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<td>BAT</td>
<td>Regional Baseline Assessment Tool</td>
</tr>
<tr>
<td>CC</td>
<td>Climate Change</td>
</tr>
<tr>
<td>CCA</td>
<td>Climate Change Adaptation</td>
</tr>
<tr>
<td>CDEMA CHC</td>
<td>Caribbean Disaster Emergency Management Agency</td>
</tr>
<tr>
<td>CDEMA CU</td>
<td>Caribbean Disaster Emergency Management Agency Coordinating Unit</td>
</tr>
<tr>
<td>CDEMA PS</td>
<td>Caribbean Disaster Emergency Management Agency Participating States</td>
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<tr>
<td>CDM</td>
<td>Comprehensive Disaster Management</td>
</tr>
<tr>
<td>CWP</td>
<td>Country Work Programme</td>
</tr>
<tr>
<td>DM</td>
<td>Disaster Management</td>
</tr>
<tr>
<td>DRM</td>
<td>Disaster Risk Management</td>
</tr>
<tr>
<td>DRR</td>
<td>Disaster Risk Reduction</td>
</tr>
<tr>
<td>HFA</td>
<td>Hyogo Framework For Action</td>
</tr>
<tr>
<td>ICT</td>
<td>Information and Communications and Technology</td>
</tr>
<tr>
<td>LFA</td>
<td>Results Based Management Logical Framework Analysis</td>
</tr>
<tr>
<td>NDO</td>
<td>National Disaster Organisations</td>
</tr>
<tr>
<td>PBA</td>
<td>Programme Based Approaches</td>
</tr>
<tr>
<td>PIN</td>
<td>Problem, Issues and/or Need</td>
</tr>
<tr>
<td>RBM</td>
<td>Results Based Management</td>
</tr>
<tr>
<td>PMF</td>
<td>Results Based Management Performance Monitoring Framework</td>
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</tbody>
</table>
Symbols used throughout this publication

Key concepts are provided to enhance learning and highlight an important fact about the topic presented in any given section. Examples may be provided to clarify how a concept will be applied in the real world. At the end of each section, a summary is provided to focus on the most important elements of learning.

A key concept, example or summary, will be designated by the following icons below.
Acknowledgements

The theoretical framework in the Results Based Management Approach, which grounds this manual, is partly based on two previously derived manuals:

2. Results-Based Management and the Canadian International Development Agency: Training Manual (Baastel, 2006).

The Manual was developed in preparation for a workshop focusing on applying the RBM Approach and other techniques for the development of Comprehensive Disaster Management (CDM) Country Work Programmes (CWPs) in the Caribbean Disaster Emergency Management Agency (CDEMA)\(^1\) and its Participating States. This workshop took place on the 17th – 21st of January, 2011 at the Savannah Hotel, Barbados with 23 participants derived from CDEMA Participating States and CDEMA’s Coordinating Unit (CU).

The CDEMA Coordinating Unit also recognizes the significant contribution of consultants, Sage Consultancy Services, in developing the first versions of this Manual.

CDEMA also expresses its appreciation to the Department for International Development (UK Aid), the Department of Foreign Affairs, Trade and Development (DFATD formerly CIDA) and the Department of Foreign Affairs Trade (DFAT formerly AusAID) for the financial support provided for the process and publication of the report through the Comprehensive Disaster Management Harmonised Implementation Programme (CDM HIP), Phase 1.

\(^1\) www.cdema.org
Chapter 1

Introduction and Context

The Comprehensive Disaster Management and the Programme Based Approach

How does the Results Based Management Approach fit into Comprehensive Disaster Management Programming?

Outline of the Results Based CWP Development Process

CHAPTER OBJECTIVES:
1. Describe RBM and Programme Based Approach principles.
2. Provide a rationale for the use of the Results Based Management as an organising methodology for CDM implementation.
3. Provide a broad overview of the process for developing a results based Country Work Programme (CWP).
Introduction

What Is the Purpose of the Manual?

◊ This was developed as a companion to those who will contribute to the development of national level comprehensive disaster management (CDM) programmes as national stakeholders.

◊ The manual provides the CDEMA system - National Disaster Offices & Organisations and the CDEMA Coordinating Unit- with a common guide for formulating national level comprehensive disaster management (CDM) programmes which utilises the RBM approach to planning, implementation, monitoring, evaluation and reporting.

◊ The manual responds to the need to build and sustain the capacity for the use of the Results Based Management (RBM) Approach to programming and for accountability in how scarce resources are used across all levels of CDM.

◊ It is a guide designed to support the learning and participation of key national stakeholders in the development of CDM work programmes for their countries. This manual is especially aimed at introducing basic concepts, terms and approaches such as:

<table>
<thead>
<tr>
<th>COMPREHENSIVE DISASTER MANAGEMENT</th>
<th>OUTCOMES</th>
</tr>
</thead>
<tbody>
<tr>
<td>CDEMA</td>
<td></td>
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<tr>
<td>OUTPUTS</td>
<td></td>
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<tr>
<td>NDO</td>
<td></td>
</tr>
<tr>
<td>PARTICIPATORY</td>
<td></td>
</tr>
<tr>
<td>BASELINE</td>
<td></td>
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<tr>
<td>PERFORMANCE MONITORING FRAMEWORK</td>
<td></td>
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<td>RESULTS FRAMEWORK</td>
<td></td>
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<td>CDM STRATEGY</td>
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<tr>
<td>CLIMATE CHANGE</td>
<td></td>
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<tr>
<td>IMPACT</td>
<td></td>
</tr>
<tr>
<td>RESULTS BASED MANAGEMENT</td>
<td></td>
</tr>
<tr>
<td>TARGETS</td>
<td></td>
</tr>
<tr>
<td>ADAPTATION</td>
<td></td>
</tr>
<tr>
<td>LOGIC MODEL</td>
<td></td>
</tr>
<tr>
<td>MITIGATION</td>
<td></td>
</tr>
<tr>
<td>MONITORING</td>
<td></td>
</tr>
<tr>
<td>DISASTER RISK REDUCTION (DRR)</td>
<td></td>
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</tbody>
</table>

Audience

◊ The primary audiences are the National Disaster Offices and the key national stakeholders of the CDEMA Participating States who will actively participate in the development of the
Country Work Programmes (CWP)

**What Is Comprehensive Disaster Management (CDM)?**

- The Comprehensive Disaster Management is defined as:
  
  "the management of all hazards through all phases of the disaster management cycle – prevention, mitigation, preparedness, response, recovery and rehabilitation – by all peoples – public and private sectors, all segments of civil society and the general population in hazard prone areas. CDM involves risk reduction & management and integration of vulnerability assessment into the development planning process. (CDEMA)"

- The strategic objective of CDM is the integration of disaster risk management considerations into the development planning and decision-making processes of CDEMA Participating States (PS)

![Diagram of the Essentials of CDM](image)

**Figure 1: The Essentials of CDM**

**Definition of Results Based Management (RBM) Approach**

- RBM refers to a management philosophy and approach designed to improve project and programme
  - design,
  - management effectiveness,
  - monitoring, reporting and
• accountability for the achievement of results

◊ In the broadest terms, RBM is a four-step methodology in which practitioners:
  • define the expected results,
  • monitor and measure progress,
  • report on results achieved and/or the progress of the same and finally,
  • learn and adjust project structure to derive refined expected results.

---

**Figure 2: RBM Cycle**

**Why Results Based Management (RBM)?**

◊ Following the traditional way work programme development process, which typically starts with the formulation of projects and activities, one could hope to eventually address the originally identified problems or issues.

◊ The Results Based Management (RBM) Approach differs.
  • It requires that actual desired results (the impact and outcomes), are planned for at the beginning and not hoped to be achieved after a project/(s) is implemented.
  • It focuses on the performance and achievement of output, outcome and impact level results.
  • It emphasizes the attainment of results at its core.
KEY CONCEPT

The RBM Approach to Planning: Programme planning using the RBM Approach requires that individuals first think about what they want to achieve as a final overarching desired result- IMPACT & OUTCOMES; and then work their way back through how they will be achieved which will determine the products, services and processes – OUTPUTS; which can only come through the completion of a multitude of appropriate actions- ACTIVITIES. Activities are derived from the use of INPUTS such as time, technical expertise/skills, equipment, finance etc.

Since 2007, the Caribbean Disaster Emergency Management Agency (CDEMA) and its Participating States have adopted the RBM Approach as its principal tool for framing CDM strategies and programming. This requires therefore:

- Alignment of CDM work programmes at the national and regional levels with the existing regional CDM strategy.
- That CDM programmes at the national and regional levels use the RBM approach.

Figure 4: The Link And Hierachy Between CDM & RBM
What Is Needed for RBM Programme Planning?

◊ Results-focused work programmes require clearly outlined prospective or planned achievements.

◊ Work programmes which span 3 – 5 years and focus on achieving results- IMPACT & OUTCOMES- across thematic areas, sectors, departments and not for individual activities and projects.

◊ Leadership which must come from within countries and its organizations. Budget in support of CDM actions should be clearly defined.

◊ Access to capacities & skills for developing results-based country work programmes (CWP) including performance monitoring frameworks (PMF).

What Is A CDM Country Work Programme (CWP)?

The CDM Country Work Programme (CWP) is (i) the logical arrangement of National CDM actions by identified agencies to achieve CDM results- Logic Model/Result Framework and the basic measures for assessing progress against set targets – Programme Monitoring Frameworks (PMF). The full templates of these components are to be found in Annex 1, 2, & 3.

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<table>
<thead>
<tr>
<th>Impact</th>
<th>Outcome 1</th>
<th>Outcome 2</th>
<th>Outcome 3</th>
<th>Outcome 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Outcome 1</td>
<td>Activity 1.1.1</td>
<td>Activity 1.1.2</td>
<td>Activity 1.1.3</td>
<td>Activity 1.1.1</td>
</tr>
<tr>
<td>Outcome 2</td>
<td>Activity 2.1.1</td>
<td>Activity 2.1.2</td>
<td>Activity 2.1.3</td>
<td>Activity 2.1.1</td>
</tr>
<tr>
<td>Outcome 3</td>
<td>Activity 3.1.1</td>
<td>Activity 3.1.2</td>
<td>Activity 3.1.3</td>
<td>Activity 3.1.1</td>
</tr>
<tr>
<td>Outcome 4</td>
<td>Activity 4.1.1</td>
<td>Activity 4.1.2</td>
<td>Activity 4.1.3</td>
<td>Activity 4.1.1</td>
</tr>
</tbody>
</table>

Figure 5: Summary Logic Model/Result Framework

---

2 Performance Monitoring Framework (PMF) –which is sometimes referred to as Performance Measurement Framework, is a set of components organised in a matrix format for collection of relevant data used for monitoring of implementation and achievement progress of the CWP; and the evaluation of the programme performance. It is in fact, the simplest form of a Monitoring and Evaluation System.
## Impact

<table>
<thead>
<tr>
<th>Outcome 1</th>
<th>Outcome 2</th>
<th>Outcome 3</th>
<th>Outcome 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Target 1(a)</td>
<td>Baseline 1(a)</td>
<td>Indicator 1(a)</td>
<td>Target 2(a)</td>
</tr>
<tr>
<td>Target 2.1.1</td>
<td>Baseline 2.1.1</td>
<td>Indicator 2.1.1</td>
<td>Target 3.1.1</td>
</tr>
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</table>

**Figure 6: Summary Performance Monitoring Framework**

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**MY NOTES**

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# Situational Analysis

<table>
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<tr>
<td>Information Gathering Techniques: Brainstorming, Cause and Effect Diagramming, Gap Analysis Process</td>
</tr>
<tr>
<td>Use of the Assessment, Analysis and Report information in Framing Problems, Issues and Needs</td>
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## OBJECTIVES OF THE CHAPTER

1. Describe and use workshop information gathering methodologies to canvas group thinking and knowledge.
2. Describe the use of four information gathering techniques: brainstorming, cause and effect diagramming, process mapping, gap analysis to develop a situational analysis.
3. Apply workshop information gathering techniques to the refinement of problem statements.
Introduction

Why You Are A Participant?

◊ Workshops are excellent opportunities for participants to learn new approaches and skills that can be applied to their workplace or life in general.

◊ Participants are invaluable sources information, on the prevailing situation of CDM which may enhance the group’s learning, deepen understanding and increase ownership of final workshop products.

◊ The formulation of a CWP relies on a shared understanding of problems and the constant search for solutions.

◊ It is important that key national stakeholders agree on what the problems, issues and needs (PIN) related to CDM for your communities and country.

◊ To assist in the development a situational analysis for CDM in your country.

What Is A Situational Analysis?

Development of a National CDM Situational Analysis

Figure 7: Major resources required for development of a National CDM Situational Analysis

◊ A situational analysis will describe and analyse the situation regarding the CDM status, services and challenges in the country.

◊ It provides an overall picture of CDM for the country and provides an assessment of how well CDM implementation is meeting the prevailing national needs. The assessment should assist in identifying the successful or deficient areas of CDM.
A properly developed CWP addresses the real needs of the beneficiaries and requires a correct and complete analysis of the existing situation.

The initial information regarding problems and their related issues and needs (PIN) on CDM implementation and achievements will be gleaned from the power point presentations and resource materials provided for the workshop.

<table>
<thead>
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<th>TIPS</th>
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<tr>
<td>National CDM Reports which can be used to formulate the situational analysis are listed below (not exhaustive):</td>
</tr>
<tr>
<td>- National Development Strategy</td>
</tr>
<tr>
<td>- After Action Review of hazard events or simulation exercises</td>
</tr>
<tr>
<td>- National Baseline Assessments</td>
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<tr>
<td>- National Disaster Risk Profiles</td>
</tr>
<tr>
<td>- National CDM Policy &amp; Strategy</td>
</tr>
<tr>
<td>- Progress Report previous CWPs</td>
</tr>
<tr>
<td>- Catalogue of historic hazard events</td>
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<td>- Climate Change policy or strategies</td>
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The national Disaster Office will recommend and provide in some cases, the relevant reports and documents.

Information Gathering Techniques

During the workshops participants will be guided in the use of several information gathering techniques in particular:

- Problem Analysis
- Brainstorming Mapping
- Cause and Effect Diagramming
- Gap Analysis

These techniques ensure that the situational analysis derived is an accurate reflection of the reality.

In order to find solutions, individuals and groups must understand the problems, issues and needs (PIN) that they face.

These techniques give workshop participants the opportunity to further explore an identified problem, issue or need in order to come to a better or common understanding.

Joint development and subsequent ownership of a CWP require assembling a group of individuals with diverse ranges of expertise and knowledge.

This will ensure that the analysis takes into account a cross-section of the departments, ministries, civil society organisations and other stakeholders who must be involved in CDM.
PROBLEM ANALYSIS

A problem is never an isolated negative perceived situation, but relates to other problems. *There is a need to establish the* relations and hierarchy among all identified problems. Each stated problem is preceded by the problem(s) which cause(s) it, and followed by the problem it causes itself.

**KEY CONCEPT**

The proposed method for analysing problems, issues or needs involves the formulation of questions or statements on the facts and perceptions surrounding a situation. These questions will inform the programme and serve as the basis for any actions taken by the institution.

Steps in Problem Analysis:

<table>
<thead>
<tr>
<th>Steps</th>
<th>Considerations</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Check the subject with the stakeholders</td>
<td>Who are the stakeholders involved? Who is affected by the problem? Who will be involved in eliminating the problem?</td>
</tr>
<tr>
<td>2. Make an inventory of all perceived problems. Identification of problems related to the subject, resulting in an inventory of all problems perceived by the members in the group</td>
<td>What are the problems that are faced by various stakeholders and those which can cause the main problem?</td>
</tr>
<tr>
<td>3. Establishment of a cause-effect hierarchy between the problems.</td>
<td>How did the problems arise? What is the root cause of the problem?</td>
</tr>
<tr>
<td>4. Visualisation of the cause-effect relations in a diagram</td>
<td>What are the causes and effects of the identified problems?</td>
</tr>
<tr>
<td>5. Determine solutions for problems, clearly identifying the resource needed.</td>
<td>What can be done to solve the problem? Explore which recommendations will really address the problem.</td>
</tr>
<tr>
<td>6. Prioritise the short-listed set of solutions</td>
<td>Can the resources available to the NDO or the relevant implementing agency support the solution?</td>
</tr>
</tbody>
</table>
EXAMPLE

Sinking Ship
  Hole
    Poor maintenance
    Collison
    Sabotage
  Cargo Shift
    Bad stowage
  Capsize
    Bad weather

Main Problem
Causes
Root Causes

TIPS
- There are several methods for conducting situational analysis. For example, Surveys, Problem Tree Analysis, SWOT Analysis and PESTE Analysis can be used.
- PIN analysis exercises should be done in small groups as opposed to plenary.

MY NOTES
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________________________________________________________________________
**BRAINSTORM MAPS**

◊ During **Brainstorming** sessions any number of ideas or issues surrounding a main topic is usually defined and determined.

◊ Brainstorm maps can be drawn to encompass any scale or number of issues of concerns to workshop participants.

◊ They represent a quick, yet effective means of capturing knowledge or experience related to a problem, issue or need. Follow these steps to generate a brainstorm map:

1. **Figure 8: Brainstorm Map**

   ![Brainstorm Map Diagram]

   **How to Generate a Brainstorm Map**

   1. Discuss and agree on a label which will be the **Main topic** or the highest category applied to a list or group of issues which may be related.

   2. Discuss and agree on labels which will describe the **Sub Topic** under the main topic. There are no limits to the number of sub topics that you may include at this stage.

   3. Under each sub topic, list all of the ideas regarding how the sub topic becomes important to an individual, group, organization, community, or country. Again, do not limit the group’s discussion by any preset number of problems, issues or needs which may comprise the map.

**KEY CONCEPT**

Brainstorm maps can be employed to define problems and find solutions or may be used to document actions to be taken or that are already performed. Any documented idea can be used to define a result or assist in stating what may have or not been accomplished under a programme or project.
EXAMPLE

- Suppose a community experiences recurrent damage along a coastal road after storms. The damage may be a result of a storm surge; rock falls, if the road is adjacent to rocky ledges, poor drainage, the location of the road in relation to its proximity to the coast, etc.
- Various stakeholders want to categorise the issues surrounding this particular matter and may want to brainstorm solutions based on those categories.
- Figure 3.3 displays an example of a brainstorm map with some possible solutions to the problem observed at community x.

TIPS

◊ Brainstorm maps may be used:
  - as tools to capture as much information as possible from participants during the initial phase of discussion in a plenary or small group session
  - during times when participants may encounter difficulties understanding a complex matter and may need to redefine a question or topic in their own terms.
  - to clarify matters and provide a convenient break from a bottleneck in understanding.
  - There are no limits to the brainstorming technique for capturing and organising information derived from workshop participants.
Another important tool which can be employed to gather information is a Cause and Effect diagram.

A developmental need can usually be phrased in terms of the effect or problem observed by people.

People naturally think about the possible causes and reasons which lead to a problem.

The causes leading to the problem, however, may be many.

Establishing causality is important, since it can lead to a better understanding of how a problem arose in the first place.

**HOW TO GENERATE A CAUSE AND EFFECT MAP**

- Determine and agree on the problem, issue or need that the group will explore. Draw a horizontal line along a large sheet of paper (flip chart). End the line with an arrow. **Place the problem statement to the right side of horizontal line at the end of the centre line with the arrow pointing to your problem or effect.**
• Discuss, agree and record what may be some major categories for the problem you have chosen to describe. **Insert the label of a major category in a box on top of the lines which are leading to the centre line.**

• Discuss, agree and record the causes that led to the problem, issue or need. Place each cause under the appropriate category in the diagram. **Each cause should be located along lines which lead to the category lines.**

---

**KEY CONCEPT**

State the problem faced in clear terms and in detail. Where appropriate, identify who may be involved, the nature of the problem and where it occurs. Work out the major factors that may contribute to a problem. Factors may include the people, systems, equipment, operations, external forces like to environment or natural hazards, management, resources, etc.

**EXAMPLE**

◊ Suppose that a community undergoes severe flooding after periods of heavy rain. Storms or heavy rainfall events cause damage to buildings and hampers economic activity. Repeated events are negatively impacting property values in the long-term.

◊ Stakeholders have identified the fact that there are four main categories of causes that have led to the problem:
  • Infrastructure
  • Policy matters
  • Environmental concerns
  • Defence mechanisms

◊ Under each of these categories of causes, various reasons may be given as to how each may lead to the observable effect, which is flooding in the particular community.

◊ Refer to Figure 3.5 for an example of a cause and effect diagram, which may represent the categories of causes, main and secondary causes.
Components of the RBM Logical Chain

**Business Process Name:** Place order

- **Activities**
  - Determine reorder quantity
  - Identify suppliers
  - Secure three estimates
  - Select vendor
  - Prepare purchase order for approval
  - Approve purchase order
  - Transmit order details to vendor

- **Output**
  - Order placed

A business process name is structured in the language of an RBM Activity.
BUSINESS PROCESS MAPS

◊ The internal processes devised within the organisation must deliver services and products to meet clients’ needs.

◊ For an NDO for example, its stakeholders expect several services and information to be delivered in a timely manner.

◊ Business processes in this context, are those functions which the NDO must perform or execute all or most of the time to deliver address a client’s needs.

KEY CONCEPT

A business process is the chain of steps starting from an initial triggering event through to the final result that stems from that event. A result in this context represents the output of each time the process is performed.

◊ Steps are the defined sequence and sets of activities and decisions which must be taken to deliver a result. Steps are defined by an action verb which qualifies a noun.

◊ Steps:
  • Indicate a single activity that happens at a particular point in time
  • Help to visualise the result.

◊ Process maps are commonly employed to:
  • Document operational matters related to the organisation.
  • Provide a tool to record the activities and steps which must be taken to deliver a product or service.
  • Assist in identifying the decisions and alternate steps which may be taken by an organisation to deliver the result.
Figure 10: Business Process Map

HOW TO CREATE A BUSINESS PROCESS MAP

◊ Name the business process that will be mapped.
  • The process name, at its simplest must be in the form of a verb-noun or verb-noun-noun (e.g., Place order, Assign inspector to route).
  • The verb-noun name must indicate the result of the process.

◊ Ensure that if the terms were turned around they would indicate the result of the process (e.g., Order placed, Inspector assigned).

◊ Identify the triggering event. The triggering event is what happens to make the process (or activity) start. For example, the presence of a low quantity of emergency supplies during an inventory count may trigger the process “Place order”.

◊ List the steps required from the triggering event to the delivery of the result. Ensure that each step is framed employing the action verbs.
  • Try not to define more than 8 – 11 steps for a business process.
  • If more steps are required, consider breaking up the business process into two.
EXAMPLE

For instance, a list of tangible steps associated with the business process named “Place order” may be the following:

1. Determine reorder quantity
2. Identify suppliers
3. Secure three estimates
4. Select vendor
5. Prepare purchase order for approval
6. Approve purchase order
7. Transmit order details to vendor

The logical sequence of events, if followed each time, will result in an “Order placed”. The triggering event for the example above is the low stock of an item.

TIPS

- Cause and Effect Diagrams/Maps are the same as Fishbone Diagrams
- Resource: https://www.youtube.com/watch?v=wml1ttrgfI
- Brainstorm maps are the same as Mind Maps. Several applications are available for producing these maps.
  Resource: https://www.youtube.com/watch?v=3iFH717xb90
  https://www.youtube.com/watch?v=4wZ5wV5dPZc

MY NOTES

______________________________
______________________________
______________________________
______________________________
______________________________
Gap Analysis: Using CDM Assessments and Reports

◊ Gap analyses are conducted to ensure that an organisation performs up to
  • generally accepted industry standards or benchmarks and/or
  • desired organisational goals or targets.
◊ In the case where the organisation is not meeting those standards or goals, gaps will exist.
◊ A gap analysis in its simplest form would help:
  • identify gaps
  • identify the associated standards or desire goals and
  • explore the causes for the gap and actions for their eliminations
  • identify priority actions
◊ For the purposes of CWP development the following reports on national CDM progress are recommended
  • CDM/ DRM/DRR/CC assessments,
  • National, Regional and International CDM/ DRM/DRR/CC related policies and strategies.

Table 2.5: Example of a simple framework for gap analysis

<table>
<thead>
<tr>
<th>Identified Gap (assessment; analyses and reports)</th>
<th>Eliminated Gaps (post assessment)</th>
<th>Persisting Gaps</th>
<th>Desired goal/ Industry standards or benchmarks</th>
<th>What are the issues for persisting gaps?</th>
<th>What is needed to address gap?</th>
<th>Level of Priority for taking actions</th>
</tr>
</thead>
</table>

**EXAMPLE**

The Regional Baseline Report is the compilation of baseline information for the Enhanced CDM Strategy, based on data collected from 16 CDEMA Participating States. National baseline reports were compiled for each country. The national baseline reports give a picture of what is the current state of the country’s CDM implementation and achievement against the targets set out in the Enhanced CDM Strategy.

A gap analysis can be conducted based on the information in the national baseline report. The analysis will assist in determining the results which should be included in the CWP.
<table>
<thead>
<tr>
<th>Identified Gap</th>
<th>Persisting Gaps</th>
<th>Desired goal/Industry standard or benchmark</th>
<th>What are the issues for and caused by persisting gaps?</th>
<th>What is needed to address gap?</th>
<th>Level of Priority</th>
</tr>
</thead>
<tbody>
<tr>
<td>No National CDM Legislation enacted</td>
<td>National CDM Bill and Regulations developed</td>
<td>Existence of CDM Act with accompanying legislation</td>
<td>The enactment of the CDM Bill</td>
<td>Increased advocacy by influential regional and international partners (i.e. CDEMA; CARICOM; OECS; UNISDR)</td>
<td>High</td>
</tr>
<tr>
<td>More effective advocacy by CDEMA partners (i.e. CDEMA; CARICOM; OECS; UNISDR)</td>
<td>The enactment of the CDM Bill</td>
<td>Increased advocacy by influential regional and international partners (i.e. CDEMA; CARICOM; OECS; UNISDR)</td>
<td>Regulating legal machinery and assigning authority and responsibilities among first responders</td>
<td>Increased advocacy by influential regional and international partners (i.e. CDEMA; CARICOM; OECS; UNISDR)</td>
<td>High</td>
</tr>
<tr>
<td>Confusion regarding legal authority and responsibilities among first responders</td>
<td>Low priority legal machinery</td>
<td>Existence of CDM Act with accompanying legislation</td>
<td>The enactment of the CDM Bill</td>
<td>Increased advocacy by influential regional and international partners (i.e. CDEMA; CARICOM; OECS; UNISDR)</td>
<td>High</td>
</tr>
<tr>
<td>Lack of government will to enact; Low priority given to formalization of CDM institutional components</td>
<td>Existence of CDM Act with accompanying legislation</td>
<td>The enactment of the CDM Bill</td>
<td>Increased advocacy by influential regional and international partners (i.e. CDEMA; CARICOM; OECS; UNISDR)</td>
<td>Increased advocacy by influential regional and international partners (i.e. CDEMA; CARICOM; OECS; UNISDR)</td>
<td>High</td>
</tr>
<tr>
<td>Reduced response to hazard events</td>
<td>Increased advocacy by influential regional and international partners (i.e. CDEMA; CARICOM; OECS; UNISDR)</td>
<td>The enactment of the CDM Bill</td>
<td>Increased advocacy by influential regional and international partners (i.e. CDEMA; CARICOM; OECS; UNISDR)</td>
<td>Increased advocacy by influential regional and international partners (i.e. CDEMA; CARICOM; OECS; UNISDR)</td>
<td>High</td>
</tr>
<tr>
<td>More effective advocacy by the NDC</td>
<td>The enactment of the CDM Bill</td>
<td>Increased advocacy by influential regional and international partners (i.e. CDEMA; CARICOM; OECS; UNISDR)</td>
<td>Regulating legal machinery and assigning authority and responsibilities among first responders</td>
<td>Increased advocacy by influential regional and international partners (i.e. CDEMA; CARICOM; OECS; UNISDR)</td>
<td>High</td>
</tr>
<tr>
<td>High priority legal machinery</td>
<td>Existence of CDM Act with accompanying legislation</td>
<td>The enactment of the CDM Bill</td>
<td>Increased advocacy by influential regional and international partners (i.e. CDEMA; CARICOM; OECS; UNISDR)</td>
<td>Increased advocacy by influential regional and international partners (i.e. CDEMA; CARICOM; OECS; UNISDR)</td>
<td>High</td>
</tr>
<tr>
<td>Identification of potential gaps</td>
<td>Gaps identified (cost based assessment)</td>
<td>Persisting gaps</td>
<td>Benchmark standards or issues for industry/government (i.e. CDM Act with accompanying legislation)</td>
<td>Persisting gaps identified and addressed</td>
<td>High</td>
</tr>
</tbody>
</table>
Chapter 3

The Results Based Management Approach

Definition of the RBM Approach
How to formulate a Logic Model/Results Framework
How to construct result statements
How to construct performance indicators
How to formulate a Performance Monitoring Framework

OBJECTIVES OF THE CHAPTER
1. Introduce the RBM Approach and logical chain of results.
2. Introduce the structure of the Logic Model/Results Framework.
3. Introduction to the Performance Monitoring Framework.
4. Relate how the RBM Approach is synergistic with the Programme Based Approach.
The RBM Approach

Results3 – Impact(s), Outcome(s) & Output(s) and Activities

The fundamentals of the RBM Approach:

◊ There are four levels of results – Activities, Outputs, Outcomes and Impact.
  
  • What constitutes a result at each level may vary according to the circumstances but the time horizon for their achievement remains constant for each level of result.
  
  • For example “a hospital constructed” in a very poor, war-torn country may be defined as an impact result. In most modern countries “hospital constructed” would be an output level result
  
  • For each level of result there would be a series of results at lower levels which would have to be achieved in order to get to “hospital constructed”.

◊ Results are categorised as developmental or operational results.
  
  • Developmental results are the medium to long-term results - Impacts and Outcomes.
    
    i. Impact level results are the highest level of results and their achievement is evident in the very long term.
    
    ii. Achievement of impact level results would normally mean contribution to positive changes in economic, social, cultural, environmental and political conditions of the intended beneficiaries.
    
    iii. Outcome level results are generally defined as changes in behaviour & institutional efficiency, changes resulting in policy formulation & decision-making etc.
  
  ◊ Operational/Process Results are short-term to immediate results - Outputs and Activities.

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3 Results are sometimes referred to as Objectives and RBM as management by objectives.

• Operational/Process results achieve changes within an institution and would signal the efficient operations or implementation of a programme or projects.

• Output level results are tangible and often discrete. They are typically goods and services, change in skills, access and capabilities, evaluations and assessments, systems developed etc.

• The cumulative effect of achievement of Output level results MUST translate to the achievement of the related outcome.

• Activity level results are tasks such as train, evaluate, procure, recruit, facilitate. The sum total effect of successfully completed activities is the achievement of the related outputs.

◊ All results must be S.M.A.R.T. This is especially important for Output, Outcome and Impact level results. S.M.A.R.T means that these results must be Specific, Measurable, Achievable, Realistic/Relevant and Time bound.
Table 3.1: Fundamental features of results

<table>
<thead>
<tr>
<th>Categories</th>
<th>Levels of Results</th>
<th>Definition</th>
<th>S.M.A.R.T Results</th>
</tr>
</thead>
<tbody>
<tr>
<td>Process/Operational</td>
<td>Activity</td>
<td>The set of tasks to be performed by personnel and stakeholders that produce output.</td>
<td>S - Specific</td>
</tr>
<tr>
<td></td>
<td>Output</td>
<td>Short-term/immediate results and are achieved during (before the end of) the project. There are always more outputs than outcomes, and there can be many outputs.</td>
<td>M - Measurable</td>
</tr>
<tr>
<td>Developmental Results</td>
<td>Outcome</td>
<td>Medium-term/end of project results that are the consequence of the achievement of a set of outputs. Outcomes must be achieved by the end of the project.</td>
<td>A - Achievable</td>
</tr>
<tr>
<td></td>
<td>Impacts</td>
<td>Long-term results that are the logical sequence of the achievement of the outcomes. Results at this level involve changes to the living conditions of target populations, regions or countries and are achieved after the end of the project.</td>
<td>R - Realistic/ Relevant</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>T - Time-Bound</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Results that contribute to selected priorities of the CDM.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Results are never open-ended – there is an expected date of accomplishment</td>
</tr>
</tbody>
</table>

**TIPS**

- Results in the CWP which form part of a national vision, strategy, plan, etc, are more likely to be achieved and their effects sustained over time.
- One size result chain does not fit all
- There is a tendency to be ambitious with results statement. Scope of the results statements should reflect the capacity and resources of implementers
- Logical arrangement of results is like a pyramid with the impact at the apex and the activities at the base.
Logic Model\(^5\)/Results Framework

◊ The Logic Model / Results Framework documents how results aggregate to deliver the developmental or operational benefits which are sought by an organization.

◊ Table 3.2 below demonstrates how the Logic Model/Results Framework may detail the results in a work programmes.

◊ The rule of thumb is that for one Outcome level result typically 10-12 Output level results may be required. This will mean that very careful selection of results will be needed.

◊ Consideration of the number and scope of results selected for inclusion in a Country Work Programme (CWP) will depend on the following factors:
  • the socio-economic context of the society where the programme is taking place,
  • the extent of available resources,
  • the local capacity of people, organizations and institutions to organize, strategize, manage and analyse relevant issues,
  • the level of buy-in and ownership of the CWP by stakeholders, and
  • the timetable of the work programme

Table 3.2: Structure of the Logic Model /Results Framework\(^6\)

<table>
<thead>
<tr>
<th>Impact</th>
<th>Outcome 1</th>
<th>Outcome 2</th>
<th>Outcome 3</th>
<th>Outcome 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Outcome 1.1</td>
<td>Activity 1.1.1</td>
<td>Activity 1.1.2</td>
<td>Activity 1.1.3</td>
<td>Activity 2.1.1</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Activity 2.1.2</td>
</tr>
<tr>
<td>Outcome 1.2</td>
<td>Activity 2.1.1</td>
<td>Activity 2.1.2</td>
<td>Activity 2.1.3</td>
<td>Activity 3.1.1</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Activity 3.1.2</td>
</tr>
<tr>
<td>Outcome 1.2.1</td>
<td>Activity 3.1.1</td>
<td>Activity 3.1.2</td>
<td>Activity 3.1.3</td>
<td>Activity 4.1.1</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Activity 4.1.2</td>
</tr>
<tr>
<td>Outcome 1.2.2</td>
<td>Activity 4.1.1</td>
<td>Activity 4.1.2</td>
<td>Activity 4.1.3</td>
<td>Activity 4.1.3</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Activity 4.2.1</td>
</tr>
<tr>
<td>Outcome 1.2.3</td>
<td>Activity 4.2.1</td>
<td>Activity 4.2.2</td>
<td>Activity 4.2.3</td>
<td>Activity 4.2.3</td>
</tr>
</tbody>
</table>

\(^5\)Term used by CIDA/DFATD

\(^6\)A template of the complete logic model/results framework is at Annex1. Some development agencies name the level of results differently (ie. Impacts – Ultimate Outcomes; Outcomes- Intermediate/Final Outcomes; Outputs –Immediate Outcomes; Activities’ –Broad Activities/Projects
### EXAMPLE 7 - SMART RESULTS

<table>
<thead>
<tr>
<th>Level of Result</th>
<th>BAD RESULT</th>
<th>WHY it is not SMART?</th>
<th>SMART RESULT</th>
<th>Why it is SMART?</th>
</tr>
</thead>
</table>
| OUTCOME         | To assist in the implementation of National Emergency Response | -To assist ad implementation are both activities  
-It does not state the overall problem or benefit.  
-What it is trying to achieve is unclear  
-It does not state the overall beneficiary | Strengthened National Disaster Organization’s (NDO) coordination of response to hazard events. | -The result is specific in that we know who NDO and what – coordination of response is to be strengthened.  
-Overall benefit and beneficiary are stated  
-What is to be achieved is understood |
| OUTPUT          | Consult with interested parties. | -It is not specific – who are the interested parties?  
-Need to be more specific than “interested parties” | The National CDM Legislation is developed in consultation with key DRM and legal stakeholders | -Developed National CDM legislation is the tangible output.  
-the parties to be consulted are specified |

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### KEY CONCEPT

- Results are about change
- For the planning phase the logical sequence of results is: IMPACT—OUTCOMES—OUTPUTS—ACTIVITIES.
- For the implementation phase the logical sequence of results is: ACTIVITIES—OUTPUTS—OUTCOMES—IMPACT
- Results at each level aggregate and are necessary to produce the change at the higher level of results.
- A numbering system can help to demonstrate the logical links among results.

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Formulation of Results Statements

Formulation of an Impact Statement

◊ The Impact is the highest level of change that can be achieved.
◊ It is the vision of the developmental change that the programme will significantly contribute in 1 to 5 years after programme conclusion.
◊ It is a change in the state or well being of the target population.
  • For example it be will the raison d’être of the National Disaster System of any country.
◊ The impact will be the results of addressing the broadest problem identified when the situational analysis is being developed.
◊ The Impact statement answers the “why?” for the investment time and resources in implementing a CDM work programme in country X.
  • Identify the broadest problem, its causes and widest affected population from the situational analysis process.
  • Document the problem in simple language including causes and the widest affected population
  • Rewrite the problem as the positive change in state of the largest beneficiary population if the problem is eliminated.

KEY CONCEPT

The Impact result is written as:

(Verb=Positive change in past tense) + (what is to be changed – the main problem e.g. ) + (widest beneficiary population) + (deadline (year) for completion)
EXAMPLE

Broader Problem: The vulnerable populations, economic activities and infrastructure of country x are easily affected or destroyed with the impact of hazard events such as diseases (plant & human), landslides, heavy rains, rough seas, fires, tropical storms.

Verbs of positive change: Increased; Improved; Enhanced; Reduced; Strengthened; Decreased

What is to be changed?: Vulnerable population, economic activities and infrastructure; which are easily affected destroyed by several hazards.

Broader beneficiary population: Country X

Deadline: defined by the duration of national strategic plan; generally from 3 to 5 years.

Impact Statement: Reduced + vulnerability of the Country X population, main economic activities, built environment and other infrastructure to the impacts of hydro meteorological hazards, fires and epidemics (plants and human) + by 2020.

Formulation of Outcome Statements

◊ Outcomes are actual changes in institutional performance or behaviour among individuals or groups or smaller part of beneficiary population stated in the Impact statement.

◊ Outcomes describe the changes in development conditions that derive from the utilization of outputs of the work programme by government and other stakeholders, including international partners.

◊ Outcome level result statements answer the questions of “what” has been derived from the production of outputs.

• Categorize the prioritized solutions/actions identified in the situational analysis. The groups should be related to a thematic areas, hazard, and phase of the disaster management cycle etc. Identify the outputs and activities for each category.

• Describe the group of solutions and actions in the broadest terms possible and the change which should occur if the related outputs are produced and activities are completed.

• Determine the largest beneficiary population for each category.

KEY CONCEPT

The Outcome results are written as:

(Verb=Positive change in past tense) + (what is to be changed –the behaviour e.g.) + (widest beneficiary population) + (deadline (year) for completion)
EXAMPLE

Broadest Category of Solution Action: Better, more effective, participation of the individuals, churches, community groups and young persons in early recovery processes in a manner that is safe for them and helpful to the national response system.

Verbs of positive change: Increased; Improved; Enhanced; Reduced; Strengthened; Decreased

What is to be changed?: Better, more effective, participation of the individuals, churches, community groups and young persons in early recovery processes

Broadest beneficiary population: National Response system

Deadline: defined by the duration of CWP

Outcome Statement: Strengthened + national response system through more effective participation of well trained and aware civil society actors + by 2016.

Formulation of Output Statements

1. Outputs are short-term operational results produced by programme activities.
2. They must be achieved with the resources provided and within the time-frame specified (usually during the timeframe of a work programme).
3. These are the most immediate results of the programme and are usually within the greatest control of the implementing agencies or government.
4. Typically, more than one output is required to obtain an outcome.
5. If the result is mostly beyond the control or influence of the programme or project, it cannot be an output.
6. Output level result statements answer the questions of “how?” to achieve Outcomes.

KEY CONCEPT

In formulating outputs, the following questions should be addressed:

- What kind of policies, guidelines, agreements, products and services do we need in order to achieve a given outcome?
- Are they attainable and within our direct control?
- Do these outputs reflect an appropriate strategy for attaining the outcome? Is there a proper cause and effect relationship?
- Do we need any additional outputs to mitigate potential risks that may prevent us from reaching the outcome?
EXAMPLE

Product or Service: report, programme, system, tools, equipment, structure, organisation, document, procedure + any relevant description

Verbs of positive change: produced; constructed, developed; upgraded; established

Output Statements:
- Community-level mitigation plan + to address impacts associated with hurricanes + produced.
- Radio programmes + describing evacuation procedures after the deployment of an early warning signal + implemented.
- National Financial Disaster Risk Facility + established.

Formulation of Activity Statements

◊ Activities describe the actions that are needed to obtain the stated outputs.
◊ They are the coordination, technical assistance, assessment, procurement and training tasks organised and executed by project personnel.
◊ Activities, relate to the processes involved in generating tangible goods and services or outputs, which in turn contribute to outcomes and impacts.

In formulating activities the following questions should be addressed:
- What actions are needed in order to obtain the output?
- Will the combined number of actions ensure that the output is produced?
- What resources (inputs) are necessary to undertake these activities?
- The verbs such as distributed, convened, facilitated, procured are utilized in creating activity statements.

KEY CONCEPT

In formulating activities the following questions should be addressed:
- What actions are needed in order to obtain the output?
- Will the combined number of actions ensure that the output is produced?
- What resources (inputs) are necessary to undertake these activities?
- The verbs such as distributed, convened, facilitated, procured are utilized in creating activity statements.
EXAMPLES
Activity statements are constructed like Output statements.

- Newsletters and pamphlets on hurricane preparedness at the onset of the hurricane season + distributed.
- Public meeting + convened
- Training and professional development programmes for staff + delivered.
- Equipment and supplies for the emergency shelter in community “x” + procured

Performance Monitoring Framework

◊ The monitoring and measurement of performance is core to the RBM Approach.
◊ The Performance Management Framework (PMF) is an RBM tool used to systematically plan the collection of relevant information for monitoring, learning and reporting.
◊ The framework itself will help with tracking the achievement of results.
◊ The PMF is comprised of 7 key elements which are outlined in Table 3.3.
◊ The PMF ensures that performance information is collected on a regular and timely basis.
◊ Its main elements are briefly described below:
### Table 3.3: Sections of the Performance Monitoring Framework

<table>
<thead>
<tr>
<th>Section of the PMF</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Expected results</strong></td>
<td>Refer to what will be achieved in the short, medium, and long-term.</td>
</tr>
<tr>
<td><strong>Indicators</strong></td>
<td>Refer to the evidence that will help measure progress toward achieving results.</td>
</tr>
<tr>
<td><strong>Baseline data</strong></td>
<td>Is the starting point from which to measure change over time.</td>
</tr>
<tr>
<td><strong>Targets or Milestones</strong></td>
<td>Refer to the targets related to each performance indicator, which the programme will attempt to achieve each reporting period (i.e. in the following year, 6 months). A programme should plan to achieve particular results each period, with a view to achieving the expected results by the end of the programme.</td>
</tr>
<tr>
<td><strong>Source of information</strong></td>
<td>Refers to the individuals, organizations, documents or reports from which the data to measure progress is obtained. It is necessary to identify a data source for each indicator (and result) that has been selected. It is preferable to complete this exercise during the programme/project planning stage in order to assess the availability of the data and identify any potential problems. A plan for data collection must also be developed at that stage. It is important to choose a wide range of data sources, in order to avoid having to switch data sources mid-way through the programme/project and risk jeopardising data reliability.</td>
</tr>
</tbody>
</table>
| **Data collection methods and techniques** | Once data sources are identified, it is important to decide how the information should be obtained. Examples of methods for collecting data using indicators include the following:  
For quantitative data: statistical analysis, surveys, frequency counts, questionnaires and polls, counting/measuring  
For qualitative data: interviews, case studies, focus groups, Participatory Rural Appraisal, Beneficiary Assessments, self-assessment, testimonials, observation. |

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8 See Annex 2 for a template of the PMF
Results Based Management Approach
WORKSHOP MANUAL FOR PARTICIPANTS

Frequency of data collection

Refers to how often information will be collected. In the initial stages the focus will be on monitoring activities since it may be too early to monitor for results. As the programme advances, the emphasis should shift more towards monitoring the achievement of short-term results or outputs, followed by medium-term results or outcomes. Because outcome and impact level results take much longer to achieve, it may only be possible to monitor them well into implementation or even after the programme is completed.

Responsibility of data collection

Refers to establishing the person(s) who will be explicitly responsible for collecting the information.

Performance Measures - Indicators\(^9\)

◊ Indicators are used to measure progress towards expected or planned results.
◊ The information derived from analysing changes using selected indicators provides critical insights into the status of a work programme, including its strengths and weaknesses.
◊ This information can also be used to correct or improve activities or outputs.
◊ It can also be used to measure the levels of impact that a programme or project may have at a broader societal level.
◊ An indicator should be articulated in unbiased, neutral and measurable language.
◊ They should not be written as results such as ‘increase in…’ or ‘20% of…’. Examples of indicators are provided in Table 3.4

Types of Indicators

**QUANTITATIVE & QUALITATIVE INDICATORS**

◊ Indicators can be quantitative or qualitative.
◊ **Quantitative indicators** - Measure quantity and have a numerical value
◊ **Qualitative indicators** - Reflect people’s judgments, attitudes, perceptions and opinions of a given situation or subject. These measures may have a numerical or anecdotal value.

---

\(^9\) Indicators = Performance Indicators
### Table 3.4: Examples of indicators

<table>
<thead>
<tr>
<th>Quantitative Indicators</th>
<th>Example of Quantitative Indicators</th>
<th>Qualitative Indicators</th>
<th>Examples of Qualitative Indicators</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Number of</td>
<td>• Number of early warning systems</td>
<td>• Congruence with</td>
<td>• Level of satisfaction of</td>
</tr>
<tr>
<td>• Frequency of</td>
<td>• Percentage of States with</td>
<td>• Presence of</td>
<td>beneficiaries with EWS</td>
</tr>
<tr>
<td>• Percentage of</td>
<td>new/updated early warning</td>
<td>• Quality of</td>
<td>• Presence of mitigation plan for</td>
</tr>
<tr>
<td>• Ratio of</td>
<td>systems</td>
<td>• Extent of</td>
<td>earthquakes</td>
</tr>
<tr>
<td>• Variance with</td>
<td>• Ratio of men and women using</td>
<td>• Level of</td>
<td>• Congruence with established</td>
</tr>
<tr>
<td></td>
<td>emergency shelters in community</td>
<td></td>
<td>protocols for deployment of damage</td>
</tr>
<tr>
<td></td>
<td>“X”</td>
<td></td>
<td>assessment teams after a hazard</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>event</td>
</tr>
</tbody>
</table>

### How to formulate an indicator?

◊ Construct a basic sentence by using 2 questions.

- What is the **unit of measurement**?
- What is the **quantifiable variable**?
### Steps for choosing indicators

- Clarify the result
- Elaborate positional list of indicators
- Evaluate and Validate each potential indicator
- Select the best performance indicators
- Prepare a plan for data collection
- Re-examine indicators based on constraints

### TIPS

- The number of indicators in a PMF must be kept to a minimum.
- The choice of indicators for the PMF must be done on the basis of good field knowledge.
- Each indicator has implication for the cost and effort for data collection
- Each indicator requires its own monitoring and evaluation system.
- Avoid conjunctions and punctuation signs
- Indicators can be as long as required to ensure clarity.

### Example

<table>
<thead>
<tr>
<th>UNIT OF MEASUREMENT</th>
<th>VARIABLE</th>
</tr>
</thead>
<tbody>
<tr>
<td># of hectares</td>
<td># of deforested zones recovered as part of the national climate change strategy</td>
</tr>
<tr>
<td># of kilometres</td>
<td># of drains constructed in the 6 communities most vulnerable to floods</td>
</tr>
<tr>
<td>Rate</td>
<td>Rural to urban migration into unplanned settlements</td>
</tr>
</tbody>
</table>
Smart Indicators

Figure 3.2 outlines what makes an SMART indicator

- **Measurable** - Able to be used to measure change over time related to an expected result
- **Participatory** - Should be mutually agreed upon by stakeholders (as many as possible) at the outset of a CWP or project
- **Simple and accessible** - Information (data) should be easy and feasible to collect and obtain
- **Relevant** - Applicable to the programme and the measurement of its expected results

**INDICATORS MUST BE:**

- **Measurable**
- **Participatory**
- **Simple and accessible**
- **Relevant**

Figure 3.1: The structure of a good indicator and how it should be composed

**Validate each potential indicator**

- Using the CREAM+ technique all potential indicators will be validated.
- The technique uses a scoring grid based on the selection criteria:
  - C – Clear; R – Relevant; E – Economic;
  - A – Assignable;
  - M – Monitorable and
  - + – “marginal value”
- The CREAM+ uses a scoring system from 1 to 3 based on whether the indicator meets the defined criteria, partly, in full or does or not at all. This process requires sound judgement and knowledge.
### Table 3.6: Validation of indicators

<table>
<thead>
<tr>
<th>CRITERIA</th>
<th>SCORING</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Clear:</strong> precise, direct and not ambiguous for what it represents</td>
<td>1. The criteria is not met</td>
</tr>
<tr>
<td></td>
<td>2. The criteria is partly met</td>
</tr>
<tr>
<td></td>
<td>3. The criteria in met entirely</td>
</tr>
<tr>
<td><strong>Relevant:</strong> it measures something of importance in order to verify the achieve of the results</td>
<td>The maximum score for indicators is 3.</td>
</tr>
<tr>
<td></td>
<td>The indicator score is derived by adding the criteria scores and dividing by 6.</td>
</tr>
<tr>
<td></td>
<td>A threshold for eliminating an indicator must be determined.</td>
</tr>
<tr>
<td></td>
<td>E.g. – Any indicator scoring below 2.6 and with a score of less than 3 for ‘Relevance’ will be eliminated</td>
</tr>
<tr>
<td><strong>Economic:</strong> it can be measured at a reasonable cost</td>
<td></td>
</tr>
<tr>
<td><strong>Assignable:</strong> We can give or assign the responsibility of data collection, entry calculation and reporting of the indicator to a specific person or structure.</td>
<td></td>
</tr>
<tr>
<td><strong>Monitorable:</strong> the data acquired for the calculation of indicators are produced and available on time. The data and calculation of indicators may be verified independently</td>
<td></td>
</tr>
<tr>
<td>+: represents the marginal value. How much additional information does the indicator provide for the MER system; Can it be used to measure another result.</td>
<td></td>
</tr>
</tbody>
</table>
Chapter 4

Country Work Programme Development, Monitoring, Evaluation and Reporting Requirements

How to prepare a Country Work Programme

How to report against results

OBJECTIVES OF THE CHAPTER
1. Use of the RBM Approach to prepare or refine a Country Work Programme
2. Employ the PMF to report against programme or project achievements
Developing the Country Work Programme

The use of information gathering techniques to arrive at consensus over the problems, issues and needs that a country will address during the programme’s implementation period. This will define the scope of the plan.

The design of the (goal, purpose-specific to LFA), impact, outcomes, outputs and activities for the implementation period of a programme

The design of the monitoring framework by developing performance indicators and defining a baseline and setting targets for each indicator

The assembly of the components for a Country Work Programme using the three preceding phases.

The design of the Logic Model/ Results Framework

The assembly of the components for a Country Work Programme

A Country Work Programme can be created or revised by following five distinct stages. These are:

- Performing the situation analysis
- Constructing impact outcome output and activity statements
- Designing the Logic Model/ Results Framework
- Constructing the Performance Indicators
- Designing the Performance Monitoring Framework

Figure 4.1: Outline of Workshop Process for the development of a CWP

Figure 4.2: Business process map for the development of a Country Work Programme. The triggering event for the creation of a Country Work Programme is the need to develop or review a new one.

---

10 An Logical Framework Analysis has similar components as the CWP
Reporting

◊ Reporting is an integral, yet under-utilised phase of the RBM cycle. It is important that reporting is based on results, highlighting key changes and progress made.

◊ Reports should not simply list completed activities performed under a CWP, but rather focus on what has ensued as a result of the completed activities and cumulative effects of the initiatives. Figure 4.4 outlines the importance of reporting using the RBM approach.

![Diagram](Image)

**Figure 4.3: Importance of reporting results under the RBM based management Approach**

◊ Reporting can garner support for future programme development and implementation.

◊ Reporting demonstrates that the NDO operates in a transparent and accountable environment, which takes into account the use of human, financial and technical resources allotted to it.

◊ It can provide a snapshot of the achievements, as well as the challenges and lessons learnt throughout the implementation phase of a programme.
## EXAMPLE

During the implementation term of the CWP, an NDO wants to report on the accomplishments, lessons learnt and challenges which arose during the period of implementation for its CWP. For the purposes of this example, a report will be generated will report, the one result outlined below.

<table>
<thead>
<tr>
<th>OUTCOME 1</th>
<th>Enhanced Institutional Support for CDM Program Implementation at the National Level by 2012</th>
<th>Indicator: # of components of a robust national CDM institutional arrangement which are adopted or enacted (e.g. CDM policy, strategy, legislation, NDo Structure aligned with CDEMA standard)</th>
<th>Baseline = 0</th>
<th>Target = 5</th>
<th>Achievement = 1</th>
<th>Variance = 4 (80%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>OUTPUT 1.1</td>
<td>A National CDM Legislation which details authority and responsibility of key national agencies developed.</td>
<td>Indicator: Existence of a National CDM Legislation which details authority and responsibility of key agencies</td>
<td>Baseline = 0</td>
<td>Target = 1</td>
<td>Achievement = 1</td>
<td>Variance = 0 (0%)</td>
</tr>
</tbody>
</table>
Output level result: A consultancy was engaged to facilitate the process leading to the passage of national CDM legislation. A two-year project was funded for USD$20,000 at the beginning of 2007. The consultation prior to drafting CDM legislation was conducted during the year 2007 by the consultant in keeping with the Terms of Reference. The bill was presented to various national and regional stakeholders who provided useful feedback. Delays in receiving feedback from key stakeholders were overcome by directly convening meetings to gather feedback. Once this phase was complete, amendments to the legislation were made by the consultant. The bill was submitted to the Attorney General’s Chamber in 2008 and the NDC provided a presentation to Cabinet in September 2008. The bill was tabled for its first reading in February of 2009 and received its second and third readings in July 2009. The law was approved and came into effect in September 2009. The presence of the strengthened legal framework for CDM allowed for more effective coordinated planning and response at the national level.

Outcome level result: The five CDM components required for achievement of the result are underway at varying degrees of completions. The trend of progress indicates achievement by 2012. The unofficial CDM Champion, His Excellency President Morris Chesnut has given tremendous leadership and support to the adoption and enactment of the CDM components. The support provided by the CDEMA CU has been utilized to develop draft CDM policy & strategy, CWP and the updated NDO organisational structure have been submitted to relevant authorities for approval and feedback before approval.

The main lesson learnt is that the CDM components require extended time to complete. Sufficient time is required for consensus building, to create buy-in and high level participation. A significant amount of resources must be devoted to advocacy for getting approval from the highest levels of the Government. An influential CDM Champion is key.
Chapter 5

Appendices

- Logic Model/Results Framework Template
- Performance Monitoring Framework
## ANNEX 1: Logic Model/Results Framework Template

<table>
<thead>
<tr>
<th>Impact</th>
<th>Performance Indicator</th>
<th>Responsibility (lead in bolds)</th>
<th>Implementation Period</th>
<th>Resources Needed (Value US$)</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>#</td>
<td>Country Work Programme Output</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.</td>
<td>Outcome 1:</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Indicator: 1 a)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Indicator: 1 b)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Output 1.1</td>
<td>1.1.1.</td>
<td></td>
<td>Organization/ units</td>
<td>Sum of the value of resources for all broad activities/projects</td>
<td>Link to other relevant strategic plans etc</td>
</tr>
<tr>
<td></td>
<td>1.1.2.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Broad Activities/Projects</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Activity 1.1.1</td>
<td></td>
<td>Personnel of organizations/units</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Activity 1.1.2</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Activity 1.1.3</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Output 1.2</td>
<td>1.2.1</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>1.2.2</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Broad Activities/Projects</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Activity 1.2.1</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Activity 1.2.2</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Activity 1.2.3</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Output 1.3</td>
<td>1.3.1</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>1.3.2</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Impact</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>--------</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Output Programme Work</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Indicator Performance</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Responsibility Period Implementation Resources Needed Value US$ Comments</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### Impact

<table>
<thead>
<tr>
<th>Country Work Programme</th>
<th>Performance Indicator</th>
<th>Responsibility (lead in bolds)</th>
<th>Implementation Period</th>
<th>Resources Needed (Value US$)</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Output 3.1</strong></td>
<td><strong>3.1.1.</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Output 3.2</strong></td>
<td><strong>3.2.1</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Output 3.3</strong></td>
<td><strong>3.3.1</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Broad Activities/Projects**

- Activity 3.1.1
- Activity 3.1.2
- Activity 3.2.1
- Activity 3.2.2
- Activity 3.2.8

- Activity 3.3.1
- Activity 3.3.12
### ANNEX 2: Performance Monitoring Framework Template

<table>
<thead>
<tr>
<th>#</th>
<th>Country</th>
<th>Work Programme</th>
<th>Result</th>
<th>Performance Indicator</th>
<th>Baseline Data (MidTerm)</th>
<th>Target (End of Term)</th>
<th>Method of Data Collection</th>
<th>Frequency</th>
<th>Responsible</th>
<th>Linkage to CDM &amp; other relevant strategies</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Outcome 1</td>
<td>1 (a)</td>
<td>1.1</td>
<td>Output 1.1</td>
<td>1.1.1</td>
<td>1.1.2</td>
<td>2 (a)</td>
<td>1.2.1</td>
<td>1.2.2</td>
<td>1.2.3</td>
</tr>
<tr>
<td>2</td>
<td>Outcome 2</td>
<td>2 (a)</td>
<td>2.1</td>
<td>Output 2.1</td>
<td>2.1.1</td>
<td>2.1.2</td>
<td>3 (a)</td>
<td>2.3.1</td>
<td>2.3.2</td>
<td>2.3.3</td>
</tr>
<tr>
<td>3</td>
<td>Outcome 3</td>
<td>3 (a)</td>
<td>3.1</td>
<td>Output 3.1</td>
<td>3.1.1</td>
<td>3.1.2</td>
<td>4 (a)</td>
<td>3.4.1</td>
<td>3.4.2</td>
<td>3.4.3</td>
</tr>
</tbody>
</table>
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Framework and its relationship to the CDM Strategy’s Cross-Cutting Themes