

What does management consider in outcome-focused results-based management?

(UN JIU Report December 2017 Annex II)

- Adapted from John Mayne, “Results management: can results evidence gain a foothold in the public sector?” in The Evidence Book: Concepts, Generation and Use of Evidence, Olaf Rieper, Frans Leeuw and Tom Ling, eds. (New Brunswick, Transaction Publishers, 2010)) Planning (results-based)

- Planning(results-based)
- Delivery
- Monitoring, analysis + evaluation
- Learning + action
- Improving design
- Improving measurement strategy

Ongoing Issues with RBM:

(Remember, we have been at this for 30+ years!)

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Key Problems with RBM

- RBM made to appear straightforward/simple
- Use for accountability drowns out learning
- Not understood within organizations
- No incentives to use RBM
- Based on indicators
- IT systems can't handle results information
- Belief that RBM doesn't require additional resources

BUT

- RBM is not straightforward, not simple
- RBM requires thinking, understanding, experience and professional expertise
- RBM requires ongoing support, incentives, resources: a result-oriented culture
- RBM for learning is a significant challenge
- Indicators are NOT enough:

You cannot learn and manage with indicators

Disappointingly

***We aren't learning well about
what is needed to get RBM to
work effectively***

But maybe there is hope

Principles for RBM Important

- Thinking about and doing RBM requires Principles for guidance
- Need to understand what RBM is all about, what is possible and how results information can be used
- UN and OECD have been developing RBM principles for many years.
- JIU 2017 reports the most recent version and the most insightful

Key New Features of JIU Principles

RBM Principles recognize the need to:

- Focus on outcomes
- Appreciate the complexity of interventions
- Develop and use ToCs
- Understand how interventions are influencing results, how they make a contribution
- Link monitoring and evaluation
- Think before setting out measurement approaches



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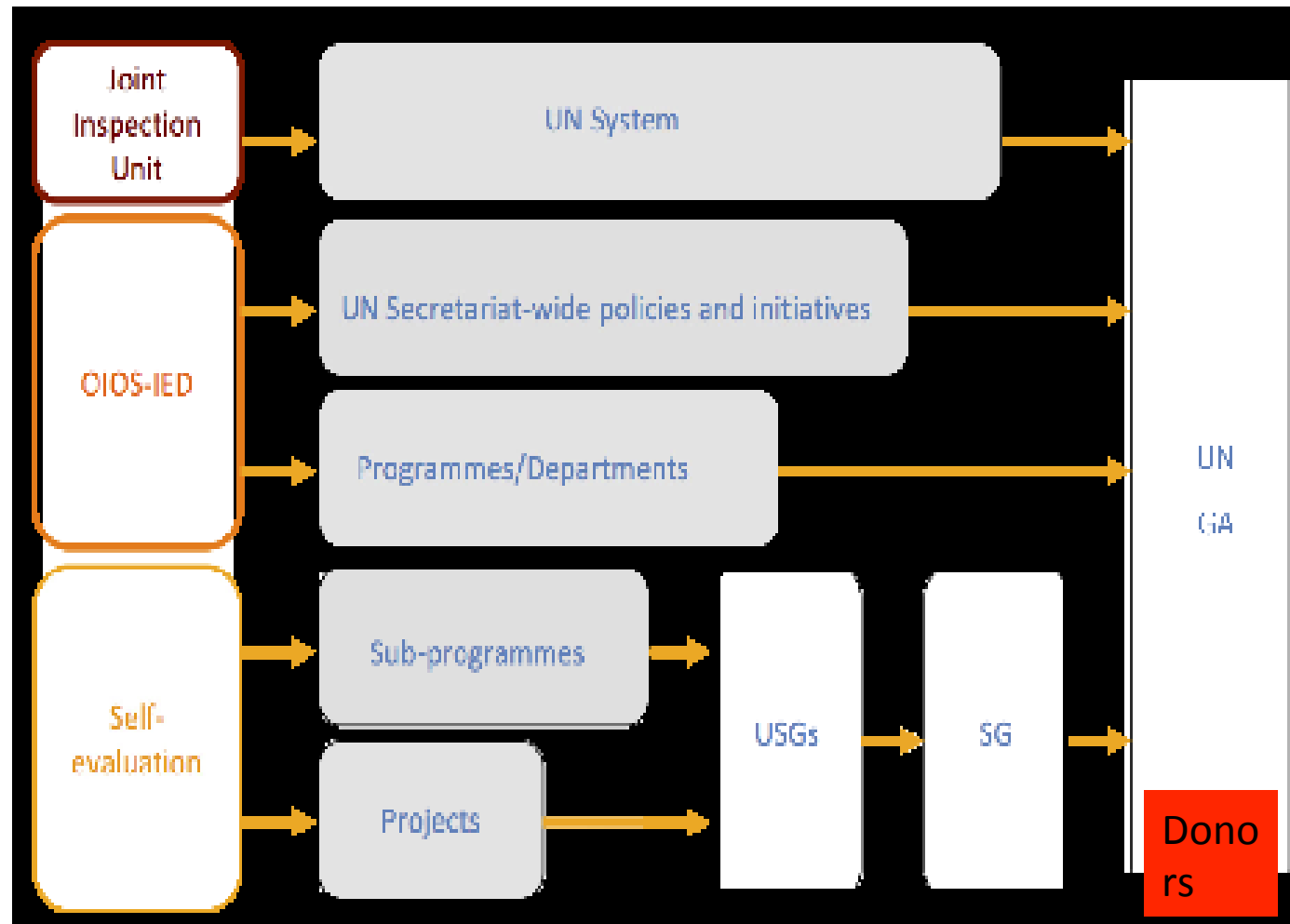
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du Canada

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Nick Kowbel, current evaluator in the United Nations Secretariat, and former evaluator in the Government of Canada

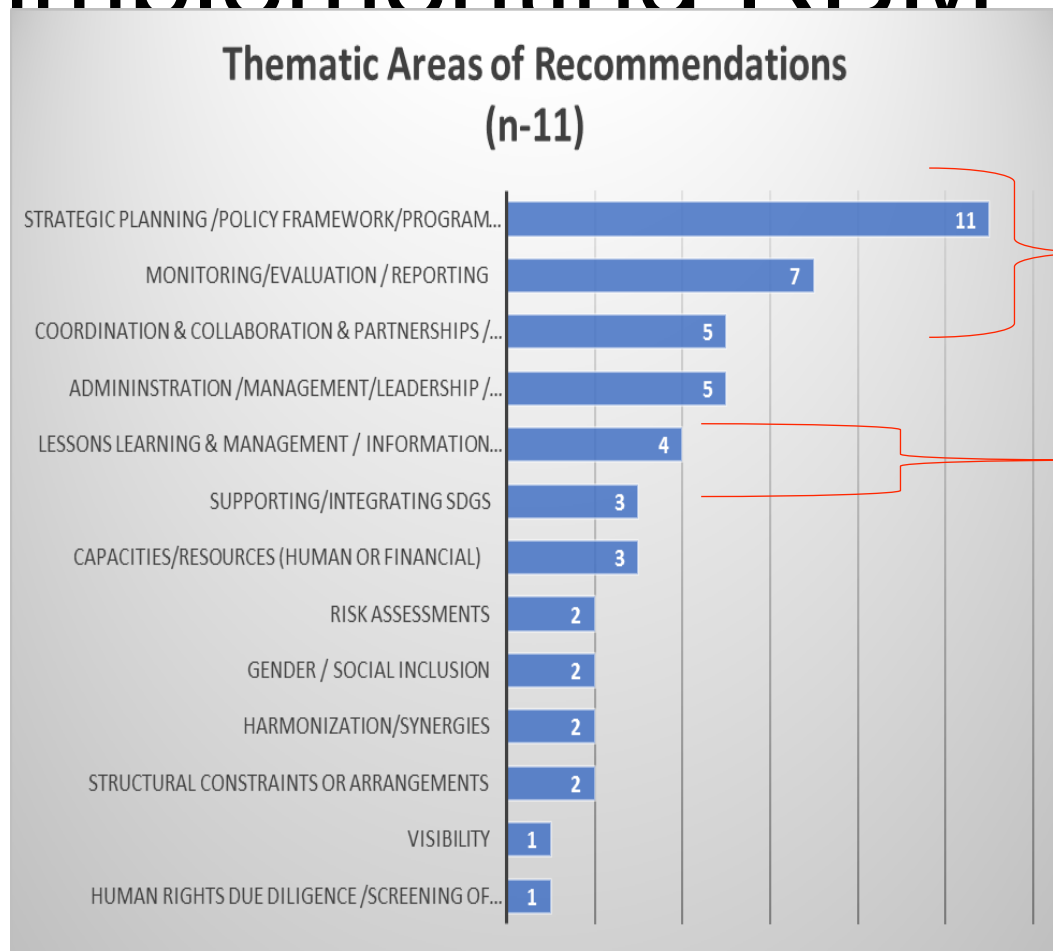
“views presented are my own and do not necessarily reflect the official views of the Office of Internal Oversight Services”

Who conducts Evaluation in the UN?



Source: OIOS-IED Manual 2014 edition

OIOS evaluations find challenges with fully implementing RBM



Implications
for JIU
principles of
RBM

- Need to focus more on theory of change (validity of results chain);
- use of strategies that acknowledge niche roles;
- resolve challenges with M&E and use of evidence in decisions

Source: OIOS-IED internal assessment of 2018-2019 reports



UNITED NATIONS
INDUSTRIAL DEVELOPMENT ORGANIZATION



SUSTAINABLE DEVELOPMENT GOAL 9
INDUSTRY, INNOVATION AND INFRASTRUCTURE

Managing For Results: UNIDO's Integrated Results and Performance Framework

PPX Symposium
Ottawa, Canada
15 May 2019

Giuseppe De Simone
Office of Strategic Planning, Coordination
and Quality Monitoring





Content

- The imperative of managing for results
- The IRPF and the UNIDO strategic planning framework
- Our renewed take on RBM: an actor-based, behavioral change model
- Telling the UNIDO performance story
- Benefits and challenges going into implementation



The imperative of managing for results

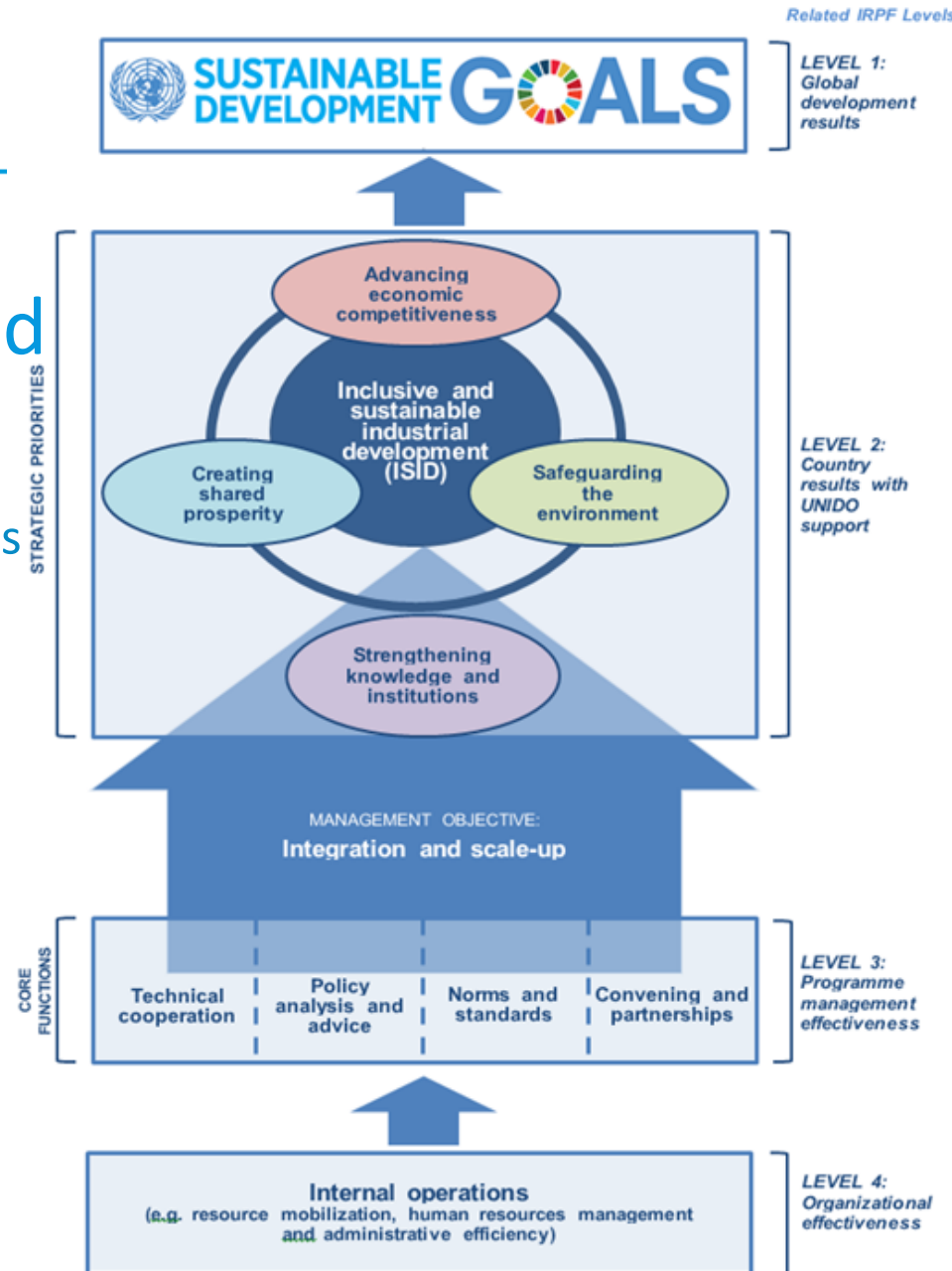
- In the 2030 Agenda era, **Organizations** for development **must be able to show their contribution to SDGs**
- SDGs: country-owned transformational, **systemic change!**
- The UNDS reform goes in the same direction: Organizations to demonstrate contribution → but attribution is a challenge!
- A results framework is much more than a reporting tool: it measures **progress towards management for change**, at scale
- UNIDO's integrated results and performance framework (IRPF): direct emanation of UNIDO's strategic plan

The strategic planning framework: integration and scale up

- **Better integration** across core functions to enable **scaling up of results**
- **Strengthening knowledge and institutions** as **key enabler**



- **Strengthen results orientation**
- Better **show** contribution to transformational change and SDGs
- Better **equip UNIDO** for **UNDS reform** and SDGs



Making RBM work for more than indicators

We follow the **sequence of RBM principles** (JIU 2017):

1. **Vision** and clarity of desired end product or impact
2. **Causal linkage in a hierarchy of results** (inputs, activities, outputs, outcomes, impact) based on **theory of** how **change** happens
3. **System-operation** that goes beyond linear logic and considers context, espouses equifinality, and addresses risks and conditions for success for achieving higher-level results
4. **Performance measurement** for transparency, consensus building, and having a common perspective on results, as well as for accountability
5. **Performance monitoring** for single loop learning, and **evaluation** for double-loop learning

Our renewed take on RBM

- **An actor-based, behavioral change model to credibly capture complexity**
 - Importance of key actors in the system at the micro, meso and macro level
 - Focus on change of behaviors, which trigger higher-level results
- **A mix of indicators and narratives** to tell the performance story
- **Embeds a Theory of Change approach** with risks and external factors

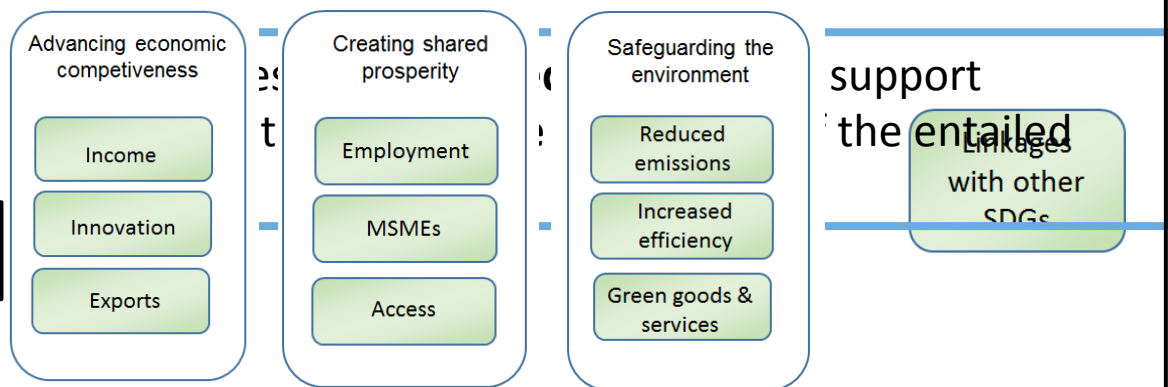
Telling the UNIDO performance story

UNIDO therefore can credibly claim its contribution to ISID and the SDGs by supporting countries in:

Markers

- **LEAVE NO ONE BEHIND:** gender, youth, poor
- **PARTNERSHIPS:** Private sector, IFIs, UNDS, SS&TC
- **INNOVATION:** STI, Industry 4.0

Sex, age and country disaggregated data wherever possible



UNIDO supports these actors in **changing key behaviors:**



UNIDO supports these actors in **strengthening** their technical, institutional and policy **knowledge & understanding** of ISID issues, and associated **skills & capacities**

Knowledge & Capacities

UNIDO addresses the complexity of ISID by **closely working with all relevant actors:** individuals & firms; intermediary institutions; policymakers and global players

Reach & Reactions

With available resources and highly specialized staff, UNIDO supports by: TC; Policy analysis & adv.; Norms & standards; Convening & partnerships

Level 4: Organizational resources and efficiency

Level 3: Programmatic offer & programme management effectiveness

UNIDO-related SDG indicators
(UNIDO as custodian agency)

Level 1: Global industrial development context

Impact

Advancing economic competitiveness

Income

Innovation

Exports

Creating shared prosperity

Employment

MSMEs

Access

Safeguarding the environment

Reduced emissions

Increased efficiency

Green goods & services

Linkages with other SDG

Level 2: Country and global result with UNIDO support

Outcomes

Strengthening knowledge and institutions

Business practices

Technology

Policies & Standards

Investments

Partnerships & Coordination

Knowledge & Capacities

Reach & Reactions

Outputs

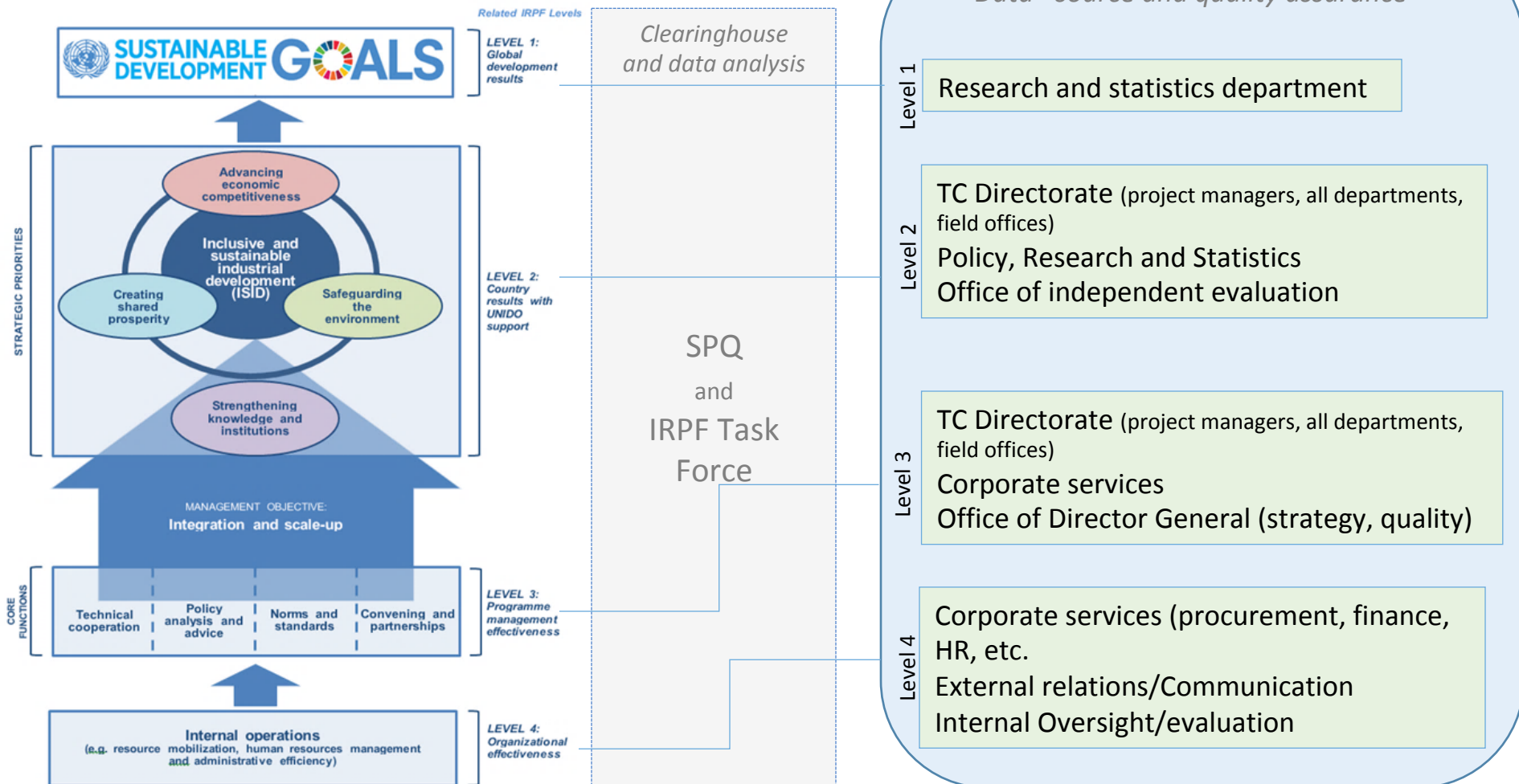
Level 3: Programmatic offer & programme management effectiveness

Inputs

Level 4: Organizational resources and efficiency

ALIGNED WITH THE MTPF

How does it work?



*Note: KPI data from new PPM or in-house surveys when RB based

Benefits

1. Better **tell UNIDO's performance story**, where it truly is
 - **Own our narrative, change the conversation** (from \$\$\$ to impact)
 - Spell out **UNIDO's contribution to transformational change**, ISID, the SDGs
 - Provide **convincing evidence** for non project-based, **less earmarked funding**
 - Meet the challenge of UNDS reform (credibly show contribution to SDGs)
2. **Harmonizes corporate results indicators with project results to avoid duplication and facilitate alignment** → **No additional burden!**
4. **Align to strategy:**
 - **Be more than the sum** of fragmented projects
 - **Link programmatic KPIs to organizational results**
6. **The process itself:**
 - developed and agreed **with the whole house** (top-down meets bottom-up): grounded on a comprehensive **programme mapping**

A management tool, with already visible results

- **IRPF** is part of the **bigger policy architecture**
- A tool to **complement and reinforce** other efforts to reform UNIDO:
 - Quality Assurance Framework
 - Adaptive management
 - Standardization
 - Reengineered project management
 - Alignment to strategic documents
 - Integration and scale up (MTPF)



Change is already here: new programmes being developed are already using the IRPF framework: sustainable cities, migration, youth, MICs, GEEW strategy, AGR service modules, PCP Ethiopia...



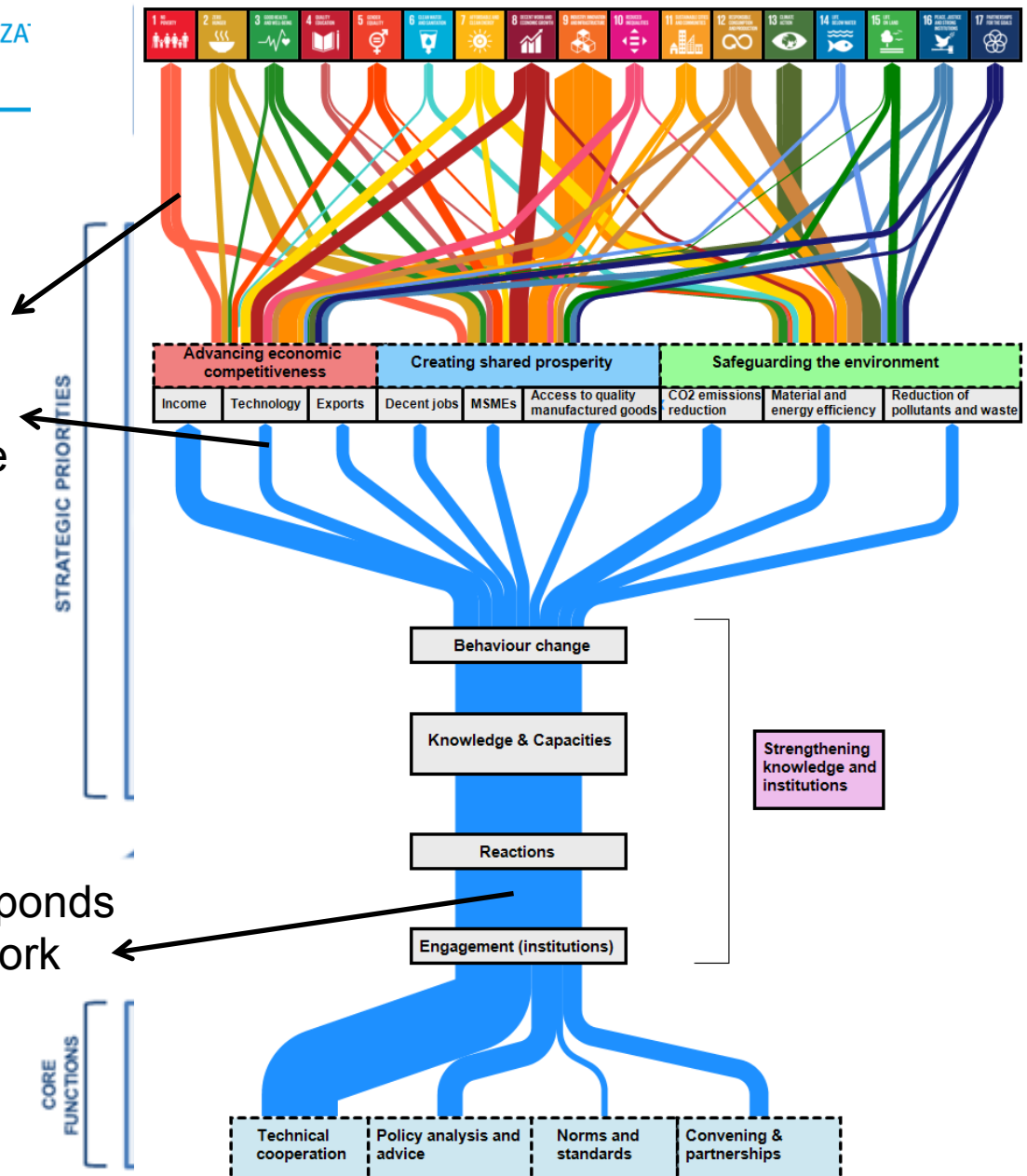
Showing our contribution story

The impact contribution arrows will depend on theoretical linkages and empirical evidence from UNIDO interventions upstream?

UNIDO's approach: Scalable for a project, a programme, a country programme/PCP, UNIDO as a whole.

The width of the arrows corresponds to the data in the IRPF framework

UNIDO contribution to ISID and SDGs



Going into implementation

- **Changes are being introduced in a gradual manner**, after testing and validation.
- **Consistent signals** from **policies, indicators and narratives** to facilitate the required shift in mindsets and processes
- **Challenges:**
 - **Change management** – (not again!!!)
 - **Capacity** – training needs
 - **Financial investments** – but not massive
 - **Timing** – UNDS reform, donor assessments etc.
 - **Data availability:** time lag in achieving impact
- **The consistent leadership of senior and middle management** will continue to be crucial during implementation
- Constant **engagement with Member States** is also necessary

Conclusions

1. A comprehensive system to drive change, based on an actor-based behavioral change model, embedding a ToC approach – scalable from projects to corporate
2. Strengthens the ability of UNIDO to realize and show its **unique contribution to ISID and SDGs** and drive **further integration and scale up of results**
3. The **IRPF** (indicators and narratives) provides measures of progress – a management tool for UNIDO and a reporting tool for external parties



Thank you!

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Annexes

Testing with projects, programmes and country reports

IRPF testing – it works!

- A testing exercise was conducted with PTC departments test the **relevance**, **robustness** and **usefulness**. Examples:
 - TII – [SMART Fish project](#)
 - ENV – [Eco-industrial park programme](#)
 - ENE – [EnMS programme, Sustainable Cities](#)
 - AGR –Service modules
- Request from PCP – Ethiopia to support PCP results framework aligned to IRPF

- **Conclusions:**
 - Great match of IRPF indicators– relevance, robustness and usefulness confirmed
 - Requests for more granularity to capture details and more value of UNIDO work
 - Eagerness to move away from volumes approach and find ways to better show results
 - **Wealth of knowledge from UNIDO staff (incl. Field!)**– so far partly untapped



Example of the IRPF testing at project level



UNIDO Global Energy Management System - ISO 50001 - Energy System Optimization Programme

Relevant UNIDO IRPF Indicators (Levels 1-2)

Global EnMS-ISO 50001-ESO Programme Relevant UNIDO IRPF Indicators

Relevant Indicators	
Behavioral change indicators (Bennett 6)	
Policy and standards	
POL 1 New policies developed (governments) <small>MM42</small>	
POL 2 New policies adopted (governments)	
POL 3 New policies with improved levels of implementation <small>MM46</small>	
POL 4 New policies with improved levels of compliance <small>MM45</small>	
POL 5 New standards formulated	
POL 6 New standards adopted	
POL 7 Firms newly accredited/certified to standards <small>MM43</small>	
POL 8 Firms complying with standards <small>MM47</small>	
POL 9 New guidelines formulated	
POL 10 New guidelines adopted	

1 April 2019

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Indicators tell the UNIDO performance story at PROJECT level (e.g. Smart Fish project)

UNIDO is the key Organization that provides an **integrated approach to ISID services**, to **address the complexity** of the **systemic transformation** it entails



- **20,460 USD per month estimated value of production for new micro enterprises (under component 2: seaweed quality and productivity which included MSME development)**
- **1.2 million USD estimated annual sales of existing SMEs**
- **Production of quality fish increased from 30 to 69-80% in Tulungagun**
- **Participating companies have over 80% of market share**



- 3 value chain roundtable dialogues
- Establishment of Tropical Seaweed Innovation Network
- Improved management practices along the value chains (ISPIRED tool, standard operating procedures, branding); e.g. 590 farmers adopted the SOP
- 4 Women-led home based units established registered to produce sea-weed based foods
- More than 3000 farms and 13 processing companies joined the traceability platform
- iPride4Fish centre established as a semi-autonomous centre within the university of fisheries
- 18 seaweed based food/drink products commercially produced valued at USD 350,000 per year
- USD 6,426,000 new investment raised



- 5401 participants in 127 capacity building related activities



- Farmers and firms along three value chains
- Private sector representatives
- National, provincial and district level governments
- Multilateral and bilateral agencies



- 127 capacity building activities (trainings, workshops, seminars, round tables organized, etc.)
- Training on INSPIRED tool and on standard operating procedures
- Policy recommendations and policy dialogues



IRPF
indicators

2.1 Nr. of firms reporting economic gains
2.5 Nr. of MSMEs reporting increased market inclusion

2.14 Nr of firms introducing improved management practices (incl. business models, business plans, products)
2.15 Nr. of firms reporting adoption of new technologies
2.20 Value (\$) of new investments leveraged
2.21 Nr. of firms participating in enhanced collaboration settings

2.25 Nr. of actors gaining awareness/knowledge/skills on entrepreneurial/industrial skills, management practices, standards, etc.

2.26 (a) Nr. of firms/entrepreneurs/individuals reached
2.26 (b) Nr. of intermediary institutions reached
2.26 (c) Nr. of governments/policymakers reached
2.26 (d) Nr. of international actors reached
3.1 Nr. of trainings/workshops provided

Indicators tell the UNIDO performance story at PROGRAM level (e.g. Eco-Industrial Parks)

UNIDO is the key Organization that provides an **integrated approach to ISID services**, to **address the complexity** of the **systemic transformation** it entails



- **Target: At least 25% of total firm workers in industrial park are employed through direct employment and permanent contracts.**
- **Target: At least 25% of resident firms use local suppliers or service providers for at least 80 percent of their total procurement value.**
- **Target: At least 90% of total procurement value of park management entity are supplied by local firms or service providers**
- **Ratio of renewable energy used**
- **Ratio of water reused/recycled**
- **GHG emissions and reduction tCO2 eq./year**

IRPF
indicators

2.1 Nr. of firms reporting economic gains
2.5 Nr. of MSMEs reporting increased market inclusion
2.6 Number of people reporting improved access to manufactured goods



- Improvement in terms of EIP international framework
- Policies reviewed and amended
- Synergy opportunities implemented
- Investments on RECP/EIP

2.8 Indicator on reduced emissions
2.14 Nr of firms introducing improved management practices (incl. business models/business plans, products)



- on EIP policy and management

2.25 Nr. of actors gaining awareness/knowledge/skills on entrepreneurial/industrial skills, management practice standards, innovation, gender, etc.



- Industrial parks management staff
- Relevant national institutions and governmental agencies
- Resident firms
- SME staff trained

2.26 (a) Nr. of firms/entrepreneurs/individuals reached
2.26 (b) Nr. of intermediary institutions reached



- Capacity building workshops organized (EIP policy, industrial synergy)
- Study tours organized
- Policy review
- RECP assessment
- Conduct industrial synergy feasibility study
- Outreach and awareness raising campaigns

3.1 Nr. of trainings/workshops provided
3.7 Nr. of analytical publications released



Indicators tell the UNIDO performance story at COUNTRY level (e.g. Egypt)

UNIDO is the key Organization that provides an **integrated approach to ISID services**, to **address the complexity** of the **systemic transformation** it entails

IRPF
indicators



- **\$852,000 additional income for rural farmers**
- **Access to clean water for 150,000 people in Upper Egypt**
- **10,000 women can access EGP 2 million in community savings and loans**
- **1560 OPD tons reduced since 1993**
- **3.58 MtCo eq less carbon emissions emitted by industry**

- 2.1 Nr/Rate of firms reporting economic gains
- 2.3 Nr/Rate of firms reporting an increase in exports
- 2.5 Nr/Rate of MSMEs reporting increased market inclusion



- Over 700 women-led start-ups established
- Adoption of ISO 50001 standard on energy management
- 20,000 farmers improved produce quality, food safety practices and added value to crops
- EGP 67 million mobilized for an industrial zone in Luxor
- 23 lines of new leather and habitat products developed and exported

- 2.8 Indicator on reduced emissions
- 2.14 Nr of firms introducing improved management practices (incl. business models/business plans, products)
- 2.15 Nr. of firms reporting adoption of new technologies
- 2.17 Nr. of new standards adopted
- 2.20 Value (\$) of new investments leveraged



- 3,500 youth with skills to realize opportunities for decent employment and entrepreneurship
- 7 ministries, 80 policy makers, and 39 national institutions with strengthened capacities on ISID

- 2.21 Nr. of firms participating in enhanced collaboration
- 2.25 Nr. of actors gaining awareness/knowledge skills on entrepreneurial/industrial skills, management practices, standards, innovation,



- Ministries, policy makers and national institutions
- Youth and women
- MSMEs and productive clusters
- Public and private business development service providers
- Training/Educational institutions
- Farmers
- European markets for export
- Civil society and NGOs
- Development partners and IOs

- 2.26 (a) Nr. of firms/entrepreneurs/individuals reached
- 2.26 (b) Nr. of intermediary institutions reached
- 2.26 (c) Nr. of governments/policymakers reached
- 2.26 (d) Nr. of international actors reached



- Training of youth and women entrepreneurs
- Training of trainers at the meso level
- Publications produced with lessons learned (MENA publication)
- Hold events at national and regional level to inform policy dialogue

- 3.1 Nr. of trainings/workshops provided
- 3.7 Nr. of analytical publications released
- 3.12 Nr. of events held

