomes and lessons-learned.</li> <li>■ HR – ensuring the on-going training of staff in RBM and M&amp;E.</li> <li>■ Beneficiaries – participating in a results-based planning and review processes.</li> <li>■ Policy – Corporate results reporting and results-based policy development.</li> </ul>
<p><b>Required Activities to Achieve the Key Objectives</b></p> <ul style="list-style-type: none"> <li>❖ Institutionalise RBM principles into all business processes of WFP.</li> <li>❖ Establish “Demand-Driven Results” approach to results information:             <ul style="list-style-type: none"> <li>○ Stakeholders need to clearly express a demand for evidence of WFP’s efficiency and effectiveness.</li> <li>○ Those who could make best use of RBM information for decision making need to also express this demand to those that are responsible for supplying the information.</li> </ul> </li> <li>❖ Emphasize in on-going communications the purpose and</li> </ul>	<p><b>Enablers</b></p> <ul style="list-style-type: none"> <li>❖ A Managing-for-Results culture within WFP, its partners and the EB members.</li> <li>❖ A means of communicating and establishing an awareness of the Cost-Benefit of RBM.</li> <li>❖ An Integrated Management Accountability Framework (IMAF – see appendix) for linking personnel performance with:             <ul style="list-style-type: none"> <li>○ The ability to demonstrate Managing for Results,</li> <li>○ Show stewardship of resources,</li> <li>○ Assess risk and manage its consequences</li> </ul> </li> </ul>



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<p>benefits of RBM, both at a corporate level as well as to the specific unit and project level.</p> <ul style="list-style-type: none"> <li>❖ Conduct participatory results-based planning with clients (beneficiaries) and implement an active M&amp;E process.</li> <li>❖ Make RBM demand driven – people will only collect what they believe will be used.</li> </ul>	
<p><b>Activities and Results achieved to date</b></p> <ul style="list-style-type: none"> <li>✓ EB sessions and informal consultations are the main channels of interaction and communication of WFP programmes which offer opportunities for defining strategic objectives, expected results and feedback.</li> <li>✓ RBM training and briefings provide opportunities for managers to focus on roles, responsibilities and benefits.</li> <li>✓ SPRs and APRs are the primary instruments to transparently communicate results with stakeholders.</li> <li>✓ RBM has been embedded in the training for SPRs and work-planning.</li> <li>✓ RBM Task Managers have been appointed to RBx (some funded by HQ and some funded by the RB).</li> <li>✓ The role of the RBM Task Manager is widely known within the COs of the region and appropriate assistance is provided to the COs on demand.</li> <li>✓ The RBM TM also provides updated information to the COs on RBM concepts and tools to facilitate the work of the CO.</li> </ul> <p>Based on the above accomplishments, WFP can be categorized as being in the “<b>Full Implementation</b>” phase. Some additional improvements could be made in making better use of TM’s, and to clarify the roles and responsibilities for M&amp;E. CD and RD’s need better awareness of benefits and application of RBM. Donors could do more to provide greater fungibility of resources.</p>	<p><b>Issues and Risks still to be addressed</b></p> <ul style="list-style-type: none"> <li>■ The Roles and Responsibilities of Task Managers: <ul style="list-style-type: none"> <li>● Task Managers feel that they are not sufficiently involved in planning and setting the RBM/M&amp; E agenda in their respective regional bureaux.</li> </ul> </li> <li>■ The Roles and Responsibilities of RDs and CDs <ul style="list-style-type: none"> <li>● CDs and RDs have not in many cases taken RBM training. Too often it has been seen as a technical task, as opposed to a management tool. Some questions remain as to if they have all truly bought in to RBM yet.</li> <li>● Should RBM become a mandatory training prerequisite for all new CDs and RDs? This assumes some form of manager training curriculum under the auspices of HR.</li> </ul> </li> <li>■ Donor Directives and Expectations vs. Fungibility of Resources <ul style="list-style-type: none"> <li>● All too often, donor aid comes with a set of conditions and directions as to what the funding is targeted for and what expenses are eligible. If RBM expects managers to take action to achieve results, then there needs to be a greater latitude in deciding what activities they can undertake and the fungibility of resources needed to redirect a project that is in jeopardy of not reaching its results targets.</li> </ul> </li> <li>■ M&amp;E issues at the RB and CO level <ul style="list-style-type: none"> <li>● Some COs and RBs do not review their activities on a regular basis to determine how well they are achieving their expected results.</li> <li>● Not all COs know who should be responsible for monitoring, and what skills are needed (specialist etc.).</li> <li>● Some COs have created their own M&amp;E group. Should M&amp;E coaching resources be reinforced at the RB level?</li> </ul> </li> </ul>



**CRITICAL SUCCESS FACTOR #3:**

LONG-TERM OBJECTIVES HAVE BEEN CLEARLY FORMULATED FOR THE ORGANIZATION.

A key step for RBM is to identify the long-term goals and objectives to be pursued by the organization. These derive from the statutory instruments, the mission statement and the related mandates contained in the relevant resolutions and decisions.

**Key Objectives**

- Long-term goals have been identified.
- Internationally agree to goals that relate to WFP's mission.
- Long-term objectives have been defined that would contribute to the goals, based on the SMART principle (specific, measurable, attainable, relevant, and time-bound).
- A long-term planning instrument is in place.
- A participatory process has been used to develop the corporate strategic framework.

**Stakeholders and Ownership**

- ❖ Executive staff and senior management – setting of the strategic and management objectives and actively monitoring results.
- ❖ Policy – ensuring the relevance of the strategic objectives, means of measure and the on-going process of collecting, refining and attributing WFPs programmes to the long-term objectives.
- ❖ Partners- harmonizing objectives.

**Required Activities to Achieve the Key Objectives**

- ❖ Strategic and management objectives identified and supported by WFP and stakeholders.
- ❖ Strategic planning and reporting instruments are in place and being used.
- ❖ Strategic planning and reporting is linked to the operational systems of the agency.

**Enablers**

- ❖ A four-year Strategic Plan
- ❖ Biennial Management Plan and Annual Performance Report
- ❖ Annual work-planning

**Activities and Results achieved to-date**

- ✓ The new Strategic Plan 2006-2009 and Biennial Management Plan 2006-2007 are results-oriented and long-term goals have been identified.
- ✓ The Annual Performance Report For 2004 provides an aggregated performance picture.

**Issues and Risks still to be addressed**

- Although the APR has become an indispensable tool for communicating WFP's results to stakeholders, the annual preparation of the APR is a labor-intensive and largely manual exercise. Efforts to streamline and automate this process should continue to be pursued.





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- ✓ RBM tools and training emphasize strategic alignment of project activities and expected results to WFP's strategic and management objectives.

Based on the above accomplishments, WFP can be categorized as being in the “**Full Implementation**” phase. Some work still needs to be done to refine the strategic and management objectives in the area of target setting, harmonization with partners, indicators for support function, and establishing a clearer relationship between strategic and management objectives.

- There still needs to be a definition as to how WFP should approach target setting for the strategic and management objectives.
- Difficulty of defining appropriate indicators for some support function units in HQ, RBs and COs.
- Duplication exists within the UN system and affiliated NGO's regarding some objectives. This would speak to the need for greater harmonization.



**CRITICAL SUCCESS FACTOR #4:**

THE ORGANISATION’S PROGRAMMES ARE WELL-ALIGNED WITH ITS LONG-TERM OBJECTIVES.

The programmes and their activities constitute the vehicle through which the organizations pursue their long-term goals, objectives and targets. Therefore, the programmes should be well-aligned with those goals and objectives.

**Key Objectives**

- Clearly defined objectives at each level of WFP’s programme structure.
- Logical consistency among cause-effect linkages.
- Programmes regrouped and reformulated to provide better focus on the work of the organization within the framework of the long-term objectives identified thereby avoiding a strategic disconnection in programme planning.
- RBM tools and approaches adapted to the specificities of various operational entities.

**Stakeholders and Ownership**

- Project Review Committee - ensure that projects contain logic models and are linked to WFP’s strategic objectives.
- Senior Management - ensure that annual work-planning and performance reviews are being carried out.
- OD (Programming) – ensure the project lifecycle is results-based and the logic model is consistently applied.
- ADI – ICT support systems.

**Required Activities to Achieve the Key Objectives**

- ❖ Operations are linked to WFP’s strategic objectives.
- ❖ Project appraisal and approval processes ensure that all projects and work-plans are results-oriented and have definable logframes.
- ❖ Proper authority levels are granted to those who are expected to perform results-based decision-making.

**Enablers**

- Compliancy mechanism
- Quality assurance of design and data
- Guidance materials
- A delegation of authority that empowers managers to make decisions to keep projects on track to achieving results

**Activities and Results achieved to date**

- ✓ Strategic and management objectives have been defined.
- ✓ Logframes are required at approval for most project documents.
- ✓ Work-planning has been introduced where each support/service unit must link to the appropriate management objective.
- ✓ The TOR for the PRC has been revised to better reflect its supervisory functions.

**Issues and Risks still to be addressed**

- Some problems persist with respect to linking work-plans with high-level objectives.
- Proper design drives the ability to execute for results. Start design with a proper Results-Chain/Logframe.
- Mid-year plan update needs to be discussed at the corporate level.
- Projects/Programmes objectives do not always reflect conditions of a sunset clause: when is an operation truly over?



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<p>Based on the above accomplishments, WFP can be categorized as being in the “<b>Full Implementation</b>” phase. Some work still needs to be done to refine the strategic and management objectives, to review some of the steps, the quality and the standards in the project lifecycle and possibly looking at increasing the results reporting frequency, if practical.</p>	



**CRITICAL SUCCESS FACTOR #5:**

THE ORGANIZATION’S RESOURCES ARE WELL-ALIGNED WITH ITS LONG-TERM OBJECTIVES.

Accounting for results is at the heart of the shift to RBM in United Nations organizations. Hence resources must be well aligned and commensurate with the organization’s long-term objectives.

**Key Objectives**

- Coherence and compatibility between budgeting and programming decisions (e.g. any budget cuts should correspond to specific identified programme cuts).
- Effective cost-accounting system that links expenditures to expected results.
- A programming instrument linking resources to results.
- In case of a short programming cycle (2-3 years), merging budgeting with programming and appropriate necessary resources.
- In case of medium-term programming (4 years or more), approving a targeted overall level of resources and appropriating on an annual or biennial basis.
- Identifying underperforming, obsolete or marginal programmes and activities over time and shifting resources not only to those that have proved to be efficient and relevant, but also to those programmes considered to be of the highest priority.

**Stakeholders and Ownership**

- ❖ OEDB and all Budget Managers
- ❖ Expenditure Posting (direct costs) – all A/P clerks
- ❖ Overhead Costing (indirect costs) - OEDB
- ❖ Resource Forecasting and Mobilisation - FD

**Required Activities to Achieve the Key Objectives**

- ❖ A results-based work-planning framework and process in place that identifies what each support unit’s upcoming activities will be, in support of the management objectives.
- ❖ A budgeting process (i.e. resource allocation model) in place that reflects results achieved and current priorities as the basis of allocation.
- ❖ A means of monitoring expenditures to see if results achieved are in line with costs incurred.

**Enablers**

- A single integrated system that can combine budgetary planning, control and expenditures (i.e. WINGS) with performance information
- A programme Cost Model (i.e. a Costing Logframe that parallels the performance information Logframe) that can be used to associate costs to programme activities, which in turn can be associated with the strategic objectives
- Integrated reporting of the Resources-Consumed to Results-



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	Achieved story (i.e. the R2R story)
<p><b>Activities and Results achieved to-date</b></p> <ul style="list-style-type: none"> <li>✓ Workplanning has achieved acceptance with internal HQ units, and is now being explored by RB and CO support units.</li> <li>✓ Meetings in New York with other UN agencies to explore applicability of Results-Based Budgeting.</li> <li>✓ Partial costing of activities has been accomplished in a pilot mode by ODPC.</li> </ul> <p>Based on the accomplishments already undertaken with workplanning and various discussions within WFP and with other UN agencies, WFP can be categorized as being in the “<b>Exploration</b>” phase. Much work needs to be done to define a cost model, to adapt this model into the SAP system as part of the WINGSII upgrade, and to develop Resources-to-Results reports for managers. Also required are policy changes to secure adequate M&amp;E funding, to get donors to change the cost recovery dependency on “tonnage” to a more results-oriented parameter, to leverage results information to seek additional funding, and to move to a Results-Oriented Budgeting approach.</p>	<p><b>Issues and Risks still to be addressed</b></p> <ul style="list-style-type: none"> <li>■ WFP operations are approved without any guarantee that resources will be available on time. Funding deficiencies are detrimental to achieving objectives.</li> <li>■ How to undertake Results-based Budgeting when the majority of funding is in the form of directed contributions?</li> <li>■ A cost model is required to be able to create a Resources-to-Results report.</li> <li>■ Some activities such as Food for Work have retroactive payments which can cause budgeting problems.</li> <li>■ Work-planning and budgeting are not yet fully linked.</li> <li>■ May questions linger as to the budgeting of M&amp;E to ensure it is stable and adequate, and at the right level (a central budget or a more distributed budget at the field level).</li> </ul>



**CRITICAL SUCCESS FACTOR #6:**

**AN EFFECTIVE PERFORMANCE MONITORING SYSTEM IS IN PLACE.**

To achieve this, the following conditions must be met:

**Key Objectives**

- Clear provision for the supervisors to verify systematically that tasks assigned to meet the objectives and targets are being successfully carried out.
- Identification of the type of data and information needed to be collected for performance monitoring.
- Assignment of clear responsibilities among staff and managers for performance monitoring.
- Linking future resource disbursements for programmes to the discharge of their performance monitoring requirements.
- Refining the quality of the results and indicators.
- Using both qualitative and quantitative indicators, as appropriate, and identifying standard or key indicators to measure performance at the corporate level.
- Establishment of baselines and targets against which progress could be measured over time.
- Simplification of performance measurement, including through the initial use of relatively few results statements and performance indicators.
- Development of a clear information and communication strategy to guide, inter alia, the selection of the performance monitoring information, and ensure coherence in systems throughout the organization.
- Weighing carefully the return on investment expected from various options when selecting performance monitoring information systems.
- Ensuring that performance information systems are supported by a reliable telecommunications infrastructure.

**Stakeholders and Ownership**

- ❖ CMEA Implementation: CMEA Project team, RBM TMs and FPs
- ❖ Corporate and Common systems support: ADI
- ❖ Indicator Compendium - OEDP



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<p><b>Required Activities to Achieve the Key Objectives</b></p> <ul style="list-style-type: none"> <li>❖ Undertake the design and implementation of a common M&amp;E approach for all WFP locations.</li> <li>❖ Undertake an RBM ICT Strategic Blueprint to identify the role of corporate systems and integration opportunities.</li> <li>❖ Create an Indicator Compendium with associated modules to help define the means of measuring, monitoring and evaluating the indicators.</li> </ul>	<p><b>Enablers</b></p> <ul style="list-style-type: none"> <li>■ A common CMEA ICT system, accessible at the field level as well as at the corporate level</li> <li>■ Integrated ICT systems to support other systematic processes related to RBM: <ul style="list-style-type: none"> <li>● Results-based costing and budgeting with integrated work-planning,</li> <li>● HR staff assignment tool</li> <li>● HR accountability and performance review</li> <li>● Operations – logistics and project management</li> <li>● Knowledge Management System</li> </ul> </li> <li>■ A means of defining outcomes, choosing appropriate indicators and knowing how to effectively measure these</li> </ul>
<p><b>Activities and Results achieved to-date</b></p> <ul style="list-style-type: none"> <li>✓ A Compendium of corporate indicators has been implemented, with aggregation schemes.</li> <li>✓ SPRs have been introduced that are results-oriented.</li> <li>✓ Annual Performance Reports have been produced to provide a results story for the agency as whole.</li> <li>✓ Phase 1 CMEA is complete.</li> <li>✓ RBM toolkits developed for 6 operations.</li> <li>✓ RBM Indicator Module Menus developed.</li> <li>✓ A Baseline working group developed guidelines for country offices on conducting baseline and follow-up surveys against the strategic objectives.</li> <li>✓ The Annual Performance Report working group has made progress in streamlining the annual data collection process across the organization.</li> <li>✓ Service units have become better acquainted with the management objectives and how to define their activities and outputs to better link with these.</li> </ul>	<p><b>Issues and Risks still to be addressed</b></p> <ul style="list-style-type: none"> <li>■ Data management issues: <ul style="list-style-type: none"> <li>● In most operations, responsibility for primary data collection lies with the implementing/cooperating partners; reporting is weak in terms of output data, beneficiary numbers and actual or potential outcomes.</li> <li>● Datasets and definitions are inconsistent across offices due to each using separate M&amp;E systems. Cannot easily aggregate data, see trends, share knowledge etc.</li> <li>● Data collected by partners and sub-offices are often not adequately analysed or followed-up at the CO level.</li> </ul> </li> <li>■ Lack of project standards: <ul style="list-style-type: none"> <li>● Logframes and M&amp;E plans are not always systematically used as project design tools.</li> <li>● Is there a need for a full problem analysis versus a VAM needs assessment in the project design? What role should VAM play?</li> <li>● Data accuracy and consistency remains a problem.</li> </ul> </li> <li>■ Issues with the strategic objectives: <ul style="list-style-type: none"> <li>● Strategic objective 2 outcome indicators are still being piloted: results are mixed and may need further refinement. Piloting seems to take too much time.</li> </ul> </li> </ul>



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Based on the accomplishments already undertaken with CMEA phase 1, RBM toolkits, indicator compendium, guidelines and reporting instruments, WFP can be categorized as being “**In transition**”, however work needs to be done to define standards, improve data collection, management and reporting, refine SO indicators and means of data collection, and the implementation of a CMEA ICT system.

- Government counterpart capacity to report is often weak. They will need tools too.
- Data collection and reporting issues
  - Producing an SPR is a time-consuming task. What opportunities are there to automate or reduce data collection?
  - Baselines are expensive and time-consuming. Guidance for collecting baseline data and alignment of activities/projects with Special Operations is deemed by some managers to still be inadequate.
  - SPR's are presently considered limiting. Users can't add extra info. Users also want to share SPR's with local donors/governments.
  - Preparing the APR should be a somewhat automated activity and a learning event, not a laborious data crunching exercise, as is currently the case.
- An ICT application to support CMEA is still subject to funding. Part of this requirement may be met with the WINGS II project, but this not certain yet.
- More assistance in the form of coaching/guidance and practical examples of strategic objective indicator data collection is needed.
- Technical assistance is still required for such areas as nutrition indicators and surveys.
- Funding for M&E is not consistently adequate.





**CRITICAL SUCCESS FACTOR 7:**

**EVALUATION FINDINGS ARE USED EFFECTIVELY.**

The evaluation findings and recommendations must be used effectively through timely reporting and feedback and serve as the main basis for the upcoming programme planning, budgeting, monitoring and evaluation cycle, as well as for policy development. In addition to these “ex-post” evaluations, “real-time” evaluations during an operation’s process should also be enhanced to achieve specific objectives (expected results).

**Key Objectives**

- Clearly define the different types and levels of evaluation and ensure that they are results-based.
- Ensure that self-evaluation is a main component of a clearly elaborated evaluation system.
- Ensure that resources are clearly allocated for evaluation purposes, in particular self-evaluation in each programme.
- Provide appropriate central support and guidance for self-evaluation.
- Ensure that timely plans of self-evaluation are elaborated, as part of an overall evaluation plan for the organization.
- Align the organization’s evaluation plan with the programming cycle to allow timely reporting and feedback to upcoming and future programme planning.
- Establish mechanisms for the implementation, monitoring and follow-up to the findings and recommendations of evaluations.
- Establish sharing mechanisms for the findings and lessons learned from the various evaluations, and periodically assess the impact of such mechanisms.

**Stakeholders and Ownership**

- ❖ Evaluations - OEDE
- ❖ Follow-up on recommendations – respective programme managers and support staff
- ❖ Policy Development - PDP

**Required Activities to Achieve the Key Objectives**

- ❖ Provide evaluation information in a timely manner so that it can help with operational decision-making.
- ❖ Provide evaluation information in a manner that lends itself to being utilised for future project design and selectivity purposes.
- ❖ Provide evaluation information in a manner that lends itself to

**Enablers**

- Decentralized and Self-Evaluations
- Real-time Evaluations
- CMEA for project design, data collection and reports
- After Action Reviews



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<p>being utilised for future policy development purposes.</p> <ul style="list-style-type: none"> <li>❖ Provide support for decentralized and self-evaluations.</li> </ul>	
<p><b>Activities and Results achieved to-date</b></p> <ul style="list-style-type: none"> <li>✓ Developed evaluation framework matrices as a basis for drawing up terms of reference and organized one-week preparatory visits.</li> <li>✓ Introduction of Real-Time Evaluations (RTE)– evaluations that take place as an operation unfolds.</li> <li>✓ Impact Evaluations – OEDE has undertaken an initiative to assess how well evaluation recommendations are being followed-up on.</li> <li>✓ Country Portfolio – evaluations that look at the overall impact of various WFP projects in a country.</li> <li>✓ Support for decentralized and self-evaluations.</li> </ul> <p>Based on the accomplishments already undertaken with decentralized evaluations, Real Time Evaluations and After Action Reviews, WFP can be categorized as being “<b>In transition</b>”, however work needs to be done to improve the quantity and quality of evaluations, provide a means to effectively follow-up on recommendations, create greater awareness of AAR’s, and guide managers and designers on how to use this information to make decisions and improve programming.</p>	<p><b>Issues and Risks still to be addressed</b></p> <ul style="list-style-type: none"> <li>❖ Recommendations for greater efficiency and effectiveness are made in evaluations, the extent to which recommendations are being implemented is not well known.</li> <li>❖ RTE – ability to provide immediate feedback and contribution to the organization’s learning has not been met yet.</li> <li>❖ Targets for number of decentralized evaluations typically fall short due to lack of funds and time.</li> <li>❖ Consistency and scope of self-evaluations varies widely – no quality assurance is performed by OEDE.</li> <li>❖ Some confusion exists between Self-Evaluations and After Action Reviews.</li> <li>❖ Overlap with learning tools: PASS it on and OEDE Self-Evaluation Knowledge database.</li> </ul>



**CRITICAL SUCCESS FACTOR 8:**

**RBM IS EFFECTIVELY INTERNALIZED THROUGHOUT THE ORGANIZATION**

The effective internalization of RBM throughout the organization is a key success factor for its implementation.

**Key Objectives:**

- Development of a training strategy that would promote change management throughout the organization and through which managers and staff at all levels would be familiarized with RBM concepts and requirements, and its impact on their own work.
- Systematic verification that training tools and kits are used and applied at all levels, and provision of “on-the-job” training, as appropriate.
- Review and adaptation of the rules and regulations governing the various work and management aspects in the organization.
- Adoption of human resources policies to foster a culture based on results (see parts II and III).
- Systematic verification, including through surveys, of the level of understanding and application of RBM among staff and management at all levels.

**Stakeholders and Ownership**

All Managers – Workplanning and Demonstration of Managing for Results and taking accountability  
 ADH - Performance Appraisals support evidence of Managing for Results  
 OD – Adequate Capacity for supporting an RBM and M&E environment  
 RBM Task Managers, ADH – Training Content, Training Delivery

**Required Activities to Achieve the Key Objectives**

- Development of an RBM and M&E on-going training strategy.
- Have senior management and other stakeholders routinely ask for evidence when plans and proposals are discussed.
- Reward those who learn from evidence on past performances.
- Sensibly tying evidence of having “Managed for Results” into performance appraisals (linking the Workplan with PACE).
- Refine existing corporate performance appraisal tools to make them more integrated, user friendly and compatible with RBM principles.

**Enablers**

- On-going RBM and M&E training with emphasis on:
  - illustrating how all the pieces fit together,
  - upgrading staff skills with respect to outputs vs. outcomes,
  - training TM/FP’s in communication and facilitation and practical guidance for delivering RBM,
  - RD & CD Manager training.
- Joint target setting
- Service level agreements that define the services to be provided and outputs and outcomes to be achieved between support units and program units
- Integrated, team-driven work-planning tool



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<p><b>Activities and Results achieved to-date</b></p> <ul style="list-style-type: none"> <li>✓ Revised work-planning tool integrates PACE, Biennial Management Plan, SPR, Project logframes and the application of the logic model.</li> <li>✓ Periodic performance reviews (mid and year end) to promote a culture of continuous performance, improvement and communication of results.</li> <li>✓ The PACE system clearly shows alignment of unit/division work plans and individual plans and allows the staff to clearly understand their role in contributing to WFP objectives.</li> <li>✓ Training materials are available electronically in the Programme Guidance Manual, WFPgo, CD's and email requests to OEDP/ODO.</li> <li>✓ OEDP/ODO and several RBx have offered country office RBM/M&amp;E training.</li> <li>✓ A revised Work Plan tool and Guidance materials have been developed in consultations with several HQ divisions, ODO, RBx, CO's. Guidance focuses on the work planning process rather than how to fill the templates.</li> <li>✓ Nearly 1800 staff and managers have been trained to date.</li> <li>✓ Skills and competence of RBM TM's and FP's are also enhanced through a combination of on-site training and long distance guidance and sharing of experiences.</li> <li>✓ The CD training has incorporated RBM issues and highlights the roll of the manager for managing for results.</li> <li>✓ An RBM Training Needs assessment is underway to help with the formulation on an RBM Training Strategy and Plan for the next biennium.</li> </ul> <p>Based on the accomplishments already undertaken with work-planning, performance reviews, and training, WFP can be categorized as being <b>"Full Implementation"</b>, however work needs to be done to more precisely ensure Managing for Results evidence is included in performance reviews, and training is being undertaken on an on-going basis.</p>	<p><b>Issues and Risks still to be addressed</b></p> <ul style="list-style-type: none"> <li>■ Issues related to manager's acceptance of RBM <ul style="list-style-type: none"> <li>● There are still some manager's who do not see the benefits of RBM (the "what's in it for me?" reaction).</li> <li>● Current guidelines lack practical examples.</li> <li>● Measuring results and accountability can instill a fear of being ridiculed or punished for errors.</li> <li>● There is a danger of too much focus on the indicators and not on the actions take to achieve the objectives.</li> <li>● There is still difficulty for some service units to make the link to MO's.</li> </ul> </li> <li>■ Training Issues: <ul style="list-style-type: none"> <li>● Training needs to be driven by reassignments and new employees.</li> <li>● RBM should be part of an integrated training programme.</li> <li>● Should M&amp;E certification training be offered?</li> <li>● How to ensure implementation partners are trained and stay knowledgeable when turn-over is fast.</li> <li>● Need expertise at the RB level for: Baseline, Monitoring, VAM.</li> </ul> </li> <li>■ Performance Appraisal Issues: <ul style="list-style-type: none"> <li>● RBx HR staff do not have access to PACE information within their regions.</li> <li>● Managing for results indicators (work-planning) are not yet evident. There is a need to demonstrate that one is managing for results.</li> <li>● PACE is not able to link results to employee for appraisal purposes.</li> <li>● Policy-related activities are not adequately reflected in the work-plans.</li> </ul> </li> </ul>



**CRITICAL SUCCESS FACTOR 9:**

A KNOWLEDGE MANAGEMENT STRATEGY IS DEVELOPED TO SUPPORT RBM.

Knowledge management (KM) can be an important managerial tool to reinforce and complement RBM. A comprehensive KM strategy should take into consideration the cross-functional nature of the issue, involving different areas of the organization from human resources to information and communication technology services.

**Key Objectives:**

- Develop a solid KM strategy to capture, collate, codify, structure, store, share and disseminate knowledge (including innovations, best practices, both internal and external) supported by appropriate information management systems.
- Include in performance management systems provisions to encourage staff members to record and report on innovations and best practices.

**Stakeholders and Ownership**

- ❖ OEDE – Evaluations holdings
- ❖ ADII – KM tools and concepts
- ❖ OEDP – RBM and M&E concepts
- ❖ OD – Project documentation holdings (designs, reports, data)
- ❖ PDP – policies

**Required Activities to Achieve the Key Objectives**

- ❖ Define an RBM KM strategy within the context of a project lifecycle (how to capture operations reports, SPR's , evaluations etc.) in a manner that lends itself easily to be reused for management decision making and future program design.
- ❖ Identify other uses for RBM knowledge such as policy development, fund raising, and partner access.
- ❖ Procure and/or Implement ICT tools to enable the KM strategy. Components should include a Repository, Taxonomy (a classification scheme), Meta-data tagging (a data dictionary cross-reference), Search Engine, Content publisher, Spider (an automated cross-repository search agent), and a role-based access portal.

**Enablers**

- ❖ Learning events to reinforce RBM and M&E with practical examples.
- ❖ A document and data repository or repositories and WFP context-sensitive Search Engine that can transcend across these.
- ❖ Programme document and data holdings are categorized and tagged in a manner that easily support searching and compiling.

**Activities and Results achieved to-date**

- ✓ ADII has been active in developing a KM ICT infrastructure for WFP. This includes a repository, content management and web-publishing tool (Stellant); XML format for easy data exchange; and

**Issues and Risks still to be addressed**

- Not all field-staff appear to be aware of Pass-it-on and how to use it.
- There is confusion in the minds of some field staff regarding the



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- ✓ a cross-repository search engine (Google).
- ✓ WFP-Go has been implemented as a general-purpose document and content management tool, with corporate –wide access.
- ✓ After Action Reviews for the capturing of Lessons-learned and the “PASS-it-on” system as the information repository.

Based on the accomplishments already undertaken with Pass-it-on, WFP Go, and ADII’s investment in supporting tools, WFP can be categorized as being “**In-transition**”, however work needs to be done to more precisely define an RBM KM strategy and better adapt the KM tools to achieving this strategy, with the appropriate awareness building and training.

purpose of After Action Reviews (AAR) vs. Self-Evaluations. Although AAR’s are understood to be focused on lessons-learned, and self-evaluations are focused at more broader aspects of a project such as outcomes and objectives, there should be some attempt to better rationalize the two so that any redundancies can be avoided.

- WFP Go, although available as a general-purpose tool, lacks the ability to search its information holdings more specifically by context. An example can be made where a CD wishes to meet with potential donors and would like to have available an ad-hoc report that provides outcome and impact evidence of past WFP interventions, by a specific theme, project category, dollar-range, target group, etc.
- ❖ The Staff-Net application could be integrated into the KM so that project results could be integrated with Staff CV’s


















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## Assessment of the Critical Success Factors

The following table provides a summary view of the current progress WFP has made towards the goal of truly demonstrating that is an agency that “Manages for Results”

 = status as of November 2004     = status as of December 2005    \* = New for December 2005

	Stage 1: Awareness	Stage 2: Exploration	Stage 3: Transition	Stage 4: Full Implementation	Stage 5: Continuous Learning
<b>CRITICAL SUCCESS FACTOR 1:</b> A CLEAR <b>CONCEPTUAL FRAMEWORK FOR RBM</b> EXISTS AS A BROAD MANAGEMENT STRATEGY					
<b>CRITICAL SUCCESS FACTOR #2:</b> THE RESPECTIVE <b>RESPONSIBILITIES</b> OF THE ORGANIZATION’S MAIN PARTIES ARE CLEARLY <b>DEFINED</b>					
<b>CRITICAL SUCCESS FACTOR #3:</b> LONG-TERM OBJECTIVES HAVE BEEN CLEARLY FORMULATED FOR THE ORGANIZATION.					
<b>CRITICAL SUCCESS FACTOR #4:</b> THE ORGANISATION’S PROGRAMMES ARE WELL-ALIGNED WITH ITS LONG-TERM OBJECTIVES.					
<b>CRITICAL SUCCESS FACTOR #5:</b> THE ORGANIZATION’S RESOURCES ARE WELL-ALIGNED WITH ITS LONG-TERM OBJECTIVES.					
<b>CRITICAL SUCCESS FACTOR #6:</b> AN EFFECTIVE PERFORMANCE MONITORING SYSTEM IS IN PLACE.					
<b>CRITICAL SUCCESS FACTOR 7:</b> EVALUATION FINDINGS ARE USED EFFECTIVELY					
<b>CRITICAL SUCCESS FACTOR 8:</b> RBM IS EFFECTIVELY INTERNALIZED THROUGHOUT THE ORGANIZATION					
<b>CRITICAL SUCCESS FACTOR 9:</b> A KNOWLEDGE MANAGEMENT STRATEGY IS DEVELOPED TO SUPPORT RBM.					



Appendix A

Revising and Refining the Critical Success Factors

The UN SG's resolve to see RBM principles applied throughout the UN has by-and-large *not* translated into system-wide guidance. Its implementation has been left to the initiative and ingenuity of individual agencies. How well this is working was a question addressed by the Joint Inspection Unit (JIU) in 2004. For their analysis, the Unit elaborated a set of 'critical success factors' (CSF) to track successful implementation of RBM in UN organizations. In addition to these, the consultant's assessment report from November 2004 used a set of CSF's from the Canadian Treasury Board Secretariat (TBS) self-assessment toolkit, which in turn required mapping the nine CSF's currently in use at OEDP into the five TBS CSF's. Thus the new UN-JIU CSF's will form the basis for the RBM Road Map, with a cross-walk connection back to the previous CSF's as illustrated below:

OEDP original	TBS version	UN-JIU
O1. Commitment to Results	T1. Commitment to results	<p>1. A CLEAR <b>CONCEPTUAL FRAMEWORK FOR RBM</b> EXISTS AS A BROAD MANAGEMENT STRATEGY</p> <p>This CSF maps back to the O1 and T1 CSF's in terms of WFP's senior management's commitment to RBM and the articulation of a conceptual framework.</p>
O1. Commitment to Results	T1. Commitment to results	<p>2. THE RESPECTIVE <b>RESPONSIBILITIES</b> OF THE ORGANIZATION'S MAIN PARTIES ARE CLEARLY <b>DEFINED</b></p> <p>This CSF also links Back to O1 and T1, since these previous CSF's identified management buy-in as an important foundation to RBM. The UN-JIU goes further by indicating that a holistic framework should be in place and that this becomes an integral part of the overall management strategy.</p>
O2. Results-based Agency Priorities (Strategies)	T2. RBM in Results-based strategic planning	<p>3. <b>LONG-TERM OBJECTIVES</b> HAVE BEEN CLEARLY FORMULATED FOR THE ORGANIZATION</p>





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		This CSF links back to O2 and T2. It includes the identification of strategic goals, objectives and the associated planning instruments.
O3. Results-based Programmes and Projects O5. Planning and Managing for Results	T3. RBM in Operational/business planning	<p>4. THE ORGANIZATION'S <b>PROGRAMMES</b> ARE WELL <b>ALIGNED WITH ITS LONG TERM OBJECTIVES</b></p> <p>This CSF links to O3, O5 and T3. It expands upon the long-term objectives and articulates the need to ensure that programming design and execution is driven by the need to achieve the objectives.</p>
O6. Aligning Resources with Results		<p>5. THE ORGANIZATION'S <b>RESOURCES</b> ARE WELL <b>ALIGNED WITH ITS LONG-TERM OBJECTIVES</b></p> <p>This CSF links back to O6, with a focus on planning, budgeting and expenditure reporting in conjunction with the results logic model framework.</p>
O4. Measuring and Evaluating of Results O9. The Role of IT Systems	T4. Measuring results	<p>6. AN EFFECTIVE <b>PERFORMANCE MONITORING SYSTEM</b> IS IN PLACE</p> <p>This CSF links back to O4, O9 and T4. It focuses on performance measuring and monitoring of RBM with implications to the role of IT systems.</p>
	T5. Reporting on Results and Lessons Learned	<p>7. <b>EVALUATION FINDINGS</b> ARE USED EFFECTIVELY</p> <p>This CSF links back to T5. It specifically targets the need for improved management and usage of evaluation findings.</p>
O7. Authorities and Accountabilities O9. The Role of IT Systems		<p>8. <b>RBM</b> IS EFFECTIVELY <b>INTERNALIZED</b> THROUGHOUT THE ORGANIZATION</p> <p>This CSF links back to O7 and O9. CSF O7 stipulated that managers have a degree of authority over activities and resources that is</p>



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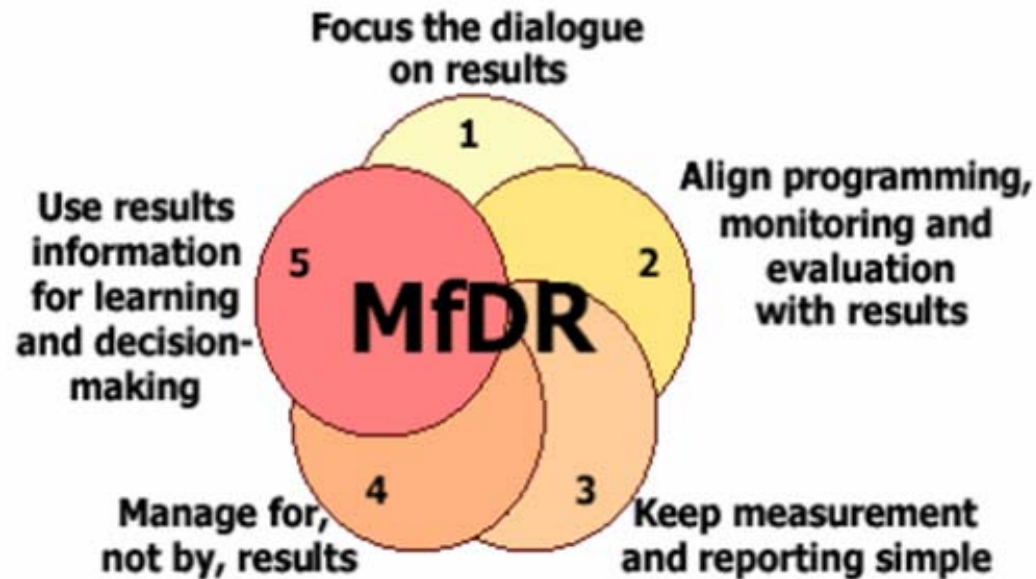
		commensurate with their level of accountability. IT systems can also play a role in verifying the level of understanding and application of RBM among staff and management.
O8. Knowledge Management and becoming a Learning Organization	T5. Reporting on Results and Lessons Learned	<p>9. A <b>KNOWLEDGE MANAGEMENT STRATEGY</b> IS DEVELOPED TO SUPPORT RBM</p> <p>This CSF Links back to O8 and T5. This includes T5 elements such as demand driving the supply of information, and integrating knowledge into the overall project/programme lifecycle.</p>



Appendix B

The principles behind some of the more recent trends in RBM

1. Managing for Development Results

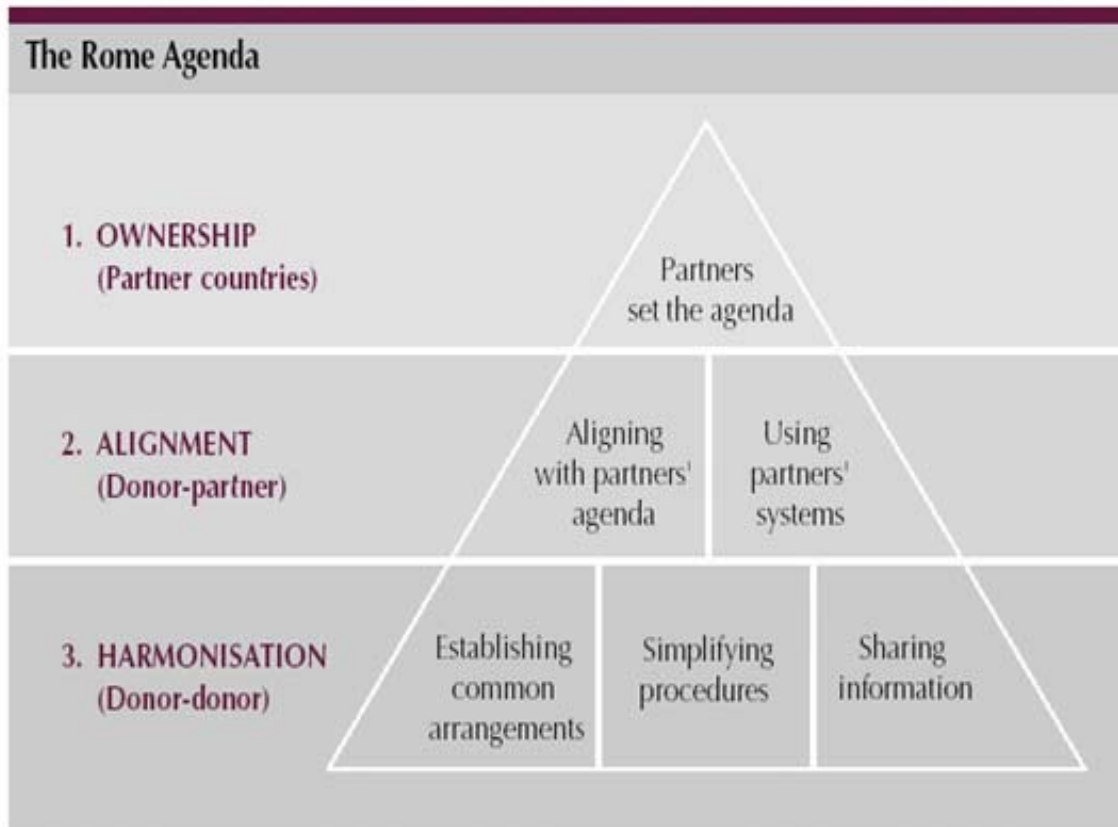


Source: OECD-DAC



# The RBM Way Forward Roadmap

## 2. Harmonisation and Alignment



Source: OECD-DAC



# The RBM Way Forward Roadmap

## 3. Management Accountability Framework



Source: the Treasury Board of Canada

