

"Preparation for Planning 2020 and beyond of PSSP"

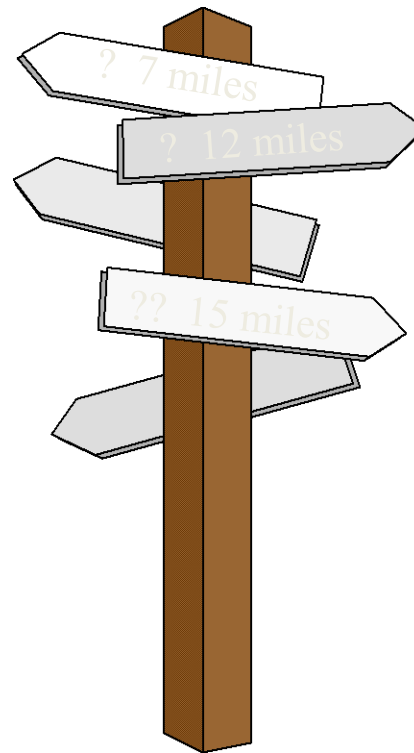
PLANNING FOR DEVELOPMENT RESULTS

Dr. Sarath Samarage

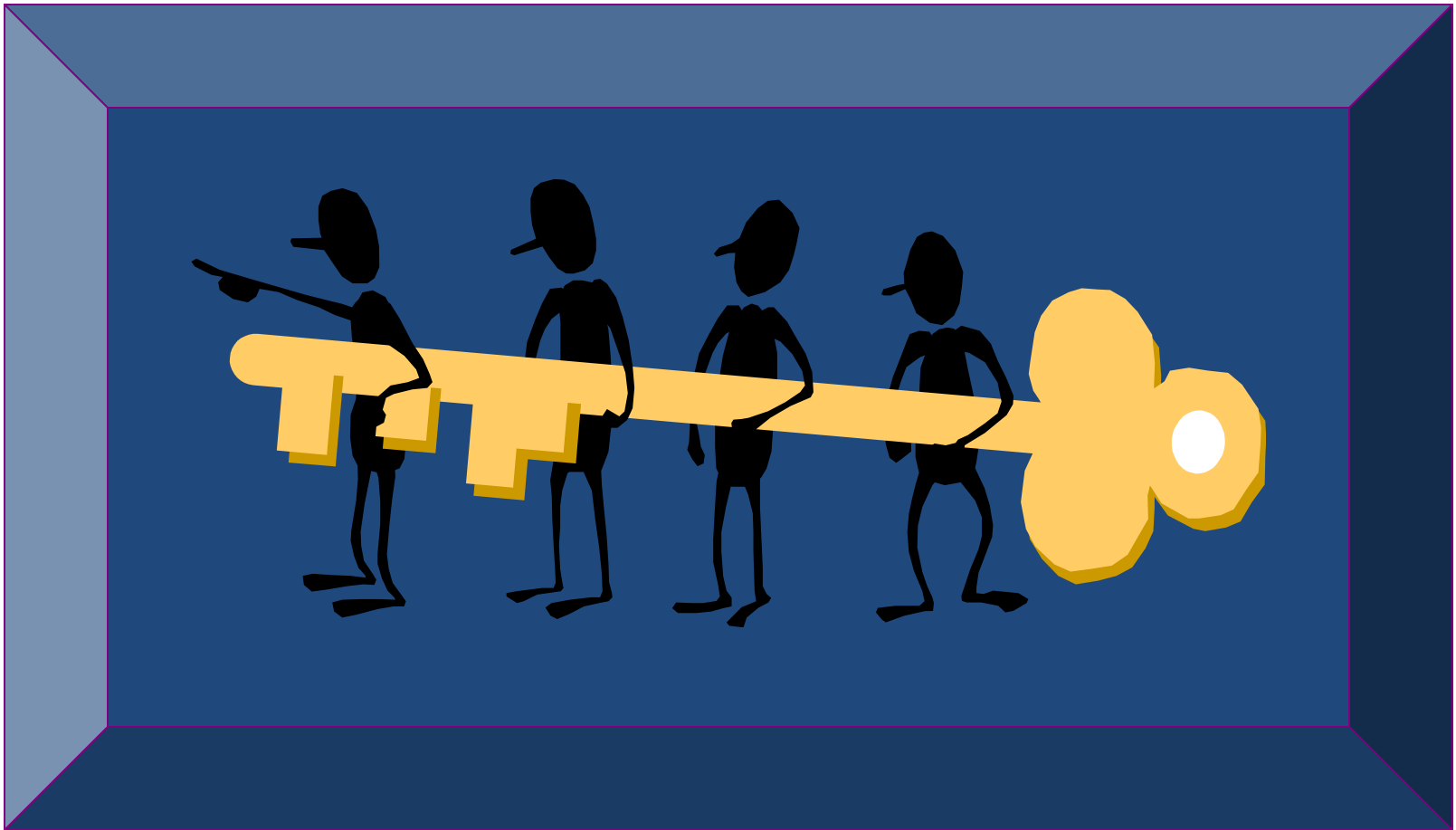
Overview

- **Introduction to planning**
- **Assess needs and set direction**
- **The results chain as a means of planning and measuring development change**
- **Selecting key performance indicators to monitor outcomes**
- **Setting realistic baselines and targets**
- **KPIs monitoring plan**

Planning?



PLANNING AND COOPERATION ARE KEY



Planning Model

- *Asks and answers the following questions:*

1. Where are we now?

2. Where do we want to be?

3. How do we get there?

4. How are we doing?

Planning Model

- Asks and answers the following questions:
 - Where are we now?
 - Internal/External Assessment
 - Customer and Stakeholder Identification
 - Where do we want to be?
 - Vision
 - Mission
 - Principles
 - Goals
 - Objectives

Planning Model

- Asks and answers the following questions:
 - How do we get there?
 - Strategies
 - Action Plans
 - How are we doing?
 - Tracking System

Four Fundamental Questions of the Planning Process

- Where are we?
- Where do we want to be?
- How do we get there?
- How do we get to know that we have gotten there?

Situation Analysis &
priority setting

Objectives/Targets

Strategies/ Intervention
/Activities

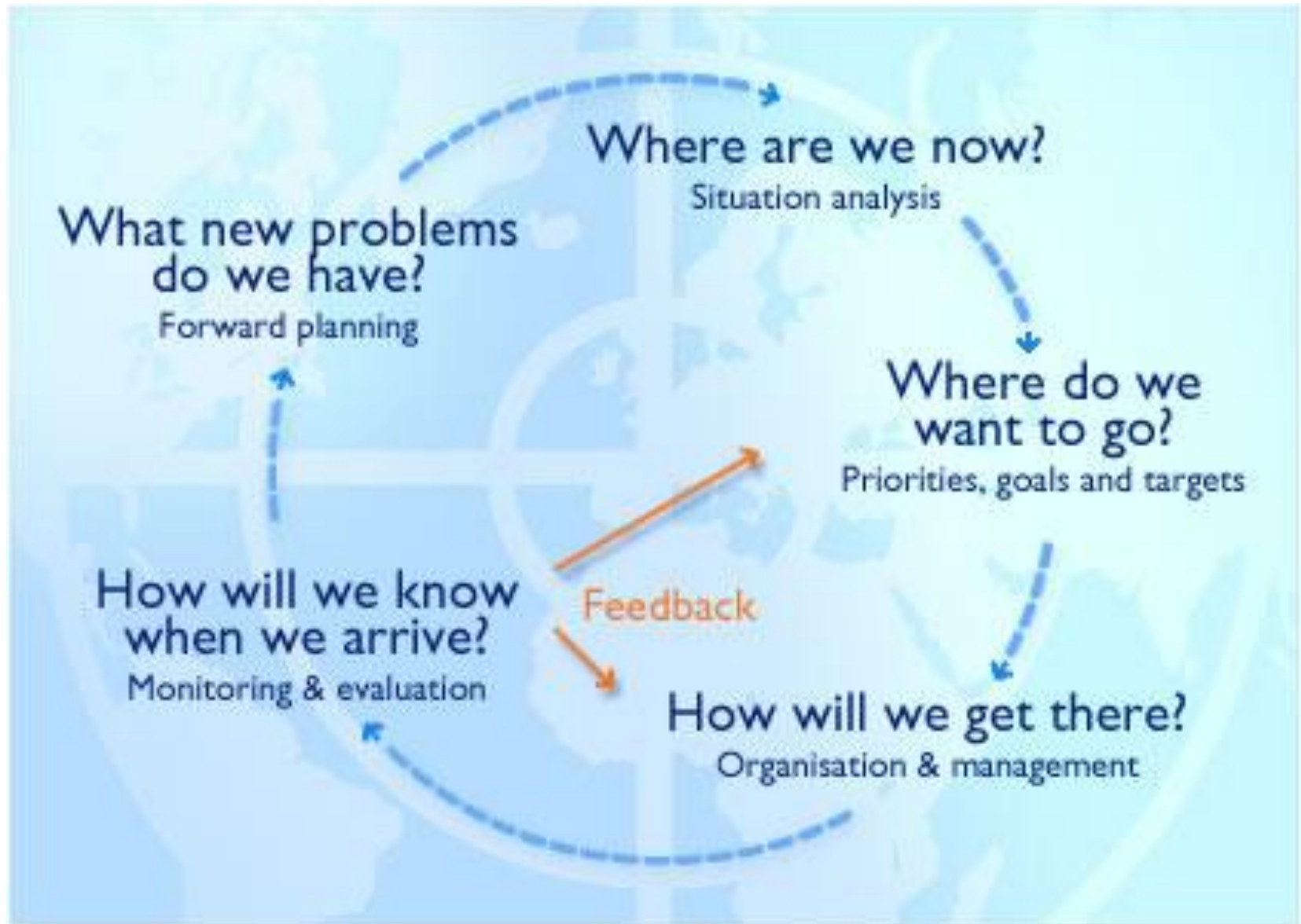
Indicators/Sources of
Information

Planning is not just

- Selecting activities
- Forecasting what might happen
- A statement of what is desirable
- Allocation and reallocation of resources

Health care Planning

- Orderly process of
 - defining community health problems,
 - identifying unmet needs and
 - surveying resources to meet them,
 - establishing priority goals, that are realistic and feasible and
 - projecting administrative action to accomplish the purpose of proposed programs



Types of health planning

Types of health planning

Based on time frame : 3 types

- ❑ **Short-term planning(generally 1-3 years) is concerned with:**
 - meeting needs as defined by present trends
 - using currently available resources, and
 - partial re-allocations of resources
- ❑ **Medium-term planning (5-10 years)**
 - Some scope to modify demands
 - Recognize new needs
 - obtain new resources
- ❑ **Long-term planning (10-20 years)**
 - Select a desired future
 - Design a way of reaching it

Types of health planning

Based on hierarchy of goals: 3 types:

☐ Health policy planning

primarily concerned with developing long and medium term health **goals** and **criteria**.

☐ Health programme planning

aims at selecting from alternative **strategies** those that can achieve medium-term objectives.

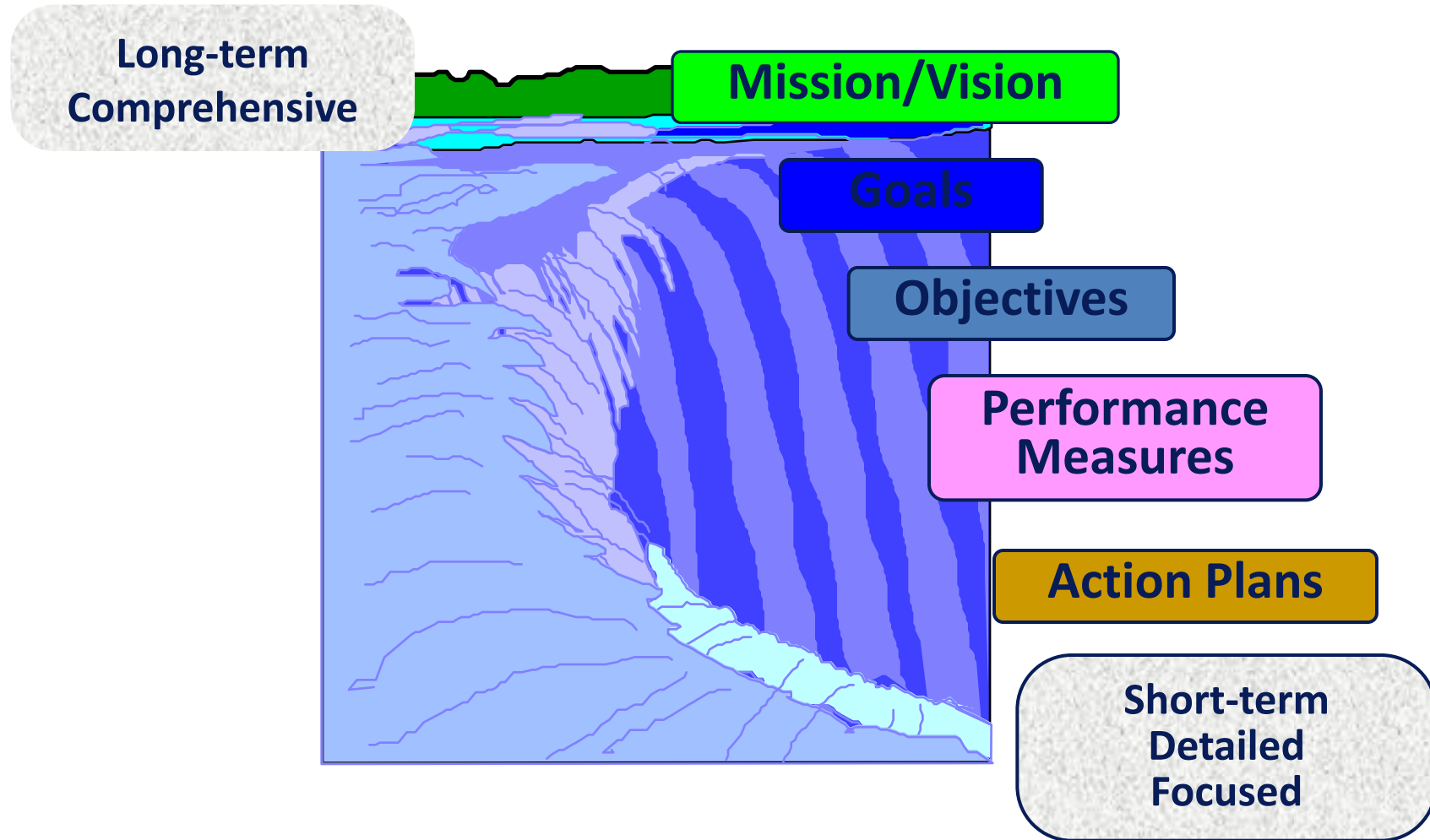
☐ Operational health planning

more **specific** and **localised** dealing with service and development projects.

Types of Planning Compared

<u>Type of Planning</u>	<u>Duration</u>	<u>Organizational Scope</u>
Strategic Planning	Long-term (5-10 yrs. or more)	Upper management
↓		
Tactical Planning	Mid-term	Specific Program or Management Unit
↓		
Operational Planning	Short-term (1 yr.)	Operational units

Cascading Nature of Strategic Planning



Output

Input

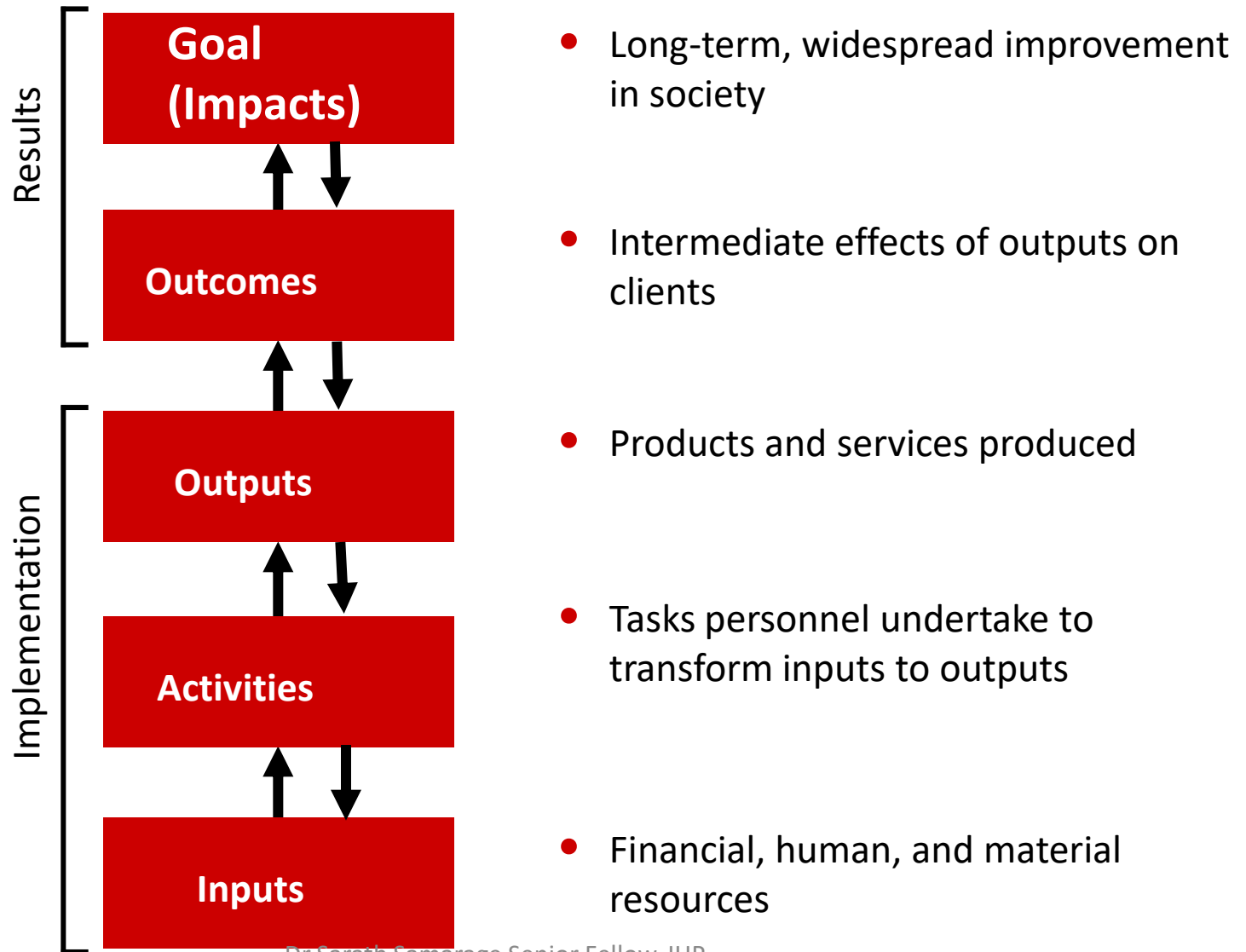
Needs

Outcome

Impact

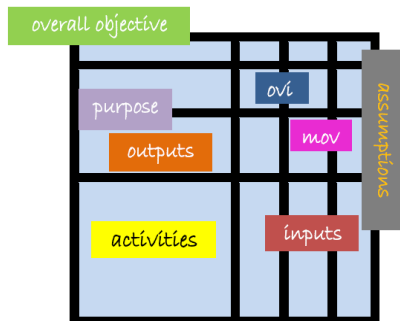
Process

Results-Based Planning



Planning for Development Results

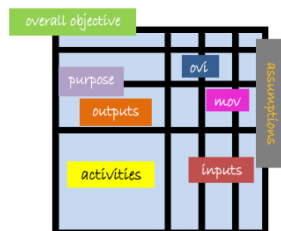
Let's talk about “results!”



Why RBM?

Rationale and intended gains:

- Improved focus on results instead of activities
- Improved transparency
- Improved accountability
- Enhanced performance orientation
- Improved measurement of programme achievements
- Enhanced strategic focus



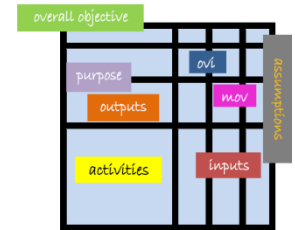
Why RBM?

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- Enhanced strategic focus

And...

- It is now a strategic planning standard

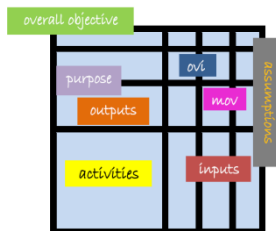


Results Based Programme Planning (RBP):

Sum of activities and strategies is **sufficient** to achieve the expected result

Results Based Programme Management (RBM):

Resources focused on achieving expected results



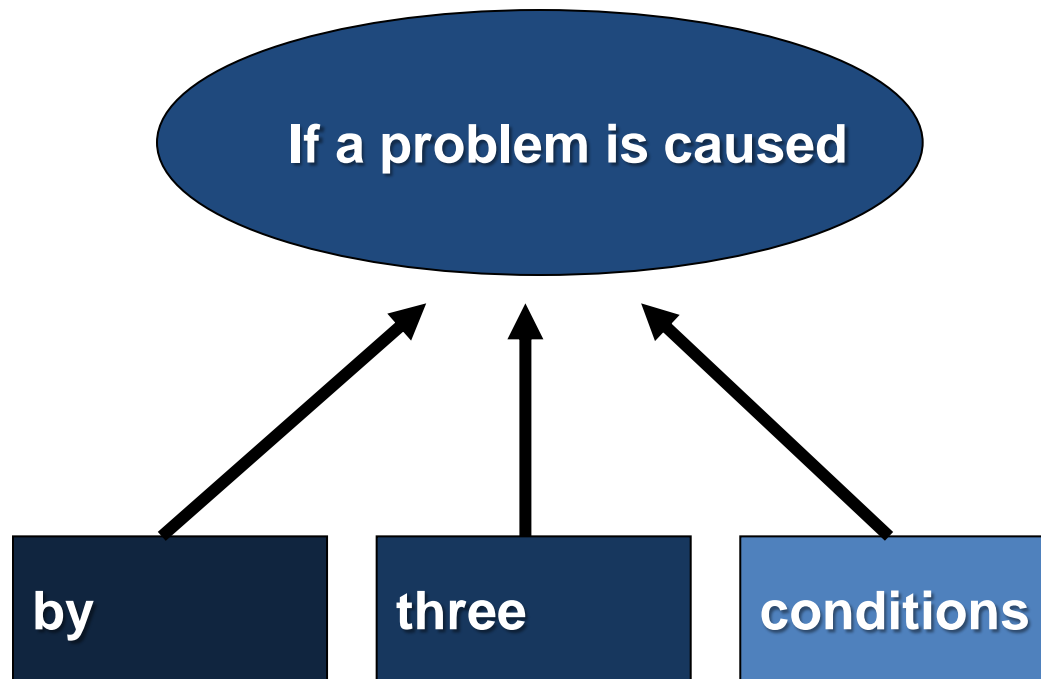
If you don't know
where you are going...

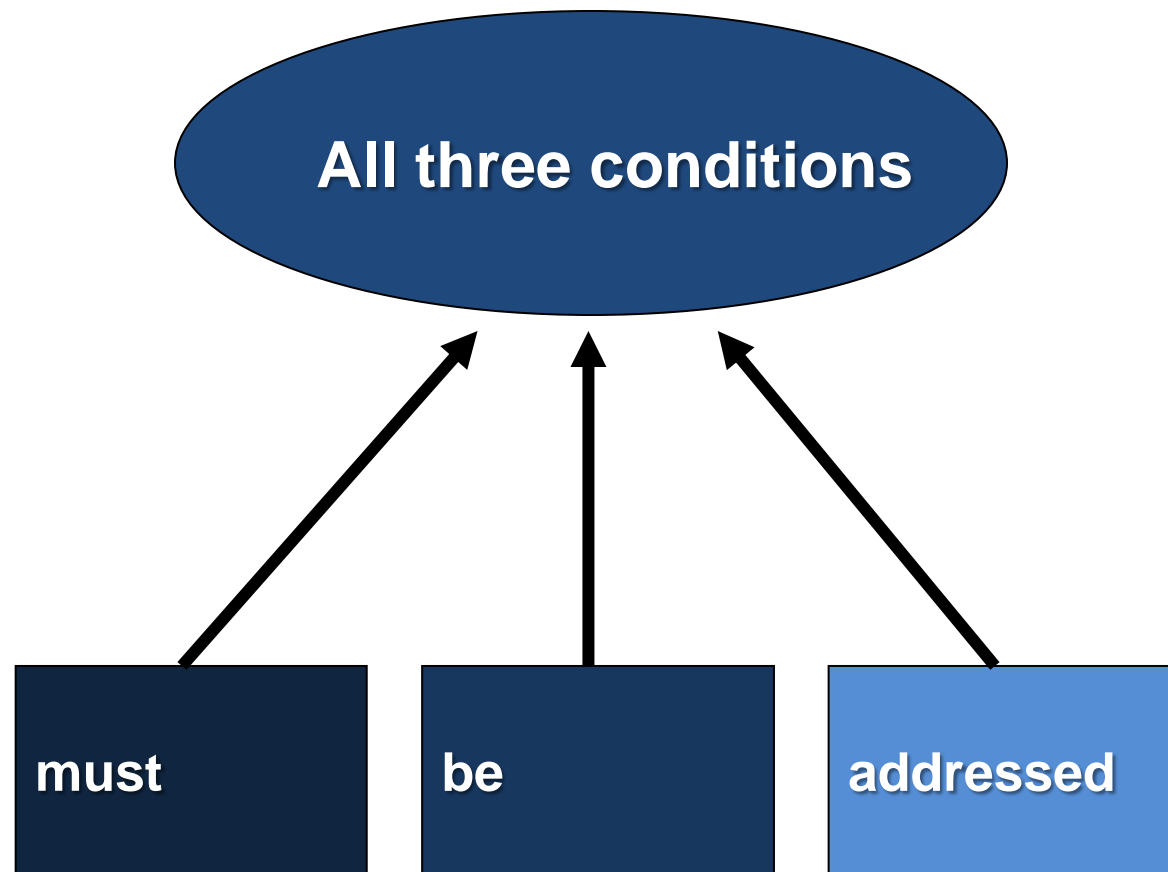
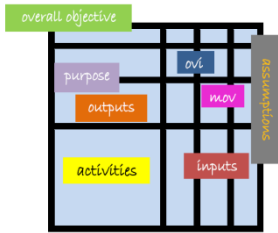


You'll end up someplace else.

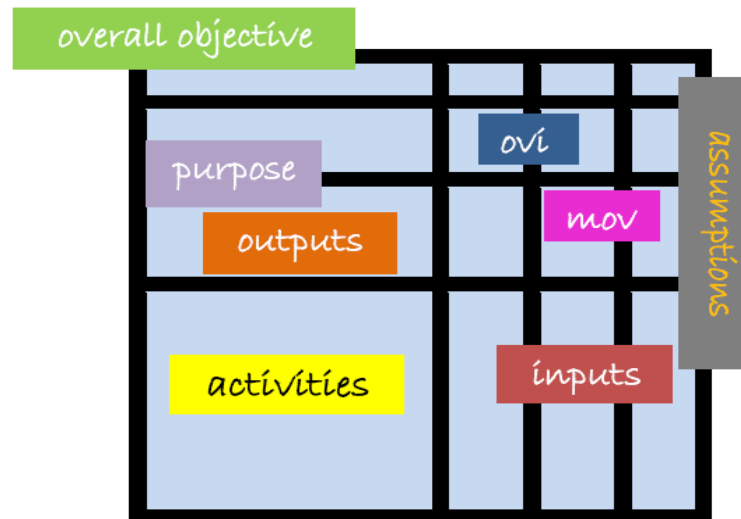
Principle of RBP

Activities and Strategies must not only be necessary, but also sufficient to achieve the expected result





So, since we are now talking about *'results'*, what is a *'result'*?



**A result is a measurable or describable
change resulting from a cause and effect
relationship.**

Two major elements in 'Results'

Change

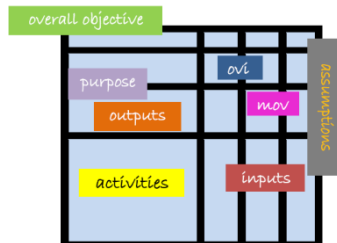
Measurable transformation

- In a group
- In an organization
- In a society
- In a country

Causality

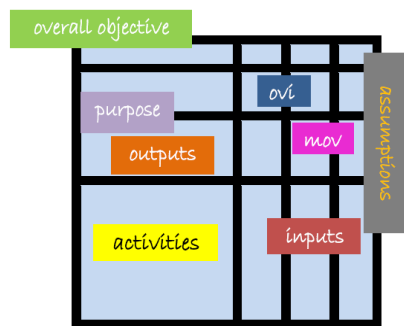
Cause and effect relationship between an action and the results achieved.

"If-then" logic.

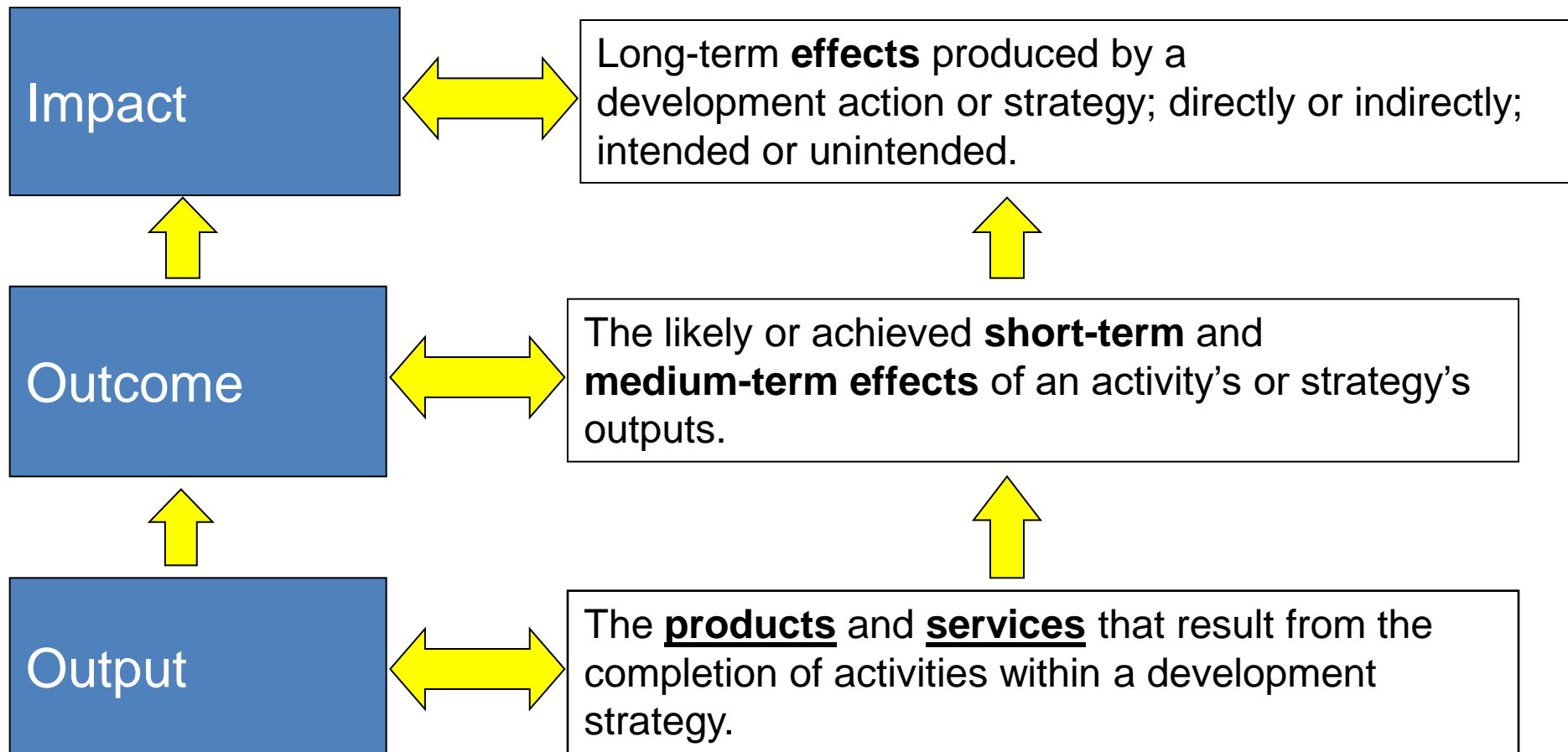


There is a hierarchy of change in *'results'*...

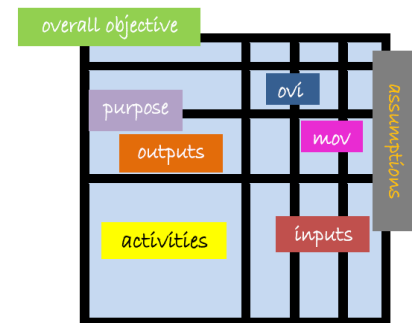
What are the three levels of results?



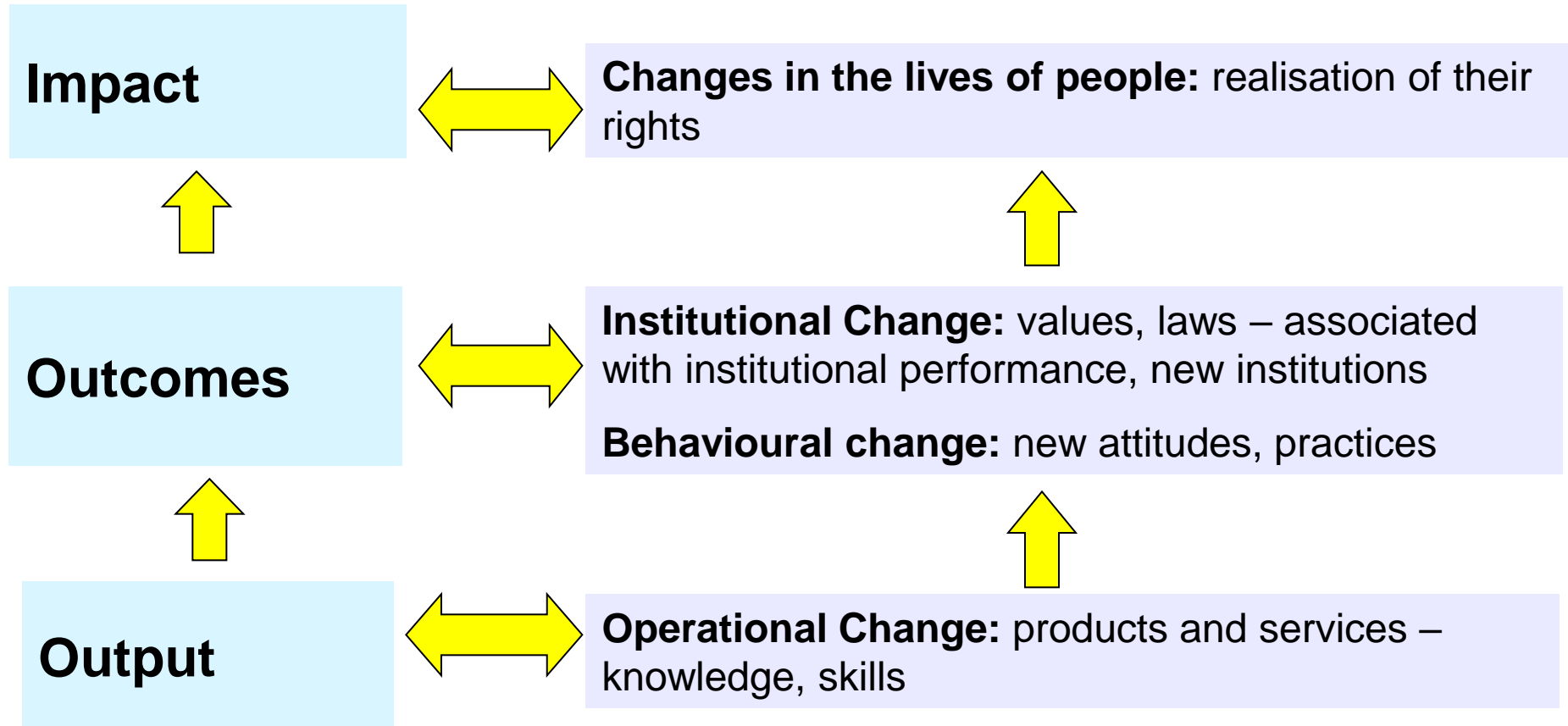
Hierarchy of Change

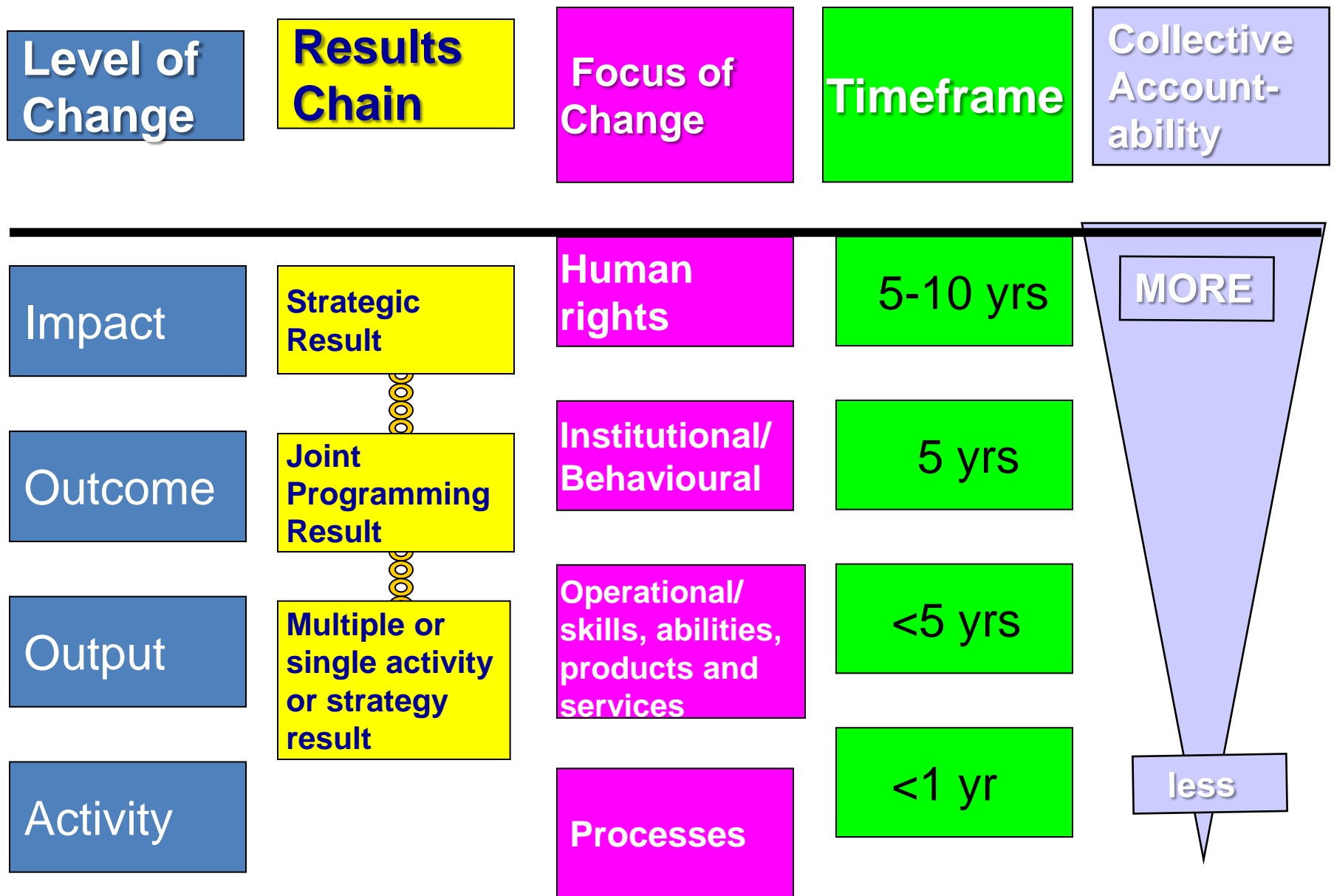


Let's talk now about the different 'types' of change we could measure at each level of the '*results*'...



Types of Change





‘Results’ are supposed to be S.M.A.R.T.



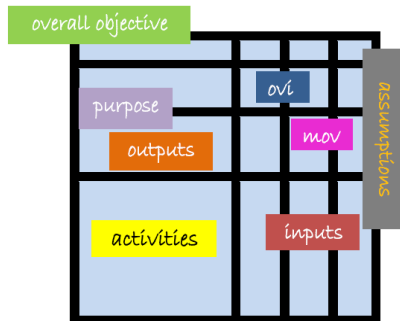
S Specific

M Measurable

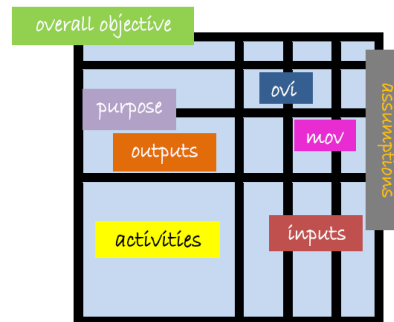
A Achievable

R Relevant

T Time bound



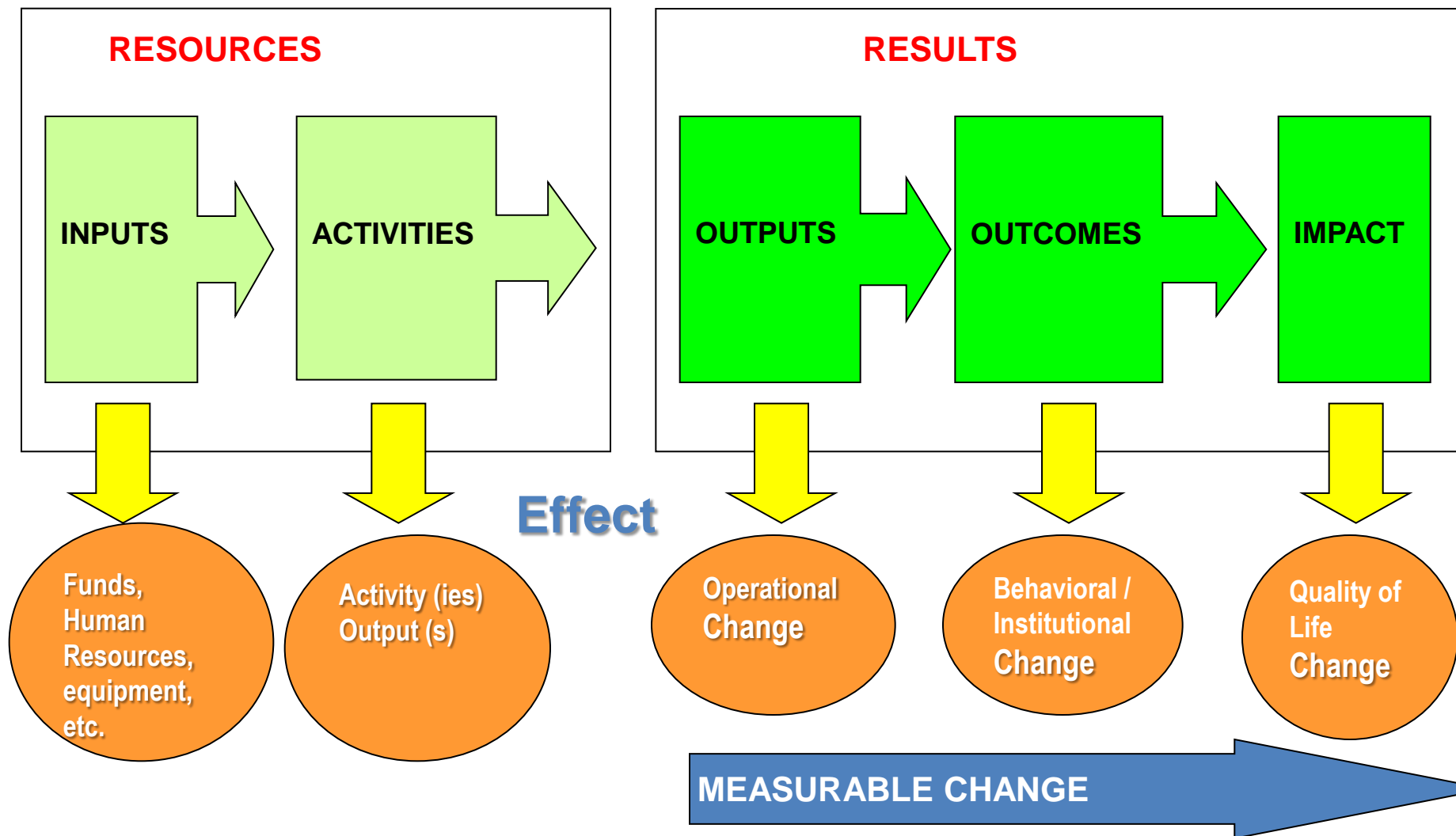
In summary...



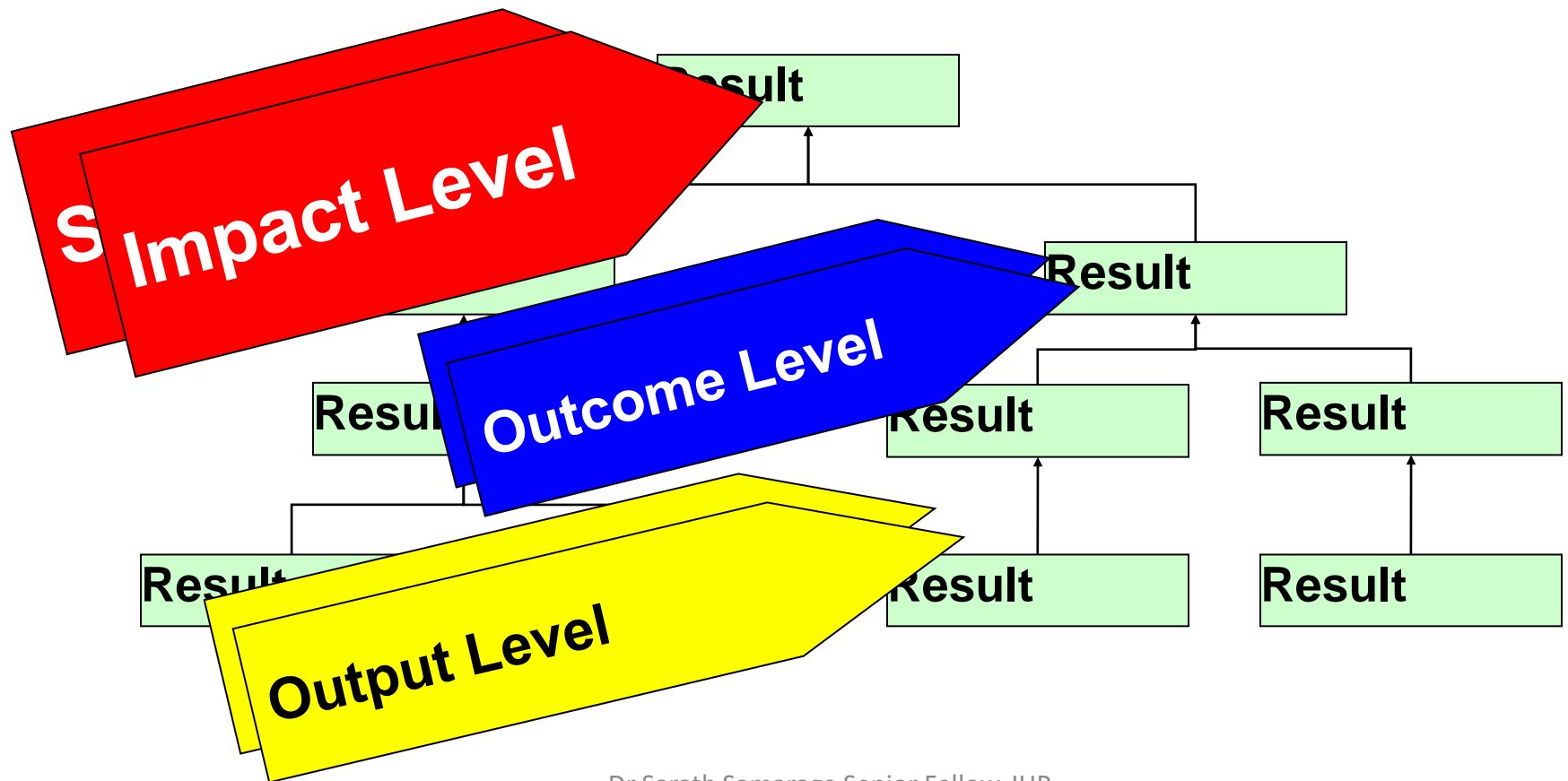
How?

What do we want ?

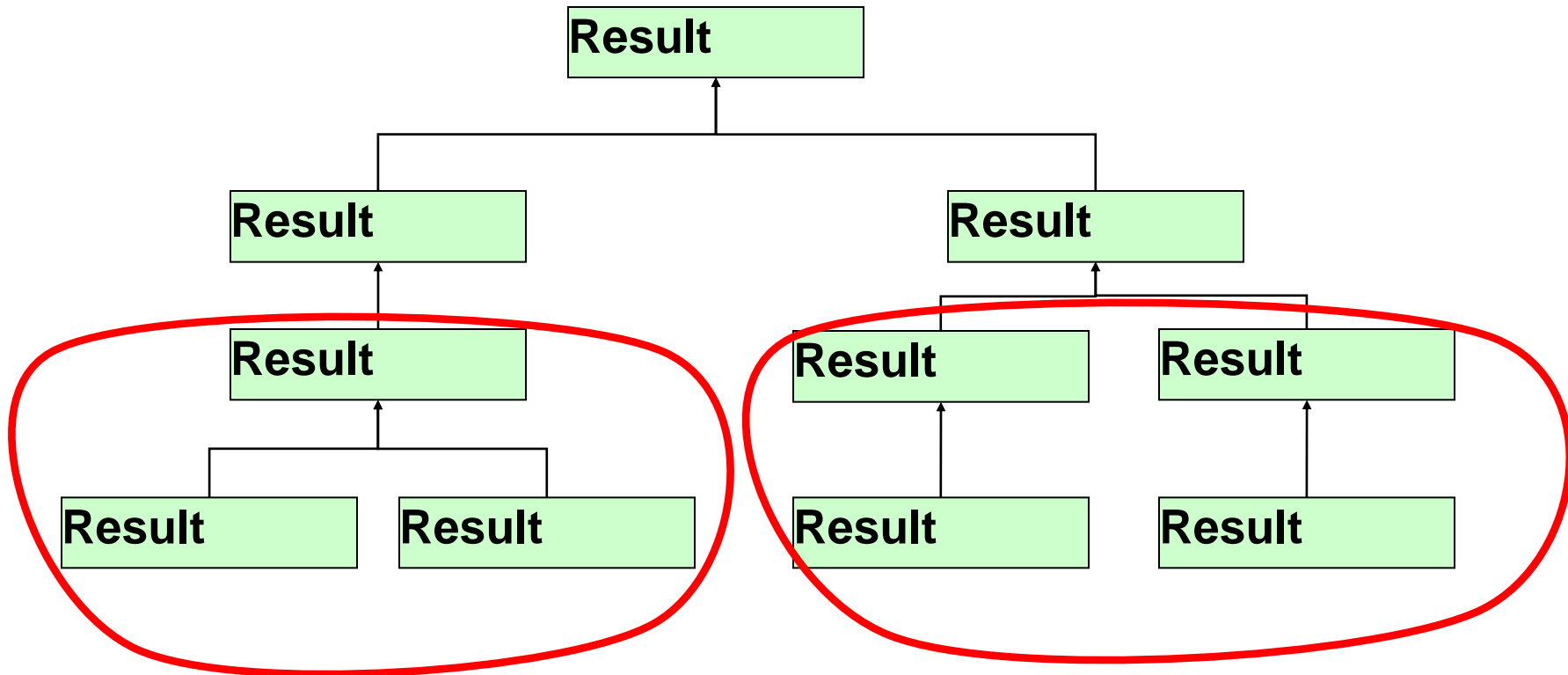
Why?



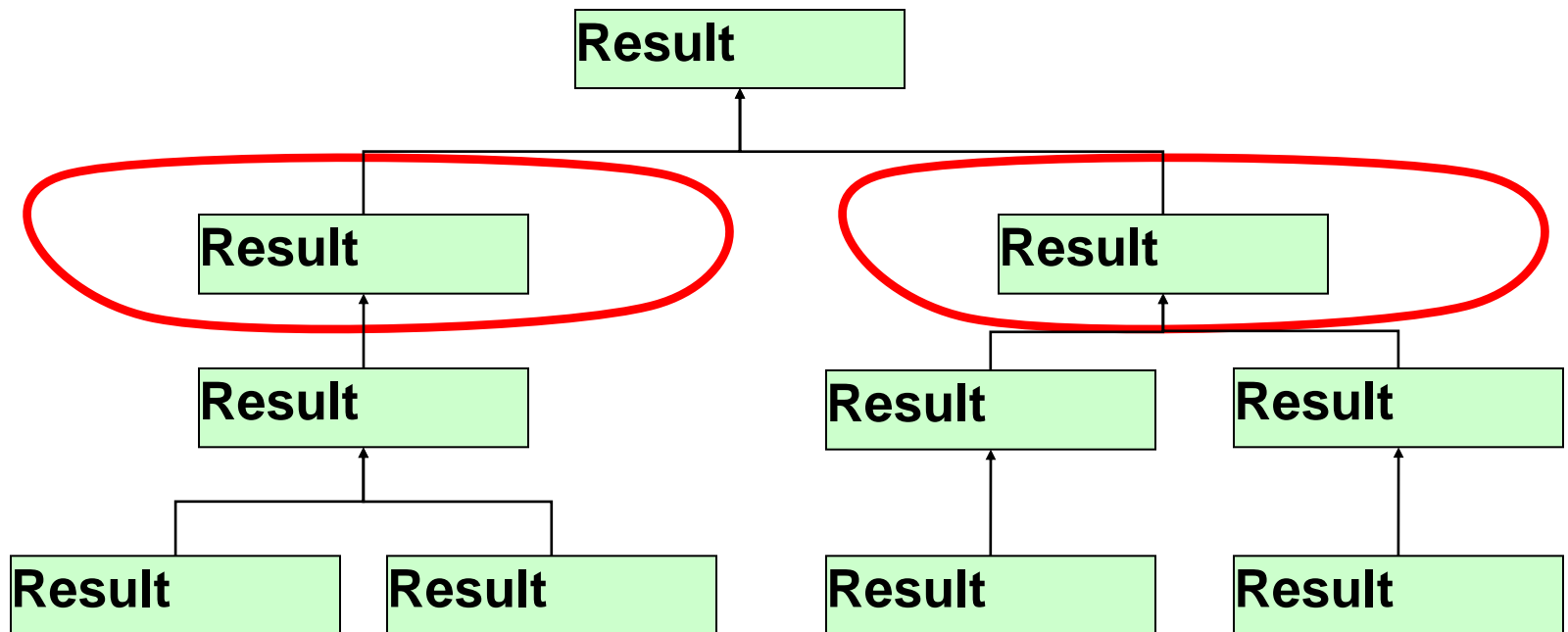
The results chain usually takes the form of a more complex results framework, preserving the levels...



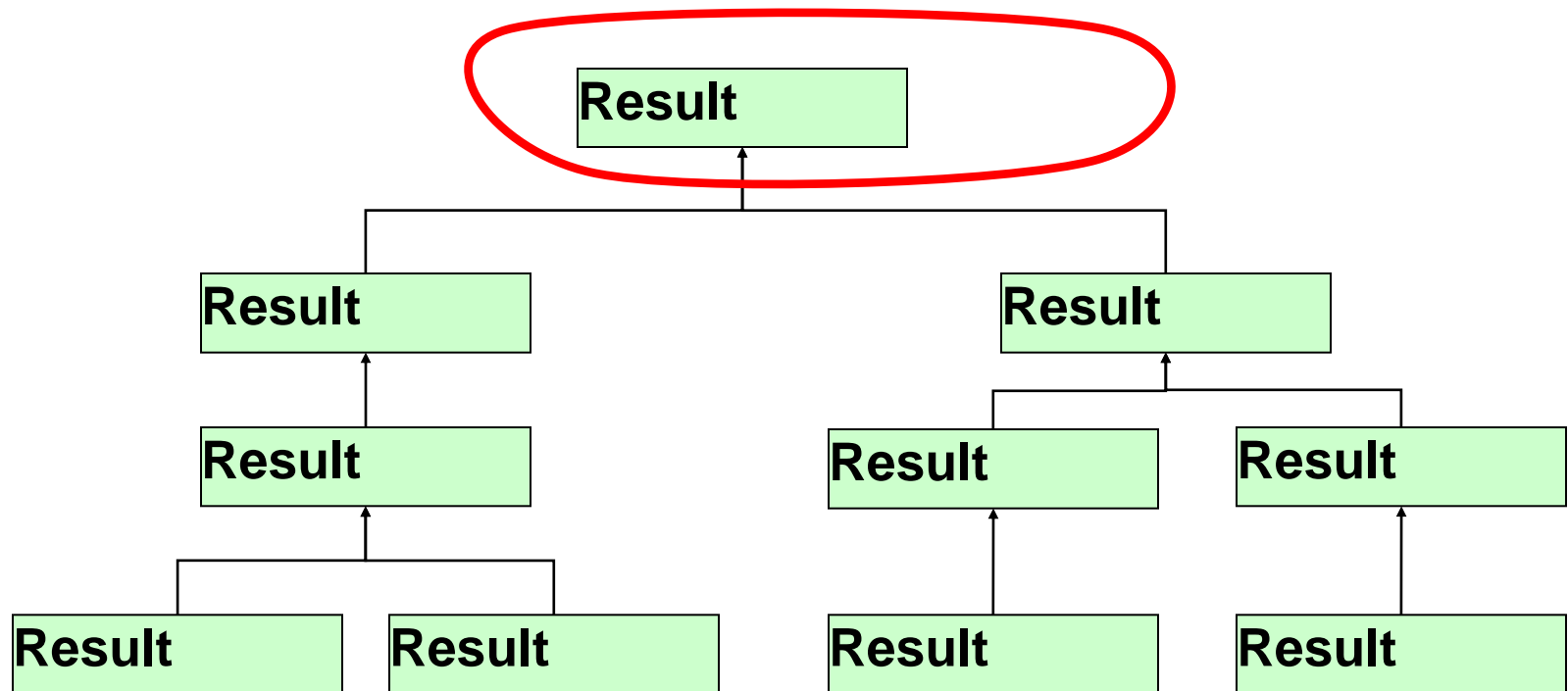
Program inputs (resources) and activities lead to output level results



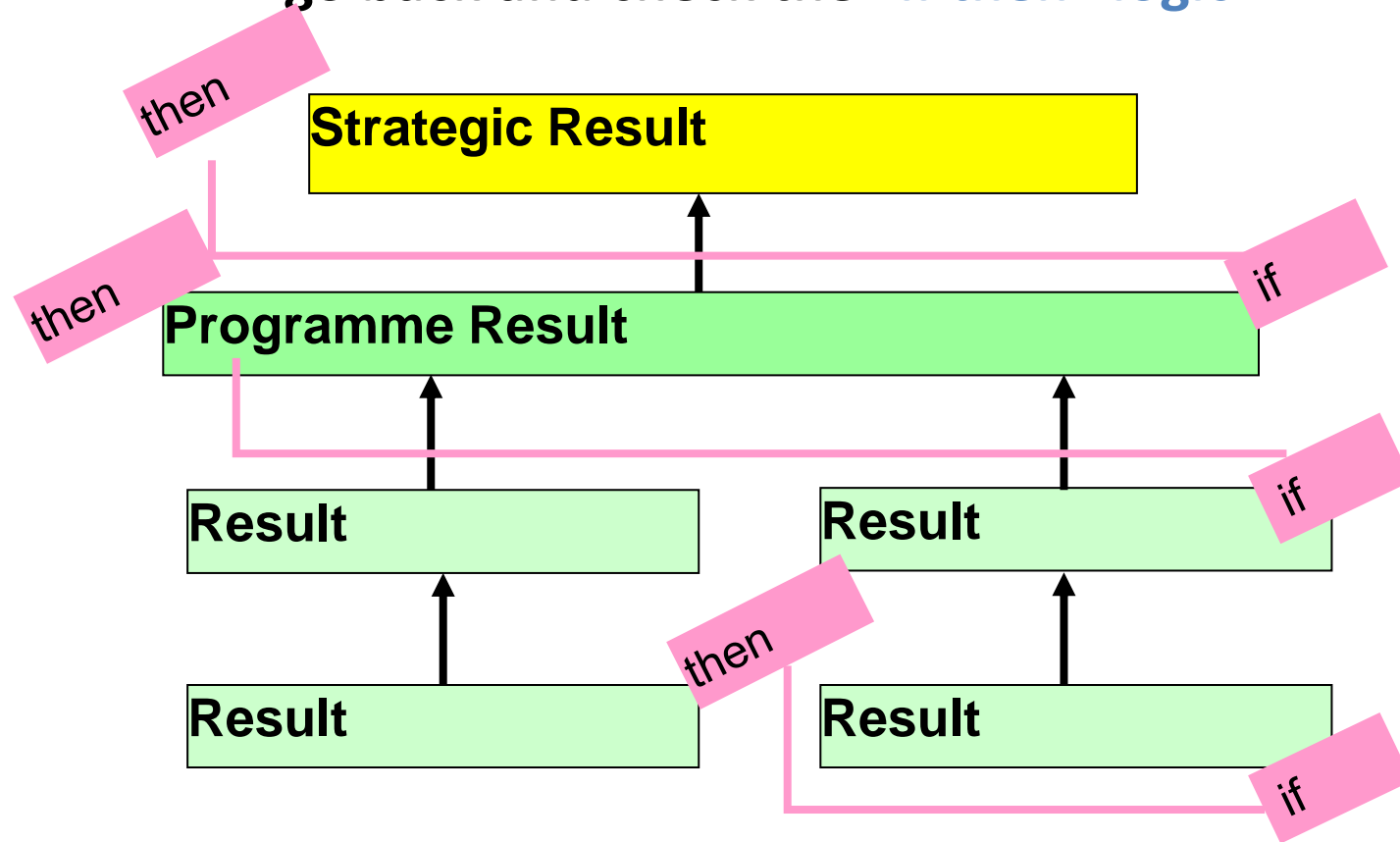
Combined Programme Results (outputs) lead to Programme Results at the outcome level



Combined Programme Results lead to Strategic Results at the impact level



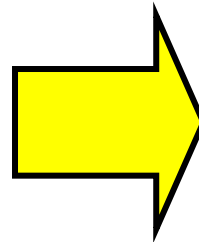
When all results have been consolidated into one matrix (logframe, UNDAF, AWP) go back and check the “if then” logic



Results Language = Change Language

Action Language

- ☐ expresses results from the provider's perspective
- ☐ can be interpreted in many ways
- ☐ focuses on completion of activities



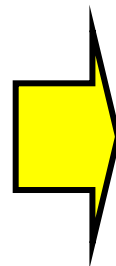
Change Language

- ☐ describes changes in the conditions of people
- ☐ sets precise criteria for success
- ☐ focuses on results, leaving options on how to achieve them

Refining Results

Action Language

1. To strengthen the capacity of teachers to teach life skills through training on gender competent, child friendly, learner directed learning approaches
2. The capacity of teachers to teach life skills is strengthened
3. By 2014, the capacity of all life skills teachers in the 5 Regions with the highest adolescent teen pregnancy rates is strengthened
4. All life skills teachers in the 5 Regions with the highest adolescent teenage pregnancy rates have increased capacity, by 2014, to teach life skills to school children



Change Language

1. Results language to emphasise future condition
2. Take out information relating to strategy or activities
3. All teachers everywhere? By the year 4,000? Be more specific!
4. Bring the subject of change to the front and shift from passive to active language

Example

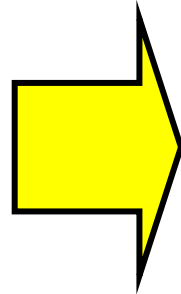
Action Language

Goal: *to decrease the number of children dying of malaria and malaria-related causes*

Objective: *to promote the use of long lasting insecticidal nets (LLINs)*

Activity: *train 100 teachers in participatory learning techniques*

Indicators: *number of TV and radio jingles providing malaria prevention education; number of LLINs distributed*



Change Language

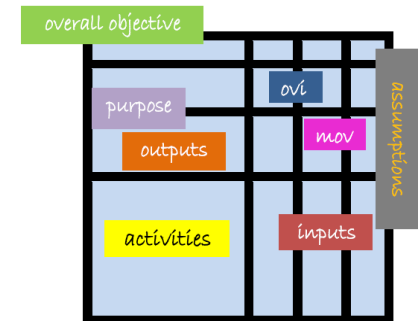
Impact Result: *Child mortality from malaria and related causes decreased from 30% to 5% by 2014*

Outcome Result: *at least 80% of people in endemic areas sleep under a long lasting insecticidal net*

Output Result: *2 teachers in 50 schools are trained in how to teach other teachers in participatory learning*

Indicator: *% of people who know that sleeping under an LLIN reduces the risk of malaria; % of people who sleep under a long lasting insecticidal net*

Let's look at another example of results based language...



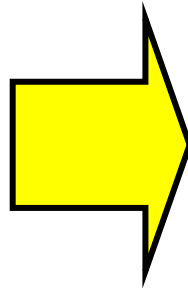
Suggested ...

Action Language

Increase the percentage of under 1 year olds fully immunized

Strengthen community capacity for water management in 180 sites

Increased commitment of communities to send boys to school and increased motivation of boys to stay in school as well as empowerment of boys



Change Language

Percentage of under one year olds fully immunised increased to 95% by 2011, in all regions

180 Community Water Committees have successfully maintained and managed their boreholes with no external assistance for one year

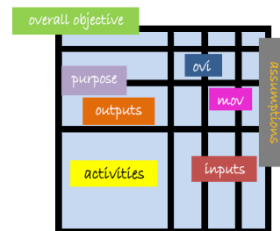
Male gross enrolment rate in primary school increased from 55% to 95% in 50 primary schools, by 2012.

95% of boys in catchment areas of 50 primary schools report strong, favorable attitudes towards boys completing primary school

In summary:

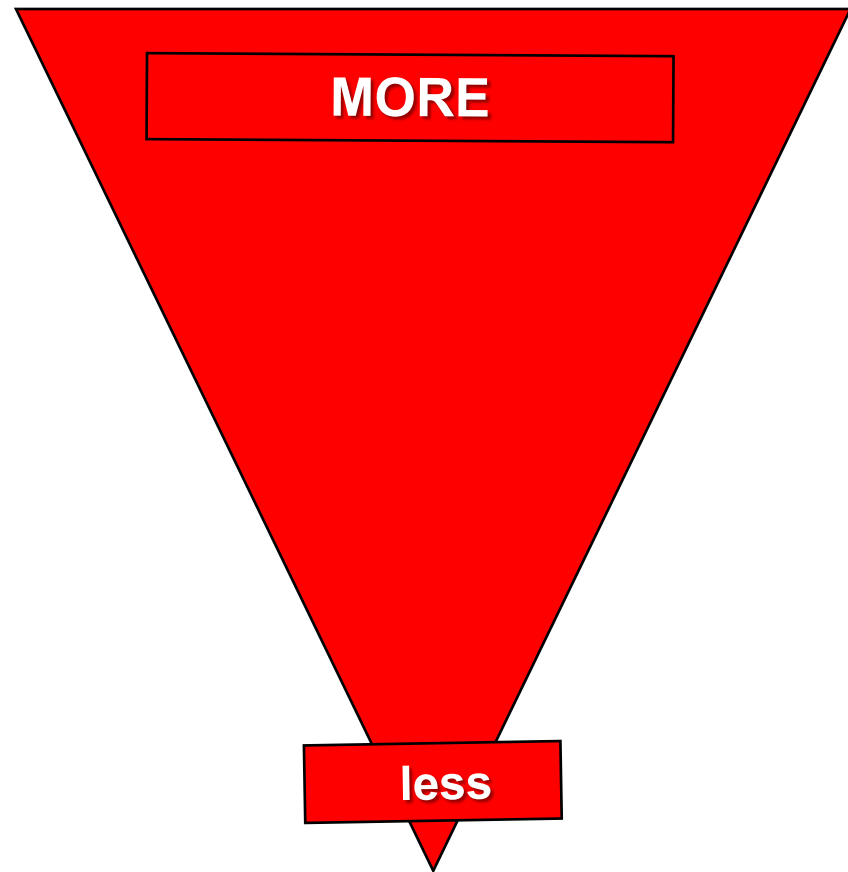
Principles of Results Based Planning

- Context specific causality analysis
- Hierarchical logic
- “If-then” causality between levels of results
- Collective accountability increases as you move up the hierarchy towards outcomes and impact



Collective Accountability

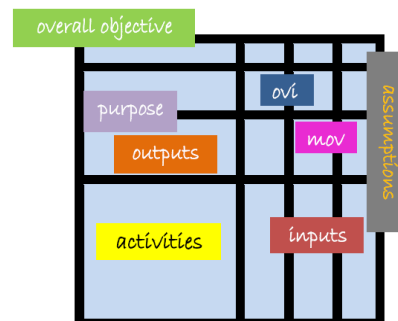
Collective
Accountability
increases as you
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impact



In summary:

Principles of Results Based Planning

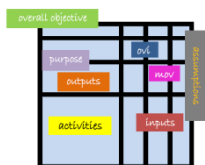
- Uses **change language** to describe a specific, measurable, achievable, relevant, time-bound result
- AND... based on **strategic choices** that **focus on realisation of improvement of human conditions**



Dr Sarath Samarage Senior Fellow, IHP

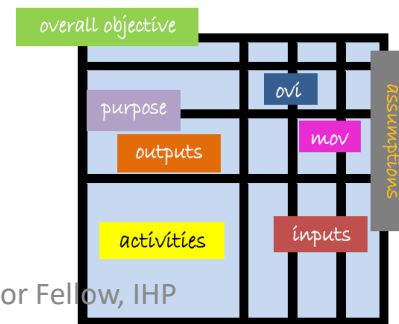
Perceived problems in applying RBM

- Difficult to apply causal logic, especially in relation to complex, non-transparent or multi-faceted processes
- Difficult to learn: RBM is not intuitive, not easily 'taught', years of usage required to achieve common understanding and practice
- Difficult to integrate, e.g. integrating gender and Human Rights concerns into the results chain and in indicators
- Difficult to revise, and therefore often becomes 'fixed'
- Difficult to measure: multitude of 'indicator types', difficulties in choosing a reasonable number, reliance on un-measurable indicators, seeking visibility in indicators, weak indicator tracking
- Difficult to 'attribute', especially at Outcome level (can be responsible, but not fully accountable)



So What is RBM?

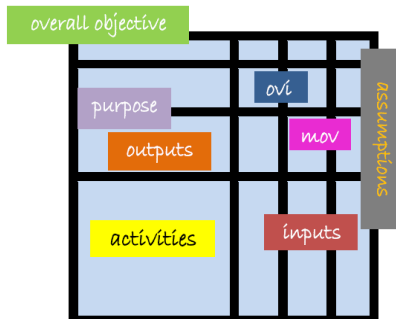
- A management philosophy and team approach emphasizing development results in planning, implementation, learning and reporting.
- Seeks to focus an organization's efforts and resources on the achievement of results.
- A primary performance measurement tool



Why RBM?

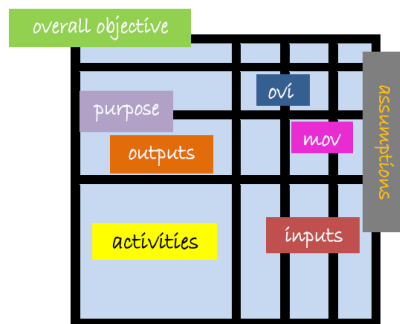
Results! That's what matters!

- *Credibility & Accountability* – through efficient and effective use of public and donor funds.
- Effective programme and project *management* through informed decision-making and resource allocation.
- A culture of rigorous performance measurement.
- Sustainability of Development Results.



Levels of Results

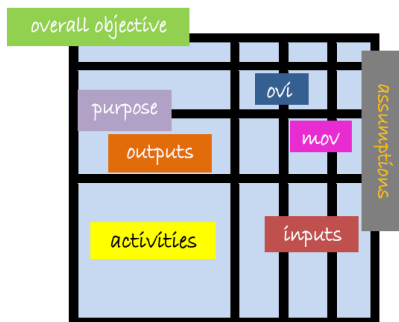
1. Output Results (short-term)
2. Outcome Results (medium-term)
3. Impact Results (longer-term)



Output Result

Immediate, visible, concrete developmental change that is the tangible consequence of project activities (inputs)

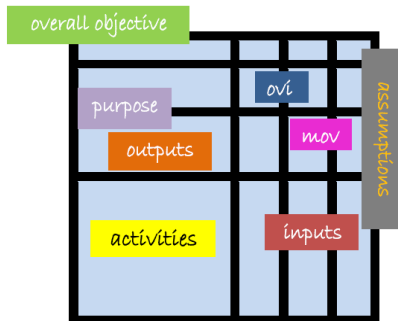
- Commonly expressed in terms of individuals/groups
- Should be achieved by the mid-point of a project



Outcome Result

The developmental change (in the beneficiaries of the project) that are the logical consequence of achieving a combination of outputs.

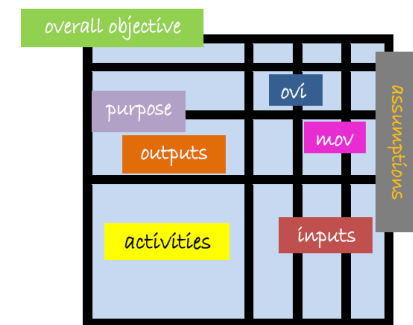
- Commonly expressed in terms of community, institution, organization
- Should be achieved by the end of a project



Impact Result

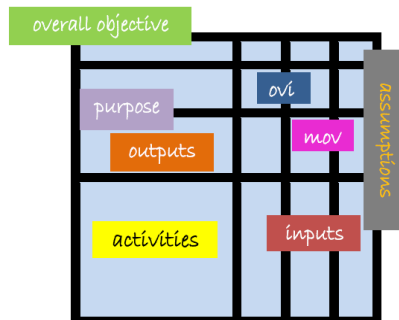
The higher level, long-term developmental change that is the logical consequence of achieving a combination of outputs and outcomes.

- Usually not measurable until after a project ends
- Linked to the project goal
- Expressed in terms of country, region
- Projects are not responsible for measuring results at the impact level



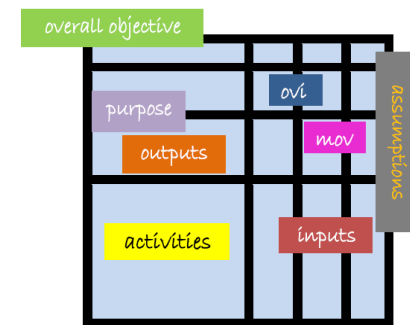
Inputs

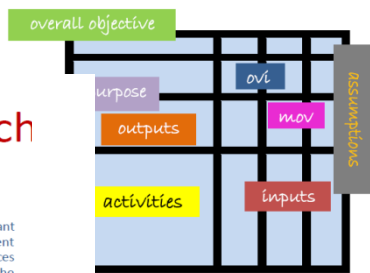
- The human organization and physical resources contributed directly or indirectly by the stakeholders of a project.



Activities

- The coordination, technical assistance and training tasks organized and executed by project personnel





Differences: Output Results and Activities

Activities are actions to be undertaken within the scope of the project.

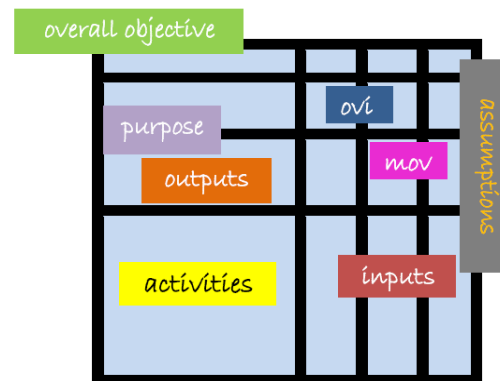
Completed activities are not output results.

Output results are the short-term effects of completed activities.

Results Statements

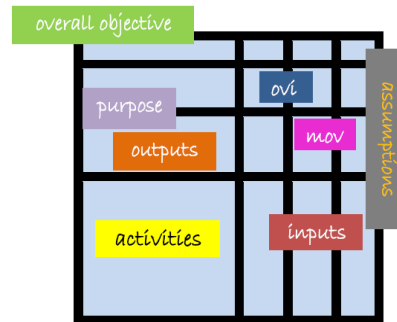
Normally expressed in terms such as:

- Increased
- Decreased
- Improved
- Enhanced
- Strengthened



Unanticipated Results

- Results achieved that were not expected in the first place.
- These should also be documented and reported.



Assumptions and Risks

- **Assumptions** are conditions necessary for positive results.

Examples:

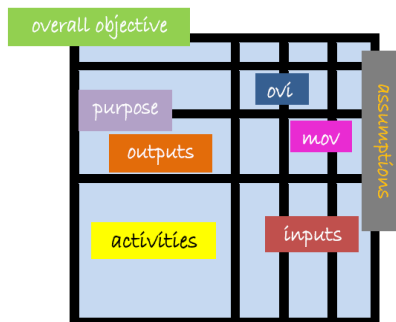
- Parents of school students will cooperate by sending household solid waste to school (for a school based solid waste management project which trains students hands-on on solid waste management).
- A project has stable management.

- **Risks** are factors that could negatively affect the results.

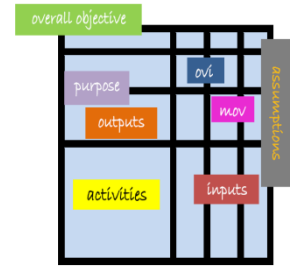
Examples:

People will not buy products made from solid waste in the school.
(external risk)

Managers leave before the project is completed. (internal risk)

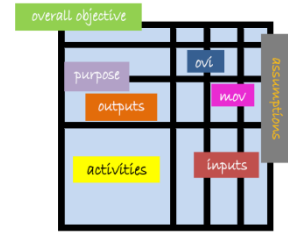


Indicators



- Indicators describe how the intended results will be measured - accountability
- Objectively verifiable, repeatable measures of a particular condition
- They force clarification of what is meant by the resultthe fine print!
- Must be accompanied by baselines and targets

Indicators



Quantitative indicators:

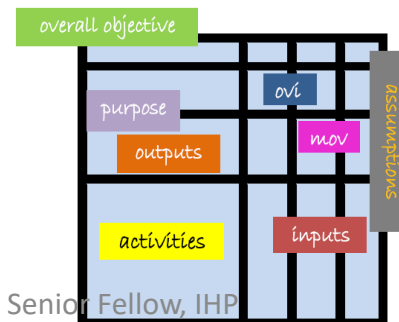
- Measures of quantity
- Examples: # of, % of, frequency of

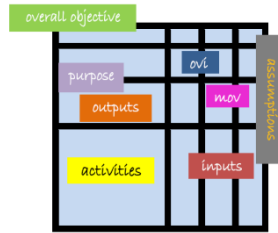
Qualitative indicators:

- Involve people's perceptions about a subject
- Examples: quality of, extent of, degree of...

Avoid Some Common RBM Mistakes

- confusing completed activities with outputs
- unclear linkages between the different levels of results so that it becomes hard to establish how a specific result has been achieved
- unrealistic results (which are usually too ambitious!) given the resources at hand and the duration of the project
- too much reliance on quantitative indicators vs qualitative indicators
- confusing indicators with results
- not being sufficiently explicit in how the project will generate change
- monitoring and reporting more on activities than results.





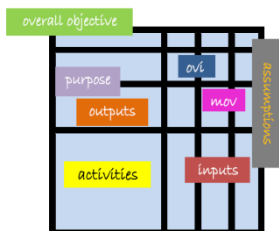
Results-based Management and Being Strategic

Definition: “Strategic planning is creating a vision of the future and managing toward that expectancy”

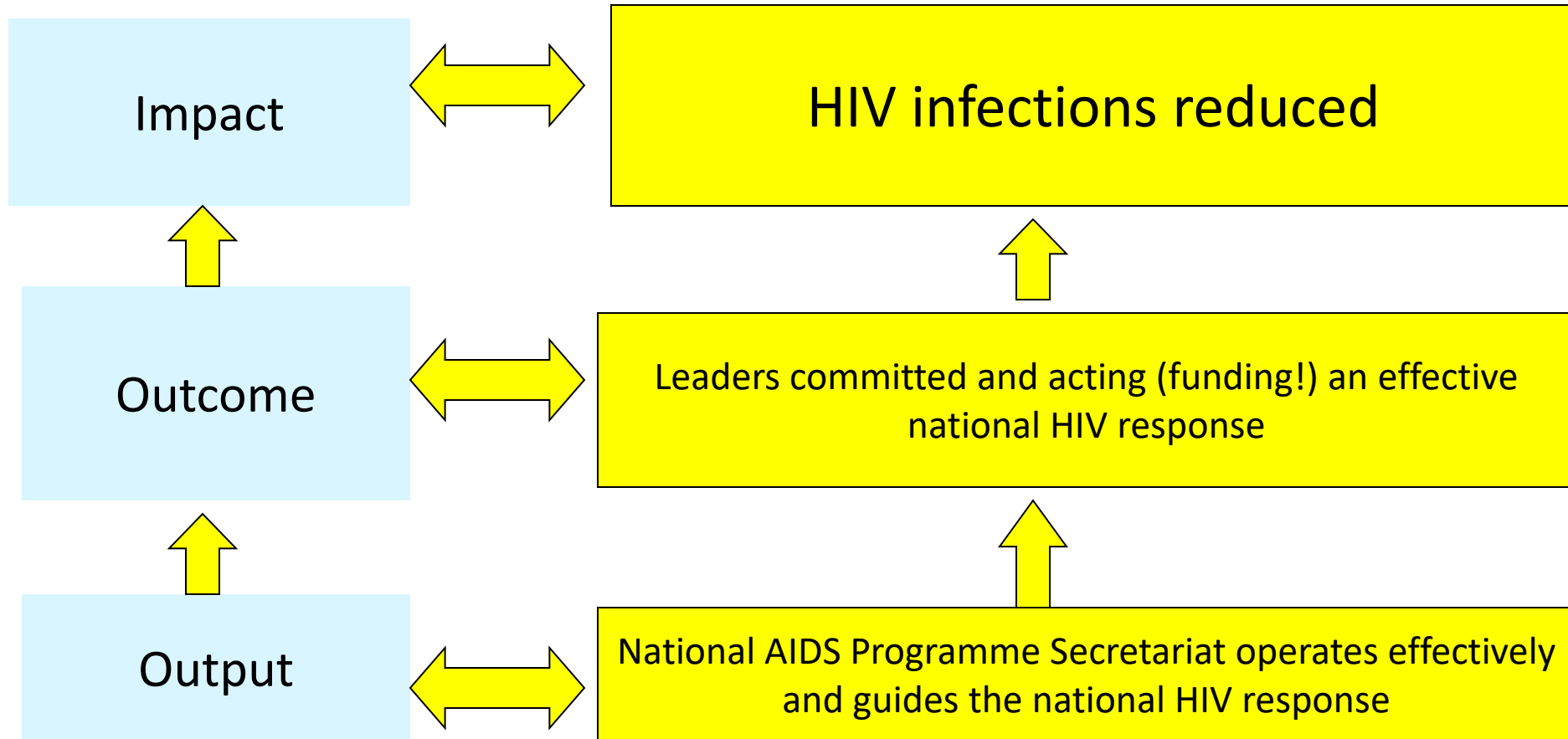
It's an effective process for aligning your short-term decisions with your long-term goals

Strategic planning answers the three big questions:

- 1. Where are we today?**
- 2. Where do we want to be in the future?**
- 3. What should we be focused on today, in order to make it more likely we will be where we want to be in the future?**

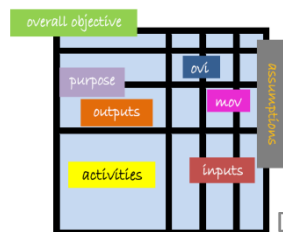


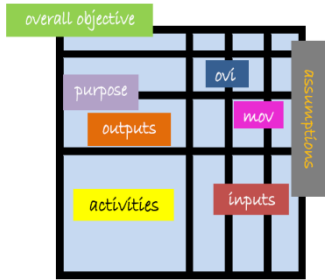
Levels of Results



Indicators

- All indicators must be accompanied by baselines and targets. Without these, measurement of change over time is not possible.
- **Baselines** establish the value of the indicator at the beginning of the planning period
- **Targets** describe expected values upon completion of the plan
- **Performance monitoring** of the indicator tells us about actual achievement, compared to the original target



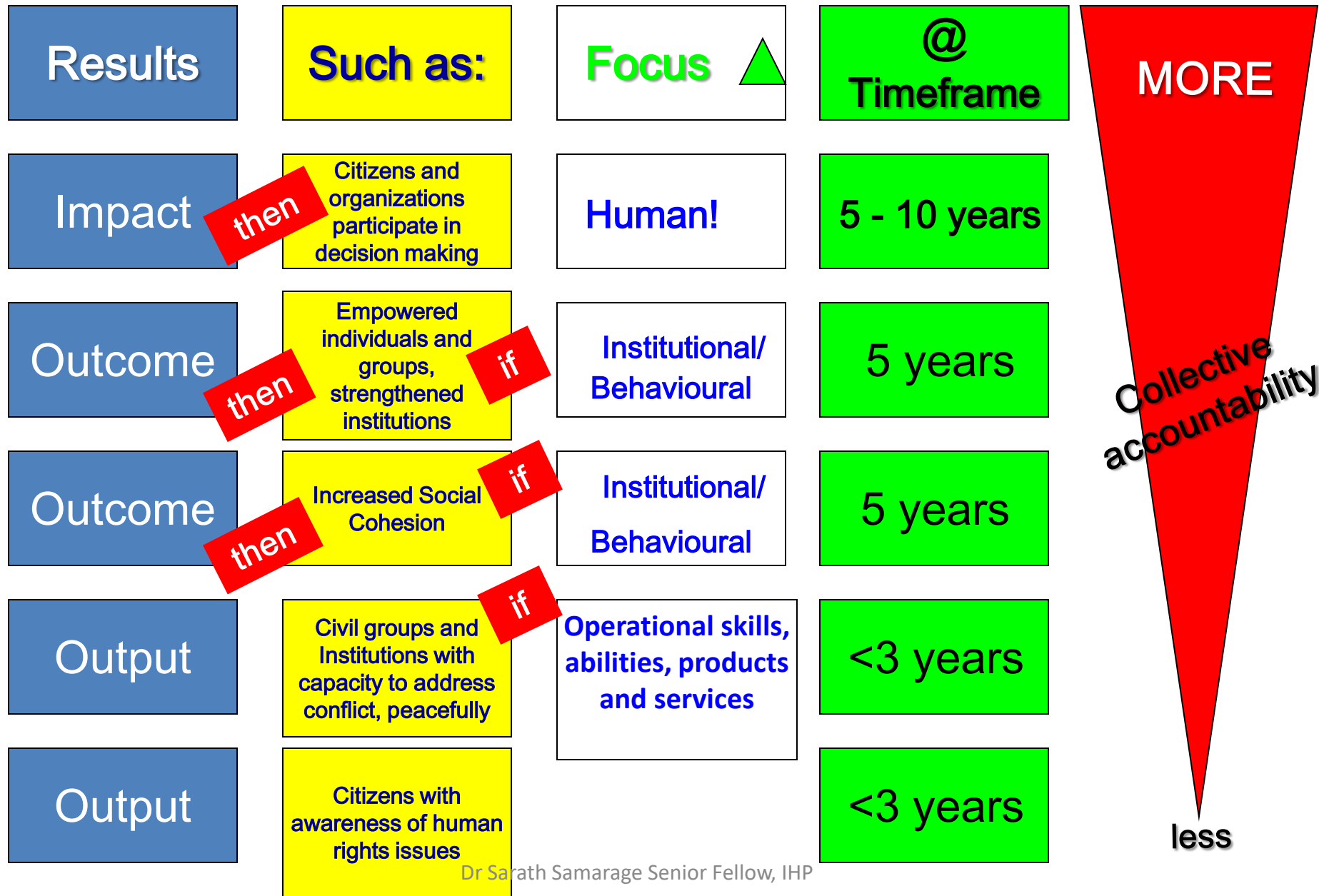


Sustaining Results

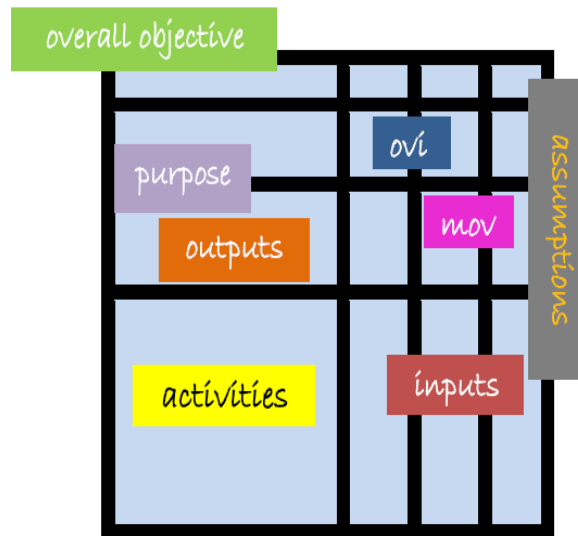
Elements of a Results-Based Culture

- Mission focused – results driven
- Relational – actions have corresponding reactions
- Information based – more informed decisions
- Openness to Change – continuous learning

A typology for RBM-Governance, Participation



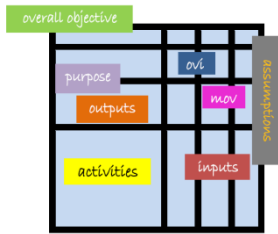
Risks and Assumptions



Assumption: A Definition

- A necessary condition for the achievement of results at different levels.
- Part of the cause-effect logic
- Stated as though it is actually the case
- Less probable at the higher level of the hierarchy
- Can help identify additional results or outputs





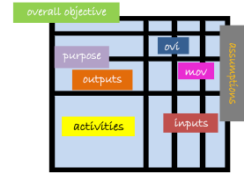
Risk: A Definition

- A potential event or occurrence beyond the control of the programme or project that could *adversely affect* the achievement of the desired results
- A threat to success
- Not just the negative of an assumption
- A trigger for reconsideration of strategic direction

Monitoring vs. Evaluation

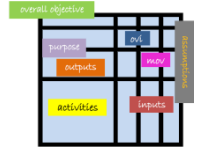
Monitoring	Evaluation
Systematic, <u>ongoing</u>	• Systematic, <u>periodic</u>
During programme implementation	• During <u>and</u> after programme implementation
<u>Tracking</u> of activities and progress	• <u>Judgment</u> of merit, value or worth of a programme/project
According to AWP	• Compared to <u>evaluation criteria</u> (relevance, effectiveness, impact)
For short term corrective action	• For decision-making about future programmes
Accountability for implementation	• Accountability for results
Contributes to evaluation	• For office & organizational learning
Conducted by <u>insiders</u>	• Conducted by <u>impartial outsiders</u>
<i>Are we doing things right?</i>	• <i>Did we do the rights things?</i>

Typical pitfalls



- Wordy (..and no change language)
“To promote equitable economic development and democratic governance in accordance with international norms by strengthening national capacities at all levels and empowering citizens and increasing their participation in decision-making processes...”
- Too ambitious
“Strengthened rule of law, equal access to justice and the promotion of rights...”
- Containing multiple results
“The state improves its delivery of services and its protection of rights—with the involvement of civil society, and in compliance with its international commitments ...”

Typical pitfalls



- Wishy-washy, not a result (*ie. Support provided to improve..*)
Support to institutional capacity building for improved governance
- So general, they could mean anything
To promote sustainable development and increase capacity at municipal level
- Overlapping with higher goals
Substantially reduce the level of poverty and income inequality in accordance with the MDGs
- Confusing means and ends
Strengthen the protection of natural resources through the creation of an enabling environment that promotes sound resources management



OUTCOMES

KEY FEATURES

Outcomes describe the intended changes in development conditions resulting from UN Country Team cooperation. They relate to changes in institutional performance or behaviour among individuals or groups as viewed through a human rights-based approach lens. Achievement of outcomes depends critically on the commitment and actions of stakeholders, as well as on results to be achieved by government and other partners outside the UNDAF.

UNDG RBM Handbook, 2011

Outcomes are high level results.

They are the collective priorities of the UN system at country level, and they usually require the contributions of two or more agencies working together with their government and civil society partners.

CHECKLIST FOR VALIDATING OUTCOMES	YES	NO
✓ The outcome conveys high level institutional and/or behavioural changes		
✓ It conveys change rather than on-going services (eg. support provided to improve)		
✓ The outcome <u>does not repeat</u> the National goal statement		
✓ The outcome includes a subject of the intended change (a “who”)		
✓ The outcome addresses one or more underlying or root causes of problems identified in the country analysis		
✓ The outcome is specific, it does not combine two or more different types of results, and is not so general that it could cover just about anything		
✓ It is realistic – It is likely to be achieved over a five year period		



OUTPUTS

KEY FEATURES

Outputs are changes in skills or abilities, or the availability of new products and services that must be achieved with the resources provided and within the time-period specified. Outputs are the level of result where the clear comparative advantages of individual agencies emerge and where accountability is clearest. Results should be formulated in change language.

UNDG RBM Handbook, 2011

Outputs should be:

- **Tangible**
- **Deliverable**, and
- **Sufficient to achieve the expected outcomes**

A rule of thumb for outputs:

In general, if the result is mostly beyond the control or influence of the programme or project, it cannot be an output.

CHECKLIST FOR VALIDATING OUTPUTS	YES	NO
The output is a new product or service, new skill or ability that can be developed and/or delivered by one UN agency working with its partners.		
The output is linked to one (and only one) outcome.		
Each output is stated using change language, and in the form of a deliverable, that will be completed in less than 5 years.		
There is obvious or intuitive causality between the output and the outcome to which it contributes (If ...then).		
The output <u>does not repeat</u> the outcome statement above it.		
The output <u>is not</u> a completed activity (eg. Training conducted; Workshop completed; Survey implemented – these are activities).		
The sum of the outputs is sufficient to achieve the higher level outcome.		
The output is specific; it does not combine two or more different types of results, and is not so general that it could cover just about anything.		



INDICATORS

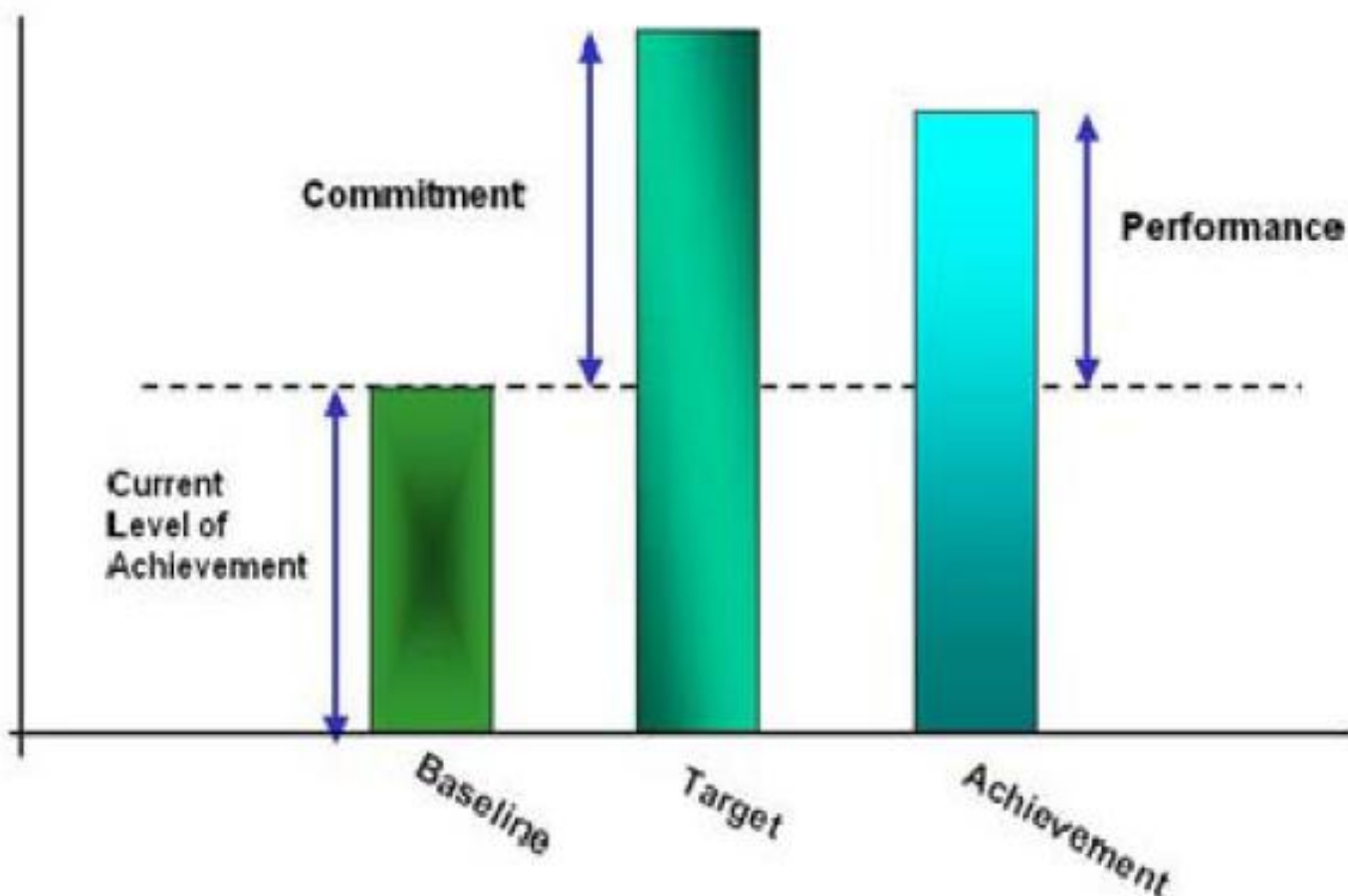
KEY FEATURES

Indicators are quantitative or qualitative variables that allow the verification of changes produced by a development intervention relative to what was planned. Quantitative indicators are a number, percentage or ratio of. In contrast, qualitative indicators seek to measure quality and many times are based on perception, opinion or levels of satisfaction.



**UNITED NATIONS
DEVELOPMENT GROUP**

Figure: Baseline, targets and achievement



Good indicators need to be **SMART**:

Specific: Is the indicator specific enough to measure progress towards the results?

Measurable: Is the indicator a reliable and clear measure of results?

Attainable: Are the results in which the indicator seeks to chart progress realistic?

Relevant: Is the indicator relevant to the intended programme results? And national standards?

Time Bound: Are data available at reasonable cost and effort?

CHECKLIST FOR VALIDATING INDICATORS	YES	NO
✓ The definition of indicators has involved those who performance will be measured.		
✓ Those who performance will be judged by the indicators will have confidence in them.		
✓ The indicator describes how the achievement of the result will be measured		
✓ Each and every variable included in the indicator statement is measurable with reasonable cost and effort		
✓ The indicator is clear and easy to understand even to a layperson		
✓ The indicator lends itself to aggregation		
✓ The indicator can be disaggregated by sex, ethnicity or social condition		
✓ A baseline current value can be provided for each and every variable in the indicator statement		
✓ There is a target during a specified timeframe for each and every variable in the indicator		
✓ The indicator is not repeated in any of the results below or above the results framework		

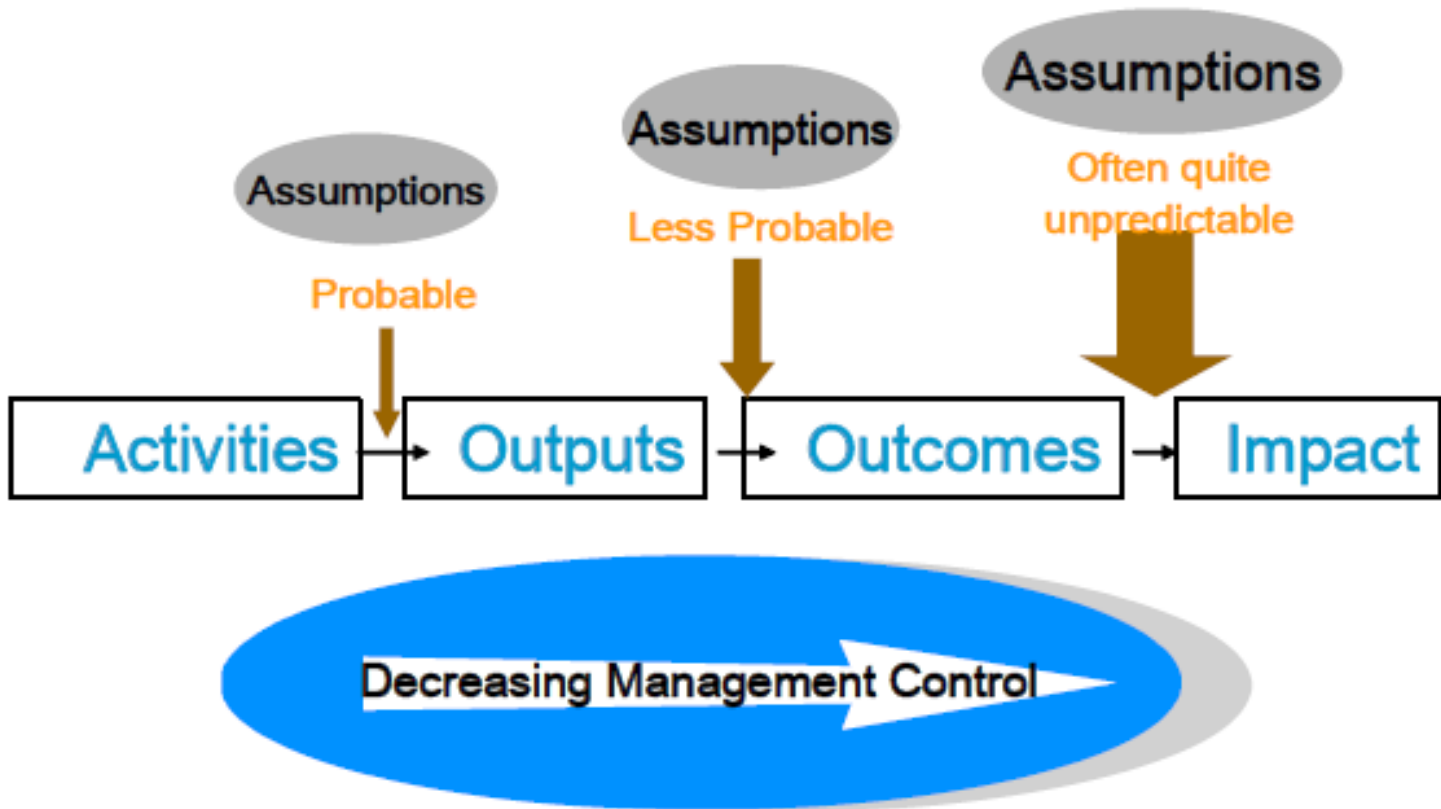
ASSUMPTIONS & RISKS

KEY FEATURES

Assumptions can be defined as the necessary positive conditions that allow for a successful cause-and-effect relationship between the different levels of results.

Risk corresponds to a potential future event, fully or partially beyond control that may (negatively) affect the achievement of results.

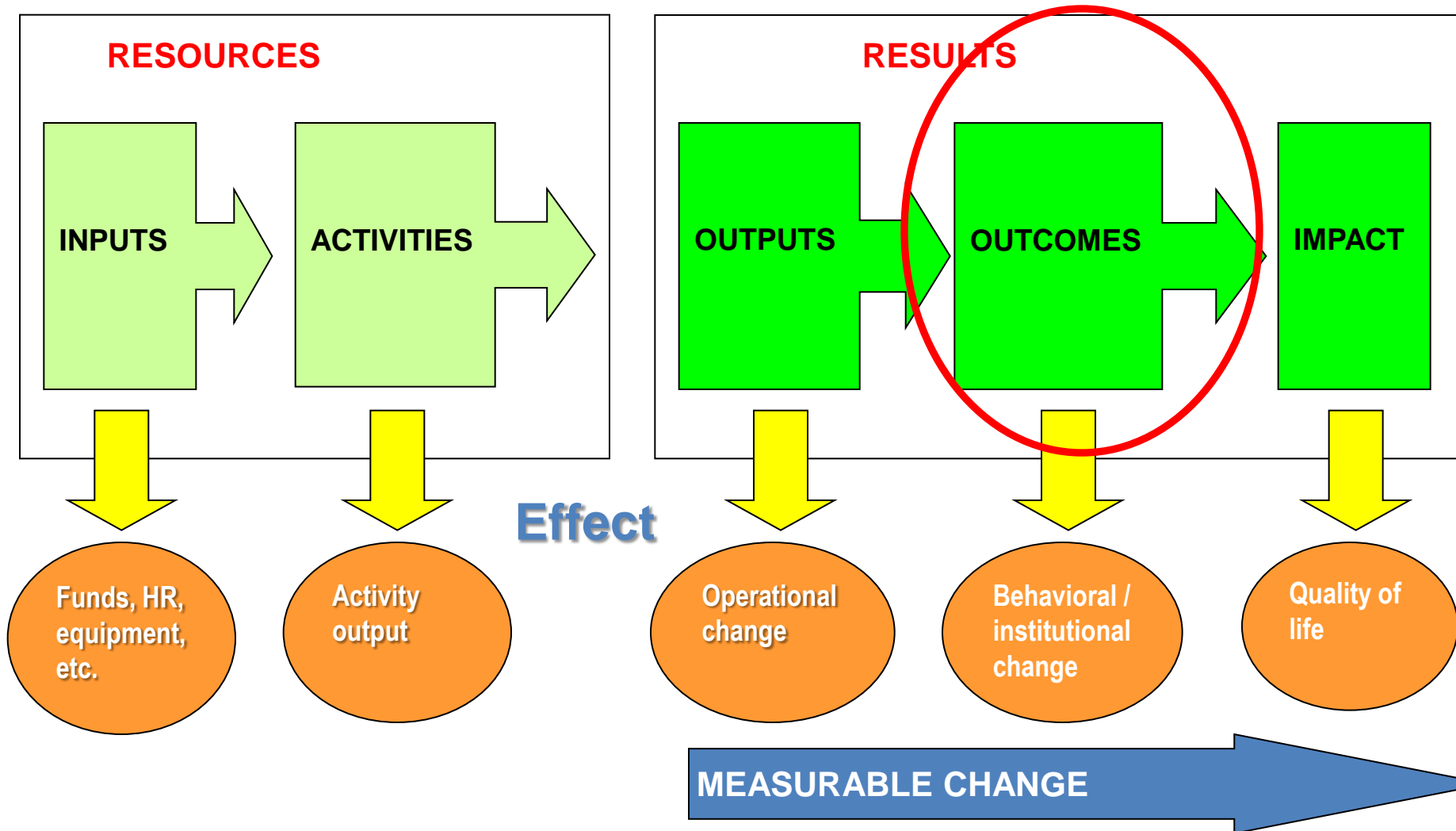
Assumptions & Probability



How?

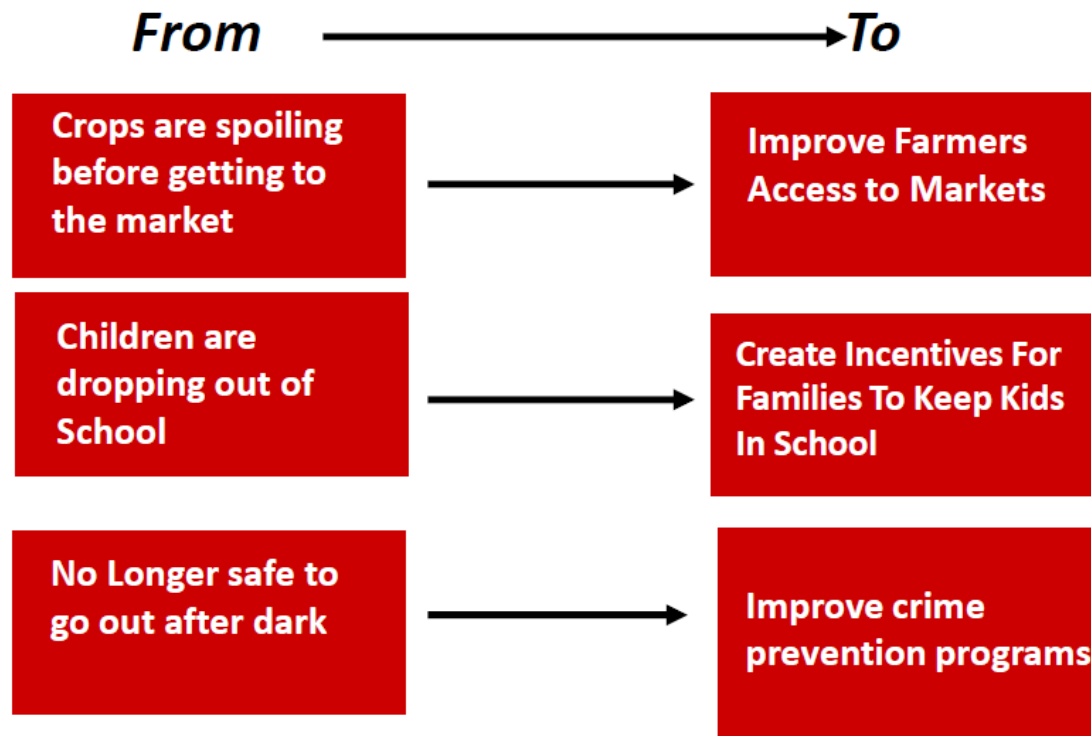
What do we want ?

Why?



Developing Outcome Statements

Reformulate the concerns identified by stakeholders into positive, desirable outcomes



Outcomes Statements Need Disaggregation

Outcome: Increase the percentage of employed people

In order to know when we will be successful in achieving this outcome, we need to disaggregate the outcome to answer the following:

- For whom?
- Where?
- How much?
- By when?

Outcomes are usually not directly measured—only reported on

Outcomes must be translated to a set of key indicators

Outcome Statements Should Capture Only One Objective

Why? Consider this Outcome Statement:

- Students in rural areas improve learning and gain better quality of life.

What are the measurement issues?

In Summary: Why an Emphasis on Outcomes?

- Makes explicit the intended objectives of government action
(“Know where you are going before you get moving”)
- Outcomes are the results governments hope to achieve
- Clear setting of outcomes is key to results-based M&E system
- Note: Budget to outputs, manage to outcomes!

Identifying Outcomes

INSTRUCTION:

- Read the following scenario carefully
- Reformulate the concerns identified in the scenario into desirable outcomes

Reformulate the concerns identified in the scenario and link them to clearly stated programme outcomes

Identifying Outcomes

The Government of Country X is embarking on a major reform effort to improve and modernize its secondary education system in order to improve the ability of its graduates to find employment in the field of science. One of the key problems facing the country's secondary education system is the lack of qualified teachers in science and math. In addition, there is a need for new science equipment and computers to assist in the learning process. The Government will allocate approximately \$5 million each year over the next 3 years to bring the secondary education system to the instructional standards

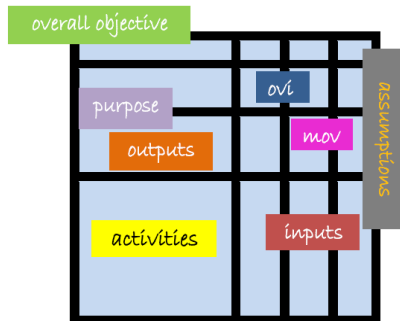
S Specific

M Measurable

A Achievable

R Relevant

T Time bound



Selecting Key Performance Indicators to Monitor Outcomes

- Outcome indicators are not the same as outcomes
- Each outcome needs to be translated into one or more indicators
 - An outcome indicator identifies a specific ***numerical measurement*** that tracks progress (or not) toward achieving an outcome

An Outcome Indicator

Answers the question:

***“How will we know
success when we see it?”***

Selecting Outcome Indicators

The “CREAM” of Good Performance

A good performance indicator must be:

- | | |
|---------------------|---|
| C lear | (Precise and unambiguous) |
| R elevant | (Appropriate to subject at hand) |
| E conomic | (Available at reasonable cost) |
| A dequate | (Must provide a sufficient basis to assess performance) |
| M onitorable | (Must be amenable to independent validation) |

When Selecting Your Project, Program, or Policy Indicators

- Select a few for each outcome
- Make sure the interest of multiple stakeholders are considered
- Know that over time, it is ok (and expected) to add new ones and drop old ones
- Have at least three points of measurement before you consider changing your indicator

How Many Indicators Are Enough?

The minimum number that answers the question:

“Has the outcome been achieved?”

QUESTION	KEY WORD	YOUR ANSWER
What is the problem your project seeks to address?	Problem	
Who stands to benefit?	Who?	
What are the major activities in the project?	Activities	
What are the outputs of these activities?	Outputs	
What outcomes will these outputs produce?	Outcomes	
Toward what single impact is the project contributing?	Impact	
What key constraints will influence the project as you move from activities to outcomes	Constraints	
What indicators will you use to measure progress toward achieving the project's outputs and outcomes?	Indicators	

Achieving Results Through Partnership

