

Results Based Management Approach

WORKSHOP MANUAL FOR FACILITATORS



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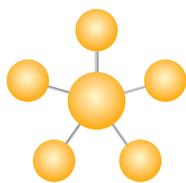
Acronyms

BAT	The Comprehensive Disaster Management: Regional Baseline Assessment Tool
CDEMA	Caribbean Disaster Emergency Management Agency –
CDEMA CU	Caribbean Disaster Emergency Management Agency Coordinating Unit
CDEMA PS	Caribbean Disaster Emergency Management Agency Participating States
CDM	Comprehensive Disaster Management
CREAM+	Clear Relevant Economic Monitorable +
CWP	Country Work Programme
DM	Disaster Management
DRM	Disaster Risk Management
DRR	Disaster Risk Reduction
ICT	Information and Communications and Technology
LFA	Logical Framework Analysis
MER	Monitoring Evaluation and Reporting
NDO	National Disaster Organisations
PBA	Programme Based Approaches
PESTLE	Political Economical Social Technological Legal Environmental
PIN	Problem, Issues and/or Need
PMF	Results Based Management Performance Monitoring Framework
RBM	Results Based Management
SMART	Specific Measurable Achievable Realistic Time-bound
SWOT	Strength Weakness Opportunity Threat

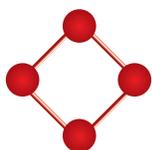
Symbols used throughout this publication

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.



KEY CONCEPT



EXAMPLE



SUMMARY



TIPS

Acknowledgements

The theoretical framework in the Results Based Management (RBM) Approach, which grounds this manual, is partly based on two other manuals:

1. Handbook on Planning, Monitoring and Evaluating for Development Results (UNDP, 2009).
2. Results-Based Management and the Canadian International Development Agency: Training Manual (Baastel, 2006).

This Manual was initially developed in preparation for a workshop focusing on applying the Results Based Management (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 January 17th – 21st, 2011, at the Savannah Hotel, Barbados, with 23 participants from CDEMA Participating States and CDEMA's Coordinating Unit (CU).

The CDEMA Coordinating Unit expresses its gratitude to the participants of the workshop for their valuable feedback, which has helped to inform in many ways, the finalization of this manual.

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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

Purpose, Audience & Structure of the Manual

PURPOSE

The purpose of the manual is to provide the CDEMA system - National Disaster Offices & Organisations and the CDEMA Coordinating Unit- with a common guide for formulating results-oriented, national level CDM programme planning, implementation, monitoring, evaluation and reporting.

This manual responds to the need to build and sustain the capacity for the use of the RBM approach to programming, and for accountability in how scarce resources are used across all levels of CDM. It facilitates the desire by all stakeholders to be able to define reduction in losses from the hazard events. This connects the national and regional level efforts to the global OECD/DAC Paris Declaration on Aid Effectiveness².

AUDIENCE OF THE MANUAL

This manual was developed primarily to aid the National Disaster Offices of the CDEMA Participating States in developing CWPs. This is an effort to enhance the CDEMA system's ability to incorporate RBM into CDM programming, thereby improving planning, implementation, monitoring, evaluation and reporting.

THE STRUCTURE OF THE MANUAL

This training manual is organised in a modular fashion. There are five (5) chapters: an introductory section and four instructional chapters. The instructional chapters are:

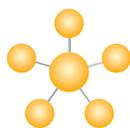
1. Introduction and Context
2. Situational Analysis
3. What is the Results Based Management Approach?
4. Application of the Results Based Management Approach methodologies for developing a CWP.

Each chapter is broken down into sub-topics which focus on the main information required for deeper understanding of the topic. The chapters will characteristically highlight examples, key concepts, tips & resources as relevant. Exercises and summaries are provided at the end of chapters.

² <http://www.oecd.org/dac/effectiveness/parisdeclarationandaccraagendaforaction.htm>

Why RBM?

Traditional Work Programme development would typically start with the development of projects and activities. Organisations hoped that the actions conducted under these projects and activities would eventually address the originally identified problems or issues. The Results Based Management (RBM) Approach differs. The RBM Approach requires that actual desired results (the impact and outcomes) be planned for at the beginning versus hoping to achieve after a project/ (s) is implemented. This approach, has effectively been employed to plan organizational strategies and programmes at various levels, and focuses on the performance and achievement of outputs, outcomes and impacts. The logical sequence, which characterizes this approach, emphasizes the attainment of results at its core. 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.



KEY CONCEPT

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 the determination of products, services and processes – **OUTPUTS**-; which can only come through the completion of a multitude of appropriate actions- **ACTIVITIES**.

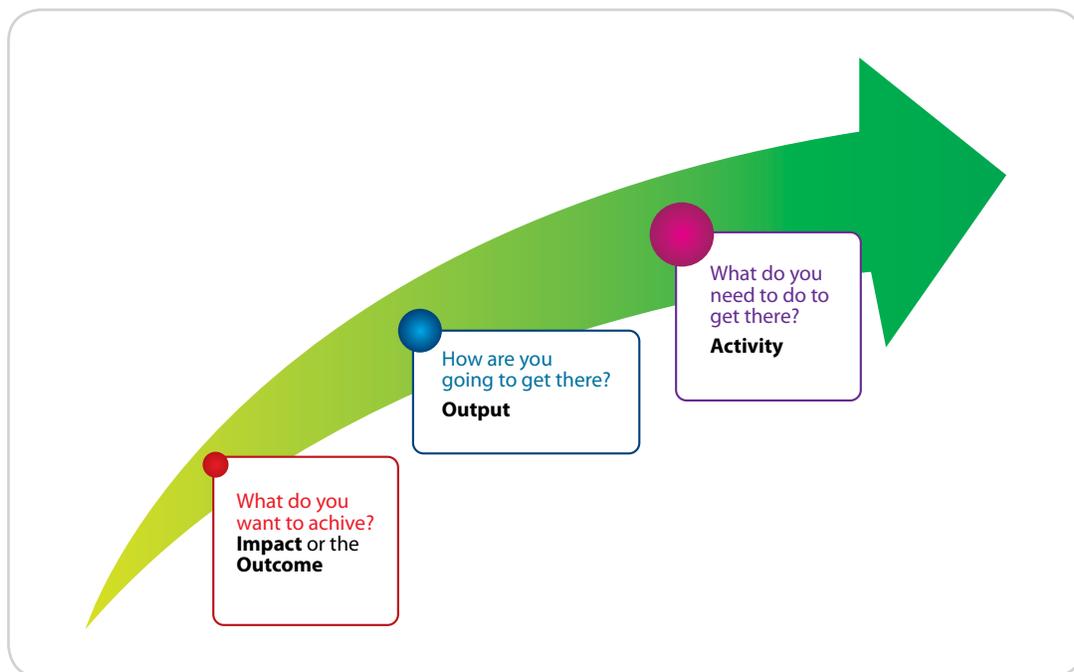


Figure 1-1: Path to planning for results.

What Is Needed for RBM Programme Planning?

The creation of a results-focused Work Programme requires clearly outlined prospective achievements, the outputs that must be delivered and the activities that will be conducted. Countries should consider the creation of 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. In other words, achievement of final results is dependent on the completion of several well defined and connected projects and activities delivered by a variety of national actors, with a common goal of achieving predefined results.

As such, the leadership for the development of Country Work Programmes (CWPS) must come from within countries and its organizations. For the CDEMA Participating States, this is important as it enables shared coordination between donor, technical and financial support at the regional and national levels, and the actions among national entities for effective CDM implementation. Preferably, a single result-focused programme and budget geared at executing CDM actions should be in place in all CDEMA Participating States.

Countries and organizations must have the capacity to develop their programmes and performance monitoring frameworks³ (PMF) using the RBM approach. This manual is complementary to national trainings supported by the CDEMA Coordinating Unit, aimed at building the capacity required to sustain the use of the RBM Approach for CDM programming. In particular, the manual will assist in applying RBM principles and processes to formulate various work planning, monitoring and reporting tools by:

- Using methods designed to facilitate group learning, knowledge gathering and sharing in a workshop setting.
- Developing the necessary skills to apply the RBM approach, its theories and methodologies.
- Developing a CWP and PMF.

³ 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

Context

CDM & RBM: The Link

WHAT IS 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 assessments 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).

REGIONAL CDM STRATEGIES

In 2001, the Caribbean Disaster Emergency Management Agency (CDEMA), recognising the critical link between disasters and sustainable development, spearheaded the definitions of CDM and the adoption of a regional CDM strategy for 2001-2006. After five (5) years, CDEMA elaborated a revised CDM Strategy for the Caribbean. The Enhanced CDM Strategy and Programme Framework 2007-2012 (which will be referred to as the Enhanced CDM Strategy) was reviewed and re-articulated using the RBM Approach. Partners and stakeholders agreed, within the Enhanced CDM Strategy, on four (4) priority outcomes.

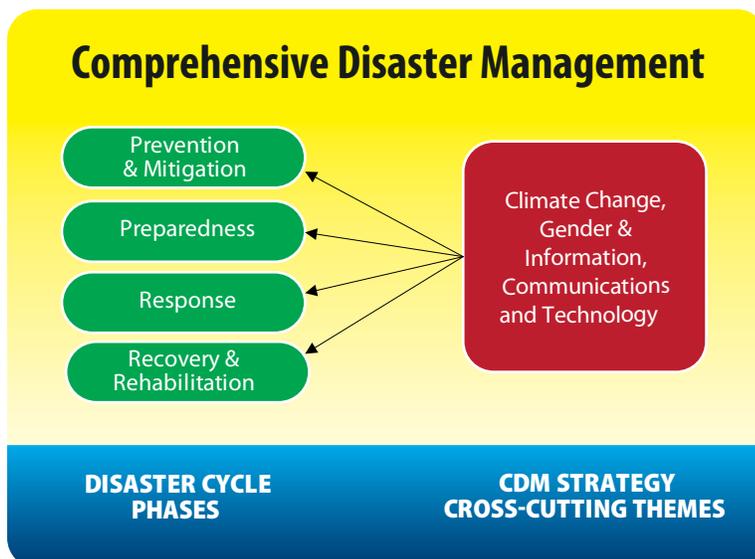


Figure 1-2: The Enhanced CDM Strategy (including cross-cutting themes)

Figure 1.2 details the phases of the disaster management cycle that comprise CDM, and further details the presence of three cross-cutting themes that are part of the Enhanced CDM Strategy. These cross-cutting themes should be addressed throughout the phases of the disaster management cycle.

National Disaster Organisations (NDOs) within CDEMA Participating States must therefore use the existing regional CDM Strategy as one of their principal harmonising guides for national CDM programme development.

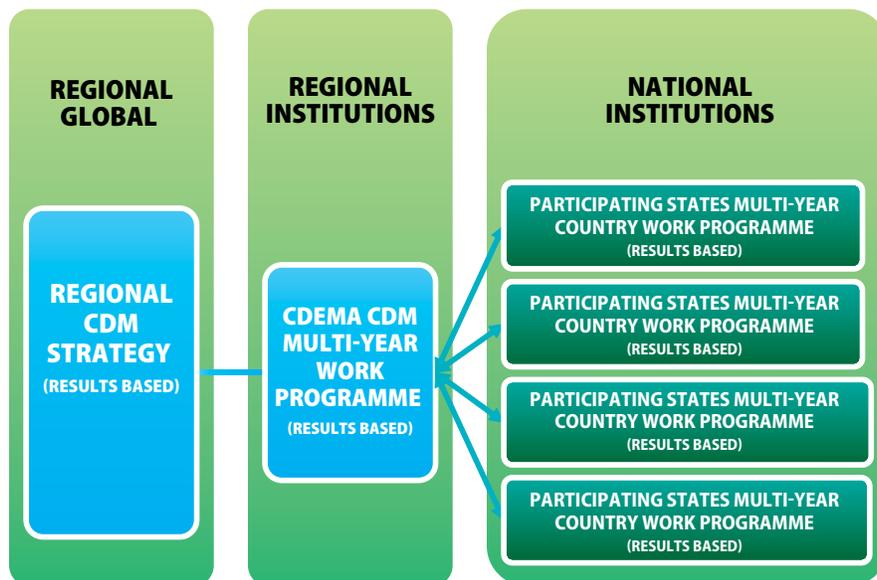


Figure 1-3: The Link and Hierarchy between CDM & RBM



SUMMARY

- The Results Based Management Approach is a tool that can be used to develop Country Work Programmes (CWPs).
- The CWP development process relies on the coordinated support of various groups and organizations at the local, national and regional levels.

Chapter 2

Situational Analysis

What is Situational Analysis?

How to Define Problems, Issues and Needs

Information Gathering Techniques: Brainstorming, Cause and Effect Diagramming, Gap Analysis Process

Use of the Assessment, Analysis and Report information in Framing Problems, Issues and Needs

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

Workshops are excellent opportunities for participants to learn new approaches and skills that can be applied to their workplace or life in general. An often undervalued opportunity, is the ability for participants to also provide information, 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 groups agree on the problems, issues and needs (PIN) facing their communities or country, and what may have led to those in the first place. Therefore, information-gathering techniques capture information and build consensus amongst the participants.

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. The presentations will cover the following areas among others:

- ◇ Hazard landscape of the country,
- ◇ The governance structure and mechanism for delivery of CDM actions,
- ◇ The disaster risk profile of the country,
- ◇ The DRM and climate change situation;
- ◇ The national achievement and gaps regarding CDM in the context of the prevailing regional CDM strategy and the Hyogo Framework for Action
- ◇ The national development strategy;
- ◇ National CDM strategy



TIPS

National CDM Reports which can be used to formulate the situational analysis are listed below (not exhaustive):

- National Development Strategy
- After Action Review of hazard events or simulation exercises
- National Baseline Assessments
- National Disaster Risk Profiles
- National CDM Policy & Strategy
- Progress Report previous CWPs
- Catalogue of historic hazard events
- Climate Change Policy or Strategies

The National Disaster Office will recommend and provide in some cases, the relevant reports and documents.

What Is A Situational Analysis?

Before any work using the RBM Approach begins, individuals should have a clear idea of the problems, issues or needs (PIN) that they face. A situational analysis will describe and analyse the situation regarding CDM status, services and challenges in the CDEMA Participating State. 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 implementation.

As such, the initial sections of the manual are not part of the RBM Approach, but they are included to support learning and information gathering. Workshop participants will be guided through the following techniques:

- Problem analysis,
- Brainstorming,
- Cause and effect diagramming,
- Process flow mapping, and
- Gap analysis.

These information-gathering techniques are included to ensure that the wealth of information and knowledge that workshop participants possess on the local situation is central to the CWP developed. This information is recorded and used to help define the results of the CWP.



Development of a National CDM Situational Analysis

Figure 2-1: Major resources required for development of a National CDM Situational Analysis

Problem Analysis

A properly developed CWP addresses the real needs of the beneficiaries and requires an accurate and comprehensive analysis of the existing situation. The existing situation should be interpreted according to the views, needs, interests and activities of the parties concerned. It is essential that those involved in the planning and implementation or those stakeholders which will be benefiting from any subsequent actions, share in their understanding of the prevailing problems or needs expressed. 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.

The information-gathering techniques introduced in this chapter can be used to build on or review the problems, issues and needs developed here. These techniques ensure that the situational analysis derived is an accurate reflection of the reality. They give workshop participants the opportunity to further explore an identified problem, issue or need in order to come to a better or common understanding. It is imperative that all members of the group express the problems as they experience or perceive them.



TIPS

Problem Identification:

- All participants must freely share their views of the main issues leading to the problem.
- Determine whether different groups of people perceive the problem in the same way; if not the problem should be reformulated.
- Avoid big vague concepts (e.g., no money). Be precise (the scarcity of financial resources has hindered the Territory's ability to recruit technical personnel for key positions);
- Do not frame a conclusion into the problem before exploring all alternatives (e.g., the town floods because of a lack of proper drainage). Instead, the problem may be framed as "A higher incidence of flooding in the area has been observed over the last three years".
- Avoid establishing causality as a result of the non-existence of a particular element or factor (e.g., individuals have not participated in the consultative process because of a lack of civil society organisations).

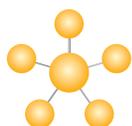


TIPS

Problem Identification:

- Avoid formulating an interpretation (e.g., Government is unconcerned). Instead, Government has not responded to damage claims within their previously stated period despite prior public statements to the effect.
- Check whether these problems are commonly understood.
- Use the cause and effect diagramming approach (Figure 3.4) to establish causality and relations between groups of problems, wherever possible.

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 1: Steps in Problem Analysis

Steps	Considerations
1. Check the subject with the stakeholders	Who are the stakeholders involved? Who is affected by the problem? Who will be involved in eliminating the problem?
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	What are the problems that are faced by various stakeholders and those which can cause the main problem?
3. Establishment of a cause-effect hierarchy between the problems.	How did the problems arise? What is the root cause of the problem?
4. Visualisation of the cause-effect relations in a diagram	What are the causes and effects of the identified problems?
5. Determine solutions for problems, clearly identifying the resource needed.	What can be done to solve the problem? Explore which recommendations will really address the problem.
6. Prioritise the short-listed set of solutions	Can the resources available to the NDO or the relevant implementing agency support the solution?

Discussion questions for prioritising solutions:

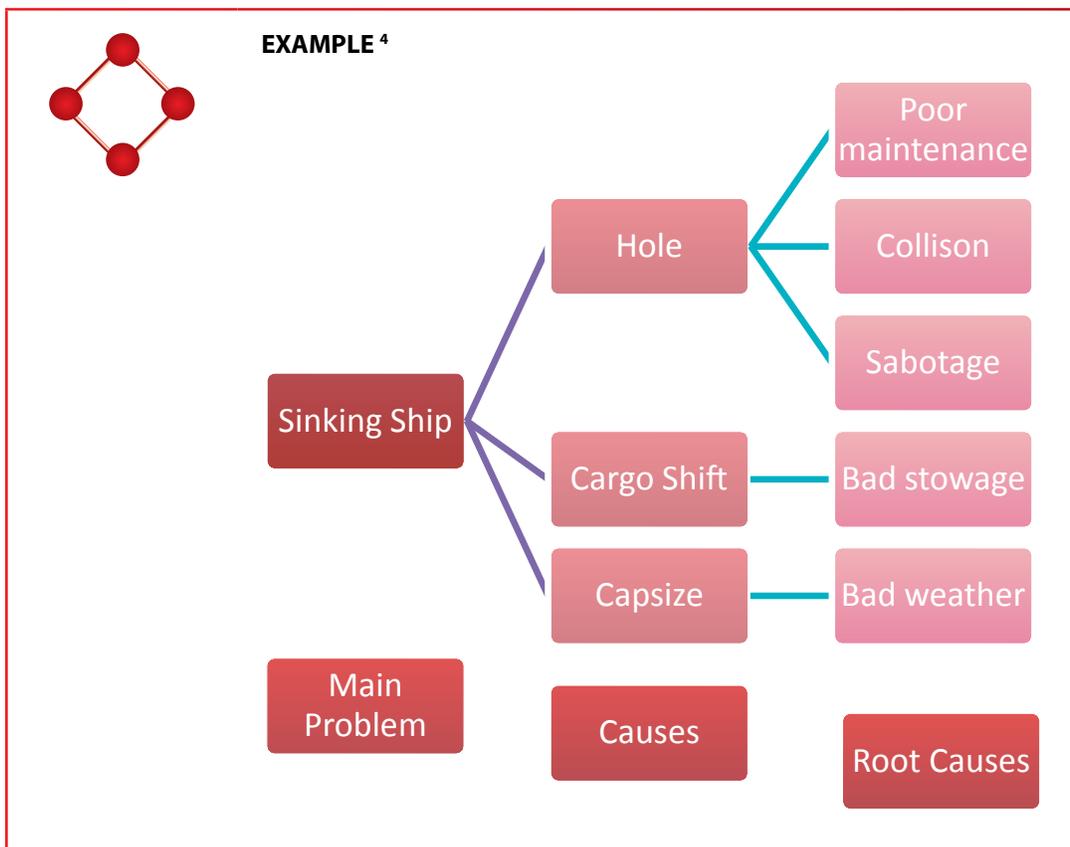
1. Does this represent the reality? Are the economic, political and socio-cultural dimensions to the problem considered?
2. Which causes and consequences are being addressed and thus improving the current situation, which are getting worse and which are staying the same?
3. What are the most serious consequences? Which are of most concern? What criteria are important to us in thinking about a way forward?
4. Which causes are easiest / most difficult to address? What possible solutions or options might

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there be? Where could a policy change help to address a cause or consequence, or create a solution?

5. What decisions have we made, and what actions have we agreed to?
6. At the institutional level, are there issues in terms of performance that need to be addressed in order to deliver a result more effectively or efficiently?
7. If all financial resources were brought to bear on a problem, would the institution be in a better position to deliver on results or are there other concerns in terms of implementation which must be taken into account?



⁴ Adapted from: http://www.irm.com.au/papers/Problem_Analysis_Techniques.PDF



TIPS

- There are several methods for conducting situational analysis. For example, Surveys, Problem Tree Analysis, SWOT Analysis and PESTLE Analysis can be used.
- The facilitator is not restricted to using the Problem Analysis technique demonstrated here. They are free to use any other methodology which they may be competent in applying.
- PIN analysis exercises should be done in small groups as opposed to plenary.
- Each group can be given a category such as a hazard or a sector for which to derive problem statements.
- Source: http://www.irm.com.au/papers/Problem_Analysis_Techniques.PDF

Information Gathering Techniques

In order to find solutions, individuals and groups must understand the problems, issues and needs (PIN) that they face. There are several ways to gather information to better understand problems, issues or needs. The approaches that will be covered in this workshop are:

- Brainstorm maps,
- Cause and effect diagrams,
- Business process flow maps, and
- Gap analysis.

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.

Brainstorm maps may be as simple as a list of topics and subtopics organised by a broad category or may take the form of a diagram similar to Figure 2.2

Brainstorm maps

During **Brainstorming** sessions, any number of ideas or issues surrounding a main topic is usually defined and determined. Consequently, brainstorm maps can be drawn to encompass any scale or number of issues and/or 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:

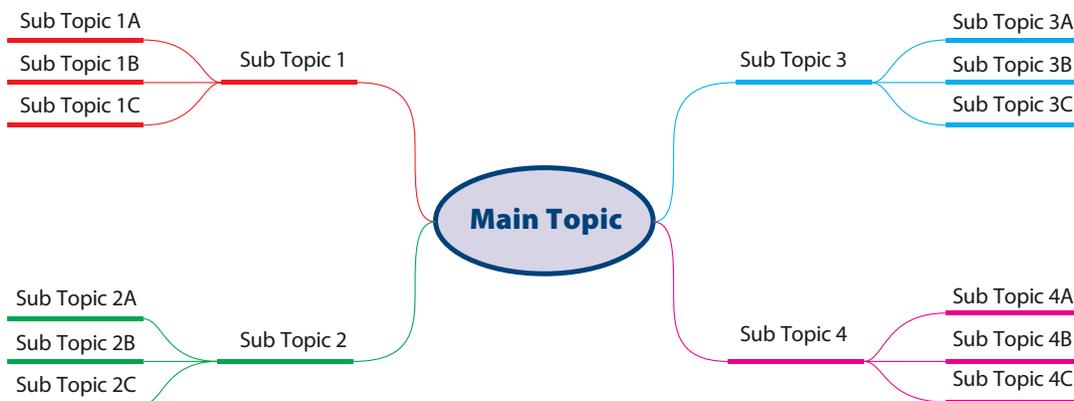


Figure 2-2: Brainstorm Map

	<p>TIPS Brainstorm maps may be used:</p> <ul style="list-style-type: none"> • as a tool 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.
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There are no limits to the brainstorming technique for capturing and organising information derived from workshop participants. Brainstorm maps can further inform subsequent planning or reporting steps.

	<p>KEY CONCEPT</p> <p>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 was or was not accomplished under a programme or project.</p>
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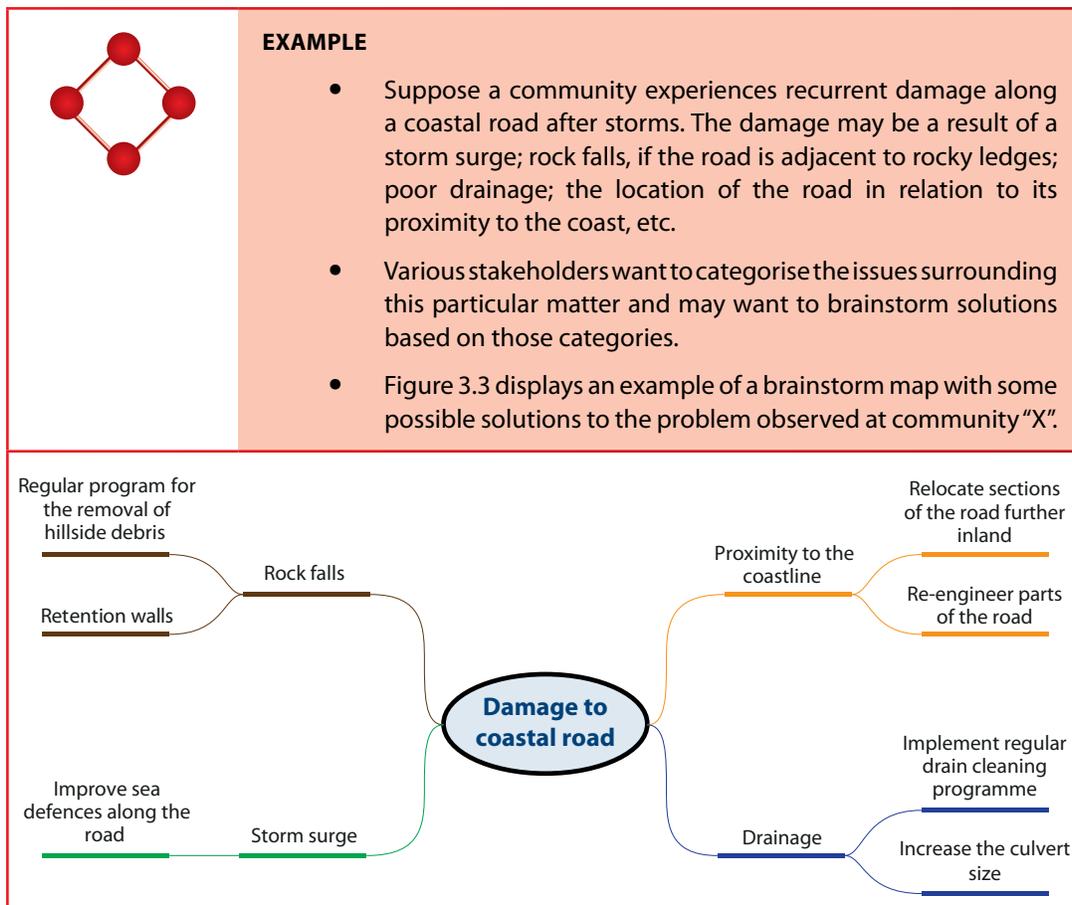


Figure 2-3: Example of a brainstorm map

Cause and Effect Diagram

Another important tool that can be employed for gathering 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 that 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.

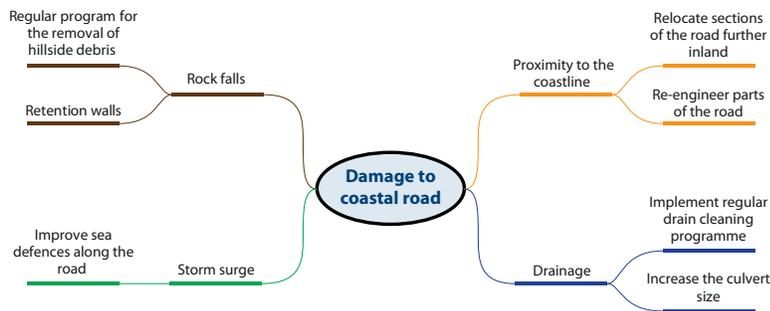
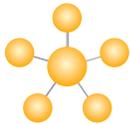


Figure 2-4: Cause and Effect Diagram

HOW TO GENERATE A CAUSE AND EFFECT MAP

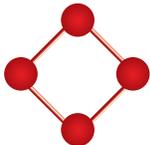
Cause and effect diagrams can be organised in a manner similar to that displayed in Figure 2.4 above:

1. 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.**
2. 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.**
3. 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 the environment or natural hazards, management, resources, etc.



EXAMPLES

- Suppose a community undergoes severe flooding after periods of heavy rain. Storms or heavy rainfall events cause damage to buildings and hamper economic activity. Repeated events are negatively impacting property values in the long-term.
- Stakeholders have identified the fact that there are four (4) main categories of causes that have led to the problem:
 - o Infrastructure
 - o Policy matters
 - o Environmental concerns
 - o Defence mechanisms
- Under each of these categories of causes, various reasons may be given as to how each may have led to the observable effect, which was flooding in the particular community.

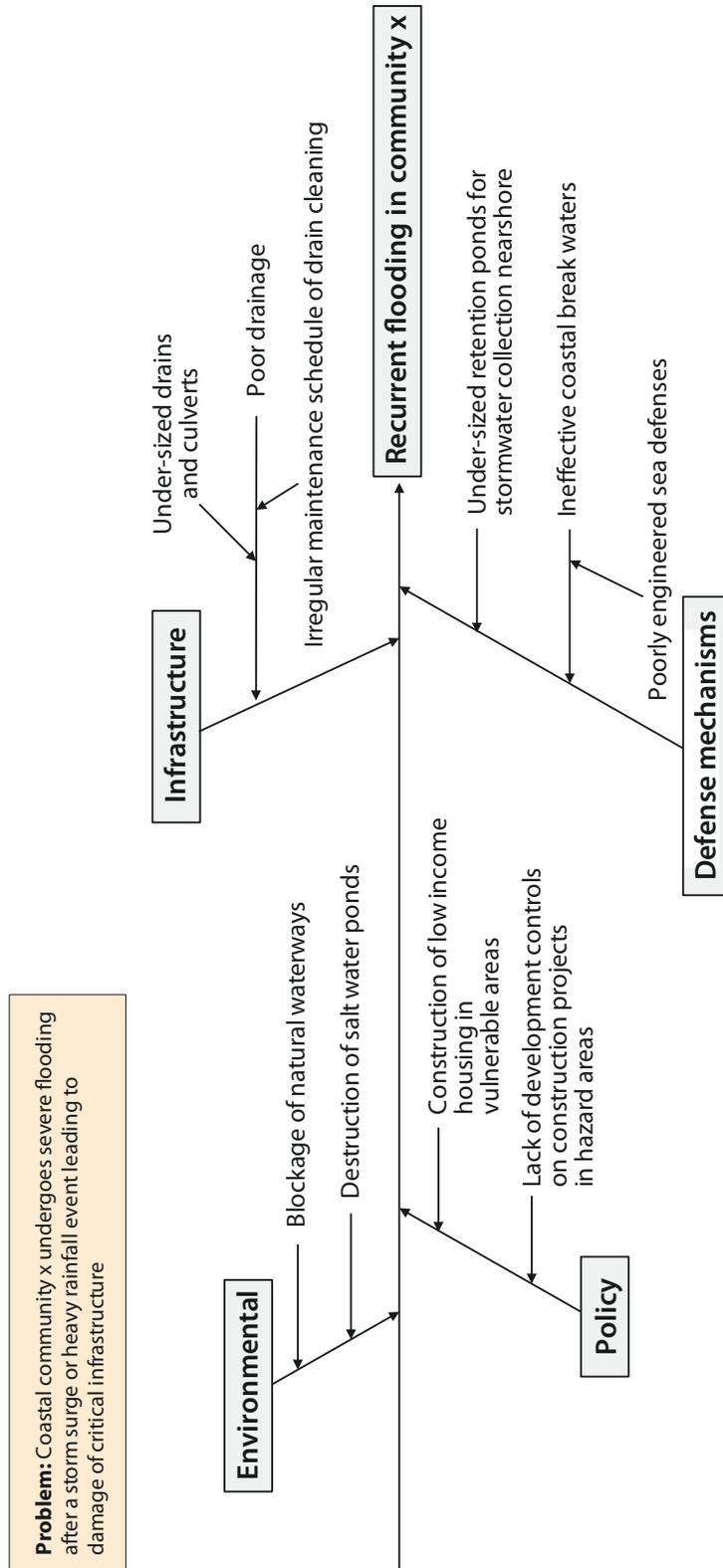


Figure 2-5: Example of a cause and effect diagram

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QUESTIONS THE CAUSE AND EFFECT TECHNIQUE SHOULD ANSWER.

What problems do institutions, organisations, a country, and various stakeholder groups face?

What are broad categories of issues faced by stakeholders?

What are the causes for the various problems or issues facing multiple stakeholders?

What are the effects of various actions or lack thereof on a stakeholder grouping?

Can a complex or difficult problem be broken down into sub causes, which lead to a better understanding of the issues?

Business Process Maps

Organisations deliver goods and services that their clients want or need. The internal processes of the organisation must be structured to deliver services and products to meet clients' needs. For example, the stakeholders of an NDO expect several services and information to be delivered in a timely manner. **Business processes in this context, are those functions that the NDO must perform or execute all or most of the time to deliver or address a client's needs.**

There are several types of business process-related outputs. These are categorised in Table 3.1:

Table 2.1: Types of business process-related outputs.

Type of Business Process-Related Output	Description	Examples
Goods	A tangible good which may be consumed by a client or stakeholder	<ul style="list-style-type: none"> • Business Continuity Plan • Hazard and Vulnerability Map • Mitigation Plan
Service	A function performed by a business, which brings value or enhances the well-being of a client or stakeholder	<ul style="list-style-type: none"> • Coordination of the deployment of emergency shelter supplies
Condition	The tangible improvement in the state of affairs surrounding a particular issue which may impact various stakeholders	<ul style="list-style-type: none"> • Greater awareness of hurricane preparedness measures by the general public

Table 2.1 (Continued): Types of business process-related outputs.

Type of Business Process-Related Output	Description	Examples
Information	Organisations generate data and knowledge in the course of performing various functions, producing goods or delivering services which comprise the institutional knowledge on why and how it may perform.	<ul style="list-style-type: none"> • Reports generated by the NDO on the performance of a programme or project • Technical data

A class of problems facing institutions may be the lack of effectiveness or efficiency of their internal processes to deliver to a client, stakeholder group or the general public, while meeting expectations or minimum standards. *Identifying* the internal processes taking place in an organisation is *important since* it may lead to improvement.

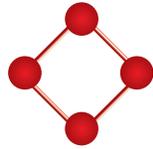
Organisations arrange their work to deliver a core series of results. Those results can be organised and classified by functions or programmes. For instance, the functions of a NDO, such as disaster planning and emergency response, may be organised into a work programme to deliver a series of outputs that which can be relied upon to address the needs of various stakeholders.

Triggering Events

A triggering event is what happens to make the business process or activity start. Initiating or triggering events fall into three categories:

Table 2.3: Types of triggering events associated with business processes

Type of Event	Meaning	Example
Action Event	A person or organisation decides to do something, for whatever reason.	A developer wants to know what hazards may have been identified for a particular area and may therefore, want to understand associated vulnerabilities, which may be exposed because of the execution of a project.
Temporal Event (Time)	Some predetermined date or time is reached at which some activity must begin.	A NDO may perform an inventory of emergency supplies housed in a storeroom or warehouse at a predetermined time during the year. The business process therefore is “Perform inventory of emergency supplies”.
Condition or Rule Event	When a monitoring event detects <i>that something should start or end.</i>	An inventory of emergency supplies is undertaken, a particular item is found in low quantities and below a reorder threshold value. The fact that the item was below a suitable amount to supply for the needs of the clients, who in this case may be individuals in need of a good during an emergency situation, the NDO may decide to reorder the stock item to replenish their supplies.



EXAMPLE

The business process “Reorder inventory item” will trigger the purchasing process. Note that the business process is generic enough to encompass any type of inventory items. The process leading to the order may have been defined by a Ministry of Finance (*or its equivalent*) or through financial rules governing the operations of an NDO.

Results of business processes are generally characterised by the following criteria:

Table 2.4: Criteria which must be met for defining a business process

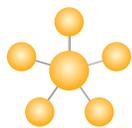
Criteria	Description	Example
Discrete	One item, whether a good or service is delivered.	One <i>hazard vulnerability</i> map will be delivered after the process is complete.
Countable	After the execution of the entire process, the result, whether a product or a service can be measured in numeric terms.	For instance, you can count the number of hazard vulnerability maps produced after several <i>trials</i> of the business process.
Essential	A client, stakeholder or the general public rely on the product or service and its provision fits within the core functions of the organisation.	The provision of a hazard vulnerability map by an NDO is an essential function which it may perform if it possesses the technical capability to do so within its human resource base.

DECISION POINTS

It must be noted that within the example above, two decision points are highlighted: “select vendor” and “approve purchase order”. The person responsible for making the decision at each of the two decision points can have the process reverted to the “identify suppliers” step, if the quotes received were inadequate. In such a case, the individual responsible for identifying suppliers must restart that step, research other suppliers and obtain new estimates from other vendors until the purchase order is approved.

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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 that must be taken to deliver a result. Steps are defined by an action verb, which qualifies a noun.

Steps:

- a. *Indicate* a single activity that happens at a particular point in time
- b. *Help* to visualise the result.

Process maps are commonly employed to:

- a. *Document* operational matters related to the organisation.
- b. *Provide* a tool to record the activities and steps which must be taken to deliver a product or service.
- c. *Assist* in identifying the decisions and alternate steps which may be taken by an organisation to deliver the result.

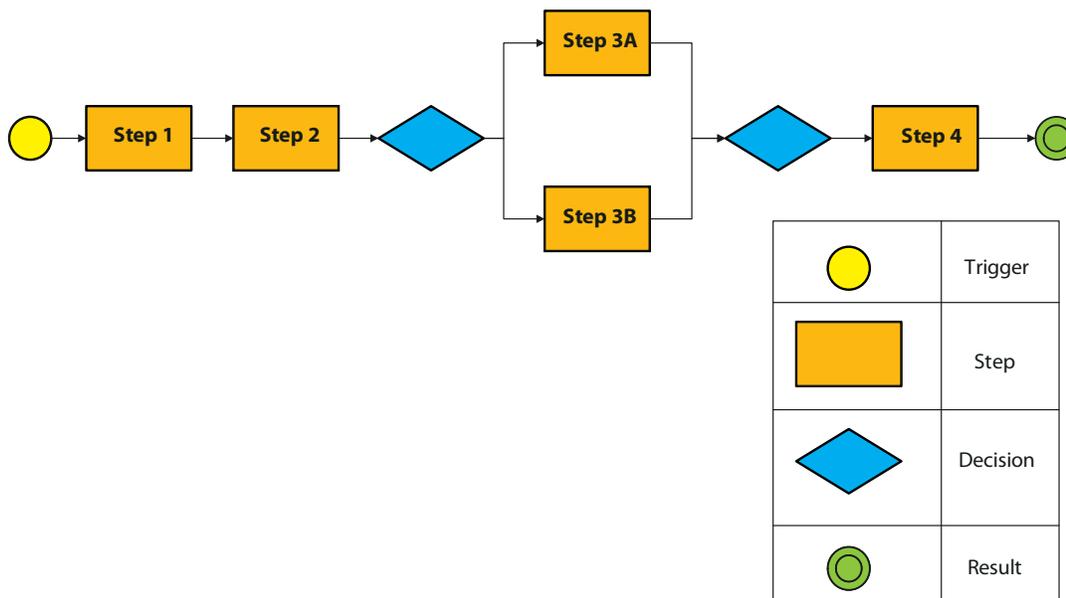


Figure 2-6: Process Map

HOW TO CREATE A BUSINESS PROCESS MAP

1. 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.
2. Ensure that if the terms were turned around they would indicate the result of the process (e.g., Order placed, Inspector assigned).
3. 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”.
4. 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.

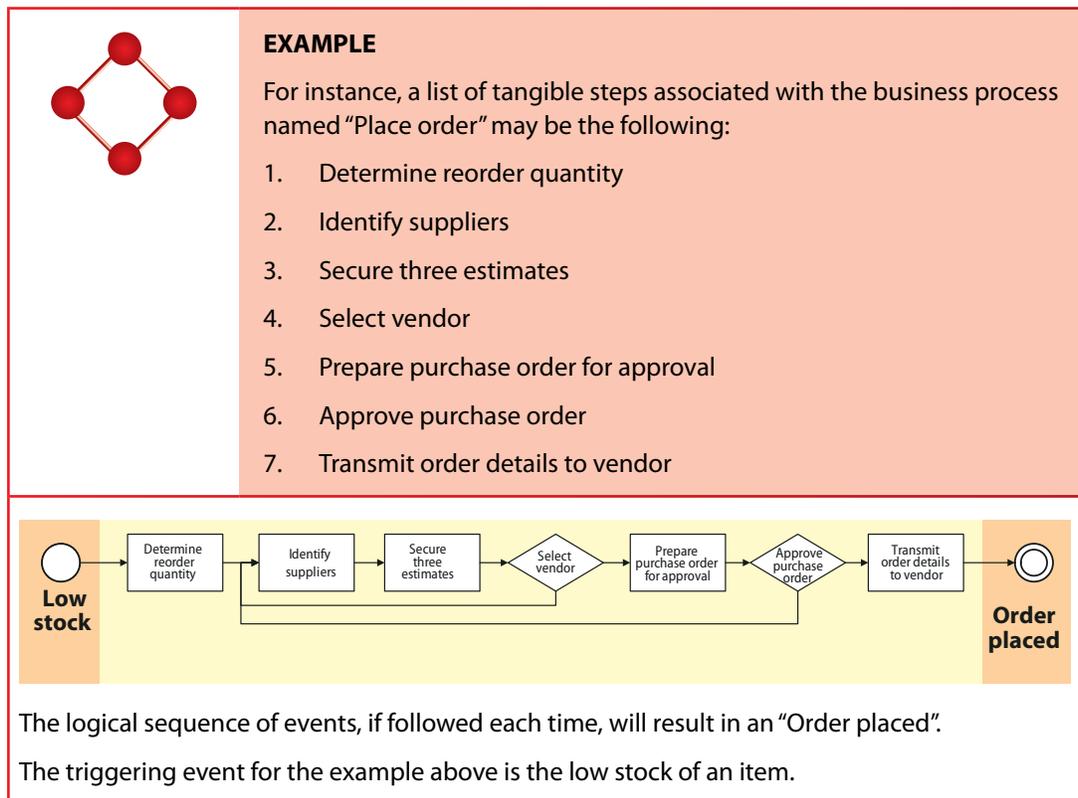


Figure 2-7: Example of a process map

Questions the business process map technique should answer

1. *What are the major steps in the logical sequence?*
2. *What are the major decision moments?*
3. *Are decisions communicated to all relevant persons?*
4. *Who is responsible for an activity?*
5. *What are the major information moments (into the flow)?*
6. *What are the delays and bottlenecks in the process?*
7. *What are strengths and weaknesses of current practice?*
8. *What are coordination bottlenecks?*
9. *What should be done to improve the process?*
10. *How should the process be redesigned to be more effective and/or efficient?*
11. *What are strengths and weaknesses in the core processes of the organisation?*
12. *Is the organisation sufficiently effective to play a key role?*



TIPS

- Cause and Effect Diagrams/Maps are the same as Fishbone Diagrams
- Resource: <https://www.youtube.com/watch?v=wIm11ItrgfI>
- 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>

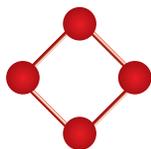
Gap Analysis: Using CDM Assessments and Reports

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 in identifying the gaps and the associated standards or desired goals. Further, it will explore the causes for the gap and actions for their elimination. Table 2.4 provides the basic framework for conducting gap analyses.

Table 2.5: Example of a simple framework for gap analysis

Identified Gap (assessment; analyses and reports)	Eliminated Gaps (post assessment)	Persisting Gaps	Desired Goal/ Industry Standards or Benchmarks	What are the Issues for Persisting Gaps?	What is Needed to address gap?	Level of Priority for Taking Actions

The gap analysis process, for the purposes of this manual, will use reports on national CDM progress; DRM/DRR/CC assessments, CDM related policies and strategies. Some of the critical reports which should be used are (i) the National CDM baseline assessment against the standards or goals set at the regional level; (ii) national reports for the Hyogo Framework for action; (iii) performance reports regarding national CDM developmental strategic goals and targets; (iv) national disaster risk profile and (v) after action reviews for major hazard events and exercises.



EXAMPLE

The Regional Baseline Report is the compilation of baseline information for the Enhanced CDM Strategy, based on data collected from sixteen (16) CDEMA Participating States. National baseline reports were compiled for each country. The national baseline reports give a picture of 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 that should be included in the CWP.

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EXAMPLE (Continued):

Identified Gap	Eliminated Gaps (post assessment)	Persisting Gaps	Desired goal/ Industry standard or benchmark	What are the issues for and caused by persisting gaps?	What is needed to address gap?	Level of Priority
No National CDM Legislation enacted	National CDM Bill and Regulations developed	The enactment of the Bill	Existence of CDM Act with accompanying regulation	Lack of government will to enact; Low priority given to formalization of CDM institutional components Confusion regarding legal authority and responsibilities among first responders Less than satisfactory response to hazard events	Increased advocacy by influential regional and international partners (ie CDEMA; CARICOM; OECS; UNISDR More effective advocacy by the NDC.	High



SUMMARY

- Before developing a Work Programme, it is important to understand the problems, issues and needs that a country, organization or community faces. This understanding must be mutual and agreed so that CWP planning exercises are founded on an awareness of the right issues.
- Brainstorming, cause and effect diagrams, business process maps and gap analysis can be used to develop a Situational Analysis. As information-gathering techniques, they can be used to facilitate learning and understanding amongst various stakeholders.

Suggested Exercises

[Brainstorming] Groups should select a problem, issue or need that is common amongst the participants. Brainstorm those factors that have led to the presence of the issue. Decide how the issue may have impacted target groups being considered.

[Cause and Effect] Select a problem, issue or need of concern to all of the participants. Determine what is the observable effect impacting a group of individuals, communities or the country. Analyse the causes of the problem. What are the primary and secondary causes of the problem?

[Process Mapping] Select a process within an institution or between several organisations that is required to deliver a product or service. Define the output of the business process. Name the business service and determine what steps are required to provide the product or service. Follow the rules for naming a business service and determining the steps in a process.

[Gap Analysis] Select an After Action Review Report (AARR) for the most recent hazard event in the country. Define the gaps which are documented in the report, categorize them, and then determine the actions which can be taken to eliminate them. Prioritize the actions.

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

Definition and Rationale for Use of the Results Based Management (RBM) Approach

Results Based Management (RBM) refers to a management philosophy and approach designed to improve project and programme design, management effectiveness, monitoring, reporting and accountability of achievement of results. In the broadest sense, RBM is a four-step methodology in which practitioners:

- a. Define the expected results;
- b. Monitor and measure progress;
- c. Report on results achieved and/or the progress of the same; and
- d. Learn and adjust project structure to derive refined expected results.



Figure 3-1: RBM Cycle

Results⁵ – Impact(s), Outcome(s) & Output(s) and Activities

The application of the RBM approach may vary among organisations, and situations. An organisation or a system must therefore determine how best to apply the RBM Approach for their circumstances. An organisation or a system must determine and then agree on how the RBM Approach will be applied. While application may vary, there are some properties that are fundamental to the approach. These fundamentals are that:

1. There are four levels of results – Activities, Outputs, Outcomes and Impacts.

What constitutes a result at each level may vary according to the circumstances, however the time horizon for their achievement remains constant. Impact level results are achieved in the long-term; Outcome level results are achieved in the medium to long-term; and Output and Activity level results are achieved in the short-term. For example “a hospital constructed” in

⁵ Results are sometimes referred to as Objectives and RBM as management by objectives.

a very poor, war-torn country may be defined as an impact result for that country because it would take a very long time to be accomplished. On the other hand, in most modern countries “hospital constructed” would be an output level result. In each circumstance however, for each level of result there would be a series of results at lower levels that must be achieved in order to arrive at “hospital constructed”.⁶

2. Results are categorised as developmental or operational results. Developmental results are the medium to long-term results - Impacts and Outcomes.

Impact level results are the highest level of results and their achievement is evident in the very long term. Although computation of any one programme’s contribution to the impact result is difficult, there must be enough evidence to indicate there was a contribution. Achievement of impact level results would normally mean contribution to positive changes in economic, social, cultural, environmental and political conditions of the intended beneficiaries.

Outcome level results are generally defined as change in behaviour & institutional efficiency, changes resulting in policy formulation & decision-making, etc.

Operational/Process Results are short-term to immediate results- Outputs and Activities. 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, changes in skills access and capabilities, evaluations and assessments, systems developed, etc. The cumulative effect of achievement of results **MUST** translate into the achievement of the related outcome.

Activity level results are tasks which involve such actions as train, evaluate, procure, recruit, and facilitate. The sum total effect of activities is the achievement of outputs.

3. 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.

⁶ Adapted from: <http://www.un.cv/files/UNDG%20RBM%20Handbook.pdf>

Table 3.1: Fundamental features of results

Categories	Levels of Results	Definition	S.M.A.R.T Results	
Process/ Operational Results	Activity	The set of tasks to be performed by personnel and stakeholders that produce output.	S - Specific	Results that are related to the mandate of the organisation.
	Output	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.	M- Measurable	Results that are easily monitored and evaluated, as well as easy to report on.
Developmental Results	Outcome	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.	A- Achievable	Results that can be achieved within a particular period of time.
	Impacts	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.	R- Realistic/ Relevant	Results that contribute to selected priorities of the CDM.
			T- Time-Bound	Results are never open-ended. There is an expected date of accomplishment



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 are aggregated. These results are necessary to produce the change at the next highest level of results.
- A numbering system can help to demonstrate the logical link among results.



TIPS

- Results that 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 the results statement. The scope of 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 Model⁷/Results Framework

The **Logic Model/Results Framework** documents how results are aggregated to deliver the developmental or operational benefits that are sought by an organization.

Table 3.2 below demonstrates how the Logic Model/Results Framework may be detailed the results in Work Programmes. The rule of thumb is that, for one Outcome level result, typically 10-12 Output level results might be required. This will mean that very careful selection of results will be necessary. Consideration of the number and scope of results selected for inclusion in Country Work Programmes (CWPs) will depend on the following factors:

- a. The socio-economic context of the society where the programme is taking place;
- b. The extent of available resources;

⁷Term used by CIDA/DFATD

- c. The local capacity of people, organizations and institutions to organize, strategize, manage and analyse relevant issues;
- d. The level of buy-in and ownership of the CWP by stakeholders; and
- e. The timetable of the work programme/project.

Table 3.2: Structure of the Logic Model /Results Framework⁸

Impact											
Outcome 1			Outcome 2			Outcome 3			Outcome 4		
Outcome 1.1			Outcome 2.1			Outcome 3.1			Outcome 4.1		
Activity 1.1.1	Activity 1.1.2	Activity 1.1.3	Activity 2.1.1	Activity 2.1.2	Activity 2.1.3	Activity 3.1.1	Activity 3.1.2	Activity 3.1.3	Activity 4.1.1	Activity 4.1.2	Activity 4.1.3
Outcome 1.2			Outcome 2.2			Outcome 3.2			Outcome 4.2		
Activity 1.2.1	Activity 1.2.2	Activity 1.2.3	Activity 2.2.1	Activity 2.2.2	Activity 2.2.3	Activity 3.2.1	Activity 3.2.2	Activity 3.2.3	Activity 4.2.1	Activity 4.2.2	Activity 4.2.3

⁸ 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 ⁹ - SMART RESULTS				
	Level of Result	BAD RESULT	WHY it is not SMART?	SMART RESULT	Why it is SMART?
OUTCOME	To assist in the implementation of National Emergency Response	-To assist and 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.	

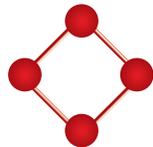
Formulation of an Impact Statement

The Impact is the highest level of change that can be achieved. It is a change in the state or well being of the target population. For example, it will be 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 of time and resources in implementing a CDM programme in country X.

1. Identify the broadest problem, its causes and widest affected population from the situational analysis process.
2. Document the problem in simple language including causes and the widest affected population.

⁹ Adapted from: http://www.un.org/en/peacekeeping/publications/Planning%20Toolkit_Web%20Version.pdf

3. Rewrite the problem as the positive change in state of the largest beneficiary population if the problem is eliminated.
4. 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

Broadest 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?: The vulnerable population, economic activities and infrastructure which easily are—affected destroyed by several hazards.

Broadest beneficiary population: Country X.

Deadline: Defined by the duration of national strategic plan. Generally from 3 to 5 years.

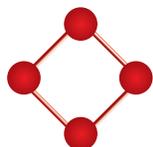
Impact Statement: Reduced + vulnerability of the Country X population, main economic activities, built environment and other infrastructure to the impacts of hydro metrological hazards, fires and epidemics (plants and human) + by Year X.

Formulation of Outcome Statements

Outcomes are actual changes in institutional performance or behaviour among individuals, groups or the smaller part of the beneficiary population stated in the Impact Statement. Outcomes describe the changes in development conditions that are derived 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.

1. Categorize the prioritized solutions and actions identified in the situational analysis. The groups should be related to a thematic area, hazard, and phase of the disaster management cycle etc. Identify the outputs and activities for each category.
2. Describe the group of solutions and actions in the broadest terms possible and the change that should occur if the related outputs are produced and activities are completed.
3. Determine the largest beneficiary population for each category.
4. 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.

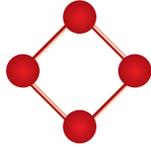
Formulation of Output Statements

Outputs are short-term operational results produced by programme activities. They must be achieved with the resources provided and within the timeframe specified (usually during the timeframe of a Work Programme). These are the most immediate results of programme activities and are usually within the greatest control of the implementing Agencies or Government. Typically, more than one output is required to obtain an outcome. If the result is mostly beyond the control or influence of the programme or project, it cannot be an output.

The outputs for any work programme should be derived from the information of the situational analysis. It would constitute the solutions and actions grouped under the broad categories for outcome level results. 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?
- Is the output SMART – specific, measurable, achievable, relevant and time-bound?

Output level result statements answer the questions of “how?” regarding achievement of Outcomes.



EXAMPLE

Good 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**.

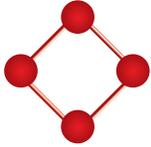
Formulation of Activity Statements

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?

Activities usually provide quantitative information and they may indicate periodicity of the action. Typically, more than one activity is needed to achieve an output. The verbs such as distributed, convened, facilitated, and 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 comprises seven (7) key elements, which are outlined in Table 3.3. The PMF documents the major elements of the monitoring system and 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 Framework¹⁰

Section of the PMF	Description
Expected results	Refer to what will be achieved in the short, medium, and long-term
Indicators	Refer to the evidence that will help measure progress toward achieving results
Baseline data	Is the starting point from which to measure change over time
Targets or Milestones	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.

¹⁰See Annex 2 for a template of the PMF

Table 3.3 (Continued): Sections of the Performance Monitoring Framework

<p>Source of information</p>	<p>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.</p>
<p>Data collection methods and techniques</p>	<p>Once data sources are identified, it is important to decide on how the information should be obtained. Examples of methods for collecting data using indicators include the following:</p> <p>For quantitative data: statistical analysis, surveys, frequency counts, questionnaires and polls, counting/measuring</p> <p>For qualitative data: interviews, case studies, focus groups, Participatory Rural Appraisal, Beneficiary Assessments, self-assessment, testimonials, observation</p>
<p>Frequency of data collection</p>	<p>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.</p>
<p>Responsibility of data collection</p>	<p>Refers to establishing the person(s) who will be explicitly responsible for collecting the information.</p>

Performance Measures - Indicators¹¹

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. Further, it can 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.

¹¹ Indicators = Performance Indicators

Types of Indicators

QUANTITATIVE & QUALITATIVE INDICATORS

Indicators can be quantitative or qualitative. (i) Quantitative indicators- Measure quantity and have a numerical value and (ii) 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.

Table 3.4: Examples of indicators

Quantitative Indicators	Example of Quantitative Indicators	Qualitative indicators	Examples of Qualitative Indicators
<ul style="list-style-type: none"> • Number of • Frequency of • Percentage of • Ratio of • Variance with 	<ul style="list-style-type: none"> • Number of early warning systems • Percentage of States with new/updated early warning systems • Ratio of men and women using emergency shelters in community “X” 	<ul style="list-style-type: none"> • Congruence with • Presence of • Quality of • Extent of • Level of 	<ul style="list-style-type: none"> • Level of satisfaction of beneficiaries with EWS • Presence of mitigation plan for earthquakes • Congruence with established protocols for deployment of damage assessment teams after a hazard event

FINAL AND INTERMEDIATE INDICATORS

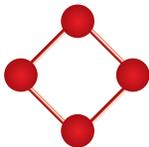
With the RBM Approach, indicators are sometimes categorized according to the level of result they are developed to measure.

Table 3.5: RBM types of indicators

Category	Characteristics	Results
Final Indicators	Achievement of results depend on various factors	Impact
	Managers have less control on results Evolves slowly Their measure require great effort	Outcome
Intermediate Indicators	Immediate results	Output
	Managers have better control on results Evolves rapidly Information is easy to collect	Activities

How to formulate an indicator?

1. Construct a basic sentence by using 2 questions.
 - a. What is the **unit of measurement**?
 - b. What is the **quantifiable variable**?

	EXAMPLE	
	UNIT OF MEASUREMENT	VARIABLE
	# of hectares	of deforested zones recovered as part of the national climate change strategy
	# of kilometres	of drains constructed in the 6 communities most vulnerable to floods
Rate	r Rural to urban migration into unplanned settlements	

Steps for choosing indicators

1. Clarify the result
2. Elaborate positional list of indicators
3. Evaluate and validate each potential indicator
4. Select the best performance indicators
5. Prepare a plan for data collection
6. 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 implications 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.

Smart Indicators

Figure 3.3 outlines what makes an indicator SMART

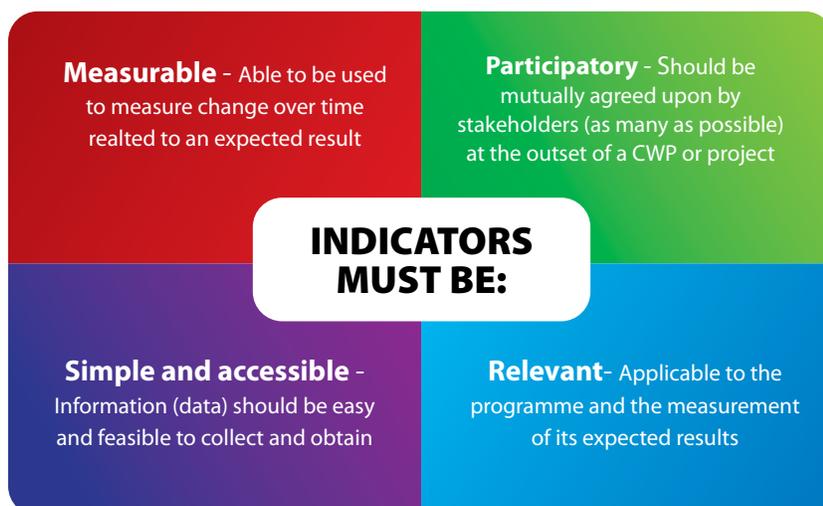


Figure 3.3: The structure of a good indicator and how it should be composed

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 +. Each criteria of the CREAM+ validation process is scored from 1 to 3. The scoring system is based on whether the indicator meets the defined criteria, partly-2, in full-3 or does not at all-1. This process requires sound judgement and knowledge.

Table 3.6: Validation of indicators

CRITERIA	SCORING
Clear: precise, direct and not ambiguous for what it represents	1. The criteria is not met 2. The criteria is partly met 3. The criteria in met entirely The maximum score for indicators is 3. The indicator score is derived by adding the criteria scores and dividing by 6. A threshold for eliminating an indicator must be determined. E.g. – Any score with below 2.6 and score of less than 3
Relevant: it measures something of importance in order to verify the achievement of the results	
Economic: It can be measured at a reasonable cost	
Assignable: there is an individual or entity who can be assigned the responsibility for the collection of the data for monitoring the indicator	
Monitorable: the data acquired for the calculation of indicators are produced and available on time. The data and calculation of indicators may be verified independently	
+ : represents the marginal value. How much additional information does the indicator provide for the MER system? Can it be used to measure another result?	

Suggested Exercises

1. Select a problem statement(s) previously derived. Construct outcome statements based on the problem statement(s) selected.
2. Select an outcome statement previously drafted. Construct output statements which will assist in delivering on the result.
3. Select an output statement previously drafted. Construct activity statements which will support the attainment of the output previously identified.
4. Select outcome and output statements. Construct indicators which will measure the achievement of the outputs previously selected and track the delivery of the outcome previously identified.
5. Employ the outcomes, outputs, activities and indicators to construct a Performance Monitoring Framework. Complete all relevant sections associated with the PMF making use of the logical chain of results derived from previous exercises.



SUMMARY

- Development results are formulated before operational/ process results.
- The formulation of outcome, output and activity statements generally follow a well-defined structure which will facilitate the formulation of the CWP.
- The Performance Monitoring Framework is the principal tool to plan for monitoring and evaluation during the implementation of the CWP. The measurement framework is also planned for at the beginning stages so that stakeholders can monitor the progress, track changes and correct any issues during the work programme's implementation.
- Indicators are critical components of the PMF. They must be carefully developed and chosen.
- Indicators must be validated in order to ensure that they are SMART. The CREAM+ technique can be used to validate indicators.

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 Programme¹²

The development of a Country Work Programme is based on RBM principles and methods. An Impact, Outcomes, Outputs, Activities and performance indicators are structured into the Logic Model/Results Framework and the Performance Monitoring Framework. The way that countries develop or revise their CWP's will depend on their ability to gather various stakeholders together to discuss problems, issues, needs, priorities and devise strategies to address the same. The expected results contained in a CWP are the proposed solutions to various problems encountered at the national level.

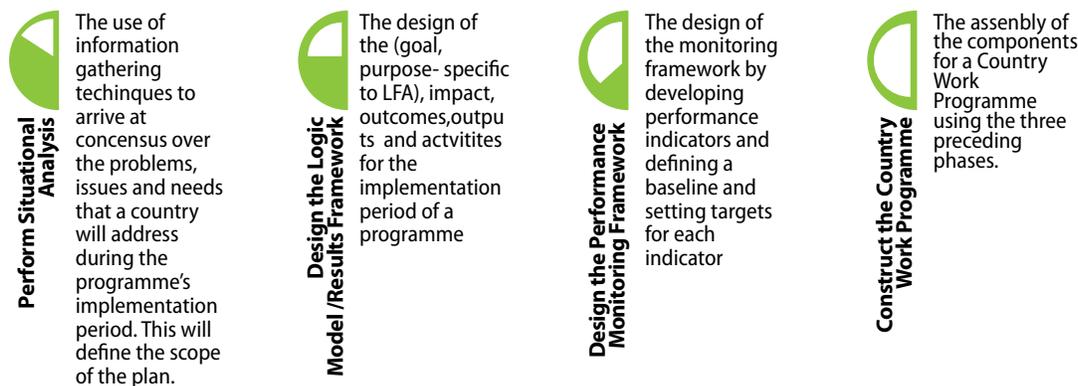


Figure 4-1: Outline of Workshop Process for the development of a CWP

¹² An Logical Framework Analysis has similar components as the CWP

Steps to create or revise a CWP

A Country Work Programme can be created or revised by following five (5) distinct stages. These are:

1. Performing the situation analysis
2. Constructing impact, outcome, output and activity statements
3. Designing the Logic Model/ Results Framework
4. Constructing the Performance Indicators
5. Designing the Performance Monitoring Framework

The business process map detailed in Figure 4.2 outlines the steps leading to the output called Country Work Programme prepared. The name of the business process is “**Prepare Country Work Programme**”. The output of the business process is “**Country Work Programme prepared**”.

Prepare Country Work Programme

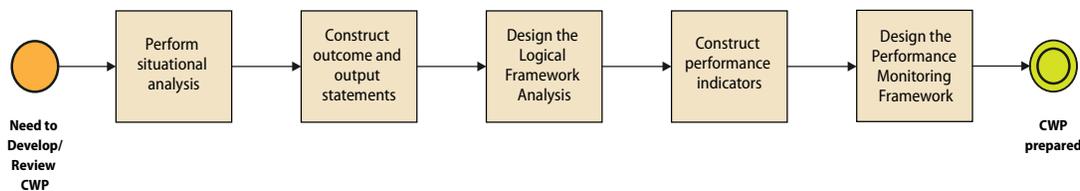


Figure 4-2: Business process map for the development of a Country Work Programme. The triggering event for the creation of a Country Work Programme is the need to review or develop a new one.

Bear in mind that the steps leading to the completion of a Country Work Programme contain many sub-activities and detailed steps. The preceding chapters contain the details for each of the steps outlined in Figure 4.2 above. The following sections will use the business process detailed above.

Triggering events for the development or revision of a Country Work Programme

Prepare Country Work Programme

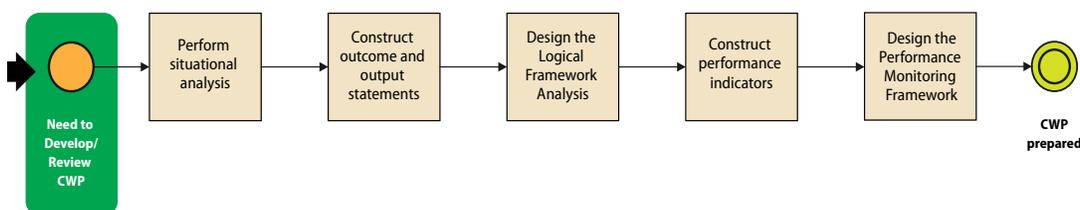


Figure 4.3 : Process map for Development of a CWP

National institutional arrangements are critical for advancing Comprehensive Disaster Management in the CDEMA Participating States. These include, a national CDM policy, strategy, legislation and the Country Work Programme. Presently, CDEMA PS are at various stages of development and implementation of these institutional frameworks including Country Work Programmes. . Figure 4.3 outlines a series of questions that should aid countries in determining the step at which to

start, to create, or revise a CWP. These questions help to assess the type of triggering event that is applicable to any given country. Answers will lead to specific actions to be taken at the national level and serve as the trigger to begin the process of drafting a new or revised CWP.

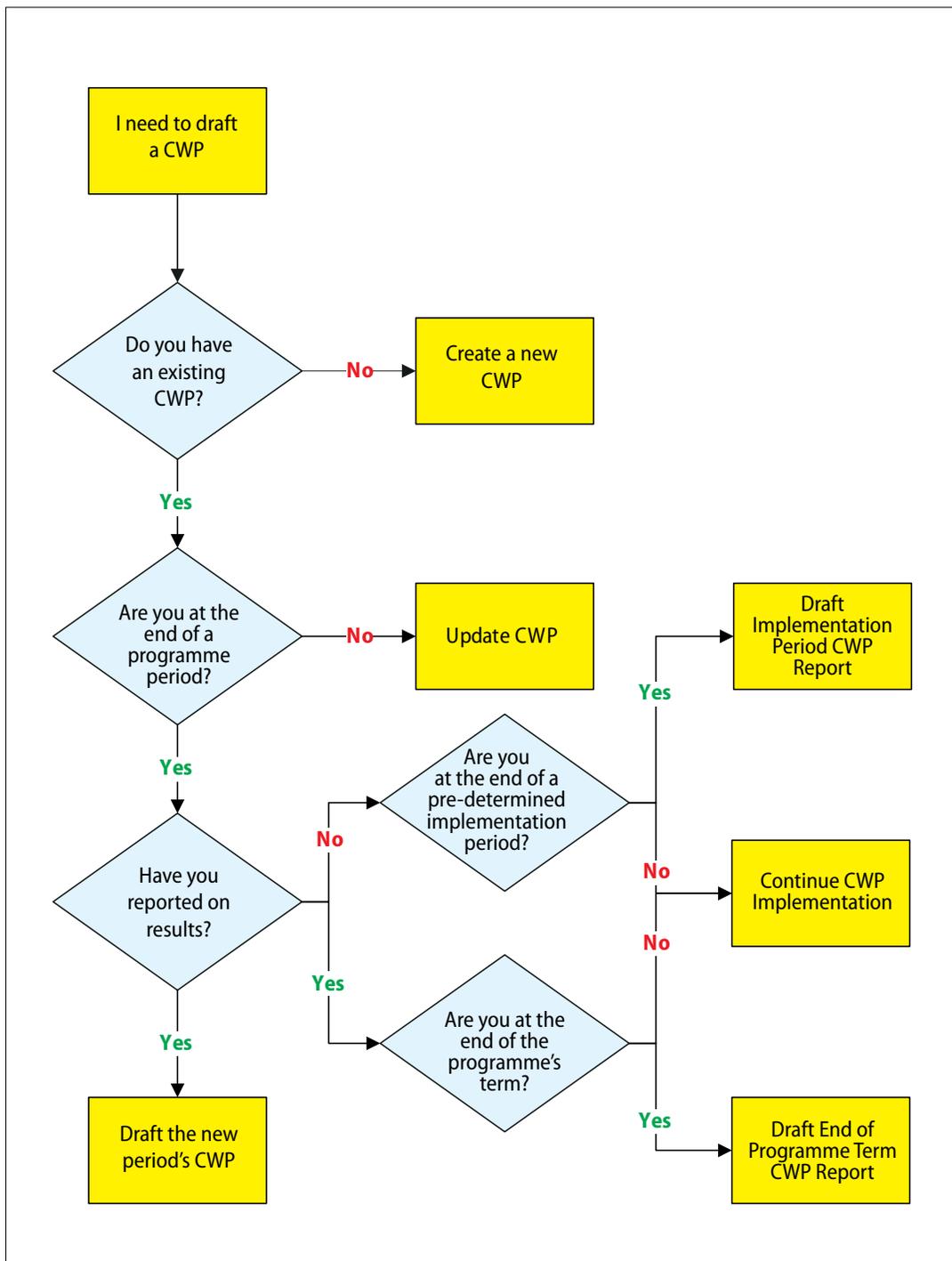


Figure 4.4: Questions to determine the stage at which a CWP should be developed or reviewed and a CWP report produced.

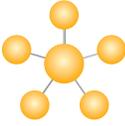
There are four (4) types of conditions with individual triggering events. These are outlined in Table 4.1.

Table 4.1: Types of triggering events to develop or review CWP in CDEMA PS

CONDITION	DESCRIPTION OF BROAD ACTION	TRIGGERING EVENT
The country has never developed a CWP.	Countries that are lacking a CWP and have never drafted one should create a programme. Representation of other sectors should include members of the NDO, tourism, agriculture, the ministries or departments of development planning, health, as well as civil society, among others.	Need to create a CWP for the first time.
The country has developed a CWP and needs to revise it before the end of the programme's term.	Countries that do have a CWP and are at some stage of implementation, but may want to revise and update their CWP. A similar approach as that previously mentioned may be used in terms of convening various stakeholders.	Need to update an existing CWP.

Table 4.1 (Continued): Types of triggering events to develop or review CWP in CDEMA PS

CONDITION	DESCRIPTION OF BROAD ACTION	TRIGGERING EVENT
The country has reached the end of a period of programme implementation or the end of the programme's term but has to report on results.	<p>Countries with a CWP, which are at a period of implementation (for example, a quarterly, biannual or annual report). The end of the programme's term should trigger the preparation of the report prior to drafting a new version of the CWP.</p> <p>Reporting will enable the country to benefit from the experiences derived from implementing their work programmes. Those experiences will assist them in refining country work programmes during the period of programme implementation or will be invaluable in drafting the next CWP for the programming period.</p>	Need to prepare an end of programme term CWP Report.
The country has reached the end of the programme's term, has reported on results and is ready to develop a new CWP for the upcoming term.	Countries that have completed the entire RBM cycle as defined in Figure 4.1 on page 4-2 are in a good position to draft the new CWP for the programming period. The outcomes and outputs for the new programme's term should be detailed for the next 3 – 5 years.	Need to prepare a new CWP for the upcoming programme term.



KEY CONCEPT

The output of the business process named “Prepare Country Work Programme” is “Country Work Programme prepared”. By the end of the process, CDEMA PS should have a Country Work Programme which can become the basis for further discussion with stakeholders and subsequent approval by the decision-makers.

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 4.5 outlines the importance of reporting using the RBM approach.



Figure 4.5: 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 for one result outlined below.

OUTCOME 1	Enhanced Institutional Support for CDM Program Implementation at the National Level by 2012	Indicator: # components – CDM policy, strategy, legislation, and NDO structure aligned with CDEMA standard- # of national CDM institutional arrangements which are adopted or enacted.	Baseline = 0	Target = 5	Achievement = 1	Variance = 4 (80%)
OUTPUT 1.1	A National CDM Legislation which details authority and responsibility of key national agencies developed.	Indicator: Existence National CDM Legislation which details authority and responsibility of key agencies	Baseline = 0	Target = 1	Achievement = 1	Variance = 0 (0%)

EXAMPLE (Continued):

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 completion. The trend of progress indicates achievement by 2012. The unofficial CDM Champion, His Excellency President Morris Peters 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.

Suggested Exercises

1. Using an existing Country Work Programme, analyze its contents and suggest amendments to the language of the results and performance indicators, if relevant. Determine whether the plan's period of programmatic implementation is the suggested five (5) years. If the plan excludes the delivery of outputs and the implementation of activities for five (5) years, through consultation with others, suggest a suite of outputs and activities that will lead towards the attainment of the plan's stated outcomes.
2. Employ the PMF previously devised in an earlier exercise to construct a hypothetical report, which will summarise the results achieved after a period of implementation.



SUMMARY

- Development or revision of a CWP is built on the techniques presented throughout the workbook.
- Reporting is an essential step in the RBM cycle which is often overlooked. It provides a means of accountability, transparency and demonstrates the responsible use of human, technical and financial resources which are devoted to the management of disasters and hazards in the region.

Chapter 5

Facilitation Techniques

Guided Discussion

Structured Bridge Activities

Facilitation of Learning Activities

OBJECTIVES OF THE CHAPTER

1. Provide a guidance on basic facilitation techniques.

Key Characteristics of Facilitation

The Facilitator has as his/her centre the learner/participant

In a presentation or class lecture the focus/center/nucleus is the teacher/presenter. All of the ancillary materials, and the behavior patterns, room set up etc. allow for the presenter/teacher to take center stage.

In a facilitated learning environment the center/focus/nucleus is the learner/participant. In such a situation, the focus should be allowing the participants to absorb and apply the content. It is the facilitator's job to actualize learning and the application of the knowledge gained.

Control is shared

An effective facilitator is one that can give over the control of the content to the participants/learners. The responsibility for knowledge acquisition is shared.

While it is indeed the job of the facilitator to set the stage or provide the structure and establish the climate and flow, the most important task is to create an atmosphere where learners/participants sense their flexibility with regard to asking and responding to questions and engaging everyone present in the discussion.

Facilitators bring more than just subject expertise to the table

In other words, facilitators derive their credibility from the creation of a stable and supportive learning environment. They can link the learning to that which is relevant to the participants/learners. They keep the focus/center on the learner.

They "help" the learner/participant "self learn" the content. Facilitators should help learners discover the answers to questions as often as possible.

Accountability for learning is shared

Based on the established environment of shared control, it logically follows that accountability for learning will also be shared. The learners/participants feel encouraged and comfortable with asking and responding to questions, and ultimately engaging everyone in the discussion. This active learning makes it easier for the learner/participant to apply the content with the facilitator's guidance.

Learning occurs at a multiplicity of levels

As the learners participate in the process and gain more control, the facilitator can build on their experiences and engage and apply the content at varying levels. Facilitation involves: thinking, speaking, feeling, intuition, and emotion.

Guided Discussion Lecture Notes

A guided discussion is a planned discussion in which the facilitator prepares questions that will guide the learners into “discovery” of the learning objectives. A facilitator must ask specific, planned questions, which ensure the achievement of learning objectives. The facilitator will then supplement the responses by making subsequent points that enhance understanding of the learning objectives and or encourage further participation.

Here are some examples:

- **Guided discussion question:** What do you think a guided discussion is?
- **Probable learner response:** A discussion in which the facilitator guides the learners in a specific path.
- **Supplemental comment:** Yes, that is correct and it is done with open-ended questions.

- **Guided discussion question:** How does a facilitator conduct a guided discussion?
- **Probable learner response:** They should plan the questions ahead of time.
- **Supplemental comment:** Not only the questions, the facilitator also attempts to anticipate what the learners’ most probable responses will be, and supplemental comments to enhance the discussion.

- **Guided discussion question:** Can you think of any other situation, besides delivering content, where a facilitator might use a guided discussion?
- **Probable learner response:** There might not be a learner response.
- **Supplemental comment:** A special type of guided discussion is called a debriefing. It is used after a facilitation activity. It is a learning activity designed to help the learners/ participants process what they have learned. It brings the facilitation activity to a close. It summarises the main ideas and aids the learner/ participants in the application of the content to their relative needs.

SAMPLE DEBRIEFING QUESTIONS

- What happened in the activity?
- How did it make you feel?
- What generalisations can you infer from it?
- How can you apply this going forward?
- What went well?
- What could have been done better?
- How does this apply to your workplace?
- What would you do differently in the future?

The Structured Bridge Activity

Definition: A structured activity is an activity in which the learner/ participants usually work together. It is structured, though not led by the facilitator. Structured activities are the “bridge/ link” of discovery between knowledge and skills.

Purpose: To help learners engage with content at a deeper level by thinking through a concept, inferring from it to generate principles, and applying it to different situations or “discovering” the content that they already know.

Steps:

- Form learner/participant groups
- Post instructions for their group work. The instructions will explain what they will do (answer a set of questions, build something, discuss a subject and the like), the expected result (a presentation, a report, or a model) and how much time they have to complete the assignment
- Begin the activity
- Monitor the learners’ progress; move from section to section in the room and welcome questions
- Make learners’ aware of the time left
- At the end of the session, ask the groups to share their results
- Conduct a debriefing discussion

You can use this activity when you are certain that the learners/participants know enough content to accomplish the task. You can use a variety of techniques: information searches, small group debriefings, games (quiz bowls etc.) and peer instruction.

The Interactive Lecture Notes

The basic level of skill is knowledge. Therefore you must know something before you can do it. The classic style of lecturing is really designed for those who possess little to no knowledge about the subject.

The learners/participants in a “classic lecture” are generally sitting listening, reading, or observing. There is little to no interaction which takes place in this learning setting.

It is important to make a lecture interactive. Even the learner/participant who has very little knowledge regarding the subject matter can respond to engaging questions that will prompt them to understand the material by relating it to their own experiences.

As a facilitator, you should present a mini-lecture and continuously ask questions which will engage the participants and welcome their questions. In this way, the classic lecture becomes an interactive lecture with the learners/participants.

Results Based Management Approach

WORKSHOP MANUAL FOR FACILITATORS

Steps:

- Plan the intervals at which you might ask the learners/participants if they have questions.
- Make sure that you have planned key questions that will engage the learners/participants and prompt further questions.
- Try not to deliver a classic lecture for more than 15 minutes without inviting participation.

Chapter 6

Appendices

Logic Model/Results Framework Template

Performance Monitoring Framework

Country Work Programme Template

ANNEX 1: Logic Model/Results Framework Template

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

Impact		Country Work Programme Output	Performance Indicator	Responsibility (lead in bolds)	Implementation Period	Resources Needed (Value US\$)	Comments
2.		Outcome 2: Indicator: 2 (a) Indicator: 2 (b)					
Output 2.1			2.1.1. 2.1.2.				
Broad Activities/Projects							
Activity 2.1.2							
Activity 2.1.3							
Output 2.2			2.2.1				
Broad Activities/Projects							
Activity 2.2.1							
Activity 2.2.3							
Output 2.3			2.3.1				
Broad Activities/Projects							
Activity 2.3.1							
Activity 2.3.2							
Activity 2.3.5							
Activity 2.3.6							

Results Based Management Approach

WORKSHOP MANUAL FOR FACILITATORS

Impact:						
#	Country Work Programme Output	Performance Indicator	Responsibility (lead in bolds)	Implementation Period	Resources Needed (Value US\$)	Comments
3.	Outcome 3:					
	Indicator: 3 (a)					
	Indicator: 3 (b)					
	Output 3:1	3.1.1. 3.1.2.				
	Broad Activities/Projects					
	Activity 3.1.1					
	Activity 3.1.2					
	Output 3:2	3.2.1 3.2.2				
	Broad Activities/Projects					
	Activity 3.2.1					
	Activity 3.2.2					
	Activity 3.2.8					
	Output 3:3	3.3.1 3.3.2				
	Broad Activities/Projects					
	Activity 3.3.1					
	Activity 3.3.12					

ANNEX 2: Performance Monitoring Framework Template

#	Country Work Programme Result	Performance Indicator	Baseline Data	Targets (Mid Term)	Target (End of Term)	Data Source	Method of Data Collection	Frequency	Responsible	Linkage to CDM & other relevant strategies
1	Outcome 1	1 (a) 1 (b)								
1.1	Output 1.1	1.1.1 1.1.2								
1.2	Output 1.2	1.2.1 1.2.2								
1.3	Output 1.3	1.3.1 1.3.2								
2	Outcome 2	2 (a) 2 (b)								
2.1	Output 2.1	2.1.1 2.1.2								
2.2	Output 2.2	2.2.1 2.2.2								
2.3	Output 2.3	2.3.1 2.3.2								
3	Outcome 3	3 (a) 3 (b)								
3.1	Output 3.1	3.1.1 3.1.2								
3.2	Output 3.2	3.2.1 3.2.2								
3.3	Output 3.3	3.3.1								

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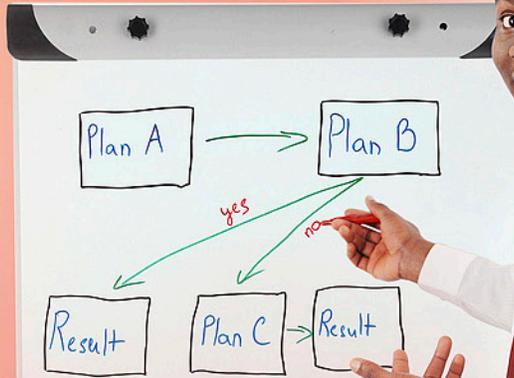
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Performance Management Framework



SUCCESS RESULTS LEARNING

CHANGE & DEVELOPMENT

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