RBM HANDBOOK

Key Results-Based Management concepts, tip sheets and examples

Assembled by Mosaic.net International Inc.

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Results-based Management in a Nutshell[1]

What is Results-Based Management (RBM)?

Let's start by defining results:
A result is a describable or measurable *change* in state or condition that derives from a cause-and-effect relationship.

> Results-based Management is:
>
> *A life-cycle approach to management that integrates strategy, people, resources, processes, and measurements to improve decision-making, transparency, and accountability. RBM is essential for […] senior management to exercise sound stewardship in compliance with government-wide performance and accountability standards. The approach focuses on achieving outcomes, implementing performance measurement, learning, and adapting, as well as reporting performance. RBM means:*
>
> - *defining realistic expected results based on appropriate analyses;*
> - *clearly identifying program beneficiaries and designing programs to meet their needs;*
> - *monitoring progress towards results and resources [utilized] with the use of appropriate indicators;*
> - *identifying and managing risks while bearing in mind the expected results and necessary resources;*
> - *increasing knowledge by learning lessons and integrating them into decisions; and*
> - *reporting on the results achieved and resources involved.*[2]
>
> - Global Affairs Canada *Results-based Management Policy Statement 2008*

Let's unpack that a bit.

RBM is about *change*.

It involves a shift from focusing only on *what we're doing* (activities) to primarily focusing on *the changes we're making* or to which we're contributing (results). RBM is about making sure our work actually makes a difference in the lives of people. As we manage our programming, we continually track the relationship between what we're doing and what's actually changing

[1] This document is adapted from UNICEF, *Results-Based Management Handbook: Working together for children*, 2017, pp. 6-11.

"out there." We get feedback on the effects of our activities, and adjust them to better achieve the change we want.

The change we want to achieve sets our direction. In RBM, we don't start our programme planning with the activity we want to carry out in mind (such as a training workshop or a multilateral conference). Instead, we begin with the end in mind. Based on a robust situation analysis, we get clear on the difference we want to make for people (such as reduced mortality, increased access to clean water, improved learning outcomes, or reduced violence against women). Then we consider the medium and short-term results we think will make that difference, and the strategies and activities we believe will move us in that direction.

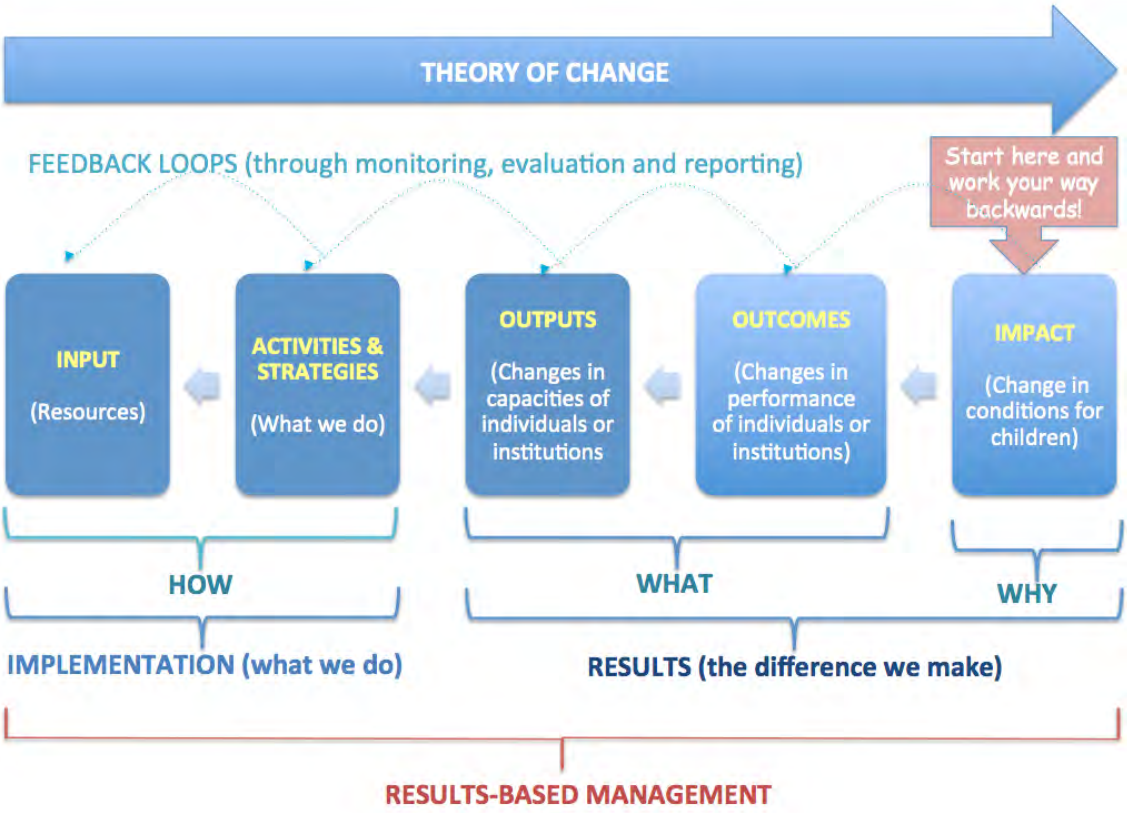
Those assumptions or hypotheses about what inputs, activities, outputs and outcomes are both necessary and sufficient to make the desired ultimate change for people are our ***theories of change***. We examine the coherence and logic of our theories. Then, as we implement our programming, we monitor and evaluate to determine if our intervention is making the hoped-for difference.

If it turns out that things are not getting better for people or are even getting worse, our monitoring and evaluation help us find out why. Were we wrong about what activities and strategies would bring about the desired changes (our theory of change)? If so, based on sound evidence and analysis we try out different activities and strategies, and then monitor and evaluate whether *those* move us in the desired direction. Did our assumptions about preconditions for success not hold true? Or did events beyond the programme's control (risks) interfere with the desired change process? If so, we do our best to mitigate their effects and capitalize on the opportunities they present. Or is it just that we are not carrying out our activities well enough? If that's the case, we see how to improve our implementation.

If we *are* making the desired difference, we ask how our success might lead to more success. Could similar strategies achieve similar results elsewhere? Or on a bigger scale? What would it take for that to happen, and how could we support it?

In short, taking an RBM approach means becoming very curious about *how change happens,* and very strategic about how best to catalyze positive change in social systems.

Figure 1: RBM in a snapshot



An analogy: RBM is like making a meal.

RBM can be likened to preparing a meal. You get the right people involved (stakeholder participation). You agree on what kind of meal you want to make (your vision of change or expected result). You get a recipe to work from (your theory of change). You obtain the ingredients you need (your inputs). You mix them all together in suitable proportions and sequence (implementation).

As you cook the meal, you might need to adjust the temperature and duration to the altitude in which you find yourself (response to local context, culture and conditions). Throughout the process you try to prevent or respond to unforeseen events like people being cut or burned in the kitchen, or getting indigestion (risk management). Then you check often how your meal is coming along (monitoring).

At the end of the process, if you've succeeded, the result will be positive and measurable (evaluation). You will have: people who've improved their cooking know-how (your output), a tasty meal (your outcome), and a nourished, happy family (your impact).

RBM is an approach to the whole programme cycle.

RBM influences how we approach every stage in the programme cycle, from harnessing evidence and analysis to strategic planning, implementation, monitoring and reporting, and evaluation. (See figure 2 for a generic depiction of the RBM programme cycle, which is also valid in more accelerated form in fragile and humanitarian contexts.)

Figure 2. The RBM programme cycle

In short, this is what RBM, applied throughout the whole programme cycle, can look like:

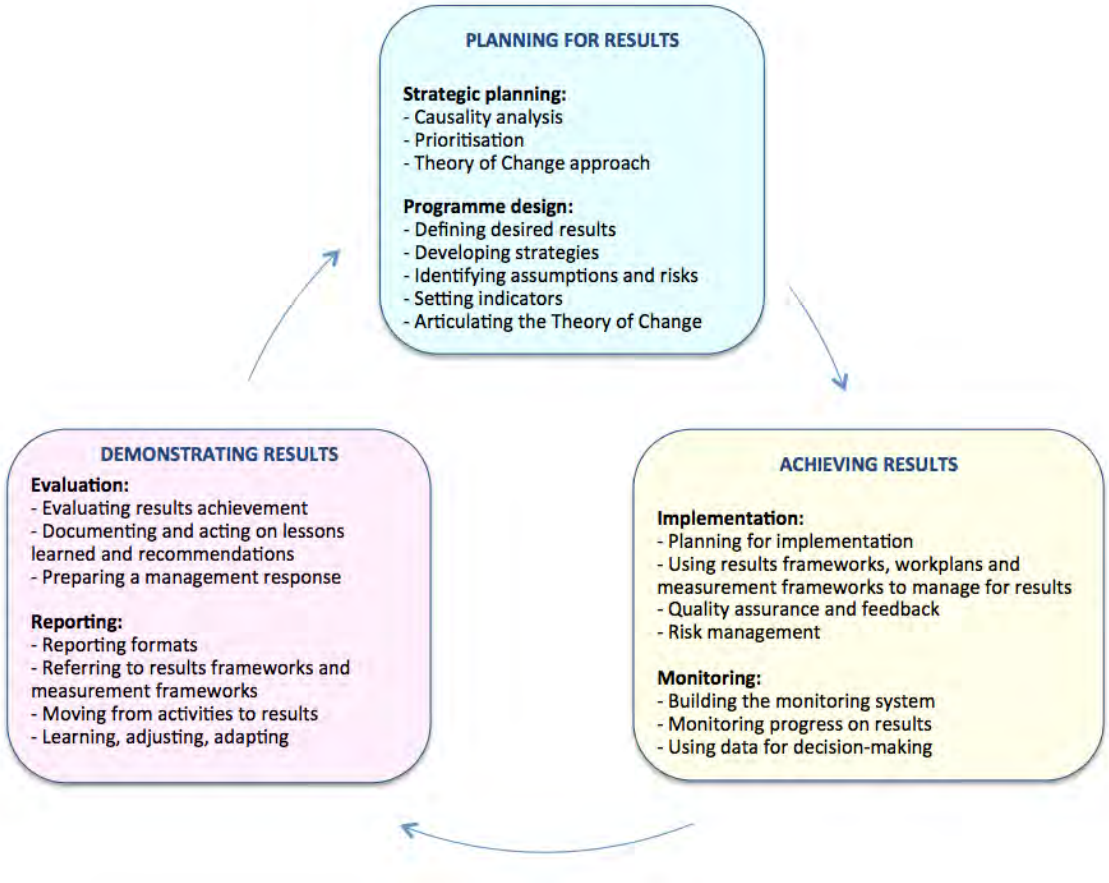
- You **gather** key actors who can help address the issue.
- Together you **analyse** the situation in which you want to intervene.
- Keeping in mind available resources, you **co-create** a snapshot of the change you want to work toward together and how you see this happening.
- You **define roles and responsibilities** of each actor toward the desired change.
- You **carry out** your respective activities and strategies with the end in mind.
- You **measure** whether you're moving in the right direction and what you've achieved.
- You **respond** to risks and take advantage of emergent opportunities.
- And you **report, learn and adjust** throughout the whole process.

While each step does build on the other, in practice the process is ideally dynamic and iterative rather than static and linear. That is why programme re-design figures at the centre of the cycle.

It is a process of collaborative engagement that should promote collective reflection, learning and creativity over expedient box-ticking.

Applying RBM means planning, achieving, and demonstrating results.

Figure 3. Applying RBM: Planning for, Achieving and Demonstrating Results



As shown in figure 3, we begin by **PLANNING FOR RESULTS**. In a **strategic planning** process, we harness evidence and analysis about the context in which we wish to intervene—both as it is now and how it is likely to evolve. This allows us to identify the issues we want to address, and the causes that underlie them. That is what we need in order to identify what we want to change about the current situation and for whom. We prioritise those issues and causes that we will address. Then we define pathways of change toward our desired future (our theories of change). **Programme design** involves then defining our desired results and strategies to achieve them. As we do so, we consider the assumptions we are making, how we will mitigate risks to achieving our desired future, capitalize on opportunities, and build longer-term resilience to shocks. And we ensure that we'll be able to measure whether we're moving in the hoped-for direction.

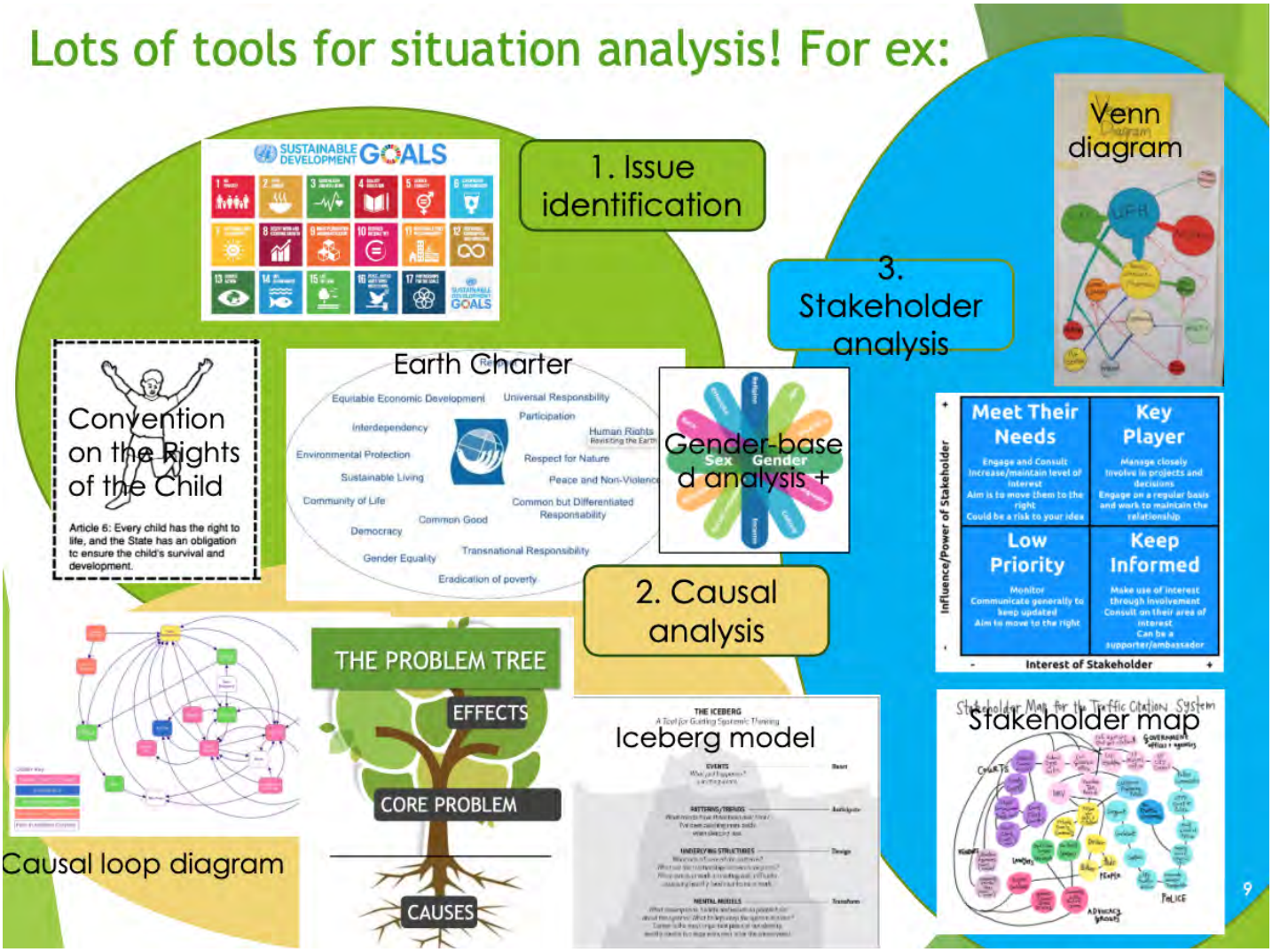
ACHIEVING RESULTS begins with **implementation**, as we undertake our selected strategies and activities. It means a focus on **monitoring** results throughout implementation, keeping our eye not just on what we're doing, but on whether we are helping to bring about the hoped-for change. It is not enough that we planned with a view to what we wanted to change: now we need to see whether we're *actually* making a difference.

DEMONSTRATING RESULTS involves **evaluating** the difference we're making, and **reporting** on whether and to what extent we are contributing to positive change. And then we use that information to adjust our strategies, activities, resources, and even to our vision of the changes (results) we want to achieve and our theories about how best to move in that direction.

RBM is a coherent, integrated and iterative process in which the results focus applies throughout the programme cycle. Each phase and step in the cycle can build on the previous one. And each step and phase can enable the next one.

THE LOGIC MODEL (LM)

Lots of tools for situation analysis! For ex:



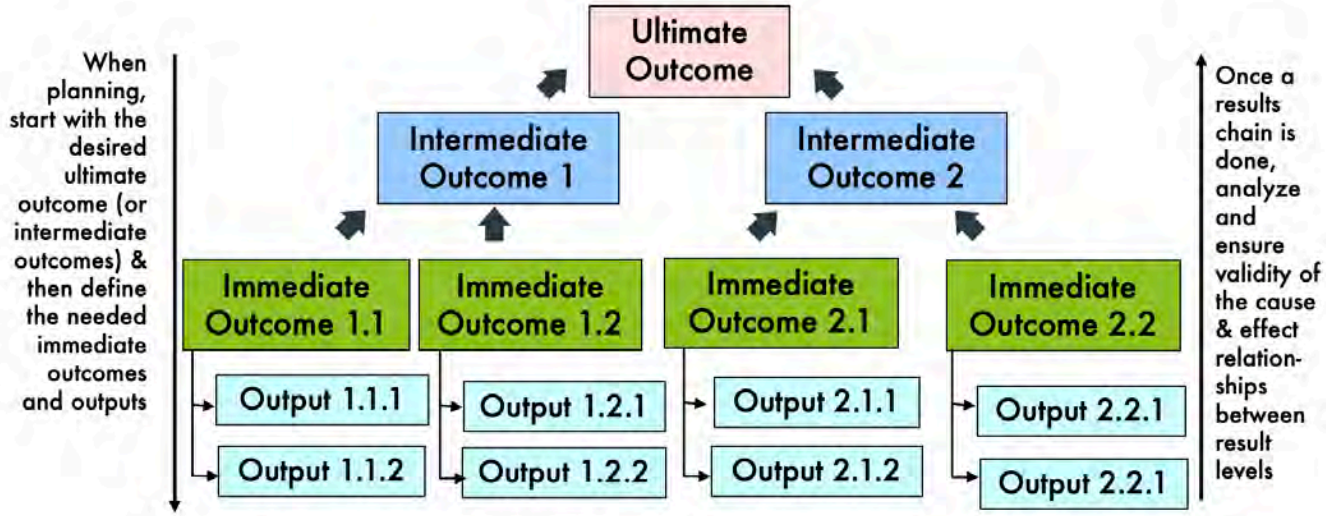
Understanding the Context: some tips

- **Scan the environment** for key gender, environmental, governance, political, economic, social and cultural factors that will impact on your programme or project.
- **Highlight key stakeholders** you might want to involve or influence; involve them in the situation analysis and project design process
- **Refer to key strategic or analytical documents** from the country, World Bank, UN donor agencies
- Refer to impact evaluations, systematic reviews and evidence gap maps, e.g. in:
  - 3ie evidence hub (developmentevidence.3ieimpact.org)
  - CampbellCollaboration repository (campbellcollaboration.org/better-evidence)

Purpose or function of a logic model

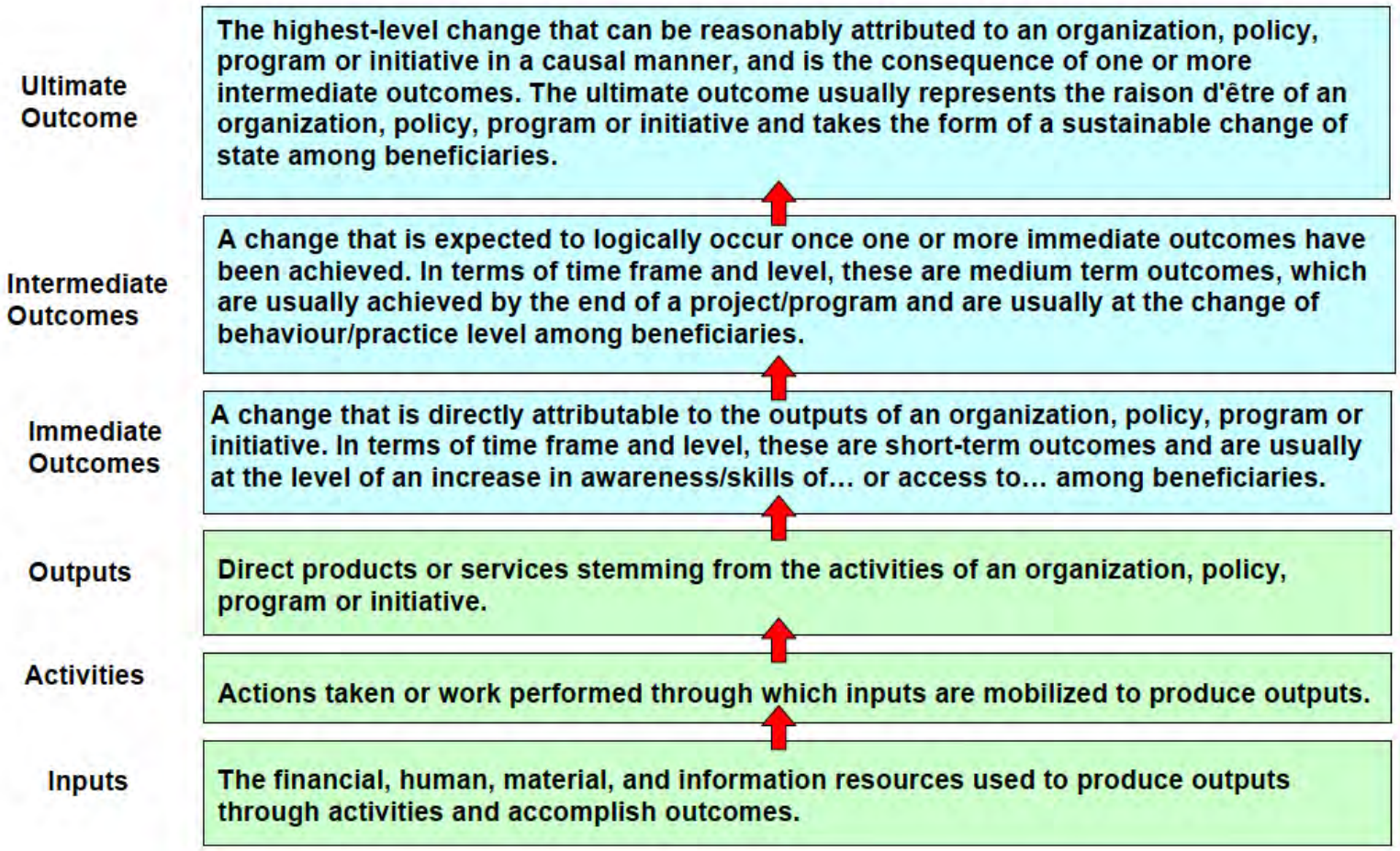
- Help the team manage for results!
- Common vision of the project: key components & Theory of Change
- Check that expected outcomes are relevant, realistic
- Link Monitoring, Evaluation and Learning (MEL) to expected outcomes and Theory of Change
- Reference point for monitors and evaluators
- Communication tool: a one-page snapshot

Project Logic Model



Remember: Lower level results are building blocks for higher level results. There has to be a clear cause and effect relationship between the different levels of results.

Logic Model – Terms and Definitions



Result:
A describable or measurable change in state that is derived from a cause and effect relationship. **Results are the same as Outcomes** and further qualified as immediate, intermediate or ultimate.

Development Results:
Reflect the actual changes in the state of human development that are attributable, at least in part, to a CIDA investment.

***Source**: CIDA RBM Policy Statement, June 25, 2008*

Results-Based Management Tip Sheet 2.1 - Global Affairs Canada's Results Chain and Definitions[1]

Contribution and Influence

Attribution and Control

Change in state, conditions or wellbeing of ultimate beneficiaries (not of surrounding circumstances)

Ultimate Outcome

Safety | Freedom | Prosperity | Well-being | Security (Environmental, Economic, Personal, Community, Food, etc.)

Health | Quality of Life | Living Conditions | Human Dignity

Change in behaviour, practice or performance of intermediaries or beneficiaries

Intermediate Outcomes

Decision-making | Efficiency | Effectiveness | Practice

Social action | Behaviour | Policy-making | Viability

Change in capacities of intermediaries or beneficiaries

Immediate Outcomes

Knowledge | Skills | Attitudes | Willingness | Processes

Opinions | Awareness | Aspirations | Motivations

Products and services delivered by project or program implementer(s)

Outputs

Workshop facilitated | Policy advice provided | Assessments conducted | Clinics built or refurbished

Training provided | Research undertaken | Report submitted

Planned activities undertaken by project or program implementer(s)

Activities

Draft report | Procure material | Monitor implementation | Analyze documentation

Hire tutor | Conduct environmental assessment | Provide technical assistance | Develop training curriculum

Resources invested by implementer(s) & donor(s)

Inputs

Money | Time | Equipment | Partners

Staff | Materials | Technology

Timeframe

- WHY are we doing this?
- WHAT changes in state, conditions or wellbeing will the ultimate beneficiaries experience?
- Usually occurs after the end of the project.
- Should still be measured during the life of the project, if possible, as changes may occur earlier.

- WHAT changes in behaviour, practice or performance, will intermediaries or beneficiaries experience?
- Usually expected to be achieved by the end of the project.

- WHAT changes in capacity will intermediaries or beneficiaries experience?
- Achieved during implementation.

- HOW will implementers work to achieve the above changes/outcomes?
- Completed during implementation according to work plan schedule.

Source: Adapted from University of Wisconsin-Extension, *Program Development and Evaluation, p.21*

[1] **Purpose:** This tip sheet is a companion to the *Results-Based Management for International Assistance Programming at Global Affairs Canada: A How-to Guide*, 2nd edition, 2016 and other Results-Based Management resources available on the Global Affairs Canada website. This tip sheet provides you with a quick reference tool to help you in your day-to-day work.

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Global Affairs Canada's International Assistance Programming Results Chain and Definitions[2]

INTERNATIONAL ASSISTANCE RESULTS

Results Chain	Formal Definition	Examples	Dependency and Time Frame	Questions to help develop the Logic Model
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.	- Improved maternal health of rural women, particularly young mothers, in selected districts of country Y - Increased freedom[3] of marginalized women, men, girls and boys in country X	- Dependant on the achievement of the intermediate outcomes - Usually occurs after the end of the project - Should still be measured during the life of the project, if possible, as changes may occur earlier	WHY are we doing this? WHAT changes in state, conditions or wellbeing will the ultimate beneficiaries experience?
Intermediate Outcomes ↑	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.	- Reduced stockpiles of weapons of mass destruction in country X - Increased use of pre-, peri-, and post-natal continuum of care by women and their families in selected rural villages in country Y - Increased protection of the rights of marginalized women, men, girls and boys by government X in country X	- Dependant on the achievement of one or more immediate outcomes - Usually expected to be achieved by the end of the project	WHAT changes in behaviour, practice or performance will intermediaries or beneficiaries experience?
Immediate Outcomes ↑	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.	- Improved trade-negotiation skills of aboriginals, especially women, in province Y of country X - Enhanced ability of traditional attendants to deliver case-appropriate pre-, peri-, and post-natal care to women in selected rural villages - Increased knowledge of civil-society organizations (CSO) on promoting human rights, particularly for marginalised women, men, girls and boys	- Dependant on the completion of outputs - Expected to be achieved as outputs are completed - Achieved during implementation	WHAT changes in capacity will intermediaries or beneficiaries experience?
Outputs ↑	Direct products or services stemming from the activities of an organization, policy, program or project.	- Training in pregnancy risk-management, pre-, peri-, and post-natal care provided to traditional-birth attendants according to XYZ certification requirements - Technical assistance provided to CSO on how to promote human rights, especially those of marginalized women, men, girls and boys	- Dependant on the completion of activities - Completed during implementation according to work-plan schedule	HOW will implementers work to achieve the above changes/outcomes?
Activities ↑	Actions taken or work performed through which inputs are mobilized to produce outputs.	- Conduct needs assessment, including consultations with male and female staff - Design gender-sensitive coaching material	- Completed during implementation according to work-plan schedule	
Inputs	The financial, human, material and information resources used to produce outputs through activities and accomplish outcomes.			

***Note:** Changes in access can fall at **either immediate or intermediate** outcome level, depending on the context of the project and its theory of change.

Result / Outcome: Results are the same as outcomes. An outcome is a describable or measurable change that is derived from an initiative's outputs or lower-level outcomes. Outcomes are qualified as immediate, intermediate, or ultimate; outputs contribute to immediate outcomes; immediate outcomes contribute to intermediate outcomes; and intermediate outcomes contribute to ultimate outcomes. Outcomes are not entirely within the control of a single organization, policy, program or project; instead they are within the area of the organization's influence. In the context of development, these are also referred to as development results.

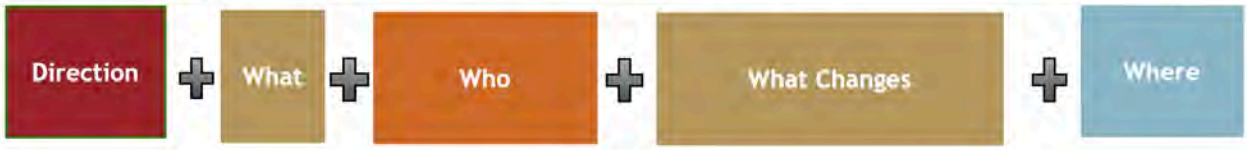
Updated: July 2017

These tools will be updated annually as required. Enquiries or feedback on this tip sheet should be directed to:
Results-Based Management Centre of Excellence, Operational Direction and Coherence, International Assistance Bureau, Global Affairs Canada, Email: gar.rbm@international.gc.ca

[2] Global Affairs Canada, *Results-Based Management for International Assistance Programming at Global Affairs Canada: A How-to Guide*, 2nd edition, 2016.
[3] It is important to define terms in outcome statements. For example, Freedom here is defined as: Full enjoyment of political rights and civil liberties.

Crafting your Results Statements

Reduced	unemployment	among recent female post-secondary graduates	in eligible Francophonie countries
Increased	geographical diversity of work opportunities	for post-secondary students	in Canada



Increased	access	by low-income students	to study/work opportunities	abroad
Strengthened	capacity	among Canadian post-secondary institutions	to deliver outbound mobility programs	in Commonwealth countries

Adapted from GAC's RBM How-to Guide, 2016, p. 37

Crafting your Output Statements

(outputs ≠ results!)

Mentoring	provided	in job search techniques	to scholarship recipients who have graduated (f/m/nb)
Work/study opportunities	provided	in their field of study	to Canadian students with disabilities (f/m/nb)

Coops	related to their field of study	provided	to low-income students
Internships	related to their field of study	provided	to indigenous students studying at select Canadian PSIs

Adapted from GAC's RBM How-to Guide, 2016, p. 41

✓ Checklist for Formulating Sound Results

Specific	
Does the result statement name a direction and tell you What? Who? Where?	✓
Simply worded	
Is the statement simply worded and contains one idea?	✓
Measurable	
Can the result be measured?	✓
Achievable	
Is the result realistic and achievable?	✓
Relevant	
Is the result relevant?	✓
Inclusive	
Was the result developed in a participatory fashion? Is the result gender-sensitive, does it recognize intersectionality and/or advance gender equality?	✓

Results-Based Management Tip Sheet 2.2
Syntax[1] Structure of Outcome, Output and Activity Statements

This tip sheet is a companion to the Results-Based Management for International Assistance Programming at Global Affairs Canada: A How-to Guide. This tool expands on the discussion of the structure for outcome and output statements in the How-to Guide and provides a reference tool that you can use in your day-to-day work.

This tool can be used to develop and assess outcome (result) statements. It can be used as an informal validation tool to help determine whether outcome statements clearly identify the: *who*, *what* and *where* of the expected change. This helps ensure that outcomes are concrete, realistic and focused. The tool can be used in a similar way for output statements.

Outcome, output and activity statement structures

Outcome statements (ultimate, intermediate and immediate)
A strong outcome statement starts with a word that indicates the direction of the expected change, and tells you what will change, who will experience the change, and where that change takes place.

Direction	Use an adjective (drawn from a verb in past tense) to indicate the expected direction of change. For example: increased, improved, reduced, enhanced[2].
What	The actual thing/element that will change. For example: • capacity, such as awareness, skills, knowledge, etc. (for immediate outcomes) • behaviour, practice or performance (for intermediate outcomes) • state, well-being or condition [but not surrounding circumstances] (for ultimate outcomes) To describe the type of change sought for intermediaries or beneficiaries, and to provide further specificity, the "what" often includes: • adjectives (e.g., equitable, effective, sustainable, gender sensitive, etc.) • nouns (e.g., efficiency, effectiveness, quality, accountability, etc.) or • adverbs (e.g., efficiently, effectively, etc.)
Who	Identifies the individuals, groups, organizations or entities who will experience the change described; in other words, intermediaries or beneficiaries. For example: ministry of health, agricultural-extension workers, farmers, journalists, local communities, women, children, men, minorities. Identifying the "who" helps to gauge how realistic the change is and makes it more specific. **Note** that "including," "specifically," "especially" or "particularly" can be used to specify a specific group targeted within a large whole. For example: Increased access to public services for women, particularly marginalized ethnic minorities.
Where	The geographical location of the change being described. For example: community, country, region, village, etc.
Examples: - Improved health of women in Region Y, Country X (ultimate outcome) - Enhanced provision of health services to women and men by the ministry of health in Region Z (intermediate outcome) - Increased awareness of proper hygiene-practices by women in Region Y, Country X (immediate outcome) - Increased protection of the rights of minorities by government X in Country X (intermediate outcome)	

Note: The "where" (or location), must be identified at the ultimate and intermediate outcome levels of the logic model. If the location is different at the immediate outcome level (e.g. specific village within the province or country identified in the ultimate or intermediate outcome) it should be included in the statement. If it is not different, or the location is implicit in the "who" it may be left out.

[1] In this context, syntax refers to the arrangement of words and phrases to create well-formed and clear outcome and output statements.
[2] "Enhanced" is used to capture both "improved" and "increased" change.

Output statements

A strong output statement starts with the product or service to be produced or delivered, and includes the topic or subject, a verb in the past tense, the target group and location (what in what for whom). In the context of Global Affairs Canada project or program logic models, outputs always describe the products or services provided by the implementer funded by Global Affairs Canada.

1st What **2nd What**	The product or service provided by the project implementer, and in what topic or subject. The "what" can be qualified (e.g., gender sensitive training delivered… or environmentally responsible disposal strategy developed, etc.) if it helps describe a minimum standard. This qualification should not be subjective (e.g., avoid "efficient process developed, or "user-friendly tools created").[3]
Verb	Use a verb in the past tense describing how the output was delivered. For example: provided, delivered, completed, organized
Whom	The individuals, groups, organizations or entities to or for whom the output was produced or provided; in other words, intermediaries or beneficiaries. Note that "specifically," "especially" or "particularly" can be used to specify a selected group within a larger whole.
Where	The geographical location of the product or service being delivered or rendered. (See note above). For example: community, country, region, village, etc.
Example: Pamphlet on maternal health-services produced for local women's groups in village X.	

Activity statements

A strong activity statement starts with a verb in the present tense, followed by what specific activity, in what topic or subject the implementer will perform, with or for whom and where.

Verb	A verb in the imperative mood describing the action to be taken. For example: provide, train, produce, hire, prepare, develop, etc.
1st What **2nd What**	The activity being undertaken by the project implementer, and in what topic or subject.
Whom	The individuals, groups, organizations or entities for whom, or in cooperation with whom, the activity is undertaken; in other words, intermediaries or beneficiaries. **Note** that "specifically," "especially" or "particularly" can be used to specify a selected group within a large whole.
Where	The geographical location of the activity being described. For example: community, country, region, village, etc.
Example: Conduct inclusive consultations on maternal health needs with local women's groups and health service providers in village X.	

[3] For more information, please see *Results-Based Management for International Assistance Programming at Global Affairs Canada: A How-to Guide, Part II, Section 2.1 Outcomes and Outputs*.

Structural elements to avoid

Consequence or causal bridges

Terms such as "through," "to," "leading to" and "by" (also known as consequence or causal bridges) should NEVER be used when they indicate a causal relationship between phrases in an outcome statement, since it would generally indicate the existence of more than one result at multiple levels in one statement. NEVER include consequence bridges in an outcome statement. For example:

> "Increased access to primary health care leading to improved health of children in community X" is an inappropriate outcome statement.
>
> Why? "Increased access to primary health care in community X" should be located at one level below "Improved health of children in community X" in the logic model.
>
> In other words, in this example, "Increased access to primary health care in community X" would be an intermediate outcome leading or contributing to an ultimate outcome of "Improved health of children in community X."

Coupling results

Conjunctions and semi-colons ("and," ";") should generally not be used. They often indicate the presence of two results (outcomes) in one statement.

However, two *whats* may work in one result if they are experienced by the same *who* (intermediary or beneficiary) and supported by the same elements in the lower levels of the logic model. For example:

> "Improved effectiveness and accountability of public institutions" is OK.
> "Improved accountability of public institutions and increased usage of government services by women" is not OK.

Examples of correct structures - outcomes, outputs and activity statements

Outcomes

Direction	What	Who	Where
Ultimate Outcome			
Improved	health	of women	in region Y, country X
Increased	enjoyment of human rights	by men, women and children	in country X
Reduced	vulnerability to food insecurity	of conflict-affected women, men, girls and boys	in country X
Enhanced	economic empowerment	of women and youth	in selected rural communities of country Y
Intermediate Outcomes			
Strengthened	representation and participation in local decision-making	by women, ethnic minorities and disadvantaged populations	in country X
Enhanced	provision[4] of health services	by staff in regional clinics to men, women and children	in region Z
Reduced	weapons of mass destruction stockpiles	by the government	in country X
Increased	respect for the rights of women	by the national government	in country Y
Immediate Outcomes			
Increased	knowledge of key social services, public policy and decision-making processes	by community-based organization	in town X
Increased	awareness of availability of basic essential obstetric care	by women	in province Y
Increased	ability to identify and address security threats	by government X	in country X

[4] This could be measured by quality, timeliness, appropriateness of service…need vs provision, etc.

Outcomes (alternative order)

Direction	What	Who	What	Where
Intermediate Outcomes				
Increased	participation	of ordinary citizens	in politics	in country Z
Increased	access	by civil society	to information and policy fora on government policy and decision-making related to environment and natural resources	in country X
Immediate Outcomes				
Increased	ability	of health workers	to address the nutrition challenges of women of reproductive age, newborns and children under age five	in country Z
Increased	ability	of female and male members of the community water-collectives in region Y	to maintain wells	(implied)
Improved	skills	of local health-centre male and female staff	in gender-sensitive triage, diagnosis and primary healthcare	in region Y

Outputs

What	What subject	Verb (past tense)	To or for whom
Technical assistance	on gender-responsive and environmentally sensitive project management	provided	to regional government staff
Training	on human rights	provided	to selected women in refugee camp X
Training	in gender-sensitive community-consultation and -participation mechanisms for policy planning and design	provided	to selected regional-government staff
Technical assistance	for the operationalization of regional planning centres	provided	to selected regional government staff
Pamphlet	on maternal-health services	produced	for local women's groups in village X

Outputs (alternative order)

What	Verb (past tense)	What subject	To or for whom
Outreach meetings	convened		with the communities at the grassroots level
Training	provided	on trade-negotiation techniques	to staff (f/m) in organization X

Activities - Example of activities for the following output:

Pamphlet on maternal health-services produced for local women's groups in village X

Verb	What / What	For Whom	Where
Conduct	inclusive consultations on maternal-health needs	with local women's-groups and health-service providers	in village X
Provide	technical assistance on how to produce pamphlets	to local print Micro Small and Medium Enterprises	in region Y
Print	pamphlets		

Box 54 - Common Logic Model Problems to Avoid

Common Problems to Avoid in a Logic Model

Process

- The logic model was developed by only one person, e.g. a manager, in-house expert or consultant.
- Project team is engaged after the logic model is developed and no effort is made to validate it with them.
- No local stakeholders were involved in developing the logic model.
- Outcome statements are not realistic/overly ambitious.

Logic

- Logic model is not linked to any problem or stakeholder analysis.
- The priority problems are not apparent.
- Desired changes have been reduced to overly simplistic results statements.
- Gender equality is not integrated to Global Affairs Canada standards.
- There are gender equality activities, but no gender equality outcomes.
- Tautology - saying the same thing with different words. In the logic model this often manifests as an outcome which summarizes the level below and does not describe a substantively different change. (For further explanation and an example, please see Box 46 - *Definition: Tautology*, under section 3.3 Step 3 a).)

Outcome Statements

- Statements are general and generic.
- The intended change is not clear.
- The logic model has too many intermediate outcomes.
- Statement includes more than one idea or change ("and").
- "Through," "by," "in order to" or other expressions in the statement that describe linkages to other levels of the logic model.
- Statement includes targets.
- Logic model contains too many details and is confusing.
- Statements describe changes at the wrong level of the logic model.

Output Statements

- Output statements include change words like "strengthened."
- Statement includes targets.
- Statement is too long, vague or wordy to communicate the output being delivered.
- The output represents an activity that could fall under another output.
- The range of activities presented in the outputs and activities matrix is too limited to allow for the production of the output.

Reference: Results-Based Management; Global Affairs Canada Guide – pg. 79.
https://www.international.gc.ca/world-monde/assets/pdfs/funding-financement/results_based_management-gestion_axee_resultats-guide-en.pdf

Results-based management checklist 1.1
How to assess and/or review a logic model

This checklist is a companion to the *Results-Based Management for International Assistance Programming at Global Affairs Canada: A How-to Guide.* It expands on the discussion on logic models in the How-to Guide and provides step-by-step instructions to help you review and assess logic models.

Assessment criteria: logic model structure

- ☐ Does the logic model use the **Global Affairs Canada template**?
- ☐ If yes:
  - ☐ Is there only one outcome statement per cell/box?
  - ☐ Is there only one ultimate outcome?
  - ☐ Is there a reasonable/realistic number of intermediate outcomes? (ideal is 2-3)
  - ☐ Is there a reasonable/realistic number of immediate outcomes per intermediate outcome? (ideal is 2)
  - ☐ Is there a realistic number of outputs per immediate outcome? (ideal is 1-3)
  - ☐ Are the output statements in one cell/box beneath their associated immediate outcome?
  - ☐ Does the logic model fit on one page?
- ☐ If no[1]:
  - ☐ Does the multilateral or global organization have its own results-mased management templates and methodology?
  - ☐ Does the multilateral or global organization use its own templates and results-based management methodology correctly?
- ☐ Is there a clear vertical logical relationship between each outcome and the outcomes (or outputs) that precede and follow it?
- ☐ Does the logic model (or results framework) as a whole present clear, horizontal complementarity (i.e. does each outcome describe a unique change that, when combined with other changes at the same level, will contribute to the change it is linked to at the level above)?
- ☐ Does the logic model (or results framework) as a whole present a clear, evidence-based blueprint that outlines the project's theory of change?
- ☐ Does the project design as articulated in the logic model (or results framework) address the original problem identified?
- ☐ Is there a clear relationship between at least one or more of the intermediate outcomes of this project and at least one or more of the intermediate outcomes in the country/regional program-level logic model (if applicable)?
- ☐ Would someone external to and unfamiliar with the project understand what it aims to achieve, and how, by looking at the logic model alone?

Assessment criteria: outcome and output statements (General)

- ☐ Does each outcome statement include only one idea (one change)?
- ☐ Do the outcome statements avoid phrases such as "through," "via," "by," "leading to" or "in order to"?
- ☐ Do the outcome statements begin with an adjective, drawn from a verb in the past tense, that clearly indicates the direction of the change expected (i.e. increased, improved, strengthened, reduced, enhanced)?
- ☐ Does each outcome statement address: What (change is expected)? Who (will experience the change)? Where (where the result will occur, i.e. location or site)[2]?

[1] In line with the principles of good donorship, when programming with multilateral and global partners, Global Affairs Canada (GAC) usually uses Results-Based Management and other tools of the multilateral or global partner, unless otherwise agreed. This is why Long Term Institutional Support and GAC's initiated projects with a multilateral or global partner do not always use the GAC logic model and performance measurement framework.

Assessment criteria: outcomes (and outputs) by level

Ultimate outcome

- ☐ Does the ultimate outcome describe a positive change in the state, conditions, or wellbeing of the ultimate beneficiaries of the project, and not the surrounding circumstances?
- ☐ Is the ultimate outcome realistic and achievable in terms of the change expected for the beneficiaries?
- ☐ Does the ultimate outcome integrate the relevant dimensions of the project such as equality, gender equality, environment, human rights, etc.?
- ☐ Is the ultimate outcome realistically grounded in the reality of the intermediate outcomes, i.e. is it clearly linked to the achievement of the changes described at the intermediate outcome level?
- ☐ Can the ultimate outcome be measured with the indicators identified in the performance measurement framework?

Intermediate outcome(s)

- ☐ Do the intermediate outcomes reflect a change in behavior, practice, usage, access[3], or performance for the intermediaries or beneficiaries?
- ☐ Are the intermediate outcomes realistic (i.e. fall within the scope, time, budget of the project) and achievable by the end of the project?
- ☐ Do the intermediate outcomes integrate the relevant dimensions of the project, such as gender equality, environment, human rights, etc.?
- ☐ Do the intermediate outcomes clearly contribute to the achievement of the ultimate outcome?
- ☐ Do the intermediate outcomes clearly stem from the achievement of the changes described in their associated immediate outcomes?
- ☐ Can the intermediate outcomes be measured with the indicators identified in the performance measurement framework?

Immediate outcome(s)

- ☐ Do the immediate outcomes reflect a change in capacities such as skills, knowledge, awareness, etc., or access[4], attitudes, aspirations, etc., for the intermediaries or beneficiaries?
- ☐ Are the immediate outcomes realistic (i.e. fall within the scope, time, budget of the project) and achievable?
- ☐ Do the immediate outcomes integrate the relevant dimensions of the project, such as gender equality, environment, human rights, etc.?
- ☐ Do the immediate outcomes clearly contribute to the intermediate outcomes to which they are associated?
- ☐ Do the changes described in the immediate outcomes clearly stem from the existence of their associated products and services (outputs)?
- ☐ Can the immediate outcomes be measured with the indicators identified in the performance measurement framework?

Outputs

- ☐ Are there between 1-3 outputs associated with each immediate outcome?
- ☐ Are the outputs direct products or services stemming from the planned activities of the project?
- ☐ Is each output statement written in the past tense and does it address the following: What (direct product or

[2] The "where" (or location), must be identified at the ultimate and intermediate outcome levels. If the location is different at the immediate outcome level (e.g. specific village within the province or country identified in the ultimate or intermediate outcome), it should be included in the statement. If it is not different or the location is implicit in the "who," it may be left out.
[3] Changes in access can fall at either immediate or intermediate outcome level, depending on the context of the project and its theory of change.
[4] Ibid.

service has been produced or rendered)? In what (subject or topic)? For whom?

- ☐ Do the outputs associated with each immediate outcome clearly contribute to the change described in that specific immediate outcome?
- ☐ Can the outputs be measured with the indicators identified in the performance measurement framework?

Assessment criteria: theory of change/logic model narrative

Does the theory-of-change narrative:

- ☐ Explain the project design, focusing on what is not explicit in the logic model, explaining the linkages between each level, i.e. the assumptions between each step or level?
- ☐ Explain how planned activities and their associated outputs will contribute to the immediate outcomes, how the immediate outcomes will contribute to the intermediate outcomes, and how the intermediate outcomes will contribute to the ultimate outcome?
- ☐ Describe how participation of key stakeholders, including intermediaries and beneficiaries, will be encouraged throughout the project's lifecycle?
- ☐ Use evidence and other information and approaches identified in the sectoral/thematic, environmental, gender equality and human rights analysis to support the assumptions and methodological choices made at each step?
- ☐ Describe how gender equality, environment and human rights are integrated throughout the logic model?
- ☐ Mention any key external factors, including risks (as identified in the risk analysis) that could influence the achievement of results?
- ☐ Identify other projects or actors that will contribute to the achievement of the expected outcomes (e.g. complementary programming within the program, Global Affairs Canada, and other actors, recipient-country government commitments, policies and programs, etc.)?
- ☐ Describe how the project will contribute to gender equality and the empowerment of women and girls?

Updated: July 2017

These tools will be updated annually as required. Enquiries or feedback on this check list should be directed to:
Results-based Management Centre of Excellence (RBMce)
Operational Direction and Coherence
International Assistance Operations Bureau
Global Affairs Canada
Email: gar.rbm@international.gc.ca

Examples of Results Chains and Logic Models[1]

From Global Affairs Canada, Results-Based Management for International Assistance Programming at Global Affairs Canada: A How-to Guide, Second Edition, 2016:

Example of a Logic Model (figure 7, p. 75)**:**

Ultimate Outcome	1000 Improved health of women, men, girls and boys in region Y of country X.			
Intermediate Outcomes	1100 Increased equitable use of clean drinking water by women, men, girls and boys in region Y.		1200 Improved provision of front line gender responsive health services to women, men, girls and boys in region Y.	
Immediate Outcomes	1110 Improved equitable access to clean drinking water for women, men, girls and boys in region Y.	1120 Increased ability to maintain wells among female and male members of community water collectives in region Y.	1210 Increased equitable access to health facilities for women, men, girls and boys in region Y.	1220 Improved skills of local health centre male and female staff in gender sensitive triage, diagnosis and primary healthcare in region Y.
Outputs	1111 Wells built in community X, in consultation with local stakeholders, especially women as primary water managers in the community. 1112 Existing wells of region Y rehabilitated using gender equitable participatory approaches.	1121 Training on well maintenance developed and delivered to female and male members of community water collectives in region Y. 1122 Technical assistance provided to community water collectives for the sourcing of parts from local and regional suppliers.	1211 Regional health centres in region Y rehabilitated and equipped. 1212 Gender sensitive*awareness campaign on the availability of health services in newly rehabilitated regional health centres conducted in region Y.	1221 Gender sensitive* materials for skills development programs and on-the-job coaching on triage, diagnosis and primary healthcare developed. 1222 Gender sensitive* skills development programs and on-the-job coaching on triage, diagnosis and primary healthcare provided to male and female staff in regional health centres.

*Note: In the context of this project, gender sensitive is defined as: gender sensitive awareness campaign, training materials, and programs that are designed based on gender analysis to promote equal roles for women and men in healthcare (e.g. women and men as doctors and women and men as care providers); to challenge gender stereotypes and biases that lead to discrimination and harmful practices (e.g. boy preference, sexual abuse/harassment, gender-based violence); to support the rights of women and girls in health decision-making, particularly in sexual and reproductive rights; and to promote equal participation of, and benefit to, women and men (girls and boys).

[1] Assembled by Mosaic.net International, 2021.

Example of an Outputs and Activities Matrix[2] (figure 8, p. 76):

Figure 8 - Completed Outputs and Activities Matrix

Outputs and Activities Matrix	
Immediate Outcome 1110	Improved equitable access to clean drinking water for women, men, girls and boys in region Y.
Output 1111	Wells built in community X, in consultation with local stakeholders, especially women as primary water managers in the community.
Activity 1111.1	Undertake gender sensitive consultations with community members, especially women
Activity 1111.2	Prepare well construction plan
Activity 1111.3	Conduct geological survey and water testing.
Activity 1111.4	Procure construction materials and equipment.
Activity 1111.5	Contract construction firm.
Activity 1111.6	Facilitate community oversight of well construction.
Output 1112	Existing wells of region Y rehabilitated using gender equitable participatory approaches.
Activity 1112.1	Conduct water testing. [Remaining activities removed for the purposes of the How-to Guide.]
Immediate Outcome 1120	Increased ability to maintain wells among female and male members of community water collectives in region Y.
Output 1121	Training on well maintenance developed and delivered to female and male members of the community water collectives in region Y.
Activity 1121.1	Conduct project management gap analysis with male and female community members and gender equality and environmental technical advisors.
Activity 1121.2	Design training and handouts.
Activity 1121.3	Deliver training.
Activity 1121.4	Evaluate course.
Activity 1121.5	Conduct ongoing mentoring with selected male and female community members.
Output 1122	Technical assistance provided to community water collectives of region Y for the sourcing of parts from local and regional suppliers.
Activity 1122.1	Research suppliers. [Remaining activities removed for the purposes of the How-to Guide.]
Immediate Outcome 1210	Improved equitable access to health facilities for women, men, girls and boys living in region Y.
Output 1211	Regional health centres in region Y rehabilitated and equipped.
Activity 1211.1	Conduct needs assessments with health centres' staff.
Activity 1211.2	Prepare procurement plan.
Activity 1211.3	Implement procurement plan.
Activity 1211.4	Prepare rehabilitation plan.
Activity 1211.5	Implement rehabilitation plan.
Output 1212	Gender sensitive awareness campaign on the availability of health services in newly rehabilitated health centres conducted.
Activity 1212.1	Develop messaging. [Remaining activities removed for the purposes of the How-to Guide.].
Immediate Outcome 1220	Improved skills of local health centre male and female staff in gender sensitive triage, diagnosis, and primary healthcare in region Y.
Output 1221	Gender sensitive materials for skills development programs and on-the-job coaching on triage, diagnosis and primary healthcare developed.
Activity 1221.1	Conduct project management gap analysis with regional government staff and gender equality and environmental technical advisors.
Activity 1221.2	Design gender sensitive training slides and handouts.
Output 1222	Gender sensitive skills development programs and on-the-job coaching on triage, diagnosis and primary healthcare provided to male and female staff in regional health centres.
Activity 1222.1	Deliver gender sensitive training sessions to female and male staff.
Activity 1222.2	Evaluate training sessions.
Activity 1222.3	Conduct ongoing mentoring with selected male and female staff.

[2] Note that GAC does not include activities in the Logic Model, so that the LM can be captured in one page. It recommends a separate Outputs and Activities Matrix, in which Immediate Outcomes and Outputs are copied from the Logic Model and activities are listed for each output.

From United Nations' Children's Fund (UNICEF), Results-Based Management Handbook: Working together for children, 2017:

Results Chain Definition and Examples[3] (according to UNICEF; Table 2.2, p. 39):

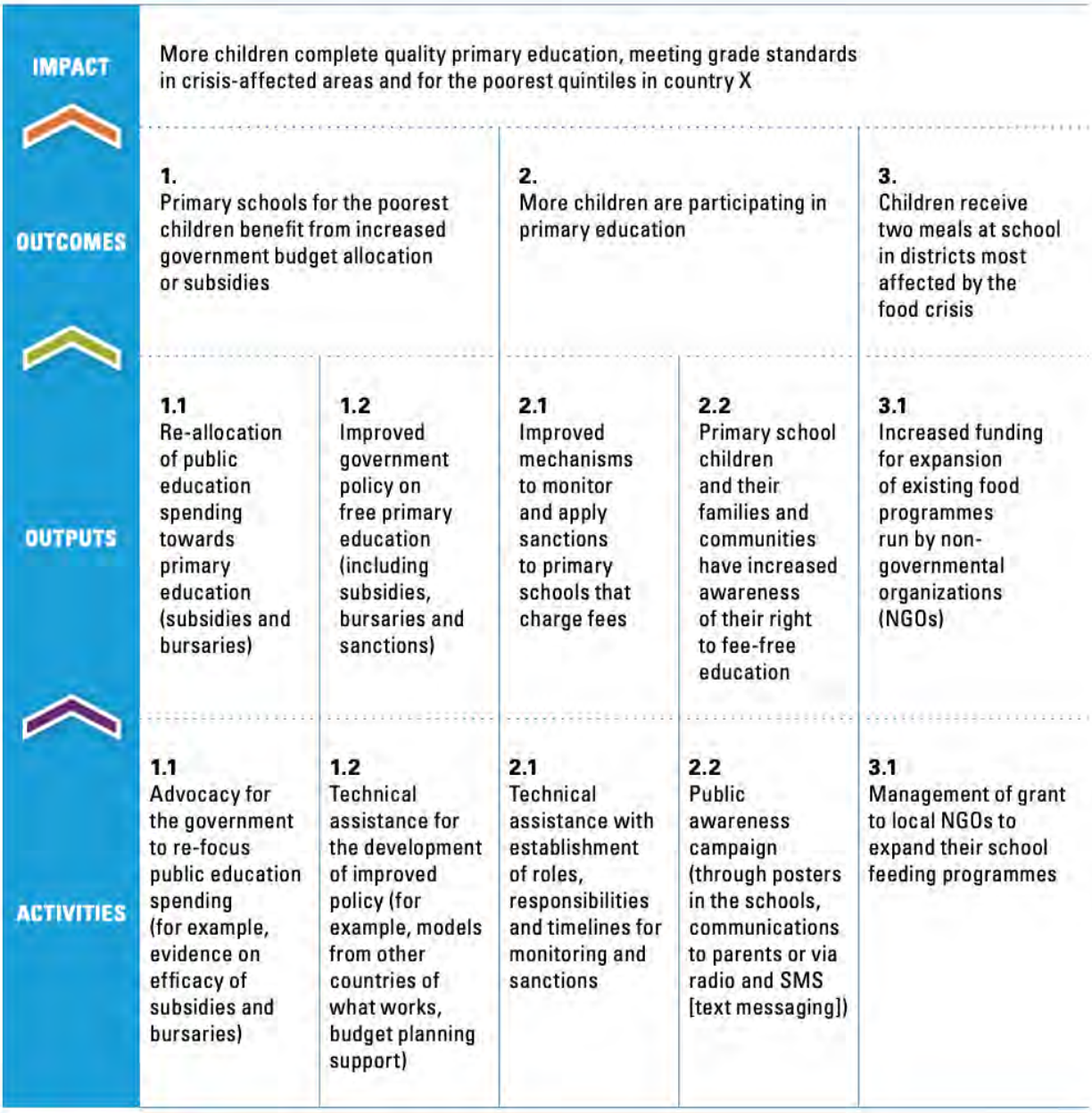
Table 2.2. The results chain: Definitions and examples

CHAIN OF RESULTS	SIGNIFICANCE FOR UNICEF	EXAMPLE 1	EXAMPLE 2
IMPACT	• Long-term changes in conditions for identifiable population groups produced by a development intervention • Relate to the SDGs and international and national development goals • Can be economic, socio-cultural, institutional, environmental • For UNICEF, increased respect, protection and fulfillment of the human rights of children • Results are primarily nationally owned.	Increased completion rates in primary education in crisis-affected areas and for the poorest quintiles	Decreased levels of child poverty
OUTCOMES	• Medium-term changes in behaviour or performance of targeted institutions or individuals • Logically expected to occur once the development intervention has achieved one or more outputs • For UNICEF, improved coverage and quality of proven interventions for children • Practices, systems and societal norms favourable to the well-being of children • Shared among development partners. Individual development actors can rarely achieve these on their own. UNICEF contributes to these results.	Increased government budget allocation on subsidies and bursaries for the education of girls in rural areas	Increased provision of focused antenatal care to adolescent girls
OUTPUTS	• Shorter-term changes in capacities of individuals or institutions (including skills, resources, motivation and authority to undertake a specific action) • Availability of new products, services • Acquired knowledge or skills of service providers, access to information • Causes of bottlenecks addressed • High degree of attribution to UNICEF action; high degree of accountability.	Policy on free primary education enacted	Adolescents and youth have increased access to youth-friendly services
ACTIVITIES	• Actions taken or work performed through which inputs, such as funds, technical assistance and other types of resources are mobilized to produce specific outputs • Carried out by UNICEF, all levels of government and implementing partners.	Consultations/ drafting of an education policy	Creation of youth-friendly corners in communities
INPUTS	• The financial, human, material, technological and information resources used for development interventions (including money, time, personnel and equipment).	Financial resources, human resources (such as technical expertise)	

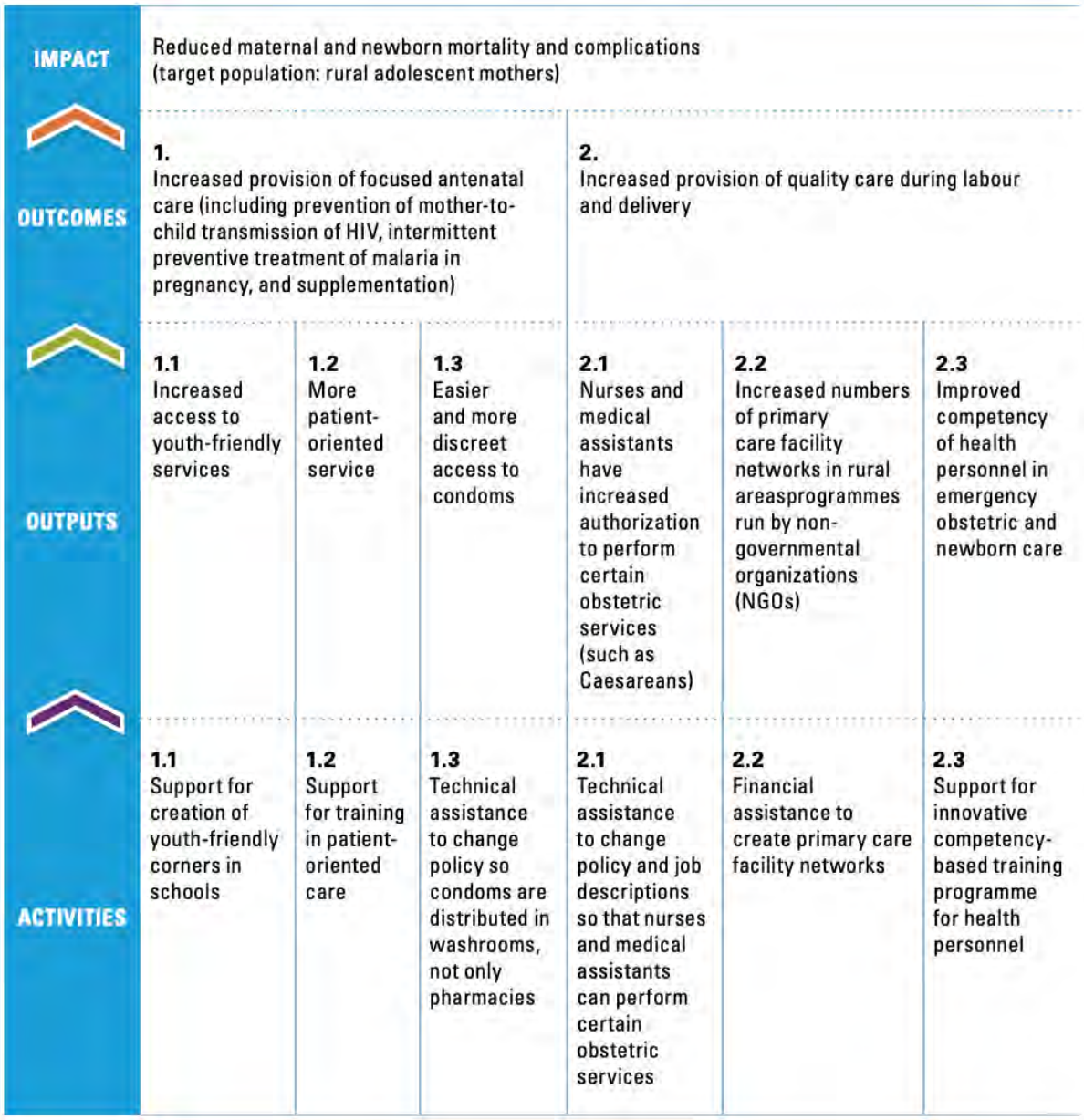
[3] Note that UNICEF defines the levels of results differently than Global Affairs Canada, as follows:

UNICEF		**GAC**	
Impact	=	Ultimate Outcome	Changes in situation or state
Outcome	=	Intermediate Outcome	Changes in performance, practice, behaviour
Output	=	Immediate Outcome	Changes in capacity
------	=	Output	Products or services delivered by the project
Activities	=	Activities	Actions taken or work performed

One example of a Logic Model (figure 2.8, p. 42):



Another example of a Logic Model (figure 2.9, p. 43)



Examples of results chains for programs in various sectors (Table 2.4, p. 49):

Table 2.4. Examples of results statements

Note that each of the results below should also specify the target population and the geographic district/region reached.

OUTPUT	OUTCOME	IMPACT
Health: Decreased measles vaccine stockouts lasting more than one month	Increase in number of children under 1 year receiving measles vaccine	Decrease in under-five mortality rate
HIV/AIDS: Increased number of girls, boys, men and women in humanitarian situations are informed about where to access basic health and support services (including access to condoms and continuation of antiretroviral treatment)	Increase in number of girls, boys, men and women in humanitarian situations who use HIV prevention and treatment services	Decrease in new HIV infections among girls and boys under 15 years
Water, sanitation and hygiene (WASH): Increase in number of primary and secondary schools with safe drinking water	Increase in proportion of girls, boys, men and women using an improved source of drinking water	Reduced incidence of water-borne illnesses
Nutrition: Improved provision of infant and young child feeding counseling services	Increase in exclusive breastfeeding among children 0 to 5 months old	Decrease in number of girls and boys under age 5 who are moderately and severely stunted
Education: Improved inclusion of an emergency component in education sector plans and budgets	Increase in number of children in humanitarian situations attending formal or non-formal basic education	Decrease in primary school-aged girls and boys out of school
Child protection: Increased availability of free birth registration	Increase in percentage of children under age 5 whose births are registered	Improved education and health status
Social inclusion: More explicit attention to child poverty and disparities in government budget frameworks	Increased social spending per child	Decrease in number and percentage of children living in extreme poverty

THE PERFORMANCE MEASUREMENT FRAMEWORK (PMF)

PMF: A tool for planning collection of relevant indicator data over the lifetime of the project, in order to assess and demonstrate progress made in achieving expected results

Performance Measurement Framework (PMF)

Expected Results	Indicators	Baseline Data	Targets	Data Sources	Data Collection Methods	Frequency	Responsibility
Ultimate Outcome (Long term)							
Intermediate Outcome (Medium term)							
Immediate Outcome (Short term)							
Outputs							

Indicator Checklist

An indicator is a *"quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, to reflect the changes connected to an intervention, or to help assess the performance of a development actor"*[1].

Developing Indicators	✓
Outcome Indicators – An indicator which demonstrates change has occurred	
It is S.M.A.R.T (Specific, Measurable, Achievable, Relevant, Time Bound)	
It is C.R.E.A.M (Clear, Relevant, Economic, Attainable, Monitorable)	
Will clearly demonstrate the result has occurred	
Uses units of percentage, mean, median, rate of, ratio of, degree to which, level of, etc.	
Includes one area of measurement only (not compounded)	
Avoids composites, where possible (multiple criteria to inform one indicator)	
There are a maximum of 1-3 indicators per each result level	
Are all disaggregated by sex when measuring changes with people	
Includes appropriate levels of disaggregation (geographic region, age group, etc.)	
Includes a gender-specific indicator (measures changes in relations between men and women or boys and girls)	
An environmental indicator is included, where relevant	
Qualitative indicator at each intermediate outcome level is included	
Staff has capacity to collect data to inform the indicator	
There are sufficient resources to collect data for all indicators	
Will be useful to inform decisions around programming	
Will be useful to demonstrate change over time	
Output Indicators – An indicator which is budgeted and which tracks completion of an activity or group of activities	
It tracks whether the output is completed (it does not measure change)	
Limited to the number of core activities under the output	
Unit of measurement is a number, type, existence of (no percentages or measurement of change at this level)	
Are disaggregated by sex when counting activities with people	
Are disaggregated as per the output statement	
Targets are aligned with budget and work plan	

[1] OECD-DAC (2002)

Results-Based Management Tip Sheet 3.1
Selection of Performance Indicators by Level of Outcome

This tip sheet is a companion to the Results-Based Management for International Assistance Programming at Global Affairs Canada: A How-to Guide. It expands on the discussion of performance indicators in the How-to Guide and provides a reference tool that you can use in your day-to-day work.

A performance measurement framework is the Results-Based Management tool used to systematically plan the collection of relevant indicator data during the lifetime of the project. One of the first tasks in developing the performance measurement framework is to identify indicators.

Indicators

An indicator, also known as a performance indicator, is a means of measuring actual outcomes and outputs[1]. It can be qualitative or quantitative, and it is composed of a unit of measure, a unit of analysis and a context. Indicators are neutral: they neither indicate a direction of change, nor embed a target. Indicators allow us to collect data that tell us whether a change (outcome) is occurring or has been achieved. These data are what we refer to or analyze to determine if, and to what extent, progress is being made on the expected outcomes. These indicator data also let us know if something is going wrong, so we can take corrective action. These data are also used as evidence of progress on or towards the expected outcomes in narrative performance reports. As such, selecting the right indicators is vital for effective Results-Based Management (managing for results).

This tip sheet provides guidance on measuring change at each level of outcome in the logic model. Remember, when choosing indicators they must measure the specific outcome for which they have been selected.

Indicators by Level of Outcome

Ultimate Outcome: At this level of the logic model, you are looking for a positive change in the lives of people, i.e. a change in state, conditions or wellbeing of the individuals/communities (the ultimate beneficiaries) and not a change in surrounding circumstances. Indicators at the ultimate outcome level measure the longer-term positive changes experienced by these individuals/communities in their lives, to which the project contributes. The data collected on these indicators will let us know whether the lives of the individuals or communities has improved, e.g., are they healthier, more prosperous, more empowered, enjoying their rights and freedoms more, or do they feel more secure? For example:

Expected Ultimate Outcome:
- Improved health of mothers in selected rural communities of Region X of Country Y

Indicators:
- Maternal mortality ratio by age group, adjusted (per 100,000 live births) for Region X
- Level of wellbeing as perceived by mothers by age (1-5 scale)
- Maternal morbidity ratio by age (for e.g. anemia, uterine prolapse, fistula, post-partum hemorrhage)
- Age (average) of first pregnancy in region X.

Intermediate Outcomes: At this level of the logic model, you are looking for a change in the behavior, practices or performance of the intermediaries or beneficiaries stemming from the changes in capacity at the immediate-outcome level. Indicators at this level measure whether or not individuals, communities or organizations are doing something differently, or better, than they were before. The data collected on these indicators should also provide us with an indication of the reach and scope of the project (i.e. how broadly experienced is the

[1] For definition of Global Affairs Canada outcomes and outputs please see the *Results-Based Management for International Assistance Programming at Global Affairs Canada: A How-to Guide*, 2nd edition, 2016.

change described?). Qualitative indicators at this level often measure clients' (disaggregated by sex) perceptions of services provided by intermediaries.

For example:

Expected Intermediate Outcome:

- Increased use of skilled pre-, peri-, and post-natal care by mothers in selected rural communities in Region X

Indicators:

- %/total births attended by skilled health personnel
- #/total pregnant women (age/socio-economic status) who made use of trained pre-, peri,- and/or post-natal services during previous year
- Level of quality of pre-, peri-, and post-natal community services as perceived by local women, including mothers by age group (1-5 scale)

Immediate Outcomes: At this level of the logic model, you are looking for changes in the capacity of the intermediaries or beneficiaries, often expressed more specifically as changes in skills, abilities, awareness, knowledge, etc. Capacity could also include a change in access[2], depending on project's theory of change. Qualitative indicators at this level, such as "level of confidence in…", can provide evidence of changes in skills, abilities and knowledge. For example:

Expected Immediate Outcome:

- Increased skills in pre-, peri-, and post-natal care, including the identification of high-risk pregnancies, among birth attendants in Region X.

Indicators:

- #/total birth attendants trained that are able to demonstrate proficiency on a range of obstetric competencies to a senior clinician/arbiter (e.g. assisting births, risk assessment, infection prevention, neonatal resuscitation, IV insertion)
- #/total birth attendants trained who are granted certification or accreditation from professional nursing association or council
- #/total of birth attendants that routinely refer complicated cases that fall beyond their level of competency and skill to a higher level of care[3]

Output Level Indicators

We also identified indicators for the output level. Outputs are the products and services produced by the project activities carried out by the implementer. Output indicators measure the quality, quantity and timeliness of the outputs, and/or the processes through which the outputs were produced or provided. This could include adherence to standards, regulations and norms. Output indicators provide evidence not only that the project activities were completed as expected, but that the planned products and services were provided to the project intermediary or beneficiary. For example:

Expected Output:

- Birth attendants, including traditional health-care providers, trained in pre-, peri-, and post-natal care.

Indicators:

- # of birth attendants trained in pre-, peri-, and post-natal care, including family planning and harmful traditional practices (f/m, urban/rural).
- # of birth attendants trained on the negative health repercussions caused by girl child pregnancy and early forced marriage.

[2] Changes in access can fall at either the immediate or the intermediate outcome level, depending on the context of the project and its theory of change.

[3] Note: This is a lagging indicator. Making routine use of the referral system is a lagging measure of increased skills among health attendants, as it demonstrates the application of knowledge and respect of the parameters of their skill set, but comes before a system-level change in performance at the intermediate outcome level. Skilled birth attendance will likely be taught, as part of their training, when and how to refer problematic pregnancies to a higher level of care.

Updated: July 2017

These tools will be updated annually as required. Enquiries or feedback on this tip sheet should be directed to:

Results-Based Management Centre of Excellence, Operational Direction and Coherence, International Assistance Operations Bureau, Global Affairs Canada
Email: gar.rbm@international.gc.ca

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Results-Based Management Tip Sheet No. 3.2
Outcomes, Indicators, Baseline, Targets and Actual Data: What's the Difference?

This information is a companion to the Results-Based Management (RBM) for International Assistance Programming at Global Affairs Canada: A How-to Guide.

It provides an overview so that you can see the difference between outcomes, indicators, baseline, targets and actual data. This information provides an example of how these RBM components can be used in project reports.

Expected outcomes:

- Results are the same as outcomes.
- An outcome is a describable or measurable change that is derived from an initiative's outputs or lower level outcomes.
- Outcomes are qualified as immediate, intermediate or ultimate. Outputs contribute to immediate outcomes. Immediate outcomes contribute to intermediate outcomes, and intermediate outcomes contribute to ultimate outcomes. Outcomes are not entirely within the control of a single organization, policy, program or project. Instead they are within the area of the organization's influence.
- Outcomes are structured in a specific way. They start with an adjective describing the direction of change, followed by what will change, who will be affected by the change, and where[1] it will happen.

Indicators (performance indicators):

- Are a means of measuring actual outcomes and outputs to gauge performance of a project, program, etc.
- Can be qualitative or quantitative.
- Are composed of three elements: unit of measure, unit of analysis and context.
- Are neutral; they neither indicate direction of change, nor embed a target.
- Need to be disaggregated by sex, age, socio-economic status or any other category relevant to the indicator.
- Global Affairs Canada recommends a maximum of two indicators per output and 2-3 per outcome; ideally, at least one indicator should be quantitative and one qualitative.
    - ❖ *Note*: The unit of measure should include the notion of proportionality, i.e., have both a numerator and a denominator, *for example: "#/total" or "%/total".*

Baseline data:

- Provides a specific value for an indicator at the outset of a project, program, etc.
- Should be disaggregated in the same way as its indicator.
- Is collected at one point in time and used as a point of reference.
- Is the basis upon which progress on or toward outcomes is measured or assessed.
- Is the foundation for setting realistic targets.

Targets:

- Specify a particular value, or range of values, for an indicator to be reached by a specific date in the future.
- Are projections or estimates; a target should be disaggregated in the same way as its indicator.
- As a set, illustrate what the project would like to achieve within a certain period of time in relation to one of its expected outcomes or outputs.
- Add further specificity and provide an end state to outputs and outcomes from the logic model (or result framework).
- Provide tangible and meaningful points of discussion for implementers with stakeholders.
- Belong only in the performance measurement framework: they should not appear in the expected outcome and output statements.
- Are not necessarily a single numerical value; in some cases, they can state a range.

Actual data:

- Is collected on the indicators identified in the performance measurement framework (or results framework) by the responsible person/organization, from a specific source, at a set frequency using the data collection method. These are all specified in the performance measurement framework (or results framework).
- Is used for analyzing the progress on or toward the expected outcomes, in comparison to baseline data and targets.

[1] **NOTE:** In the context of a logic model**,** the "where" (or location), must be identified at the ultimate and intermediate outcome level. If the location is different at the immediate outcome level (e.g. specific village within the province or country identified in the ultimate or intermediate outcome) it should be included in the statement. If it is not different or the location is implicit in the "who" it can be left out

- Is used as evidence of progress towards or on the expected outcome, in the narrative of performance reports.

Example No. 1: Pulling it all Together[2]- A snapshot using one outcome and indicator from a five-year education project

Planning Stage Selected Elements/Columns of a Performance Measurement Framework				Reporting Stage (3rd year of a 5-year project)
Expected Outcomes	***Indicators[3]***	***Baseline Data***	***End of Project Targets***	***Actual Data***
Intermediate Outcome Level				
Improved proficiency in math by girls and boys in primary school in District Y in country X	*%/total of District Y Grade V children (girls/boys) tested, who score a minimum 60/100 on a standardized math test.*	*40% of District Y Grade V girls (out of 1,123 girls) tested, scored a minimum 60/100 on a standardized math test in 2010.* *50% of District Y Grade V boys (out of 1,245 of boys) tested, scored a minimum 60/100 on a standardized math test in 2010.*	*70% of District Y Grade V girls (out of total number of girls) tested, scored a minimum 60/100 on a standardized math test in 2015.* *70% of District Y Grade V boys (out of total number of boys) tested, scored a minimum 60/100 on a standardized math test in 2015.*	***50%** of District Y Grade V girls (out of 1,215 girls) tested, scored a minimum 60/100 on a standardized math test in 2013* ***60%** of District Y Grade V boys (out of 1,312 boys) tested, scored a minimum 60/100 on a standardized math test in 2013*

Example No. 2: Using data collected on the indicators as evidence of progress toward the expected outcome in a narrative report

Since the start of the project three years ago, there has been a significant improvement in math proficiency for both girls and boys in primary school in District Y in Country X. Out of **1,215** female Grade V students tested in 2013, **50%** scored a minimum 60/100 in math. This is an increase of **25%** from the baseline of **40%** in 2010. Likewise, out of **1,312** male Grade V students tested in 2013, **60%** scored a minimum 60/100 in math. This is an increase of **20%** from the baseline of **50%.** This means that more Grade V students are passing the standardized math test than was the case at the beginning of the project. This also means that there is a greater possibility that students will transition to lower secondary-school after successfully completing primary school.

Note: This is a five-year project. The improved proficiency in math by the Grade V girls and boys (intermediate outcome) stems from other results in this project's logic model, such as improvement in teachers' gender-sensitive pedagogical skills (immediate outcome) and their better use of the new, improved math textbooks and other teaching learning materials (intermediate outcome). While the girls' improvement is greater than that of their male counterparts (**25%** versus **20%** improvement in the math test pass rate of 60/100), the project will be challenged to ensure the girls catch up with the boys by the end of the project.

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[2] These examples were developed jointly with the Global Affairs Canada Education specialists in 2015.
[3] This is an example of one indicator disaggregated according to boys and girls. There are usually at least two indicators per outcome.

Results-Based Management Tip Sheet 4.1
Gender Equality

This tip sheet is a companion to the *Results-Based Management for International Assistance Programming at Global Affairs Canada: A How-to Guide*. It expands on the discussion of Gender Equality in the How-to Guide and provides practical tips on the development of gender sensitive outcomes, indicators, baseline data and targets.

Gender equality outcomes

Gender Equality (GE) outcomes are describable or measurable changes that explicitly address a reduction in gender inequality, or an improvement in gender equality between women and men, girls and boys. A result (or an outcome) is a describable or measurable change that is derived from an project's outputs or lower level outcomes.[1]

> Canada's Feminist International Assistance Policy recognizes that supporting gender equality and the empowerment of women and girls is the best way to build a more peaceful, inclusive and prosperous world.

To most effectively champion gender equality and the global empowerment of women and girls, Canada will advocate for and support initiatives that:

- enhance the protection and promotion of the human rights of women and girls;
- increase the participation of women and girls in equal decision making, particularly when it comes to sustainable development and peace; and
- give women and girls more equitable access to and control over the resources they need to secure ongoing economic and social equality.

The identification of gender equality results begins with a gender-based analysis[2] of the context and logic of the project. The gender-based analysis serves to determine issues that the project needs to address regarding gender inequalities in access and control over resources, women`s participation in decision-making, and human rights of women and girls. Gender analysis should reveal the gender equality issues and implications related to the intervention area. This analysis is fundamental to the application of Global Affairs Canada's Feminist International Assistance Policy as it serves to inform the development of a theory of change that is informed by a feminist lens, and through which outcomes are developed for the initiative. This facilitates developing outcomes that address complex issues and incorporate gender equality in a way that takes into account the guiding principles outlined in the Policy on Gender Equality , and in which those outcomes are fully supported by outputs and activities.

Examples of gender equality outcomes[3]

- *Improved living conditions, especially for women, in poor rural areas of X, Y, and Z regions.* (Ultimate Outcome)
- *Strengthened local government policy commitments and programs to respond to gender-based violence and rights violations in selected rural communities.* (Intermediate Outcome)
- *Strengthened skills in advocacy, negotiation and management for participation in democratic or community management bodies, especially for women.* (Immediate Outcome)

[1] For a full definition of an "**outcome**", please see Global Affairs Canada, *Results-Based Management for International Assistance Programming: A How to Guide.*
[2] For guidance on gender-based analysis, see Global Affairs Canada's *Policy on Gender Equality*.
[3] The level at which these results would typically fall in the logic model has been indicated where possible. In some cases, such as changes in "access", can fall at either **the immediate or the intermediate outcome level**, depending on the context of the project and its theory of change. See below for more information.

- Increased participation of women in leadership and decision-making in x institution. (Intermediate Outcome).
- *Strengthened capacity of government department X to develop gender-sensitive economic development policies.* (Immediate Outcome)
- *Increased awareness among decision makers on gender equality issues.* (Immediate Outcome)

Gender-sensitive indicators in the performance measurement framework

Performance indicators are used in Results-based management to measure progress on expected outcomes. A gender-sensitive indicator can be defined as a quantitative or qualitative unit of measure to gauge changes (outcomes) in gender equality. Sex-disaggregated data is required for all indicators with measures that relate to people. Data should also be disaggregated by age and other factors of identity[4] such as class, race, caste, ethnicity, culture and abilities (where possible). Disaggregating data serves to expose hidden trends by rendering all people visible, particularly marginalized and vulnerable groups that are implicated by an initiative.

When developing gender-sensitive indicators:

- Think of qualitative dimensions such as quality; measuring the numbers of participating women and men is important but it is equally important to select a qualitative indicator to measure women's own perceptions of their ability to participate effectively, equally, and at all levels.
- Choose valid gender equality indicators for each result. Focus on selecting useful information on which you can realistically report.
- Collect data for gender-sensitive indicators in a gender-sensitive manner. This could mean collecting data from women and men, boys and girls, and other identity groups separately.
- Develop project-level indicators in a participatory fashion, with equitable input from stakeholders of both sexes. Sex-disaggregated data is required for all indicators with measures that relate to people.

Examples of gender-sensitive indicators

- Ratio of girls to boys in primary education (enrolment, retention and completion rates)
- HIV prevalence among 15-24 year olds (f/m)
- Age (years) of first marriage (f/m)
- %/total pregnancies for under 15 year olds
- %/total time spent per day on collecting water (f/m)
- %/total departments using gender-based analysis in elaborating their annual budget and work plan
- Level of acceptance (X point scale) of a man beating his wife for going out without permission among women and men in community X
- Changes in perceptions (X point scale) among women and men about the value of educating girls and boys

[4] GAC's Policy on Gender Equality notes the need to provide information on the differences among women and men and the diversity of their circumstances, social relationships and consequent status (e.g. class, race, caste, ethnicity, age, culture and abilities).

NOTE: The sex disaggregation of all data involving people (e.g. ethnicity, age group, socio-economic status and other categories relevant to the project) is vitally important. For example, it is impossible to measure changes in women's access to basic services if the data collected during project monitoring does not disaggregate by sex. Similarly, a project that aims to improve the health of a specific marginalized ethnic group through remote regional health centers would need those centers to collect patient information disaggregated by ethnicity and sex.

Sex-disaggregated baseline data and targets

Baseline data provides a specific value for an indicator at the outset of a project or program so that meaningful targets can be set within the scope of the project. Gender-sensitive and sex-disaggregated baseline data related to all indicators, not only those indicators that are directly linked to gender equality results, need to be collected early in the design of the project.

Set sex-disaggregated targets for each indicator and include other disaggregated factors as required. For example, respondents to a satisfaction survey can be disaggregated by sex and age group and this will provide the necessary feedback related to the needs and interests of women, men, girls and boys, adolescent girls, adolescent boys, elderly women and elderly men. The various sex/age group targets would be based on a survey conducted at the beginning of the project. Targets would be set to incrementally increase the level of satisfaction by sex/age group. Other diversity factors could also be included in the disaggregation. Sex-disaggregated targets need to be set high enough to aim for changes in gender equality within the scope and reach of the project for each indicator in the performance measurement framework. Targets allow us to concretely describe how an initiative will improve the situation for women's/girls' empowerment and/or promote gender equality.

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Results-based management checklist 2.1
How to assess and/or review a performance measurement framework

This checklist is a companion to the *Results-Based Management for International Assistance Programming at Global Affairs Canada: A How-to Guide.* It expands on the discussion on performance measurement frameworks in the How-to Guide and provides step-by-step instructions to help you review and assess performance measurement frameworks (PMFs).

Assessment criteria: performance measurement framework structure

- ☐ Does the performance measurement framework use the **Global Affairs Canada template**?
- ☐ If not[1], does the organization have its own Results-based Management templates and methodology?
  - ☐ Does the multilateral or global organization use its own templates and Results-based Management methodology correctly?
- ☐ Is the overall performance-measurement plan, as reflected in the performance measurement framework, realistic given time and resources available?

Assessment criteria: by performance measurement framework (or equivalent) component

Expected outcomes

- ☐ Are the expected outcomes and outputs listed in the first column exactly the same as those listed in the logic model?

Performance indicators

- ☐ Have indicators been identified for each outcome and output?
- ☐ Do the indicators measure each of the expected outcomes and outputs for which they have been selected?
  - ☐ Do the indicators at the ultimate level measure the change in state, condition or wellbeing of the ultimate beneficiaries described in the ultimate outcome statement?
  - ☐ Do the indicators at the intermediate level measure the changes in behavior, practices or performance of the intermediaries or beneficiaries described in the intermediate outcome statement?
  - ☐ Do the indicators at the immediate level measure the changes in capacities, such as skills, knowledge, abilities, etc., of intermediaries or beneficiaries, described in the immediate outcome statement?
  - ☐ Do the output-level indicators measure the existence or quality of the products or services for which the implementer is accountable or the process by which those products and services were produced?
- ☐ Will the implementer or local partner be able to collect data on the qualitative and quantitative indicators identified in the performance measurement framework?
- ☐ Are there 2-3 indicators for each outcome and 1-2 for each output?
- ☐ Is there at least one qualitative and one quantitative indicator per outcome?
- ☐ Do the indicators meet the standard criteria of validity, reliability, sensitivity, simplicity, usefulness and affordability?
- ☐ Are the indicators neutral?
- ☐ Are indicators that deal with people disaggregated by sex and other necessary social and/or demographic categories (age, ethnicity, etc.) wherever possible?
- ☐ Does each indicator include clear units of measure and of analysis?
- ☐ Are the units of measure and of analysis consistent with those used in the indicators' baseline data and targets?

[1] In line with the principles of good donorship, when programming with multilateral and global partners, Global Affairs Canada (GAC) usually uses Results-Based Management and other tools of the multilateral or global partner, unless otherwise agreed. This is why Long Term Institutional Support and Global Affairs Canada's initiated projects with a multilateral or global partner do not always use the GAC logic model and performance measurement framework.

- ☐ Do the indicators for each outcome address all dimensions of the expected outcome for which they have been identified (gender equality, environment, human rights, targeted regions/areas etc.)?
- ☐ Do the indicators capture proportionality (i.e. does the unit of measure have a numerator and a denominator, such as # out of total or % out of total)?

Baseline data

- ☐ Are there baseline data for each indicator? Do these data identify the units of measure and of analysis?
- ☐ Is each baseline-data value accompanied by a date that will serve as a point of reference?
- ☐ Do the units of measure and of analysis match those listed in the indicators and targets?
- ☐ Do the baseline data include proportionality (i.e. does the unit of measure have a numerator and a denominator)?
- ☐ Do the baseline data describe the same dimensions (age, sex, targeted regions/areas, etc.) as presented in the indicators and their targets?
- ☐ Are the baseline data for indicators that deal with people disaggregated by sex and other necessary social and/or demographic categories (age, ethnicity, etc.) wherever possible?
- ☐ If baseline data have not yet been identified, does the performance measurement framework indicate when these data will be collected?

Targets

- ☐ Are the targets realistic and achievable given the scope, funds and timeframe of the project?
- ☐ Do the targets specify an achievement date?
- ☐ Do the units of measure and of analysis match those units in the indicators and baseline data?
- ☐ Does the target include proportionality (i.e. does the unit of measure have a numerator and a denominator)?
- ☐ Do the targets describe the same dimensions (age, sex, targeted regions/areas, etc.) as presented in the indicators and their baseline data?
- ☐ Are the targets for indicators that deal with people disaggregated by sex and other necessary social and/or demographic categories (age, ethnicity, etc.) wherever possible?
- ☐ If targets have not yet been identified, does the performance measurement framework indicate when they will be established?

Data sources

- ☐ Do the data sources identify the individuals, groups, organizations, or publications from which data on performance indicators will be obtained?
- ☐ Are the data sources easily accessible to allow the project officer to receive timely performance information?
- ☐ Are the data sources diversified, credible and reliable?
- ☐ Are existing data sources used where possible?

Data collection methods

- ☐ Do the data collection methods identify how the information will be collected (e.g. analysis of records or documents, literature review, survey, interview, focus group, comparative study, direct observation, etc.)?
- ☐ Are the data collection methods identified appropriate?
- ☐ Are existing data collection tools used whenever possible?

Frequency

- ☐ Will the collection frequency identified for each outcome and output contribute the performance information required for effective Management for Results by both Global Affairs Canada and the implementer of the initiative during implementation and for Global Affairs Canada's reporting?

Responsibility

- ☐ Does the performance measurement framework identify the best group (e.g. beneficiaries, local professionals, partner organizations, etc.) to collect, manage and validate and assess the performance

information?

☐ Will the group identified have the capacity to collect, manage, validate and assess the data in a timely fashion?

Assessment criteria: performance measurement framework narrative (or equivalent)

☐ Does the performance measurement framework narrative (or equivalent) outline how the performance measurement framework was developed (i.e. who was consulted, how indicators were selected, alignment with local systems, baseline study, how targets were selected, etc.)?

☐ Does the performance measurement framework narrative (or equivalent) outline weaknesses in the local monitoring and evaluation systems to be used, and describe how this will be addressed?

☐ Does the performance measurement framework narrative (or equivalent) identify who will be responsible for development and testing of data collection tools and processes?

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