



Capacity-Building
& Knowledge Sharing
for Small and Medium
Organizations (SMO)



RESULTS – BASED MANAGEMENT 201

Participant Manual

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ACRONYMS

RBM	Results Based Management
SMO	Small and Medium Organisations
M&E	Monitoring and Evaluation
GAC	Global Affairs Canada
CRIAW-ICREF	Canadian Research Institute for the Advancement of Women - Institut canadien de recherches sur les femm
PMF	Performance Measurement Framework
GEIA	Gender Equality and Intersectional Analysis
LM	Logic Model
GE	Gender Equality
SMART	Specific. Measureable. Achievable. Relevant. Time bound
LFA	Logical Framework Approach
UNDP	United Nations Development Programme
SIDA	Swedish International Development Agency
C-EFE	CARICOM Education for Employment Program

CURRICULUM OVERVIEW

Workshop Objectives

- Equip Canadian SMOs with the knowledge and skills to apply Results-based management (RBM) principles, standards, tools, processes and best practices in the context of Canadian SMOs
- Allow participants to apply their learning, and deepen their skills and understanding of RBM in a collaborative setting
- Reinforce participants capacities to integrate gender sensitive, responsive, and transformative approaches

Curriculum Outline

Curriculum Outline

The RBM 201 workshop is divided into three modules.

Module 1: RBM Fundamentals will focus on capitalizing upon the lessons learned in [RBM 101](#). This first module will prepare participants to set the vision and define the results map, the two first steps in the project cycle. Three lessons will enable workshop participants to apply their knowledge from RBM 101 and set the vision for a case study project.

- Lesson 1: Situational Analysis and How to Apply an Intersectional Gender Lens
- Lesson 2: Stakeholder Analysis
- Lesson 3: Theory of Change

Module 2: Logic Models and Indicators will focus on the logic model and Performance Measurement, taking advantage of participants' knowledge and learning from RBM 101, transitioning from theory to application. The lesson in this module will enable workshop participants to build a logic model for a case study project and develop quantitative, qualitative and gender-sensitive indicators.

- Lesson 4: Logic Modelling
- Lesson 5: Performance Measurement Indicators

Module 3: Monitoring and Reporting on Results will focus on key RBM tools for monitoring and reporting, including the Performance Measurement Framework and the M&E Plan. The three lessons in this module will lay the foundation for participants to effectively monitor, report on, and learn from results.

- Lesson 6: Performance Measurement Framework
- Lesson 7: M&E Plan
- Lesson 8: Reporting on Results

1. INTRODUCTION

1.1. Purpose and Target Audience

This intermediate-level workshop will allow participants to apply the concepts learned during [Results-Based Management \(RBM\) 101](#) in a practical way and help them improve the design and implementation of their management tools and approaches.

Workshop Objectives

- This comprehensive training programme aims to build upon the foundation of [Results-Based Management 101](#) to equip Canadian Small and Medium Organizations with the knowledge and skills to apply Results-based management principles, standards, tools, processes, and best practices in the context of Canadian Small and Medium Organizations. The workshop will contribute to Small and Medium Organizations understanding and ability to identify the interconnections between gender equality and Results-based management.
- Allow participants to apply their learning and deepen their skills and understanding of [Results-Based Management](#) in a collaborative setting.
- Reinforce participants capacities to integrate gender sensitive, responsive, and transformative approaches

The emphasis of the RBM 201 course is on the practical application of RBM concepts throughout the project cycle. Trainers will use contexts and case studies relevant to the SMOs context for the practical activities.

This manual was prepared specifically for trainers delivering the RBM 201, a course designed by Baastel. The course is intended to provide participants with practical understanding and the skills to operationalize RBM in order to conduct, support and coordinate M&E processes in their respective organizations. The Manual is intended to be user-friendly and explain concepts, principles, terminologies and tools in a way that will allow the facilitation of participants' understanding and operationalization of harmonized RBM approaches within SMOs in Canada.

1.2. Structure and Organization of the Manual

This manual is structured to mirror the training PowerPoint with information to support the facilitation of an informative and practical RBM workshop.

Curriculum Outline

The RBM 201 workshop is divided into three modules, each spanning a half-day period.

Module 1: RBM Fundamentals will focus on capitalizing upon the lessons learned in RBM 101. This first module will prepare participants to set the vision and define the results map, the two first steps in the project cycle. Three lessons will enable workshop participants to apply their knowledge from RBM 101 and set the vision for a case study project.

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- Lesson 6: Performance Measurement Framework
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MODULE 1: APPLYING RBM FUNDAMENTALS

In this first module, learners will build upon their understanding of core RBM and M&E concepts and start applying their skills. The facilitator/trainer will work through participant introductions, an ice breaker and the module objectives before conducting a review of why we use RBM and how it is operationalized internationally. Three lessons and a series of activities will build participants skills and allow them the opportunity to apply their new knowledge to relevant examples and case studies.

Module Objectives

- Participants understand the components and importance of a Logic Model
- Participants are able to apply knowledge to build Logic Model for real or example programs
- Participants understand entry points for gender inclusion and mainstreaming

A Quick Review of RBM and M&E

Results-Based Management (RBM) refers to a management philosophy, approach and set of tools designed to improve both project/programme design, management effectiveness, monitoring, reporting, and accountability of achievement of results. RBM is a paradigm, a shift to focusing all that we do on the results we are trying to achieve. The referred project/programme management approach of the majority of donors and development partners around the world.

Monitoring and evaluation (M&E) refers to a set of activities that help us learn whether and how our activity or project is making progress towards results we want. When we plan an activity or project, we decide what we want to achieve, and how we think we can achieve it.

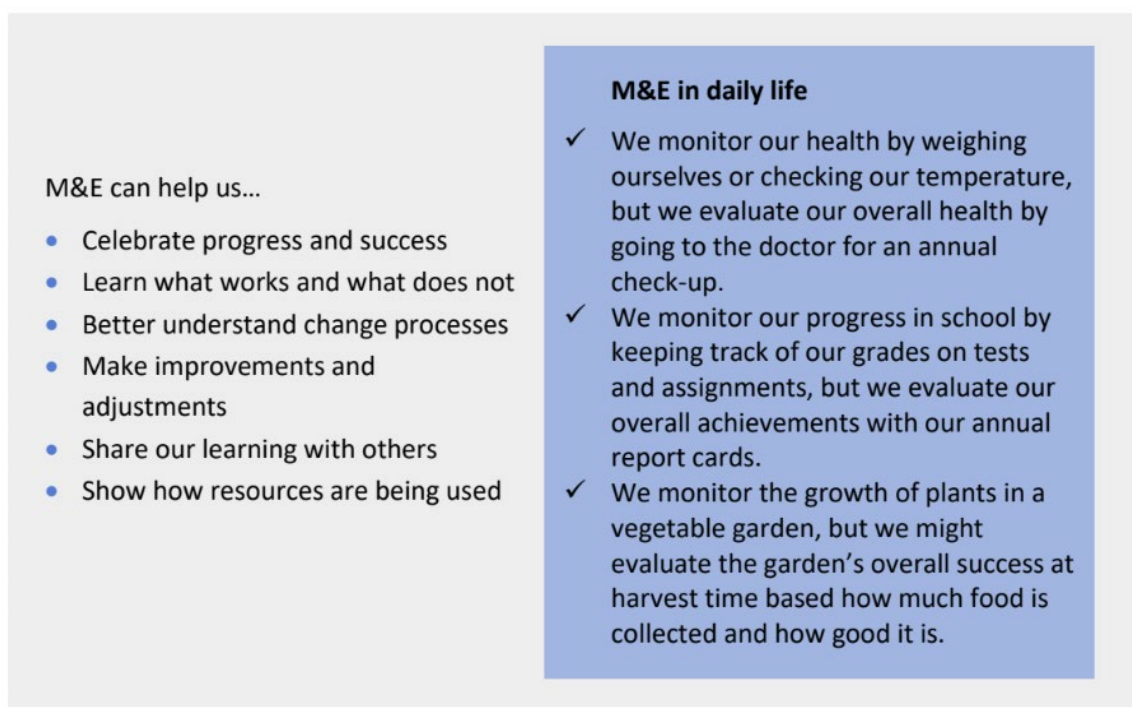
Once we start carrying out our project, we check to see whether we are getting the results we want. When our project is over, we look back to

Remember

- RBM is a management approach which focuses on achieving results.
- RBM is used to create and understand links between intended results and activities and inputs.
- RBM is about keeping the destination in mind; knowing where you want to be and adjusting what you are doing accordingly
- RBM is about:
 - Focusing on desirable results and working towards achieving them
 - Creating a link between intended results, outputs and day-to-day activities and budget

see whether we achieved what we planned, and why or why not.

Figure 1. Why use M&E



Why Use Results-Based Management?

RBM represents a shift in focus and approach from simply considering what was done to being able to clearly demonstrate what has changed and been achieved as well as how, why, what we can learn and what we might need to re-think or adjust.

Development projects are packages of activities aimed at achieving a goal. In general, projects try to solve specific problems or improve unsatisfactory situations. RBM allows us to create, hypothesize, and test links between activities, budgets, and inputs and intended results.

Reasons to use Results-Based Management:

- More effective programme and project implementation
- Better communication of results
- More effective targeting of capacity development interventions
- More realistic project schedules
- More useful evaluations
- Fewer opportunities and less pressure for corruption and waste
- RBM increases transparency and accountability, allowing interventions to complement each other and avoid overlap and waste.

Benefits of using RBM:

- Better implementation
- Better communication: Clarifying what we mean by results lets us deal with differences of understanding before a project begins and helps implementing agencies communicate results to funders
- More realistic project schedules: Clear results-based planning produces more realistic schedules, forcing us to think through the preconditions and sequence for actions and the resources they require.

RBM and its use Internationally

RBM was adopted by many member countries of the Organization for Economic Cooperation and Development (OECD) in the 1990s as a part of extensive public sector reforms in response to economic, social and political pressures. A focus on performance and results measurement emerged in response to declining public perceptions of aid effectiveness. RBM is used by many donor agencies, Non-governmental organizations (NGOs), and governments around the world to maximize and understand tangible change.

RBM is used better manage international development programming from start (investment or project analysis, planning, design, implementation, monitoring, adjusting, and reporting) to finish (final evaluations and reports, and integrating lessons learned into future programming).

Historically, government departments—and implementing organizations (IOs)—focused their attention on inputs (what they spent), activities (what they did), and outputs (what they produced). Although accurate information at this level is important, they discovered it did not tell them whether or not they were making progress toward solving the problem they had set out to resolve and that the problems often remained once projects were completed.

RBM requires that we look beyond activities and outputs to focus on actual results: the changes created and contributed to by our programming. By establishing clearly defined expected results, collecting information to assess progress toward them on a regular basis, and taking timely corrective action, practitioners can manage their projects or investments in order to maximize achievement of development results: a sustained improvement in the lives of people in developing countries.

For many years, development interventions have strived to deliver services, programmes, and projects and to achieve results in the most effective way. Traditionally, the emphasis was on managing inputs and interventions or activities, and it has not always been possible to demonstrate the results achieved in a credible way and to the full satisfaction of taxpayers, donors, and other stakeholders. Their concerns are straightforward and legitimate: they want to know what use their resources are being put to and what difference these resources are making to the lives of people

Gender Equality and Intersectionality

An intersectional gender approach to RBM considers how diverse groups of women, men and gender diverse people may experience policies, programs, and initiatives and acknowledges that within *a gender-based analysis grounded on biological and socio-cultural differences, there are many other intersecting identity factors*, such as race, ethnicity, religion, age and mental and physical disabilities. These cross-cutting issues must be considered at every stage in the project cycle.

Gender-based analysis identifies the varied roles played by women and men, girls and boys in the household, community, workplace, political processes, and economy. These different roles usually result in women having less access than men to resources and decision-making processes and less control over them.

Canada's feminist approach requires that our international assistance be informed by a gender-based analysis that includes evidence of meaningful consultations with women and girls before a project begins. Canada's approach also recognizes that inequalities exist along intersectional lines.

Gender Equality and Intersectional Analysis (GEIA) takes it one step further and allows us to examine and challenge gendered power dynamics and other social relations between and within groups of diverse women, men, and gender-diverse people, considering sex, age, race, ethnicity, Indigeneity, class, ability, language, location, immigrant status, and other relevant factors.

The Intersectionality Wheel (Figure 1) is a visual tool that illustrates the concept of intersectionality:

- The innermost circle represents a person's unique circumstances.
- The second circle from inside represents aspects of identity.
- The third circle from the inside represents different types of discrimination/isms/attitudes that impact identity.
- And the outermost circle represents larger forces and structures that work together to reinforce exclusion.

Remember

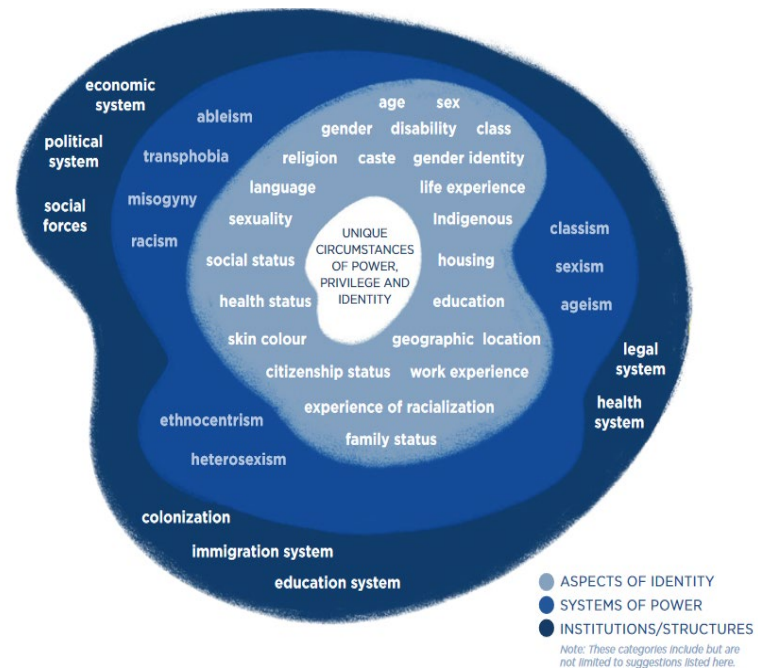
- Gender Equality concerns and affects us all, it is not simply a 'feminist' or 'women's issue'.
- It is important that men as well as individuals of diverse gender identities take an active part in this move towards greater equality, working together and sharing common goals.

Feminist intersectionality analyzes power and how different systems, institutions, or structures and socio-economic and political practices (historical and current) work together to create and reinforce conditions of inequality and disadvantage, and privilege and advantage, based on one's social location and identity.

Recognizing diverse identities and inequalities are important elements of a feminist intersectional analysis. But it should also go further to explore why and how women experience intersectional inequality. The goal of a feminist intersectional analysis is to understand power relations and systems of power that create barriers to women's equality so we can work to remove those barriers and redistribute power equitably.

In this workshop, we will explore how to integrate an intersectional gender focus into a project from the planning phase, when we consider how different individuals have different experiences and challenges, and identifying and engaging stakeholders in a way that is inclusive and accessible to Logic Modelling and drafting results statements that incorporate systematic thinking about gender and intersectionality.

Figure 2. Intersectionality Wheel 1



The RBM Project Cycle

The project cycle details the way in which projects are planned and carried out. The cycle starts with a situational analysis that leads to and informs the design, implementation, review and evaluation of an intervention.

The Planning Phase

The Planning Phase in an RBM project cycle includes setting a vision and defining the results map and RBM framework. The aim of this phase is to define the desired future situation of the affected population and to determine the outcomes, strategies and activities needed to achieve it, taking into account local capacities, the implementing actor's mandate and capacities, and the constraints and risks.

The two steps of the Planning Phase can be further broken down into the five steps in Figure 2. Conducting a situational analysis and identifying and engaging stakeholders provides the information and insights necessary to set the vision, build a Theory of Change and Logic Model (LM), and plan the achievement of the goals/intent of the project/intervention. We are then able to define the results and build an RBM framework, thus fulfilling the steps in the planning stage.

Figure 3. RBM Project Cycle

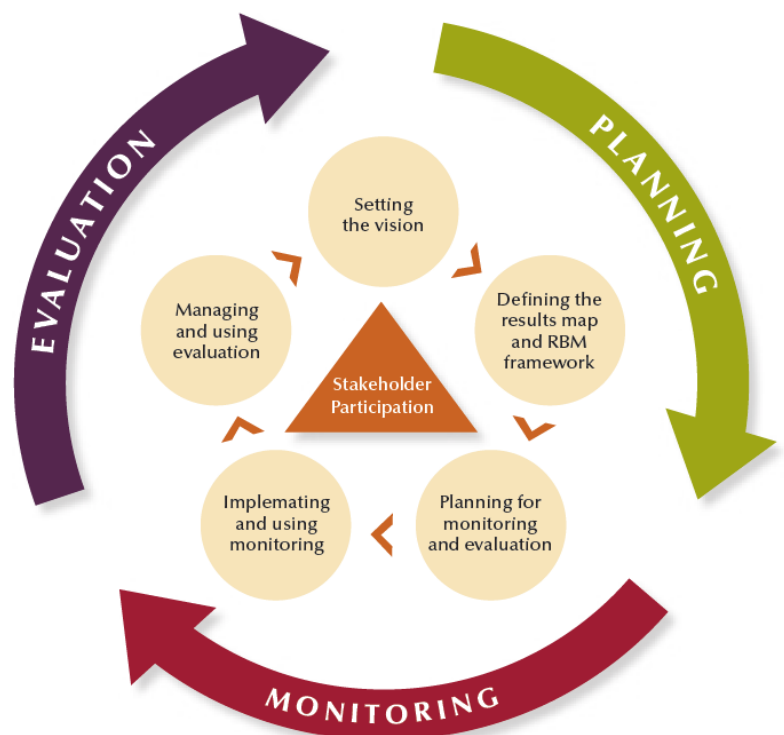


Figure 4. Stages of the RBM Planning Phase



Lesson 1: Situational Analysis & How to Apply an Intersectional Gender Lens

A situational analysis is used to help an organization fully understand a problem and the assets available/ways to address it. All change processes are part of a wider context (overall environment). The project/intervention is constantly affected by different economic, social and political processes that take place in society. In RBM project planning and implementation, we must have information about this overall picture, including technical national and sectoral information. Therefore, starting off with a situational analysis of the external environment is essential.

Situational analysis assessment is often used to help an organization fully understand a problem and the assets available/ways to address it. The analysis can provide an appreciation of the risks and benefits to the project and the organisations involved from the way in which the communication process is implemented. It takes a snapshot view of an organisation or situation and where things stand at a certain point in time.

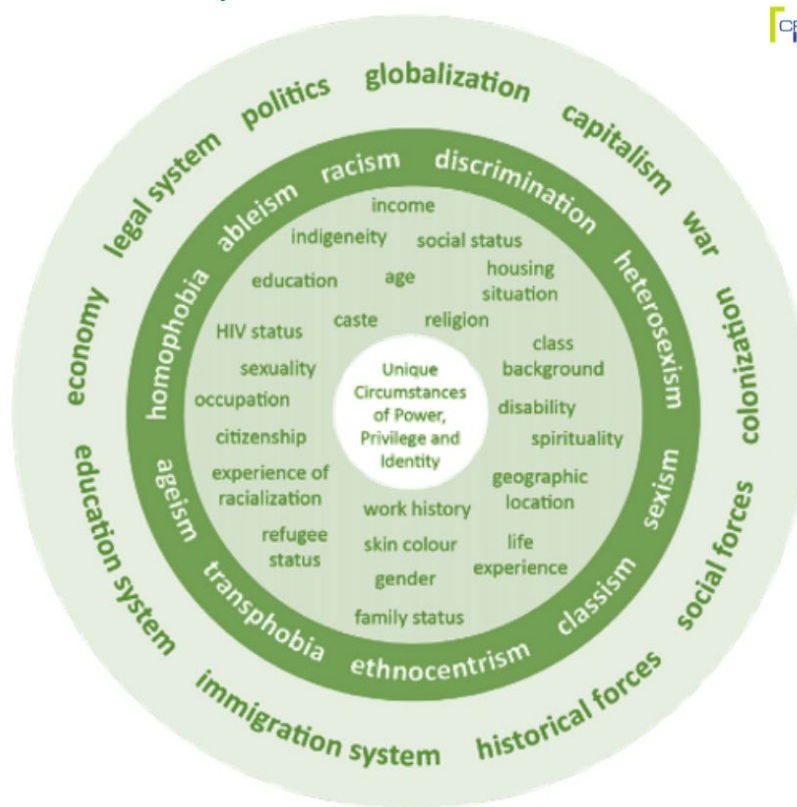
- Situational analysis is often used to help understand a problem and the assets available and/or ways to address it.
- A situational analysis helps develop a basis of understanding of the environment in which a plan or project is to be delivered. It provides a common reference point for the planning process and prioritizes actions.
- The situational or problem analysis provide the basis of the formulation of a project design, Theory of Change and Logic Model.

Situational Analysis Methods: Gender Equality and Intersectional Analysis

Gender Equality and Intersectional Analysis (GEIA) allows us to examine and challenge gendered power dynamics and other social relations between and within groups of diverse women, men, and gender-diverse people, considering sex, age, race, ethnicity, Indigeneity, class, ability, language, location, immigrant status, and other relevant factors.

- Gain an understanding of gender relations and the impacts of overlapping systems of oppression,
- Use participatory processes
- Gain an understanding of the practical needs and strategic interests of diverse groups including women, gender diverse individuals, and individuals with disabilities, and identify opportunities to support.
- Consider the differential impact of the initiative on different groups and identify consequences to be addressed.

Figure 5. Intersectionality Wheel 2



Intersectional Gender Analysis: What to do

- Gain an understanding of gender relations and the impacts of overlapping systems of oppression, the division of labour (who does what work), and who has access to, and control over, resources. Include domestic (reproductive) and community work in the work profile. Recognize the ways women, men and gender diverse individuals work and contribute to the economy, their family and society.
- Use participatory processes and include a wide range of female, male, and gender diverse stakeholders at the governmental level and from civil society — including women's and organizations and gender equality and intersectionality experts.
- Identify barriers to women's and gender diverse individuals' participation and productivity (social, economic, legal, political, and cultural).
- Gain an understanding of the practical needs and strategic interests of diverse groups including women, gender diverse individuals, and individuals with disabilities, and identify opportunities to support.
- Consider the differential impact of the initiative on different groups and identify consequences to be addressed.
- Outline the expected risks (including backlash) and develop strategies to minimize these risks.

Intersectional Gender analysis: What to ask

- Who is the target (both direct and indirect) of the proposed policy, program or project? Who will benefit? Who will lose?
 - Which groups of women and men, girls and boys, and gender-diverse adults and children will be affected (directly or indirectly) by the proposed policy, campaign or initiative? From which communities do these women and men, girls and boys, and gender-diverse adults and children originate? For example, do they come from racialized and/or Indigenous communities? Do they come from different socio-economic class backgrounds, sexual orientation and gender identity (SOGI) groups? Do they come from varied geographical locations, urban or rural? Do they have varied abilities? What is their first language?
- Have groups who have historically faced inequalities been consulted on the 'problem' the intervention is to solve? How have they been involved in development of the 'solution'? Whose interests and/or priorities are reflected in the proposed policy, campaign or initiative? Which groups of women, men, and/or gender-diverse people are considered?
 - Were diverse women and men, girls and boys, and gender-diverse adults and children consulted before the changes were proposed? Did the consultation consider barriers for attendance (such as meeting in an accessible building, providing childcare, etc.)? How extensively were they consulted? Was their feedback integrated into the proposed policy, campaign or initiative and were they invited to review the subsequent changes?
- What are the potential impacts of the proposed policy, campaign or initiative on diverse communities of women, men, and gender-diverse people? What are the short and long-term implications of the proposed policy, campaign or initiative and for whom? Are there women, men, and gender-diverse people who have historically faced inequalities and who will be negatively impacted by the proposed policy, campaign or initiative?
- Does the intervention challenge the existing gender division of labour, tasks, responsibilities and opportunities?
 - Will potential impacts of the proposed change increase or decrease the gender division of labour? (For example, work in the 'care economy' and feminized labour, including unpaid work in the home such as cooking, cleaning, looking after children and/or elders predominantly performed by women and often impeding access to paid work).
- What is the best way to build on (and strengthen) the government's commitment to the advancement of groups who have historically faced inequalities?
- What is the relationship between the intervention and other actions and organizations — national, regional or international?
- Where do opportunities for change or entry points exist? And how can they best be used?
- What specific ways can be proposed for encouraging and enabling groups who have historically faced inequalities to participate in the policy/program/project, despite their traditionally more domestic location, subordinate position, or ostracized experience?

- What is the long-term impact in regard to women and men, girls and boys, and gender-diverse adults and children's increased ability to take charge of their own lives, and to take collective action to solve problems?

Situational Analysis Methods: SWOT Analysis

SWOT stands for strengths, weaknesses, opportunities, and threats. By identifying the strengths, the weaknesses, opportunities, and threats a project may pose, you will be mitigating the risks associated with tasks, and providing a solid ground for your entire project before the action even starts. Conducting a SWOT analysis can help you improve your project planning process, reduce project risk, as well as to increase the likelihood of your project being successful.

The purpose of a SWOT analysis is to identify the most important things that you should monitor during the project. They're also cost-effective and they help teams to produce new ideas by brainstorming and analyzing a project plan.

- **Strengths.** These refer to internal factors that will set your project up to success. Strengths usually include particular aspects of your project that make it likely to succeed, such as skilled team members, experienced project managers, engaged customers, or outstanding feature improvements.
- **Weaknesses.** These are internal factors that, from your experience, will make it difficult for your project to succeed. Weaknesses can vary, they mostly depend on the company or the team itself, but some of them could be identified as lack of resources, inexperienced team members, lack of skilled professionals, or lack of budget.
- **Opportunities.** Opportunities represent factors that are outside of your control (as opposed to strengths). These are the external factors in your business environment that are likely to contribute to your success.
- **Threats.** These are external factors that, if they were to take place, they could significantly hurt your project. Threats are possibilities but identifying them helps you come up with alternatives. Increased costs of contractors or the sudden absence of a team member could be seen as factors that could potentially harm your project.

Figure 6. SWOT Analysis Tool



Situational Analysis Methods: Problem Tree

All change processes are part of a wider context (overall environment). The project/intervention is constantly affected by different economic, social and political

processes that take place in society. In RBM project planning and implementation, we must have information about this overall picture, including technical national and sectoral information. Therefore, starting off with a situational analysis of the external environment is essential.

By collecting information about the sector, country and region as well as any data that may exist about the target groups, we can better understand the problems and challenges we are aiming to address as well as the assets and opportunities available.

When conducting your research, use existing material, contact your collaboration partners to see what information they have on the sector, search the Internet, contact other organizations, financing agencies and other projects and programs. Use existing material provided that it is assessed to be of sufficient quality. When the quality of existing data is sufficient, which is often the case, there is no need for the project group to do an entirely situational analysis.

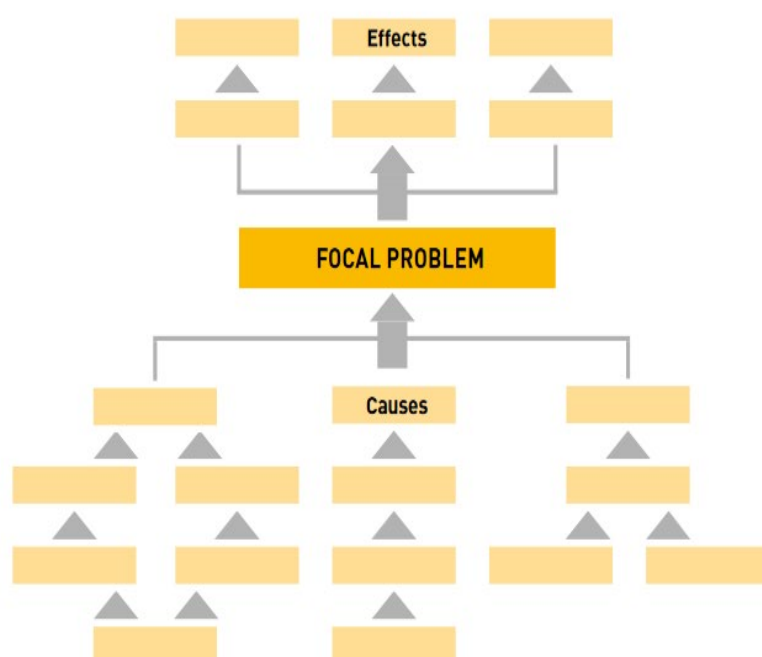
By sketching out a problem tree, stakeholders are able to clearly visualize a focal problem's causes and its effects. A problem tree also provides a visual overview of how different problems relate to one another. This analysis then forms the basis for the project as well as the Theory of Change and underlying logic of the established project/intervention.

Figure 7. Problem Tree Tool

The focal problem: The focal problem is the one problem that the project shall focus on. When formulating the focal problem, we need to think of those that are included in the target group, the final beneficiaries, and what mandate and resources we have as a project group. It must be realistic for the project group to solve this problem during the project period. The focal problem then later becomes the project objective

Reasons/causes: The underlying reasons behind the focal problem, which help explain why the focal problem exists. All main problems have their individual reasons. These are the factors that the project group shall attempt to eliminate in order to solve the focal problem.

Effects: In this case, “effects” refer to the consequences of the focal problem for the individual and the community, (ex. increased poverty, decreased Gross Domestic Product (GDP), increased pollutions etc). The effects provide arguments for decision-makers and other stakeholders for why the focal problem is so important to solve.



To apply an intersectional gender lens to your situational analysis, consider issues such as:

- The social rules of people with diverse and intersecting identities?
- Discriminatory social norms and stereotypes?
- Differences in people's access to resources and benefits?
- Differences in people's access to and influence over decision-making?
- The different ways diverse people and groups are treated by laws policies institutions and society?
- Different needs priorities and circumstances of different groups and individuals?
- Any potential gender equality risks remembering that do no harm is the first principle?
- How do any of these issues affect the way different groups will engage in and be affected by the project?

Lesson 2: Stakeholder Analysis

Stakeholder analysis typically refers to the range of techniques or tools to identify and understand the needs and expectations of major interests inside and outside the project environment. Understanding the attributes, interrelationships, interfaces among and between project advocates and opponents, assists us in strategically planning our project. Although it is worthwhile throughout the project as a tool to reassess key issues (particularly when the project is in trouble), stakeholder analysis is best accomplished before a project is initiated or at some beginning phase.

Stakeholder Identification

A stakeholder is an individual or organization who is actively involved in the project, or whose interests may be positively or negatively affected as a result of project execution or successful project completion. To be classified as a stakeholder, the person or group must have some interest or level of influence that can impact the project. We would benefit not only from understanding their interests, but also from understanding the potential project impact if a need were not met. Consider which individuals and stakeholders affect and are affected by the project. Which ones should be included in the planning process and which ones should be informed and involved during and after the project's implementation?

RBM requires the broad participation of stakeholders in planning and implementation. Stakeholders are those who are affected by and those who affect what takes place in the project, either directly or indirectly. Stakeholders may be individuals or organisations (public organisations, authorities, companies, non-governmental organisations etc.). They may be both for or against a particular change. They may also have greater or lesser opportunity to affect the project's implementation and results. Information about who the stakeholders are is important when we carry out a situational analysis.

The project team should an inventory of whom or which stakeholders to involve in the project planning and implementation process, the step is taken whereby the project team needs to decide how one should obtain information from these persons. This may take place in different ways, for example through a workshop, a seminar and/or questionnaires and/or interviews (an example are focus interviews with men or women and children in the target group and other stakeholders in order to be able to capture any differences for the different groups).

Stakeholder Analysis Tools

A common tool used in stakeholder identification is a Stakeholder Mind Map. Stakeholder Mapping is a way of organising all of the people who have an interest in your project in a single visual artefact. This allows you to easily see who can influence your project, and how each person is related to the other. In a brainstorming activity, project staff may list and organize a number of individuals and organizations that have an interest and stand to be affected or affect the project.

Figure 8. Stakeholder Mind Map

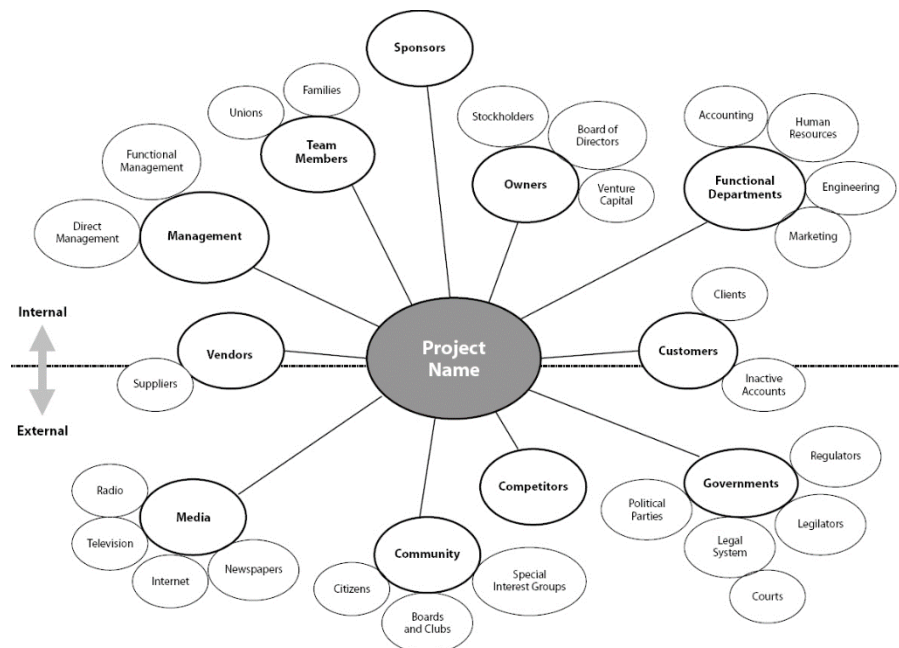


Figure 9. Stakeholder Interest and Impact Table

	Stakeholder	Interests	Estimated Project Impact	Estimated Priority
Primary	Owner	Achieve targets Liability (avoid at all costs) Increase sales margin	Med + High - Med +	1
	Sponsor	Successfully addresses needs of adjunct customer Appears competent among peers Provides new market to expand ventures	Low + Low - Med +	3
	Team Members	New product excitement Demand end-of-year bonus Retain and expand skill level Strike (if basic demands aren't met with new process)	Med + ? Med + High -	2
	Project Manager			
Secondary				

A second common tool is the Stakeholder Interest and Impact Table. This classification of stakeholders allows for a better understanding of needs and expectations by identifying not only the stakeholders' individual interests with regards to the project, but also their estimated impact on the project and the priority of communication and engagement.

Assess Stakeholders for Importance and Influence

Determining whether stakeholders in a position of strong influence hold negative interests may be critical to project success. This level of understanding can best be reached by conducting a formal assessment of each stakeholder's level of importance and influence to the project. Influence indicates a stakeholder's relative power over and within a project. A stakeholder with high influence would control key decisions within the project and have strong ability to facilitate implementation of project tasks and cause others to take action. Usually such influence is derived from the individual's hierarchical, economic, social, or political position, though often someone with personal connections to other persons of influence also qualifies. Other indicators identified include: expert knowledge, negotiation and consensus building skills, charisma, holder or strategic resources, etc.

Importance indicates the degree to which the project cannot be considered successful if needs, expectations, and issues are not addressed. This measure is often derived based on the relation of the stakeholder need to the project's goals and purposes. For instance, the human resources department may be key to getting the project new resources at a critical time and the accounting department key to keeping the finances in order and the project manager out of jail. The users of the project's product or service typically are considered of high importance.

These two measures, *influence* and *importance*, are distinct from each other. A project may have an important financial sponsor that can shut down the project at any time for any reason, but does not participate at all in the day-to-day operations of the project. The combination of these measures provides insight not only into how stakeholders interact, but also help identify additional assumptions and risks.

Stakeholder Engagement and Participation

A well-designed project will not only clarify key stakeholder roles but will define as much as possible who participates when. Not all stakeholders need to be involved in all aspects of the project in all lifecycle phases. Previous analysis has helped us identify potential groupings of stakeholders. Similar individuals may have similar project information needs.

A survey of the project's stakeholders and their view of the project as well as a consideration of their possible contribution in developing the project plan can be included in the planning process. It is essential to listen to relevant, informed and varied parties to find relevant solutions. Keep in mind the involvement of persons with different experiences, genders, ages, ethnic groups, from different regions, different departments within a workplace, persons from different cultural and religious backgrounds, persons with disabilities etc. When seeking solutions, it is essential to investigate if Individuals from different experiences and identities are affected in different ways by the situation and whether this might call for different solutions

As said before, it is important to develop an inventory of whom or which stakeholders the project should involve in the project planning and implementation process, the step is taken whereby the project team needs to decide how one should obtain information from these persons. This may take place in different ways, for example through a workshop, a seminar and/or questionnaires and/or interviews (an example are focus

interviews with men or women and children in the target group and other stakeholders in order to be able to capture any differences for the different groups).

Lesson 3: Theory of Change

A Theory of Change (TOC) is the core hypothesis and guiding rationale of a program. It explains the cause-and-effect relationships of the planned intervention. A TOC connects activities and impact, explaining how and why inputs and activities will lead to the desired outcomes over time, based on assumed cause and effect relationships.

A Theory of Change should be:

- **Focused** – problem specific, change focused
- **Credible** – based on experience and evidence, insight from stakeholders, or relevant research
- **Achievable** – with available resources and time

Developing a Theory of Change combines a reflective process and analysis with the systematic mapping of the logical sequence from inputs to outcomes in a project. The results chain provides the conceptual framework for articulating this logical sequence.

Theory of change focuses on the impact of an intervention:

- What has changed as a result of your direct intervention?
- For whom?
- How significant is it for them?
- Will it last? Why or why not?
- What if anything, did our efforts lead to?

Developing your ToC involving stakeholders will not only provide the required evidence but also increase the credibility of the ToC. An achievable ToC means that you're able to deliver on the programs objectives and can link your direct services to the outcomes. The main categories/ questions in a ToC, include:

- **Target Population:** Who are you seeking to influence or benefit?
- **Results & Relevance:** What benefits are you seeking to achieve?
- **Time Frame:** When will you achieve them?
- **Activities, Inputs & Resources:** How will you and others make this happen (activities, strategies, resources, etc.)?
- **Social & Political Context:** Where and under what circumstances will you do your work?
- **Potential Risks, Threats, Challenges & Assumptions:** Why do you believe your theory will bear out?

Remember

Theories of Change also require justifications at each step –you have to articulate the hypothesis about why something will cause something else - it's a causal model, remember!

MODULE 2: MONITORING FOR RESULTS: LOGIC MODELS AND INDICATORS

In this second module, participants will work together to build a key RBM tool – the Logic Model, and learn what performance indicators are and how to use them to monitor and measure results. The facilitator/trainer will work through the module objectives and a group review of M&E before diving into the lesson and application-based activities on gender-sensitive quantitative and qualitative indicators.

Module Objectives

- Participants understand how to develop and use quantitative, qualitative and gender-sensitive indicators
- Participants understand the importance of indicators in monitoring and reporting and RBM

Lesson 4: Logic Modelling

Logic Models are program planning tools that define the inputs, outputs, outcomes of a program in order to explain the thinking behind program design and show how specific program activities lead to desired results. Logic Modelling involves determining the outcomes and outputs of the project, the activities best suited to producing the outputs, as well as identifying assumptions and evidence to explain how one change is expected to lead to another.

The Logic Model is the final product of the Logic-Modelling process and should not be created outside of this process. This involves creating a shared understanding of how the project will work by first reflecting on the specific situation and examining everything the design team identified and learned through the situation analysis and consultations.

The collaborative, iterative process of developing the Logic Model contributes to a shared understanding of the project and will help you and other members of the design team clearly envision and articulate what you want to achieve and how to go about achieving it. The Logic-Modelling process also helps to identify common assumptions that are made in project design, as well as risks and risk-management strategies.

Logic Modelling is conducted following the situational analysis to begin building a Logic Model and project design. The objectives are linked to the situational analysis.

The process should provide answers to the following questions:

- What are the long-term effects of the project? Why is the project important in a longer perspective? (The overall objectives, development objectives.)
- In an ideal situation, what are the intentions of the project owner and target group in the medium term? Why does the target group/the beneficiaries need the project? This level, the intermediate outcome, should be achievable within the project's lifespan.

- What elements does the situation comprise? What must be handled successfully to achieve the project objective? Short-term objectives, immediate outcomes, should be achieved during the project period. The activities and outputs are linked to immediate outcomes.

The Results Chain

Results are a consequence (intended or unintended, positive or negative) of an intervention or project. Results are derived from the use of products and/or services. A result can be defined as a describable and measurable change in state due to a cause-and-effect relationship induced by that intervention.

Results are defined at different levels. Even though many things that are beyond our control may affect whether and how we achieve our results, we should be able to identify the cause-and-effect relationships that connect planned activities to our overall aim. A set of results at different levels, linked together by cause and effect, is called a results chain. Other commonly used words for results include effect, outcome, expected accomplishment, and impact.

- Results are a consequence (intended or unintended positive or negative) of an intervention or assistance. Results are derived from the use of products and/or services.
- A result can be defined as a describable and measurable change in state due to a cause-and-effect relationship induced by that intervention.
- Other commonly used words for results include effect, outcome, expected accomplishment, and impact.
- A result is a significant and intended change in a development condition that affects people, systems, or institutions. Results have many names including outcomes, Development Objectives, Intermediate Result (IRs), sub-Intermediate Result (sub-IRs), and Project Purpose.

Remember

Outcomes = Result Statements

Results statements should not include how this change will come about and therefore avoid words like through or by.

Results are changes in a state or condition that derive from a cause-and-effect relationship. These changes can be positive or negative, expected or unexpected.

A result is a change that you can:

- Observe
- Describe
- Measure

Results are represented using directional verbs in the past tense.

Results must show change as an effect of our interventions. Change is signified by such words as:

- Improved (health conditions)
- Increased (income of local communities)
- Strengthened (capacities of local NGOs)
- Reduced (infant mortality)
- Enhanced (ability to apply RBM)

Types of Logic Model

A logic model visually depicts the causal or logical relationship (results chain) between activities, outputs and outcomes demonstrates the underlying theory of change. There are a wide range of logic models, including but not limited to LogFrames, causal loop diagrams, stakeholder-based models, and Results Frameworks. Logic Models could consist of graphic display of boxes and arrows; vertical or horizontal depicting relationships and linkages in any shape possible; circular, dynamic. Logic Models can be very simple, such as the model in Figure 10 below, with five levels representing distinct steps in the logic of a project.

Note to Trainers

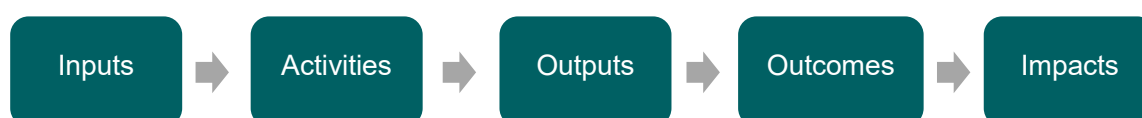
There is differing terminology used around the world and by different institutions.

GAC: Inputs, Activities, Outputs, Immediate outcomes, Intermediate outcomes, & Ultimate outcome.

USAID: Inputs, Activities, Outputs, Sub-Intermediate Result, Intermediate Result, Development Objective, & Goal.

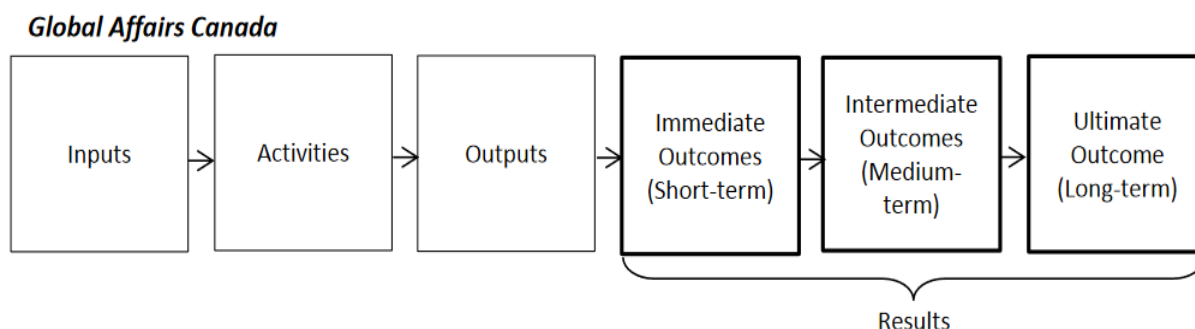
The important thing is to understand the concept of causality and not be distracted by the range of terminology!

Figure 10. Simple Logic Model



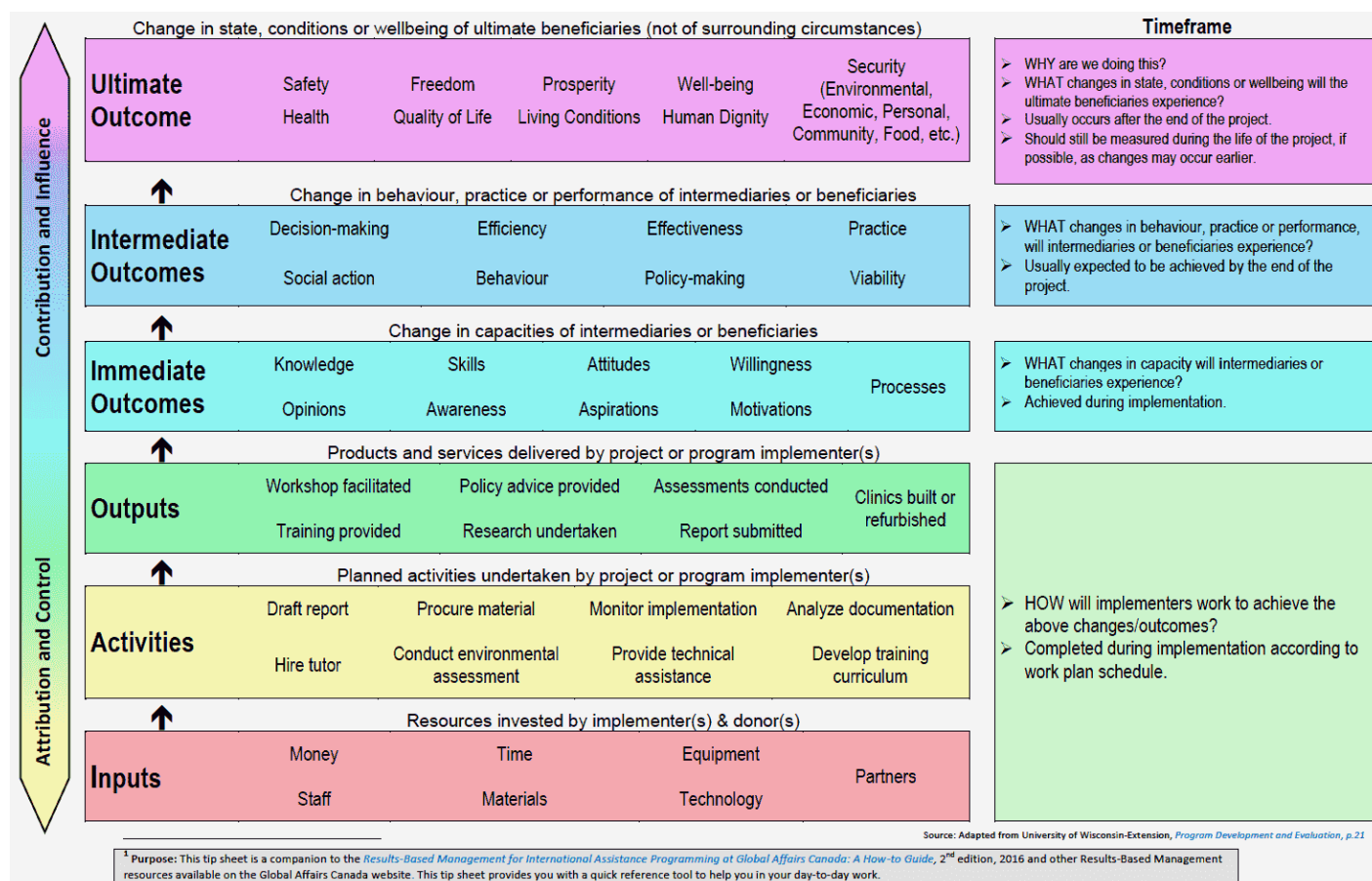
Logic models can also be more complex, such as the GAC Logic Model, which is divided into six levels. Each of these represents a distinct step in the logic of a project. The top three levels—ultimate, intermediate and immediate outcomes—constitute the actual changes expected to take place. In the context of development, these are also referred to as development results. The bottom three levels—inputs, activities and outputs—address the means to arrive at these changes.

Figure 12. GAC Results Chain



The ultimate outcome represents the “why” of a project and should describe the changes in state, condition or well-being that a project’s ultimate beneficiaries should experience. Intermediate outcomes articulate the changes in behaviour, practice or performance that intermediaries and/or beneficiaries should experience by the end of a project. Immediate outcomes articulate the changes in capacity that intermediaries and/or beneficiaries should experience during the life of a project. Outputs are the direct products or services stemming from the activities of an implementer. Activities unpack an output into the set of tasks required to complete it. There can be more than one activity per output.

Figure 11. GAC Logic Model

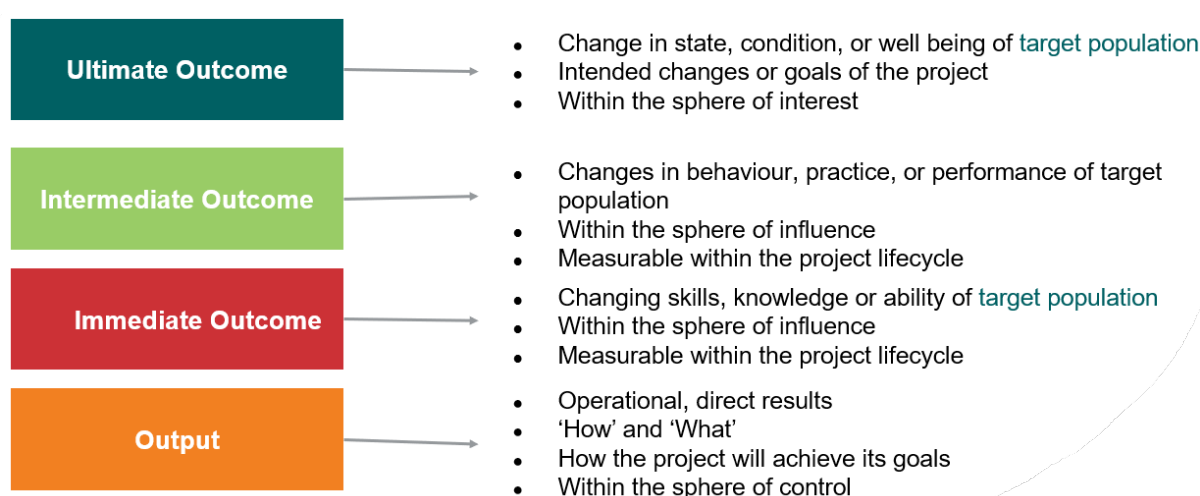


Discerning Amongst Result Levels

There are three primary levels of results that seek to capture the development changes that occur due to the project interventions:

- Immediate results: outputs
- Medium term results: Immediate and intermediate results
- Longer-term results: Ultimate outcome

Each of level represents a distinct step in the causal logic of a policy, program, or investment. The bottom levels (inputs, activities, and outputs) address the how of an investment, whereas the top levels (the various results and development objective) constitute the actual changes that take place: the development results.

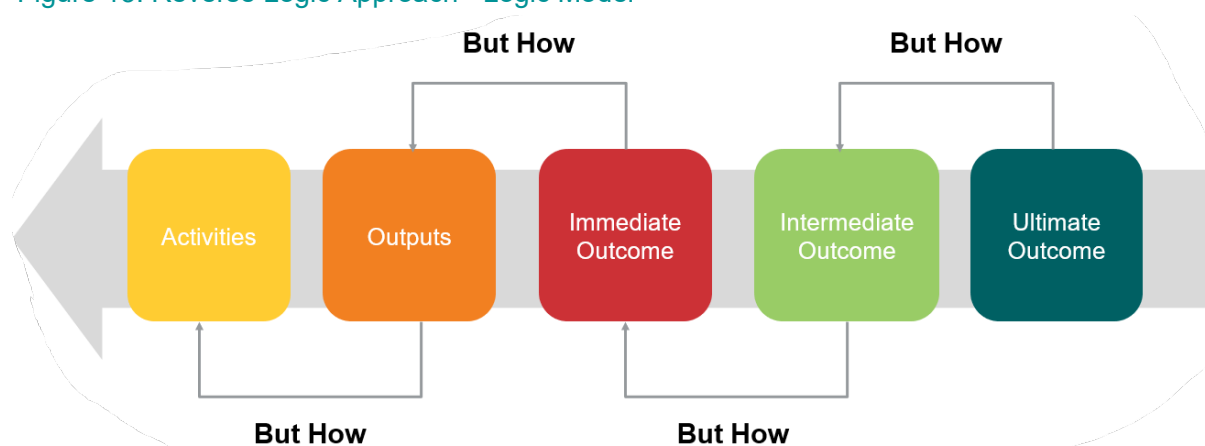


The Reverse Logic Approach

The reverse logic approach begins with identifying a program's desired goals or long-term impacts, and then works backwards (right to left from outcomes to inputs) to determine a program's outcomes, outputs, activities, and inputs. This is accomplished by asking (and answering) a series of "what" and "how" questions:

1. Identify your program's desired long-term goal(s) or impact(s).
2. **How** can we demonstrate progress towards our long-term goal(s)? **What** outcomes can we measure? **What** changes are expected to occur?
3. **What** outputs are needed to produce the outcomes?
4. **What** activities are needed to produce the outputs and achieve the desired outcomes?
5. **What** inputs are needed to conduct the activities and **how** can those resources be obtained?

Figure 13. Reverse Logic Approach - Logic Model



Developing SMART Results

A results statement should be **SMART**:

- **Specific** (simple, sensible, significant).
- **Measurable** (meaningful, motivating).
- **Achievable** (agreed, attainable).
- **Relevant** (reasonable, realistic and resourced, results-based).
- **Time bound** (time-based, time limited, time/cost limited, timely, time-sensitive)

RBM is a participatory process. The process and methodology for the selection of outcomes and drafting of result statements should be as participatory as possible, involving a wide representation of key stakeholders. It is essential to ensure that all the voices are heard and that your expected outcomes are shared with all involved.

A result statement outlines what a policy, program, or investment is expected to achieve or contribute to. It describes the change stemming from the program's contribution to a development activity in cooperation with others. A results statement should be simply worded and contain one idea.

Results statements share a common base formula of:

**[Action verb] + [Area or topic of focus] + [Target audience] + [Location]
+ [Deadline]**

Intersectional Gender Lens

- **an action verb**: improved, increased, empowered
- **an area or topic of focus for the intervention**: typically informed by the situational analysis, ex. economic security, community resilience, youth leadership, reproductive health service accessibility

- **Target audience:** who is supposed to benefit from this intervention ex. Men, women, and gender diverse individuals, community, youth aged 12-30
- **Location:** where will the intervention be geographically focused (south-western Ontario, central region of Malawi, western highlands of Honduras)
- **Deadline:** when will this change happen by? what is the target date/deadline?

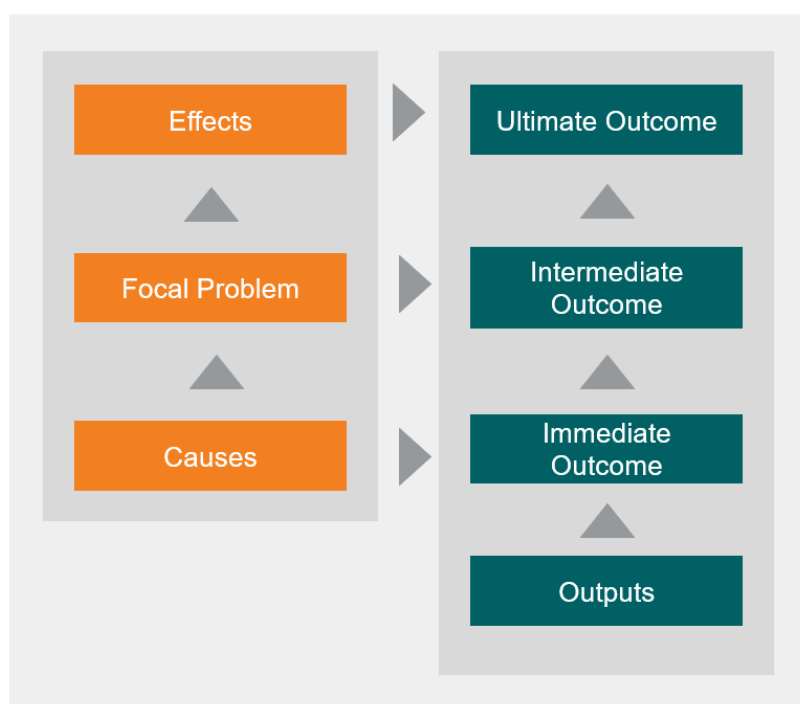
Examples

- Improved access to reproductive and parental health-care services for individuals giving birth in country X within 5 years (time elapsed) or by 2025 (deadline)
- Increased literacy among men, women, and gender diverse individuals in region X of country Y within 5 years (time elapsed) or by 2025 (deadline)

Problem Trees and Results Chains

Problem trees can be used to inform and draft results statements and help the Logic Model to start to take shape. The causes in the problem tree will support the development of immediate results in the LM, those short-term objectives. The focal problem from the tree, will support the development of the intermediate outcome. Finally, the effects, the consequences of the focal problem, will support the development of the ultimate outcome.

Figure 14. Problem Tree to Results Chain



Effect: Men, women, and gender diverse individuals are in poor health and unable to farm or work to provide for their family

- Ultimate Outcome: Improved health of men, women, and gender diverse individuals in region Y of country X

Focal problem: Men, women, and gender diverse individuals in region Y of country X are perpetually sick due to waterborne illness.

- Intermediate outcome: Improved water safety decision making by men, women, and gender diverse individuals in region Y of country X & Improved water treatment by men and women in region Y of country X

Causes: Unclean, inaccessible water for men, women, and gender diverse individuals in region Y of country X

- Immediate outcome: Increased awareness on the signs of unclean water among men, women, and gender diverse individuals in region Y of country X & improved water treatment and processing knowledge and skills among men, women, and gender diverse individuals in region Y of country X

Gender Equality Outcomes

Gender equality outcomes are measurable changes that explicitly aim to reduce gender inequality, or improve equality between women and men, boys and girls and gender diverse people. Gender equality outcomes contribute to one or more of GAC's gender equality objectives:

- enhance the protection and promotion of the human rights of women and girls;
- increase the participation of women and girls in decision-making;
- give women and girls more equitable access to and control over the resources they need to secure ongoing economic and social equality.

GAC's gender equality (GE) codes cover a spectrum from GE-0 to GE-3 (see Table 1 below). GAC GE coding requirements and definitions are based on results-based management (RBM) logic and practice, including the Theory of Change. Gender Equality results or outcomes are measurable changes that explicitly address a reduction in gender inequality, or an improvement in gender equality between women, men, and gender diverse individuals, adults and youth.

Table 1. Global Affairs Canada Gender Equality Codes

GE code:	Explanation of GE coding:
GE - 3	Targeted - Gender equality is the principal objective of the initiative: The initiative was designed specifically to address gender inequalities and would not otherwise be undertaken. All outcomes in the Logic Model are gender equality outcomes.
GE - 2	Fully integrated - There is at least one intermediate gender equality outcome which will achieve observable changes in behaviour, practice, or performance that will contribute to gender equality.
GE - 1	Partially integrated - There is at least one gender equality outcome at the immediate outcome level which will achieve a change in skills, awareness, or knowledge that contributes to gender equality.
GE - 0	None - There are no gender equality outcomes.

A gender equality specific and targeted project (GE 3) means that all the outcomes at all levels are exclusively focussed on addressing gender inequalities to advance women's and girls' equal participation with men in decision-making; to support the full realization of women's and girls' human rights; and/or to reduce gender inequalities in access to and control over resources and benefits of development.

A gender equality fully integrated project (GE 2) means that the project has identified at least one intermediate outcome that aims to achieve long term transformational change for gender equality that will be sustained after the project ends.

A gender equality partially integrated project (GE 1) means that the project has identified at least one immediate outcome that aims for short term changes in gender equality related to knowledge, awareness or skills. These changes are not expected to be sustainable over the long term.

The key to addressing gender equality in projects is a combination of gender equality outcomes and applying RBM principles to implementation and measuring and reporting on progress. Gender equality outcomes focus on promoting gender equality and the empowerment of women and girls.

Gender equality outcomes can be stated using terms such as "gender responsive", "gender sensitive", "exempt of gender stereotyping", "gender balanced", "gender equitable". When using gender equality terms in the result statement, it is important to describe in the Theory of Change how this approach will help achieve the expected results.

Table 2. Gender Equality Benchmarks

BENCHMARKS	DEFINITIONS
Gender blind	The policy or procedure does not mention or take into account the impact of social gender roles. Gender-differentiated impacts or experiences of the policy or procedure are not addressed.
Gender accommodating	The policy or procedure shows awareness of existing gender norms and practices and may work around or reinforce them.
Gender sensitive	The policy or procedure is designed to ensure equal participation by different genders and seeks to ensure that outcomes do not exacerbate inequalities.
Gender responsive	The policy or procedure reflects analysis of gender differences in needs, impacts, and access and includes measures to address these in processes and outcomes.
Gender transformative	The policy or procedure recognizes the existence of discriminatory gender norms and practices at the root of inequality and seeks to change these through its processes and outcomes.

Lesson 5: Performance Measurement Indicators

An indicator is a means of measuring actual outcomes and outputs. It can be qualitative or quantitative, and is composed of a unit of measure, a unit of analysis and a context. Indicators are what we observe in order to verify whether – or to what extent – it is true that progress is being made towards our goals, which define what we want to achieve.

Selecting Performance Indicators

These criteria are designed to assist managers in selecting optimal indicators. The extent to which performance indicators meet each of the criteria must be consistent with the requirements of good management.

- **Valid:** The indicator clearly represents the intended result. An outsider or an expert in the field would agree that the indicator is a logical measure for the stated result. Level. The indicator reflects the right level; that is, it does not measure a higher or lower level than the stated result..
- **Reliable:** The indicator will enable measurement of the outcome and output over time, consistently produce the same data over time and different enumerators.
- **Simplicity:** the data will be able to be collected
- **Utility:** the indicator will generate useful information for decision making and learning
- **Affordability:** the project can afford to collect the data, it is worth the effort and expense
- **Neutral:** The indicator should be able to measure both improvements and deterioration in the situation and not lead or imply a direction of change

Remember

Indicators are neutral; they neither indicate a direction of change, nor embed a target.

Developing Quality Indicators

While there are many measures used across the development community that can be selected as custom indicators, there may be an instance where there aren't any appropriate indicators for the results of the program/project. In this case the program team may need to develop custom indicators tailored to the situation and context of the project.

The process of indicator development involves the following elements:

- **Step 1:** Determine what you are Measuring (eg. Schools)
- **Step 2:** Add a Unit of measure (e.g. % of schools)
- **Step 3:** Add context (specifics) + identify relevant "universe" (e.g.: % of schools operating without senior teachers)
- **Step 4:** Add Time (optional depending on sector) (e.g.: % of schools operating without senior teachers annually)

- **Step 5:** Add Disaggregation (% of schools operating without senior teachers annually) (disaggregated by regions, levels)

Developing Quantitative and Qualitative Indicators

Quantitative indicators are numerical measures of quantities. This enables program/project officials to compare the performances or achievements of two or more programs/projects. Moreover it also allows them to compare the statuses of the same program/project at different times.

Quantitative indicators can include whole numbers, decimals, ratios, fractions, percentages and monetary values — quantitative factors are always expressed as a number. Quantitative indicators are widely used in development programs/projects as they give a very clear measure of things and are numerically comparable.

- Frequency of youth consultation meetings
- % of children under 5 experiencing diarrhea in the past month
- # of townships/communities/cities reporting use of alternative energy sources, disaggregated by type (solar, wind, hydro)
- ratio of men to women in leadership roles in the cooperatives

Qualitative indicators are non-numerical measures of feelings, opinions, or experiences of a subject and are commonly used as measures of outcomes. Qualitative Indicators should convey specific information that shows progress towards results, and is useful for project management and planning.

Qualitative: Unlike quantitative indicators, qualitative indicators are used to measure things that have no numerical constant.

- Degree to which gender equality is integrated into municipal strategic plans, by municipality
- extent to which project beneficiaries/participants engage in project planning, by sex
- perceptions of personal safety on public transit, by sex and age
- Women's rights organizations' knowledge of relevant human rights frameworks and mechanisms

There has been much debate regarding the value of quantitative data and that of qualitative information and whether quantitative measures (or indicators) are better than qualitative ones. This debate is now almost settled in the evaluation field with the growing usage of mixed methods. Practitioners have abandoned the idea that these sources of information are irreconcilable: both types of information are necessary. In fact, all quantitative measures are based on qualitative judgments and all qualitative measures can be coded and analyzed quantitatively.

To adequately assess the achievement of results, an officer/manager needs both quantitative and qualitative measures. For example, it is not enough to know how many women are participating in an activity. The quality of their participation and experience is also important to capture to have a full picture.

Benchmarking

Benchmarking:

- involves a process of defining and comparing subjective, unquantifiable items (ex. experiences, perceptions). Benchmarking uses scales, such as high, medium, and low, to understand and compare qualitative indicators.
- involves gathering and comparing information in a standard approach in order to obtain an understanding of the status of change.
- can help define criteria against which a qualitative indicator is compared to determine its designation level and standard. It will specify measurement especially for “quality of”, “adequacy of” “degree of”, “evidence of”, etc.
- provides the evidence to recognise, use or support a given initiative or program in order to achieve defined results
- promotes consistency of performance and alignment between the benchmarked entities
- creates a guidepost for stakeholders and program implementers

Qualitative benchmarking is best used when you want to understand how experiences (or unquantifiable items) compare to one another and how your target population feel about those experiences. This form of benchmarking is not just about what’s happening, but the why behind it. This type of benchmarking can be useful when you want to compare experiences to one another but are looking for directional feedback rather than statistically significant metrics. This form of benchmarking focuses on defining what’s actually happening during the experience in quantifiable terms. This is best used when you want to understand how very specific experiences perform as compared to previous performances and/or to other similar experiences.

Table 3. Benchmarking Example

Intensity dimension \ level	low	medium	high
Equality	Some affected stakeholders or groups are excluded from the process.	All stakeholders are involved personally or represented by an appropriate person, but with a different degree of influence on the outcome.	All stakeholders have a similar influence on the outcome of the process. They are either taking part personally or are represented by an appropriate person. All participants have access to the same information, and their voices have the same weight.

Disaggregating Indicators

Disaggregating an indicator can help you to:

- Ensure that you are on track on some requirements (i.e. inclusion & equality regarding genders/race/etc.)
- Get more details about what is composing the indicator's value
- Notice "trends" or understand what is influencing the indicator's value

Always remember to consider and address any potential risks to project participants using an intersectional gender lens, considering how they may be affected by the data collection. Is it safe and comfortable for the survey respondents to provide the information being requested? Is there any threat of backlash from their participation or information divulgence?

Intersectional Gender Indicators

A gender-sensitive indicator is a neutral quantitative or qualitative unit to measure gender equality-related changes in a project outcome over time.

When developing gender-sensitive indicators:

- Use an equitable participatory approach
- Ensure that indicators measure changes related to gender and gender issues
- Choose valid indicators that can measure progress on gender equality

Intersectional gender indicators should be sensitive to different variables including:

- gender
- income level
- disability
- geography/location
- age
- ethnicity
- other factors that affect their experience in life/society and the project

When developing gender-sensitive indicators:

- Develop project-level indicators in an equitable participatory approach where women and men diverse stakeholders actively take part in the planning of performance measurement frameworks, in their implementation, and in the discussion of their findings.
- Focus on the needs and priorities of female and male children and youth as well as adult and elderly women and men across diverse groups.

Note

Many people tend to "over-disaggregate" so keep in mind these 2 questions:

Is this useful?

- Will you use that information? Will you create analytics reports comparing the various categories? Will it influence your evaluation process?
- For that specific indicator, if you do not have baselines and targets for each disaggregation, is it really useful to know the disaggregated values?

Is this easily feasible?

- Collecting and entering the data for each category could require more effort or may even be impossible, depending on the source of data or method of data collection.

If the answer is "Yes" to both questions, then disaggregating the indicator is probably a great idea!

- Ensure sex-age disaggregation of all indicators (not only for gender equality outcomes but for all outcomes in the project) that involve people (e.g. farmers, youth, household members, survey respondents, managers, trainees, participants, employers, employees, health care practitioners, teachers, students, vulnerable people, poor, ethnic minorities, migrant workers, vulnerable, food insecure, etc.), groups of people or entities when sex-segregated (e.g. women's and men's cooperatives, girls' and boys' clubs), and businesses and organizations (e.g. male and female-led businesses). When this information is disaggregated by female and male, it will provide evidence on gender gaps and progress toward gender equality for the overall project.
- In technical areas, ensure that indicators measure changes related to women, men, girls and boys (e.g. instead of an indicator such as “# tons of crop harvested in X region”; it is recommended to involve people such as: “# tons harvested by number of female farmers and # tons harvested by number of male farmers in X region”)
- To obtain a comprehensive assessment of the different situations of all female and male members of the selected population, encourage the collection of intra-household data (i.e. women, men, girls and boys or by sex and age group); or if household must be used, disaggregate by joint household (two adults as co-heads), single male-headed; single female-headed. It is important to avoid the assumption that if it is a joint household that the male is the ‘head’. The issue of household head is a changing concept as women or men leave as migrant workers; or in the case of a man with many wives, may not be in the household but may still be identified as the ‘head’.
- Choose valid indicators that can measure progress on gender equality, based on project definitions of ‘gender-responsive’, ‘gender-sensitive’, ‘gender-equitable’, etc.
- Reflect on the qualitative dimensions of female and male participation, e.g. the number of person-hours spent in training, active contribution or leadership versus passive listening, capacity to participate, and how the training has empowered the participants to do their work more effectively.

Example.

- Ratio of men to women holding leadership roles in community councils
- # of hours per week spent on household chores/tasks, disaggregated by men, women, boys, and girls
- % of youth enrolled in post secondary school, by sex
- Extent of community consultation by government, disaggregated by sex, age group, and urban/rural

MODULE 3: MONITORING AND REPORTING ON RESULTS

Participants will learn the specific purpose and relevance of an effective Framework for Result Monitoring – the Performance Measurement Framework (PMF). Participants will discover how to build an M&E plan and gather, learn from, and report on results.

Module Objectives

- Participants understand the specific purpose and relevance of a PMF
- Participants understand how to build an M&E plan and gather, learn from, and report on results

Lesson 6: Performance Measurement Framework

The purpose of the PMF is to support program managers and the project team in:

- continuously monitoring and assessing the results of programs as well as the efficiency of their management;
- making informed decisions and taking appropriate, timely action with respect to programs;
- providing effective and relevant departmental reporting on programs; and
- ensuring that the information gathered will effectively support an evaluation.

Reminder

The performance measurement framework is not a paper exercise, or a form to fill out and file away. It is the implementer's framework for results-based monitoring, reporting and the foundation of evaluations.

Table 4. Performance Measurement Framework

Expected Results	Indicator	Baseline	Targets	Data Sources	Methods	Frequency	Responsibility
Ultimate Outcome							
Intermediate Outcome							
Immediate Outcome							
Outputs							

The first column lists the **expected results** of the project in terms of impact, outcomes (intermediate and immediate) and outputs (results chain).

Indicators are then stated in the second column for each results level which provides the basis for measuring project performance.

For each indicator, provide:

- the data source(s)
- the frequency of data collection
- baseline data
- targets and timelines for when targets will be achieved
- the organization, unit and position responsible for data collection
- the data management system used

Baseline data is collected at one point in time and is used as a point of reference against which results will be measured or assessed. A baseline is needed for each performance indicator that will be used to measure results during the investment. Baseline data form a set of conditions existing at the outset of a program/investment—the quantitative and qualitative data collected to establish a profile.

Baseline data checklist

- Is there baseline data for each indicator?
- Do the units of measure and analysis match the indicator and target?
- Is the baseline for indicators disaggregated by the appropriate categories whenever possible? (genders, age, ethnicity, etc)
- If baseline data has not yet been collected, does the PMF indicate when it will be?

Targets specify a particular value for an indicator to be accomplished by a specific date in the future. The target is the situation expected at the end of a programme or activity.

Developing strong targets

- Targets must be realistic, achievable and reviewed regularly.
- Beneficiaries and stakeholders should be involved in establishing targets.
- Timelines for targets should be specific and can vary from short to long term (e.g. monthly, midway, end of project).
- A strong target consists of a clear statement of desired performance against an expected outcome, and it is developed using an established baseline.
- The units of measure between indicators and targets should match
- Targets should be disaggregated by the appropriate categories whenever possible (genders, age, ethnicity, etc.)

Data sources are the individuals, organizations, or documents from which data about your indicators will be obtained. The source of performance data is very important to the credibility of reported results. Try to incorporate data from a variety of sources to validate findings.

Data sources checklist:

- Does the information in the data source column identify from where the data will be obtained? (document, individual, organization)
- Will each data source allow you to receive timely performance information?
- Are the data sources appropriate for the information you need?
- Are the data sources diversified, credible and reliable?

Data collection methods are the ways in which you collect the information needed for performance monitoring and reporting. Methods of data collection will vary depending on the type of data being collected and how participatory the monitoring process is. Some methods are more structured than others. Some methods can be used to collect both quantitative and qualitative data.

Data collection method checklist

- Will the method give you the information you need
- Is the information or data source reliable
- Will your data collection be participatory
- Do you have the time, money and skills required to carry out data collection using this method
- Have you pre-tested the tool required for this method or have plans to pre-test?

Frequency looks at the timing of data collection: how often will information about each indicator be collected and/or validated? Will information about a performance indicator be collected regularly (quarterly or annually) as part of ongoing performance management and reporting, or periodically, for baseline, midterm, or final evaluations? It is important to note that data on some indicators will need to be collected early in the investment to establish the baseline.

Responsibility looks at who will collect the data on each indicator using the methods and sources described in the preceding columns. The responsibility for data collection typically lies within the project staff but may extend to implementing partners or engaged stakeholders.

Lesson 7: Monitoring and Evaluation Plans

An M&E plan should include:

- an introduction to the project and plan, including the Logic Model and Theory of Change
- a monitoring plan
- an evaluation plan
- a learning plan
- a data management plan
- reporting templates
- The performance measurement framework is the “skeleton” of the monitoring plan: it documents the major elements of the monitoring system in order to ensure regular collection of actual data on the performance measurement framework indicators.

- The MEL sections will be covered in subsequent slides so for now we will review the data management piece and reporting templates.
- The data management section of the M&E plan will detail data flow (e.g. responsibilities for data collection and reporting), approaches to data storage and security, and data quality strategies.
- A good M&E plan will also include reporting templates to ensure standardized, quality reporting across the project.

Monitoring Section

The Monitoring Section describes how the project will monitor performance and track progress toward planned results defined in the Logic Model. The monitoring plan should explain each monitoring approach used and associate it with specific results from the Logic Model. The PMF is used as the basis to build this section.

- Review all indicators to determine whether, based on their data source or data collection method, they require specific arrangements to be made or instruments to be developed, such as interview guides, questionnaires, forms or ranking mechanisms.
- Make plans to test and adjust any data collection instruments prior to their use.
- Plan to provide training in data collection methods and the use of monitoring instruments to staff members, stakeholders or any others who will take part in data collection. Resources for the development and testing of data-collection instruments, as well as for training staff and stakeholders, need to be allocated in the project budget.

Evaluation Section

The Evaluation Section describes all anticipated evaluations from performance to impact, relevant to the project and can be used to track evaluations over the project's timeframe.

The evaluation component of your monitoring and evaluation plan should specify the following:

- Rationale and purpose
- Specific objectives
- Tentative key questions
- Scope
- Timing
- Responsibility
- Budget
- Previous evaluations
- Evaluability

The evaluation component of your monitoring and evaluation plan should specify the following:

- **Rationale and purpose:** Why is the evaluation being undertaken? Why at this particular point in time? For whom is it being undertaken? Will it be used for learning, accountability or some other purpose?
- **Specific objectives:** What is the evaluation trying to find out?
- **Tentative key questions:** At the design stage of a new project, it may already be possible to identify key evaluation questions of interest to the stakeholders. For example, if the project is implementing an innovative approach, what are the elements one would like to assess and when? This informs both monitoring and evaluation data needs and ensures timely data collection.
- **Scope:** What is being evaluated? Is it a specific project component, activities taking place in a particular geographic area or something else?
- **Timing:** When will evaluations take place?
- **Responsibility:** Who will manage the evaluation? How will it be governed?
- **Budget:** How much will it cost to manage this evaluation or participate in it?
- Aside from a fully completed performance measurement framework, what should be put in place now in order to evaluate performance in a few years?
- **Previous evaluations:** Are there previous evaluations of similar projects, especially earlier phases that can help you plan this project and its evaluations better?
- **Evaluability:** Is an evaluability assessment necessary?

Learning Section

The learning section identifies how the project will use available information to learn and adaptively manage implementation. Specific learning questions derived from the Logic Models should be identified here, as well as planned learning activities.

This section of the M&E Plan should also describe how knowledge and learning will be gained from implementation, evaluation findings, and monitoring data, among other sources, to adjust interventions and approaches, as needed.

This section may identify learning questions that relate to the Logic Models, or potential gaps in the Theory of Change or technical knowledge base. The learning plan should also include activities for analysis and reflection on monitoring and evaluation data and details on integrating the M&E learning into project adaptation and implementation. This section of the plan may also indicate how the project will address learning questions or knowledge gaps and identify ways to allow for adjustments as circumstances change or learning evolves.

Lesson 8: Reporting on Results

Reporting on outcomes, and not only on outputs, supports decision-making, ensures accountability to Donors, local stakeholders and Canadians, and provides a basis for citizen engagement in Canada and partner countries.

Results based reports:

- Clearly present the context and program logic. Includes relevant details about the project environment, what the intervention intends to achieve and how
- Provides valid and reliable performance information, including evidence to support all the statements in the report and data for all indicators.
- Conveys meaningful results, focusing on important and relevant information without getting bogged down in details about activities and minor incidents.
- Reports accomplishments against expected results, clearly stating progress (or challenges to progress) towards results at every level, showing what has been achieved and explaining any variance
- Demonstrate capacity to learn and adapt, showing that the project is learning from results-based monitoring to make any adaptations that might be needed.

Reporting is thus more than a vehicle for meeting accountability requirements. Reports are important management tools that allow implementers, key stakeholders and Donor staff to:

- reflect strategically about the project, and the Theory of Change that informs it, in an ongoing way
- identify challenges and issues influencing the project's ability to deliver expected outcomes (results)
- use performance information to make timely, evidence-based adjustments to the project
- draw lessons for improving development/programming effectiveness during the life of the project and beyond
- communicate about the project's overall performance and outcomes achieved

To report on results, implementers must assess actual results based on actual data (qualitative and quantitative) collected during implementation on the indicators identified in the performance measurement framework.

Output Reporting

When reporting on outputs:

- Describe progress made during the reporting period. What did the activities produce? Is this what was the expected output? If yes, explain how it came to be (relying on the Logic Model and Theory of Change).
- Discuss the cumulative progress from project inception to date.
- Explain any variances as well as any unexpected outcome (negative or positive).

Outcome Reporting

When reporting on outcomes, you can speak about progress “on” or “towards” the achievement of that outcome. This difference allows you to report on progress “towards” an outcome early in the life of the project even when there has not been a significant change in the value of the indicators for that outcome. When describing progress made on or towards achieving outcomes and outputs, implementers should provide an evidence-based narrative that uses the actual data (qualitative and

quantitative) collected on the indicators identified in the performance measurement framework.

- Progress on is defined as actual change in the value of indicators being tracked for the respective outcome or output. An outcome or output is considered to have been achieved when its targets have been met.
- Progress towards is defined as actual change in the value of indicators tracked at the next level down in the Logic Model (i.e. the intermediate outcomes, or their supporting immediate outcomes, or their supporting outputs depending on the level in question), with an explanation of how they are expected to lead to the higher-level outcome.

Reporting on outcomes, and not only on outputs, supports decision-making, ensures accountability to stakeholders (donors, participants, etc)

Reporting is thus more than a vehicle for meeting accountability requirements. Reports are important management tools that allow implementers, key stakeholders and GAC staff to:

- reflect strategically about the project, and the Theory of Change that informs it, in an ongoing way
- identify challenges and issues influencing the project's ability to deliver expected outcomes (results)
- use performance information to make timely, evidence-based adjustments to the project
- draw lessons for improving development/programming effectiveness during the life of the project and beyond
- communicate about the project's overall performance and outcomes achieved

When there has been no perceptible change in the actual value of indicators at the respective outcome level, go to next level down in the Logic Model. For example, if there has been no perceptible change in the actual value of indicators at the intermediate outcome level, go to the supporting immediate outcomes and their indicators.

In each case, provide evidence (actual quantitative and qualitative data/information). Explain how these interim accomplishments, at the next level down in the logic model, will, over time, lead to the achievement of the higher-level outcome.

For each output and immediate outcome:

- Describe progress made during the reporting period.
- Discuss the cumulative progress from project inception to date.
- Explain any variances as well as any unexpected outcome (negative or positive).

Unexpected Outcome: A negative or positive change that is not part of the Logic Model but can be linked to the project. Not to be confused with a risk occurring or with other results not linked to the project.

Impact reporting: over time, what changes in the organization or community can you observe? who is being affected and how?

Challenges or best practices: what helped or hindered the achievement of results? did anything unexpected happen?

Lessons learned: what could have been done/could be done differently in subsequent projects or activities to improve such programming and related results?

Learning from Results

Learning questions can be operationalised in many ways within an M&E system. This includes:

- placing them into results frameworks;
- incorporating them into regular reporting templates;
- including them as agenda items during regular meetings, workshops and feedback sessions;
- including them as evaluation questions during formal reviews, evaluations or impact assessments; and
- addressing them through one-off M&E or research studies

Learning reviews may be organized in a variety of ways, but key questions that should be considered during such meetings include:

- What should we have achieved (in the project) by now?
- What information have we gathered over the last period through our monitoring processes, how, and from whom?
- What's working well, and why?
- What problems or challenges are there, and why? Can they be solved?
- What have we learned about matters such as: the institutional, cultural, and other contexts where we are carrying out our activities, the program area (i.e. various aspects of sustainable forest management, community participation, gender equality, ecotourism, etc.), success factors, the monitoring process itself?(Once learning reviews have become a regular practice, it may be useful to select a different topic from this list as a focus for each review)
- What action should we take to address points raised in the review? Who will take the action, and when?
- This forms the basis for making any course corrections or adaptations that might be needed to address problems or capitalize on opportunities. Learning reviews go beyond the usual content of regular weekly or ad hoc team or management meetings because participants are invited to reflect systematically on activities and experiences relate to the project results framework, and to engage directly with indicator monitoring data.

- The ideal frequency of reviews depends on team schedules and other considerations, but quarterly reviews can be a useful reminder of team members' monitoring responsibilities and ensure regular opportunities to check overall project health. They can also provide opportunities to gather or identify sources for project information that may not be captured in regular monitoring but may help reports paint a more complete picture of the project (for example, case stories, unusual situations, notable successes, etc.). Learning reviews may be organized in a variety of ways, but key questions that should be considered during such meetings include: What should we have achieved (in the project) by now? What information have we gathered over the last period through our monitoring processes, how, and from whom? What's working well, and why? What problems or challenges are there, and why? Can they be solved? What have we learned about matters such as: the institutional, cultural, and other contexts where we are carrying out our activities, the program area (i.e. various aspects of sustainable forest management, community participation, gender equality, ecotourism, etc.), success factors, the monitoring process itself? (Once learning reviews have become a regular practice, it may be useful to select a different topic from this list as a focus for each review) What action should we take to address points raised in the review? Who will take the action, and when?
- Following the review, a brief report should be circulated to the whole team, highlighting issues identified, lessons emerging from reflection, and actions agreed. If the review raises issues substantive enough to require changes to the work plan or results framework, these can be noted for inclusion in the next semi-annual or annual report so that appropriate changes to the plan and, if needed, the results framework and PMF, can be approved and implemented.

GLOSSARY

Accountability: The obligation to demonstrate that responsibility is being taken both for the means used and the results achieved in light of agreed expectations

Activity: Actions taken or work performed through which inputs, such as funds, technical assistance and other types of resources, are mobilized to produce specific outputs.

Assumptions: the variables or factors that need to be in place for results to be achieved. Assumptions can be internal or external to the particular programme or organization.

Baseline: Information gathered at the beginning of a project against which changes or variations are measured.

Benchmarking involves a process of defining and comparing subjective, unquantifiable items (experiences, perceptions) using scales, such as high, medium, and low, to understand and compare qualitative indicators.

Disaggregated data is data that has been broken down by detailed sub-categories, for example by marginalised group, gender, region or level of education. Disaggregated data can reveal deprivations and inequalities that may not be fully reflected in aggregated data.

Effectiveness: individuals and governing bodies fulfilling their roles, responsibilities and functions towards the achievement of expected results.

Efficiency: systems, services, and financial and human resources used optimally without waste, corruption or delay.

Evaluation: Evaluation is the systematic and objective assessment of an on-going or completed project or part of, programme or policy, its design, implementation and results. In the development context, evaluation refers to the process of determining the worth or significance of a development initiative.

Gender Equality and Intersectional Analysis (GEIA) allows us to examine and challenge gendered power dynamics and other social relations between and within groups of diverse women, men, and gender-diverse people, considering sex, age, race, ethnicity, Indigeneity, class, ability, language, location, immigrant status, and other relevant factors

Immediate Outcome: A change that is expected to occur once one or more outputs have been provided or delivered by the implementer. In terms of time frame and level, these are short-term outcomes, and are usually changes in capacity, such as an increase in knowledge, awareness, skills or abilities, or access to among intermediaries and/or beneficiaries.

Impact: The positive or negative, long-term effects produced by an intervention, directly or indirectly, intended or unintended.

Inclusion: The incorporation of the voices, interests, and rights of all stakeholders and marginalised groups regardless of specific characteristics such as gender, religion, age, ethnic or national origin, sexual orientation or physical/mental disability.

Indicators are quantitative or qualitative variable that allow stakeholders to verify changes produced by a development intervention relative to what was planned

Inputs: Financial, human, material, technological and information resources.

Intermediate Outcome: A change that is expected to logically occur once one or more immediate outcomes have been achieved. In terms of time frame and level, these are medium-term outcomes that are usually achieved by the end of a project/program, and are usually changes in behaviour, practice or performance among intermediaries and/or beneficiaries.

Monitoring: A continuous process of collecting and analyzing data for performance indicators.

Outcome: Describe the intended change in development conditions resulting from a program or intervention. Outcomes are the medium term-results that occur between completed outputs and the achievement of goals.

Output: The products, capital goods and services produced by the intervention, which are necessary for the achievement of results.

Participation: The involvement in processes through which stakeholders can influence and share control over projects, including decision-making and the allocation of resources.

Performance indicator: A unit of measurement, either qualitative or quantitative, that specifies what is to be measured along a scale or dimension but does not indicate the direction or change.

Performance is the degree to which a development intervention or a development partner operates according to specific criteria/standard/guidelines or achieves results in accordance with stated plans.

Results are changes in a state or condition that derive from a cause-and-effect relationship. There are three types of such changes (outputs, outcomes, and impact) that can be set in motion by a development intervention.

Results chain is the causal sequence for a development intervention that stipulates the necessary sequence to achieve desired results. It is based on a theory of change.

Results-based Management (RBM) is a management strategy aimed at achieving improved performance and demonstrable results (outputs, outcomes, and higher level goals or impact).

Results-based monitoring is the continuous process of collecting and analyzing information on key indicators and comparing actual results with expected results in order to measure how well a project, program, or policy is being implemented.

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

Situational analysis is often used to help understand a problem and the assets available and/or ways to address it.

Stakeholder: Stakeholders include beneficiaries, intermediaries, implementers and donors as well as others such as an individual, group, institution, or government with an interest or concern – economic, societal, or environmental – in a particular measure, proposal, or event.

Stakeholder analysis typically refers to the range of techniques or tools to identify and understand the needs and expectations of major interests inside and outside the project environment.

Target: A particular value that an indicator should reach by a specific date in the future.

The Performance Measurement Framework is a comprehensive framework for measuring and monitoring performance and results achieved by a project or program. It is a plan to

systematically collect relevant data over the lifetime of an investment to assess and demonstrate progress made in achieving expected results.

Theory of change is a description of the logical causal relationships between multiple levels of conditions or interim results needed to achieve a long-term objective. It may be visualized as a roadmap of change, and outlines pathways or steps to get from an initial set of conditions to a desired end result

Transparency: individuals and governing bodies fulfilling their roles, responsibilities and functions towards the achievement of expected results.

Triangulation: The use of three or more theories, sources or types of information, or types of analysis to verify and substantiate an assessment. Note: by combining multiple data sources, methods, analyses or theories, evaluators seek to overcome the bias that comes from single informants, single methods, single observer or single theory studies.

Ultimate Outcome: The highest-level change to which an organization, policy, program, or project contributes through the achievement of one or more intermediate outcomes. The ultimate outcome usually represents the *raison d'être* of an organization, policy, program, or project, and it takes the form of a sustainable change of state among beneficiaries.



Capacity-Building
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