UNIVERSITÉ DU QUÉBEC EN OUTAOUAIS
DÉPARTEMENT DES SCIENCES ADMINISTRATIVES

MÉMOIRE PRÉSENTÉ À
L'UNIVERSITÉ DU QUÉBEC EN OUTAOUAIS

COMME EXIGENCE PARTIELLE
DE LA MAÎTRISE EN GESTION DE PROJET

PAR
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PRACTICE OF RESULTS-BASED MANAGEMENT IN CIDA FUNDED PROJECTS IN BOLIVIA: PRACTITIONER'S PERSPECTIVE ON RBM

JUIN 2013

ACKNOWLEDGEMENTS

To write acknowledgements is indeed a difficult task as you fear words will not fully convey all the gratitude you feel towards the people who contributed to your work.

First of all, my deep gratitude goes to my thesis advisor, Professor Lavagnon Ika. I would like to thank him for his insightful guidance, most valuable input and above all... his limitless patience. I sincerely hope he truly enjoyed the final result of my work.

Also, I would like to thank all the interviewees who, in fact, made this research possible by sharing their experiences, thoughts, appreciations as well as frustrations about the RBM methodology with me.

Very special thanks to my dear friend Elizabeth Pinnington, as well as Françoise Coupal, and Natalie Zend and Murray Luft for allowing me to participate in the workshops on Results-based management they facilitated in La Paz, Bolivia. Thanks to them, I could learn first-hand about how CIDA teaches RBM methodology to their executing agencies and local partners. My gratitude goes to Murray Luft, who found time to talk to me about RBM even though he was very, very tired and also gave me his guidebook on RBM.

Finally, very special thanks go to the greatest person in the world, my husband, Luc, for his moral support, kindness and for all these inspiring discussions about international development aid we had while sitting in front of the fireplace at our house in La Paz.

ACRONYMS

ADB	Asian Development Bank
APM	Association for Project Management
AusAID	Australian Government Overseas Aid Program
BoKs	Bodies of Knowledge
CAS	Country Assistance Strategy
CBA	Cost/Benefits Analysis
CIDA	Canadian International Development Agency
DANIDA	Danish International Development Agency
DFID	UK Department for International Development
DPM	Deregulation, Privatization, Marketization
ENAA	Engineering Advancement Association of Japan
EU	European Union
EVM	Earned Value Management
ID	International Development
IDPM	International Development Project Management
IDPs	International Development Projects or Programs
INGOs	International Non-Governmental Organizations
IT	Information Technology
JPMF	Japanese Project Management Forum
LFA	Logical Framework Analysis
LM	Logic Model
MDGs	Millennium Development Goals
MFR	Managing for Results

NGOs	Non-Governmental Organizations
NPM	New Public Management
OAG	Office of the Auditor General
ODA	Official Development Assistance
OECD	Organization for Economic Co-operation and Development
OECD DAC	Development Assistance Committee of the OECD
PM	Project Management
PMBOK	Project Management Body of Knowledge
PMF	Performance Measurement Framework
PMI	Project Management Institute
PRSP	Poverty Reduction Strategy Paper
RBM	Results Based Management
TBS	Treasury Board Secretariat
USAID	U.S. Agency for International Development
WB	World Bank
VA	Value Analysis

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1. Introduction

1.1. Background

In this first section of the Introduction we will address two major questions: what is results-based management (RBM) as an approach to managing international development projects (IDPs), and where did it come from? First, we will attempt to define what is RBM and to distinguish it from other related terms we can find in the literature on the subject (1.1.1). Second, we will briefly discuss the origins of RBM in the public sector of OECD countries (1.1.2) and how it spread onto international development aid agencies, multilateral organizations (1.1.3), and implementing agencies working in the field (1.1.4.), which is the focus of this research.

1.1.1. Defining RBM

"It is not easy to find two people who will describe RBM in the same way" (Hatton & Schroeder, 2007, p. 428). The concept of performance management or RBM[1] is elusive and defies a single acceptable definition (Ohemeng, 2009). Moreover, a certain confusion around these terms exist since many scholars use them interchangeably with *performance measurement* and other forms of *performance assessment*, including *performance evaluation*, *performance monitoring* and *performance reporting* (Carrol & Dewar, 2002)[2]. In fact, RBM is a concept expanding well beyond all the above terms. It is made up of four main elements: describing the desired level of

[1] In this research, the terms Results-based management and performance management will be used interchangeably
[2] Definitions of all the useful performance management terms including: performance measurement, evaluation, monitoring are given at the end of this paper in the glossary. Definitions were taken from the OECD Glossary of Evaluation and Results-based management (RBM) Terms (2000) and The CIDA Process RoadMap Version 4.2.

performance, measuring performance, reporting or communicating performance information, and using performance information to compare actual performance to the agreed performance level (Carrol & Dewar, 2002). RBM helps managing for change at "all stages around the project cycle from project identification and formulation through monitoring, evaluation, reporting and planning for the next cycle" (Cox et al., 2007, p.1). This performance management cycle "includes strategic planning, program and policy design, implementation, evaluation, reporting and utilization of results to adjust strategic objectives" (McDavid, 2006, p. xvii). In it, "program evaluation and performance measurement play important roles as ways of providing information to decision makers who are engaged in managing organizations to achieve results" (McDavid, 2006, p.6).

1.1.2. Origins of RBM as a management strategy in public sector

Results-based management has its origins in the public-sector reform, referred to as New Public Management (NPM), "that swept many of the OECD countries in the early 1990s" (Hatton & Schroeder, 2007, p.427). The reform was driven by citizens' discontent with their governments; there was a growing public demand for more efficient and responsive services and greater accountability[3] for public spending, and a need to curb budget deficits (Hatton & Schroeder, 2007). One important element of these reforms was "the incorporation of results-based management (...) as a management strategy" (Hatton & Schroeder, 2007, p.427). It meant a shift beyond a traditional concern with inputs and activities and their immediate results (outputs) (Cox, et al., 2009) by orienting all management activities towards the achievement of long-term, defined and sustainable results (Sawadogo & Dunlop, 1997, Hatton & Schroeder, 2007). This

[3] Accountability – obligation to provide a true and fair view of performance and the results of operations (OECD. Glossary of Evaluation and Results-based management (RBM) Terms, 2000)

was a "fundamental re-orientation away from previous management approaches" (Hatton & Schroeder, 2007, p.427), which were based on the assumption that if both inputs and activities were robust the results would follow (Hatton & Schroeder, 2007).

1.1.3. RBM as a management strategy in international development aid agencies and multilateral organizations

These reforms extended to OECD countries' bilateral aid agencies as well as multilateral organizations, where RBM became the management strategy of choice. Organizations such as the World Bank (WB) have been promoters of results-based approaches at the international level (Cummings, 1997; Hatton & Schroeder, 2007). RBM has focused donors' effort on defining, managing, and measuring results (Hatton & Schroeder, 2007). The Canadian International Development Agency (CIDA) defines RBM as an approach to management that integrates strategy, people, resources, processes and measurements to improve decision-making, transparency and accountability (CIDA's Business Process RoadMap, 2010). At CIDA, RBM processes take place at all three organizational levels: project level, program level and corporate level[4], and apply to all phases of the projects' life cycle, from their initiation to their conclusion (CIDA's Business Process RoadMap, 2010).

1.1.4. RBM: a fact of life for implementing aid organizations

The new approach to management in international development trickled down to multilateral organizations' and bilateral agencies' implementing partners: non-governmental organizations (NGOs), private companies and higher education institutions (Hatton & Schroeder, 2007).

[4] At the corporate level the Agency reports to Parliament and to the Canadian public, and internationally to the OECD on its development achievements (CIDA's Business Process RoadMap, 2010).

According to Cox et al. "there is a global preoccupation with results; public institutions, private sector companies, and NGOs are each adopting a results focus" (Cox, et al., 2009, p.i). RBM has become so well entrenched in everyday international aid practice that it is *a fact of life* for many aid practitioners (Hatton & Schroeder, 2007, p.426).

1.2. Research problem and purpose

In the second section of the Introduction we want to summarize the little that we know about the practice of RBM in the field. First, we discuss how the donors and project evaluators use RBM approach: as a strategy or as a tool (1.2.1). Second, we present what the literature tells us about advantages and disadvantages of RBM use (1.2.2).

1.2.1. The little we know about how RBM is used

To date, much has been written about the use of RBM by development agencies (Hatton & Schroeder, 2007), mostly from the aid donors' perspective (Binnendijk, 2000; Carrier, 1997; Sawadogo & Dunlop, 1997). Also, there are some attempts to show project or program evaluators' viewpoint on RBM (Hatton & Schroeder, 2007). To international development project or program evaluators RBM, or performance management, appears to be mostly *a management tool* or *evaluation tool* for development work (Hatton & Schroeder, 2007).

From an international donor agency's viewpoint RBM is a broad management strategy, aimed at achieving important changes in the way agencies operate, with improving performance as the

central orientation[5] (Binnendijk, 2000). The Canadian International Development Agency (CIDA), where RBM "has been enthusiastically embraced" (Sawadogo & Dunlop, 1997, p.600), stresses that "RBM is not a tool, but rather a way of working" (http://www.acdi-cida.gc.ca/rbm). In fact, at CIDA, RBM is more than just a management strategy: it is an organizational philosophy (Sawadogo & Dunlop, 1997)

An interesting question arises: what is the difference between these two approaches to RBM: RBM as a tool and RBM as a strategy? A tool is "an instrument", "a thing that helps you to do your job or achieve something" (Oxford Advanced American Dictionary) or "a device or implement used to carry out your particular functions" (Oxford Dictionaries Online). The term *strategy* is defined as "a plan of action designed to achieve long-term or overall aim" (Oxford Dictionaries Online). In traditional project management (e.g. when applied to business-oriented industries) many tools are inherently value-oriented like, for example, value analysis (VA), earned value management (EVM) and cost/benefits analysis (CBA) (Besner & Hobbs, 2006). Other tools "have the potential to improve project's success and contribute to value creation" (Besner & Hobbs, 2006, p.38). At CIDA, the role of RBM tools, such as the logic model (LM)[6], the performance measurement framework (PMF), and the risk register is to "make managing for results throughout the entire life-cycle of an investment or project easier for CIDA staff, partners and executing agencies" (CIDA's Business Process RoadMap, 2010, p.27). The major difference between an RBM tool and a management philosophy is that "the latter is dynamic by definition" (Sawadogo and Dunlop, 1997, p.603). "RBM requires strategic thinking with a vision that goes

[5] According to the OECD, RBM provides a coherent framework for strategic planning and management by improving on learning and accountability (Glossary of Evaluation and Results-based management (RBM) Terms, 2000)

[6] Such terms as the logic model (LM), Logical Framework Analysis (LFA), Log Frame or logic framework are different versions of the same RBM tool, also called a 'results chain'. According to CIDA definition, the results chain it is a depiction of the causal or logical relationships between activities, outputs and the outcomes of a given policy, program or initiative. Over the past few years, the CIDA logic model underwent some important changes: in comparison to the old version of this tool, called Log Frame, the new logic model does not contain indicators.

beyond the production of outputs and focuses on achieving long-term sustainable results" (Sawadogo & Dunlop, 1997, p.602). On the other hand, an RBM tool is "essentially descriptive and static in nature" and can serve as an "aid to decision-making (...) by presenting a visual summary of the project from input to impact level" (Sawadogo & Dunlop, 1997, p.598).

1.2.2. The little we know about why RBM is used

The little we know about development aid project practitioners' perspective on RBM approach to managing international development projects (IDPs) and its usefulness in project management is presented below.

1.2.2.1. RBM increases the impact of interventions and assists in demonstrating results

Those who promote RBM, the donors, want to see more evidence that funded activities are producing long-term benefits (Cox, et al., 2009) and RBM is one of the most popular strategies "for dramatically accelerating responses and increasing the impact of simple and cheap interventions" (Franklin, 2008, p.421). In fact, RBM has been key in increasing access to education and health care; it has brought "different stakeholders together, rationalized the allocation of accountabilities and made it easier for different actors to identify the impact of their interventions" (Franklin, 2008, p.421). RBM has the makings of a navigational aid to assist organizations in achieving their intended results. (Cox et al., 2009). Results-based planning can help to think through the logic of the project from the inputs to the ultimate outcome, to consider external factors that can influence the project, and to identify indicators to show progress (Cox et al., 2009). All these elements provide a framework for later monitoring and evaluation, communicating progress to project participants as well as donors, and making management decisions (Cox et al., 2009). To optimize the benefit, RBM should be used for both accountability

and project navigation purposes. It is a better approach than just trying to "feed the beast" by supplying any information the donor may want (Cox, et al., 2009, p.ii).

1.2.2.2. RBM is a western invention that obstructs development work and can be exclusive

Organizations implementing development programs and projects are under pressure to use RBM concepts and tools to keep track of their results (Cox et al., 2009, p.1). Many of them "feel that RBM is an imposition motivated mostly by accountability concerns" (Cox et al., 2009, p.1) and perceive RBM as "a management practice from the developed world, not to be imposed on partners" (Hatton & Schroeder, 2007, p.429). To many aid practitioners, RBM is simply another "management fad", "part of a problem, a requirement that consumes time, energy, and resources and obstructs the actual doing of development work" (Hatton and Schroeder, 2007, p.426). Moreover, RBM has "the power to marginalize [these] organizations that don't understand the language and concepts", simply because "donors respond best to organizations that know what results they want and how they will demonstrate success" (Cox et al., 2009, p.ii). This is not a firm position taken by all players at all levels, it is "a view not infrequently adopted – in particular by many of those directly involved in project implementation" (Hatton & Schroeder, 2007, p.426). Are aid practitioners really disillusioned with RBM? Is it indeed a view so *infrequently adopted* by aid practitioners?

1.2.2.3. RBM does not address beneficiaries' needs

"RBM does little to change the political, social, and economic conditions that make people poor" (Franklin, 2008, p.420). The ultimate purpose of the international aid is to contribute to the realization of human rights and this is not a time-bound event, but a long and complex process. The tendency to concentrate on narrowly defined, time-bound interventions can deprive the

beneficiaries of a voice in decisions. Communities need safe spaces where everybody feels confident to exchange opinions, listen to each other and discuss sensitive topics. International development agencies are not usually equipped to create such spaces, as they avoid engaging in political processes (Franklin, 2008). Can we blame this problem directly on RBM? RBM as a strategy, as an approach, helps to focus on pre-defined results and this is all it can do. If the change in political, social, and economic conditions of the recipient country is not on the radar of defined results, no implementing partner will push for it against the will of a funding party (Franklin, 2008). An important question arises: is RBM methodology faulty in its conception and design in a way that overlooks important factors that can help bring about change, or is RBM only used in an inappropriate way? Is there room, within RBM as a strategy, to include intangibles such as dignity, equality and social justice?

1.2.2.4. RBM is linear and therefore reductive, simplifying reality

International NGOs (INGOs) have imported management theories, underpinned by systems thinking, "largely uncritically" from the private sector (Mowles, 2010, p.760). They are based upon: linear patterns of causation, known points of intervention with predictable outcomes, and means of delivery that can be subject to linear programming and measurable outcomes (Curtis & Poon, 2009). These concepts assume that "it is possible to set goals in advance of undertaking the work, and to achieve the intended outcome through a series of interventions aimed at correcting deviations from the desired path" (Mowles, 2010, p.760). Meanwhile, the "events are connected – but not in a linear way" (Curtis & Poon, 2009, p.846). In reality the way towards achieving a desirable goal is uncertain because it is "far from easy to identify causal mechanisms in any actual socio-political system" (Curtis & Poon, 2009, p.837).

Logical frameworks, key performance indicators and work plans are *restrictive* and are the expression of a *control-centered style* (Curtis & Poon, 2009). "Those (...) reductive schemes of thought" (Mowles, 2010, p.761), are in fact "abstractions from a rich hinterland of lived experience: they are simplifications, sometimes reductively so" (Mowles, 2010, p.758).

"Certainty, predictability, and linearity assumptions and frameworks" are adopted not because they are means to achieving poverty reduction, but because management demands it (Curtis & Poon, 2009, p.838). As international development is a highly professionalized practice, many INGOs are obliged to use log frames to obtain funding; other adopt it because everybody else does so (Mowles, 2010). Also, by adopting modern management theories, the international development sector aspires to scientific method and rationality (Mowles, 2010). Moreover, by using a simplified summary of what a project is about to achieve, INGOs are thought to be more transparent and accountable in their work.

"More constructive management approaches" that allow for "uncertainty, unpredictability and seizing of opportunity" (Curtis & Poon, 2009, p.838) are needed. To achieve that, an open-ended, interpretive project process with logic models and other instruments focused mostly on risks and assumptions rather than goal, objectives and outputs is needed.

As relevant as the above notion may be, how can a public aid agency be accountable for "expectations of probable results" based on indicators that are "measures of changes in conditions rather that achievement of objectives and outputs" (Curtis & Poon, 2009, p.846)? Also, why not use RBM tools in more innovative, dynamic and flexible ways that would allow room for manoeuvre?

1.2.2. What do we want to learn in this research?

To sum up: because RBM as a management approach originated from the donor community and was promoted by it, in the discussion about RBM there may be a slight tendency to highlight either the planner's or the evaluator's perspective on this issue. This could in turn create a certain gap in project management knowledge because we would tend to omit what project implementers, the actual doers of development work, have to say about RBM practice. Do project implementers perceive RBM as a tool, be it an important tool for development work (Hatton & Schroeder, 2007), a management strategy (Binnendijk, 2000) or perhaps an organizational philosophy (Sawadogo & Dunlop, 1997)? In the eyes of project/program implementers, is RBM just another management fad from the developed world (Hatton & Schroeder, 2007), imposed by donors for accountability reasons (Cox et al., 2009), or a management approach, which use is appropriate and inevitable (Sawadogo and Dunlop, 1997)? Why do those working in the field, implementing donor funded international development projects or programs (IDPs) use RBM and how do they use it? If project implementers indeed face many challenges using RBM methodology, what could be done to remedy the situation? Should RBM tools be adapted to provide a better with the specific development aid context? Or perhaps aid implementers could simply use the RBM in a different way?

1.2.3. The purpose of the research

The purpose of this research is to contribute to the Project Management (PM) body of knowledge by exploring and understanding the practice of RBM in the field of international development. The author will take a close look at how CIDA implementing partners in Bolivia use RBM and try to respond to the how and why question: when, at what stages of the project life cycle do aid

practitioners use RBM, and for what reasons and purposes? What are the advantages and disadvantages of RBM from the practitioner's perspective?

1.3. Research objective

The specific objective of this study is to highlight the program or project implementer's perspective on the practice of RBM in the international development field. In particular the objective is to understand why – for what reasons and purposes, and how – at which project life stages, organizations use RBM tools and methodologies. Is RBM just another "management fad" or perhaps RBM "is here to stay"? Does RBM serve as a management tool or rather as a broader management strategy? Does it assist organizations in improving their efficiency and effectiveness?

1.4. Importance of the need to understand RBM practices in the field

A better understanding of current project management practices in the field of international development is crucial to the future development of project management theory. International development project management (IDPM), as a sub-field of project management, has received relatively little attention from project management scholars. Some researchers interested in the area of IDPM notice that this sub-field of project management evolved somewhat in parallel to the more traditional fields of project management (PM), like project management in engineering, construction or information technology (IT) (Ika & Hodgson, 2010). In these authors' opinion, international development is a field so specific that it belongs outside the main current of

normative and prescriptive PM knowledge because of the specific characteristics of international development projects (IDPs) that we will discuss in detail in subsection 2.1.3. Until now, little research was done on the issue of CIDA- specific RBM approach and its use in the projects. Consequently, this study explores a relatively unknown territory of RBM practices in the field and does it by describing it in the practitioners' own words. My personal goal is to deliver a study that, by revealing project implementers' personal perspective on what works and what doesn't in the area of RBM, would be of interest and practical use to all development project practitioners: project implementers working with NGOs and implementing projects in the field but also project coordinators, those working at bilateral donor organizations, in particular at CIDA. I would like this study to contribute to the project practitioners' awareness of as to why and how project implementers are using RBM in their daily project management tasks, and also to their knowledge of this management approach. Hopefully, it will trigger within NGOs some interesting and fruitful internal discussions and brainstorming sessions on various possible practical applications of RBM methodology in project planning, monitoring, evaluation and lessons learning at different organizational levels depending on organizational needs and objectives. I would also like the study to contribute to the way RBM policies and guidelines are prepared at donor agencies, especially at CIDA. Those RBM policies and rules should be conceived thinking about their practical application in the field. Using the RBM jargon, the actual RBM practice can only improve when knowledge and awareness of RBM approach to managing projects is repeatedly raised.

2. Literature review

2.1. Differences between standard projects and international development projects

In this first section of chapter two, the author will answer a seemingly simple question: do international development projects differ from those implemented in more traditional fields of project management, like engineering or construction? The answer is fundamental for further analysis for one important reason: if we assume they are similar, then we agree with the project management normative assumption that PM knowledge applies to most of projects, most of the time (PMBOK Guide, 2004). Therefore, all PM tools, techniques and approaches can be directly applied in the field of international development with little or no adjustment. If, on the other hand, we subscribe to the view that IDPs are different from standard projects, then in turn the PM knowledge has to reflect these differences. This entails that PM knowledge is contextual and not uniform: it differs from one sector to another, and not all tools, techniques and approaches relevant to field A are directly applicable to field B.

As we know, project management is a young field of knowledge. PM literature traces back the origins of the field to the middle of the 20th century, when the first uses of modern project management terms and techniques began being applied in the engineering field in the U.S. missile programs, and when project management professional associations were established in the United States and Europe (Morris & Pinto, 2007). Given its entrenchment in the field of engineering, the standard project management has its intellectual tradition rooted in natural sciences. The project management body of knowledge reflects that tradition by upholding such

principles as rationality, universality, objectivity, and value-free decision-making and the possibility of generating law-like predictions in knowledge (Cicmil & Hodgson, 2006).

Still, since its establishment as a separate field of knowledge, project management has grown far beyond its traditional heartlands and is now used by various organizations across many industries and sectors, including international development. As the existing assortment of project management tools and techniques was brought to existence based on managerial practices of those few very context-specific industries, project management in now facing new challenges in non-traditional areas of application.

The author subscribes to the view that even though international development could be described as a project-oriented industry, it is nonetheless specific and non-traditional in its application of project management knowledge (Ika, Diallo, & Thuillier, 2009). In the author's view, it is crucial to distinguish international development project management from the standard project management. Let us take an example of a hard international development project, like a road construction project financed by European Union (EU) or the World Bank (WB). Here, the road built constitutes an output of such a project and the purpose is to satisfy social needs of project's beneficiaries, like increased wellbeing of the local population that would be achieved by opening up of local markets and improving the exchange of goods and services. If, on the other hand, the roads were to be built by a private investor funded solely by private capital with no public contribution, the project would be undertaken only if judged to yield reasonable profits to investors. As a general rule, IDPs are not concerned with financial profitability as business-oriented projects are. It is true that, in case of hard IDP projects, tools and techniques used by their management would most probably be very similar to those used in the management of

business sector infrastructure projects. That could be due to the nature of the task to be performed: international development projects, and projects in more traditional PM fields, undoubtedly share some project management tools and techniques. Yet, they are carried out in environments so unalike and for reasons so different that should be regarded as incrementally different.

In the subsection 2.1.1 the author will discuss the puzzling project management question: are projects generic or contextual in their nature? The subsection 2.1.2 will pick up the threads of arguments presented in the previous subsection and looks at project categorization systems. Another difficult-to-answer question arises: if indeed projects are generic, meaning if they are all alike, why categorize them, why distinguish one project from another? In subsection 2.1.3 the author will move on to discuss major characteristics of international development projects in comparison to projects in standard project management fields. Subsection 2.1.4 will deepen the analysis of the previous subsection by demonstrating differences in relevance of nine knowledge areas, as defined by PMBOK Guide, to successful implementation of IDPs versus standard projects. Subsection 2.1.5 will close section two of the second chapter with a description of IDPs and standard projects life cycles and their characteristics.

2.1.1. Paradox of Project Management: Generic or Contextual?

"At the heart of the field of project management is a basic tension between uniqueness and generality" (Crawford & Pollack, 2007, p.89). If we admit that projects are generic, that would imply that project management tools and techniques could be used across many industries with little adaptation or change. If, on the other hand, we assume that each project is unique, we would need context-specific tools and techniques to safeguard success of different projects. In broader

terms, project's uniqueness would be an indication of variations in project management field of knowledge, and also managerial practice, depending on the context. As project management is indeed practiced in an "ever-increasing range of contexts, it is no longer clear that all project managers manage projects in comparable ways" (Crawford & Pollack, 2007, p.89).

In recent years, the unprecedented popularization of project management practices across different industries and spheres of social life, sometimes referred to as *projectification* of the firm (Midler, 1995) and of the society (Lundin & Söderholm, 2006), raised demand for project managers as well as standards for development and assessment of project management competence (Crawford & Pollack, 2007). The pressure to set standards to regulate professions through licensing or certification usually comes from within the professions (Crawford & Pollack, 2007) because it entails many benefits, for example, it ensures the minimum quality of service (Leland, 1979). Also, standards are accepted in the interest of efficiency, legitimacy afforded to a profession, and power/control (Crawford & Pollack, 2007). In addition, a link exists between income and the degree of regulation and standardization within some professions (Crawford & Pollack, 2007).

An important element of a profession is ownership of a body of knowledge, which is a codified knowledge distinctive to the professional group (Morris, Crawford, Hodgson, Shepherd, & Thomas, 2006). In fact, the body of knowledge "reflects the ontology of the profession"; it is "the set of words, relationships and meanings that describe the philosophy of project management" (Morris, Patel, & Wearne, 2000, p.156). In project management there are currently many formal Bodies of Knowledge (BoKs) including the BoKs promoted by the US-based Project Management Institute (PMI), by the UK-based Association for Project Management (APM), and

the Engineering Advancement Association of Japan (ENAA) with the Japanese Project Management Forum (JPMF) (Morris, et al., 2006). The BoKs above are not always inconsistent but their scope differs, increasing as it goes from the PMBOK Guide, to the APM BOK and the Japanese P2M (Morris, et al., 2006). Therefore, the scope and conceptual breath of the last two is broader than PMBOK Guide (Morris, et al., 2006). In this paper, the researcher adopts the PMI's BoK paradigm as reference because this is, undoubtedly, the dominant project management paradigm in North America, despite its deficiencies (Morris, et al., 2006). The PMI's BoK only covers generic PM processes and practices and omits technical, commercial, environmental and contextual issues which are often crucial to project's success (Morris, Patel, & Wearne, 2000). The richness of tools and techniques that has emerged from project management practice identified by PMBOK Guide as *good practice* plays an important part in defining the frontiers of the profession (Besner & Hobbs, 2008).

On the one hand, project management as a field promotes a normative approach to practice: as explained above, it is codified in standards, tools and techniques embodied in project management knowledge and practice guides of professional institutes (Muriithi & Crawford, 2003). In this approach to project management projects are seen as being fundamentally similar (Shenhar, 1996) and project management knowledge and practice as generic and suitable for standardization (Crawford & Pollack, 2007). From this perspective there exist sets of generic knowledge, skills, and practices that are applicable to most projects most of the time (PMBOK Guide, 2004).

If there is in fact a generic discipline that is core to project management practice across a variety of industries, it is worth trying to define, what this core is. The content of the project management

discipline can be divided into three components: 1) core, 2) tools and 3) applications (Wirth, 1992). The core, including of know-how that are equally useful across all types of industry, is generic. The core is not easily amenable to graphical of mathematical modeling and is largely based on social and behavioral premises. Tools are project management models that can be presented mathematically, graphically or verbally. They are largely generic and usable across various industries. Nevertheless, the applications relate to types of industry that differ by product and technology, and production method used. Therefore, parts of project management know-how are exclusive to a particular type of industry, and named 'industry-specific'.

On the other hand, the project's uniqueness is identified as its defining attribute (Crawford & Pollack, 2007) or its major characteristics (PMBOK Guide, 2004). Project is seen as a unique endeavor or a special task that has not been done before (Andersen, 1996). The proliferation of Specific Interest Groups within PMI and the publishing of the Extensions to the PMBOK Guide are also indications of variations in project management by application area (Besner and Hobbs, 2008). Projects may differ in a myriad of aspects, such as size, time span, industry, customer, and, technology (Shenhar, 1998).

This tension between uniqueness and generality of projects raises an interesting question: "How can one thing be, at the same time, both fundamentally unique and standardized" (Crawford & Pollack, 2007, p.89)? This is indeed a philosophical puzzle. Surprisingly, one approach does not entirely exclude the other, especially that the definition of what is generic knowledge in project management seems to be very elusive. PMBOK states that PM body of knowledge is "a sum of knowledge within the profession" and traditional and innovative practices "applicable to most projects most of the time" (PMBOK Guide, 2004, p.3). This definition suggests that there may be

some projects to which this knowledge does not apply, clearly contradicting the rule of general applicability of that knowledge. On the other hand, not all projects are entirely unique as some have many repetitive features. In the author's opinion projects are in fact both generic and unique. The same applies to the PM knowledge: there surely is a generic core to project management, but there also exists a unique context in which each project is being implemented. Therefore, PM knowledge, tools and techniques may not be uniformly applicable to all projects at all times.

2.1.2. General categories and types of projects

In previous subsection we learned that a universal theory of project management may be inappropriate for all projects at all times given the fundamental differences that exist across projects because each project is unique. In the author's view, the assumption that all projects are similar or should be treated generically is also challenged by the great number of systems of project categorization[7] that depend on the perspectives used by the authors. If projects were indeed generic, why try to categorize them? What is the logic behind project categorization?

Project management practices vary significantly from one type of project to the next (Payne & Turner, 1999; Shenhar 1998). Examining engineering projects, Shenhar (1998) found considerable differences in management style, project organization and operational practice. Also, organizations categorize their projects to assign appropriate competencies (Crawford, Hobbs & Turner, 2006). In order to *do them* [projects] *right*, they apply different tools, techniques and approaches depending on the type of the project. Therefore, proper project

[7] According to Crawford, Hobbs and Turner (2006) categorization systems sort things into sets of items with similar properties. Categorization systems differ from classification systems, which sort things into mutually exclusive sets. Therefore, under a classification system, an item can belong to only one set, whereas under a categorization system, an item can belong to several sets.

categorization prior to project initiation and management style, attitude and practice carefully adapted to the specific project type may lead to better implementation and to an increased chance of project success (Shenhar, 1998). Moreover, project success factors are not universal for all projects and consequently, different projects exhibit different sets of success factors (Dvir, Lipovetsky, Shenhar, & Tishler, 1998).

Different authors propose different categorization systems of projects. For example, Wateridge (1995), Payne (1995) and Van Der Merwe (1997) grouped projects into two categories: single projects and multiple projects depending on whether or not the integrating parts of a project are closely interdependent and share the same objective. Ferns (1991) proposed the name *programme management* to describe management of a cluster of projects or multiple projects. Evaristo & van Fenema (1999) built on this categorization and presented a two-dimensional model for categorization of projects based on the number of projects and geographical sites involved. Turner and Cochrane (1993) categorized projects according to the degrees of definition of project goals and methods used to attain them. Bubshait and Selen (1992) used the approach based on the application area or industry in which project was implemented. Youker (1999a) categorized projects by project deliverable or project product. McElroy (1996) grouped projects in two categories: hard and soft, based on the tangibility of projects' outputs. Crawford and Pollack (2004) expanded on this classification by developing a framework based on seven project attributes.

The proliferation of project categorization systems seems to challenge the notion of the generic nature of projects. We asked the question why to categorize projects, if they are all similar? The answer is simple: we categorize projects because it is easier to manage them successfully if we

assign appropriate resources and choose appropriate management methods that best respond to project specificity. Therefore, we can conclude that projects differ between themselves and are far from being uniform.

2.1.3. Standard projects versus international development projects

In this subsection we define the most important characteristics of international development projects. "It goes without saying that the various projects should have different characteristics, probably in line with the main industry involved" (Lundin & Söderholm, 2006). According to International development projects differ from industrial or commercial projects in several important ways, the understanding of which impacts on how the projects can be managed and evaluated (Ahsan & Gunawan, 2010; Khang & Moe 2008). It is therefore necessary to know the differences between standard projects and international development projects in order to understand what determines international development project management tools and methodologies, like results-based management.

Despite the existence of important differences between standard projects and international development projects, international development projects share several characteristics with all projects regardless of the field in which they are implemented. First, international development projects, as projects in other fields, consist of phases, that is, have a life cycle. Second, despite all the disappointment in projects as the means of delivery of international development aid and their gradual replacement by more complex and longer programs, projects are still the *cutting edge of development* (Hirschman, 1967): in more difficult and fast-changing environments where programs have no *raison d'être,* projects may be the only vehicle to implement change. Third, the *triple constraint* of time, scope and budget applies, although not uniformly, to international

development projects as well. Fourth, IDPs are undertaken to produce expected results, even if they are not always tangible.

Project-related principles, rules, techniques and procedures appeared in the engineering disciplines (Kerzner, 2003) but they quickly expanded beyond, "spurred on by assumptions of universal applicability" (Ika & Hodgson, 2010). Project management colonized all quarters of life (Making projects critical, 2006) and nowadays resides in almost every profession, including international development. Still, international development is a non-traditional project-oriented sector, where the use of project management tools is specific (Ika, Diallo, & Thuillier, 2010a) and international development project management is a sub-sector of general management aside other sub-sectors such as IT, education, construction and engineering, telecommunications, manufacturing, defense and service industries (Austin, 2000). IDPM specifically refers to those internationally funded or donor funded projects or programs in the public sector in developing countries. In fact, international development projects are designed to respond to economic and social needs of developing countries (Ahsan & Gunawan, 2010). It is worth mentioning that the aid industry is still dominated by projects even though project mechanism is fraught with difficulties (Russell-Hodge & Hunnam, 1998). Aid organizations recognize this failure and are reengineering project processes and developing integrated program approaches (Russell-Hodge & Hunnam, 1998).

So what are the differences between standard projects and international development projects (IDPs)? Below we present major differences between the standard projects and IDPs in relation to project objectives, its deliverables, project environment, its stakeholders and bureaucracy.

2.1.3.1. 'Soft' objectives

Originally, most international development projects were *hard* projects like civil works, railroads, and power plants, but the portfolio has changed to include an ever-increasing portion of *soft* projects in education, health, human development, capacity building, etc. (Diallo & Thuillier, 2005). Still, international development projects aims and goals differ a lot in comparison to those of standard projects in engineering, industrial or commercial fields (see Table 1 point 1) because even in case of international development *blueprint projects*, which involve developing of physical infrastructure, the ultimate *soft* goals of serving sustainable social and economic development are always given priority (Khang & Moe, 2008). All international development projects are bound by a common goal of contributing to poverty reduction in one form or another (Austin, 2000) by providing "socioeconomic assistance to developing countries or to some specially designated group of target beneficiaries" (Khang & Moe, 2008, p.74). Therefore, unlike standard projects, international development projects are not concerned with profitability (Ahsan & Gunawan, 2010).

2.1.3.2. Intangibility of results

Humanitarian and social focus of international development projects translates directly to less visible and measurable results compared with deliverables of infrastructure or industrial projects (see Table 1 point 2). In case of standard projects, it may be relatively easy to assess the result of the project. Taking infrastructure project as an example, we can account for the number of bridges or kilometers of roads that was built and demonstrate that it constituted a certain percent increase in relation to previous year. In case of *soft* projects (social and human development projects), it is much more troublesome to demonstrate social and human development. Taking a

blueprint project as an example, even if we built a certain number of bridges or kilometers of roads, are we certain that it will contribute to the wellbeing of the local communities? Is the bridge or road a contributing factor to opening of the market and the increase in the trade or are there other important but overlooked factors as well? Will this road have a long-term positive impact on local communities, or perhaps it will create conflicts? Will the project be sustainable, will the government provide money to renovate the road or it will fall into ruin after the first rainy season? That is why development projects are much more complex and their results and more difficult to measure. This intangibility of IDPs objectives and results "raises a special challenge in managing and evaluating development projects that require adaptation of the existing project management body of knowledge and adopting new tools and concepts to define, monitor and measure the extent that the development projects achieve these objectives" (Khang & Moe, 2008, p.74). According to Khang and Moe (2008) measuring of success of IDPs commonly involves a high degree of subjective judgments due to the intangibility of their objectives.

2.1.3.3. A specific environment

Another characteristic that differentiates international development projects from traditional business projects is the specificity of the operating environment (see Table 1 point 3). Trying to define the project environment is undoubtedly a challenge when it can vary significantly from one country to another (Austin, 2000) and change rapidly (Youker, 1992). In general terms, the environment includes everything outside the project: its technology (i.e. the knowledge base), the nature of its products, customers and competitors, its geographical setting, the economic, political and even meteorological climate (Youker, 1992). IDPs environment can often be characterized by the following factors: limited or weak institutional capacity within the government

administration to implement projects; unfavorable procurement procedures, practices and implementation capacity; political instability; shortages of experienced personnel and personnel selection based on relationships rather than competency; frequent changes in partner ministry leadership and employees; lack of accountability and transparency; poor infrastructure, water treatment facilities and electricity supply (Austin, 2000).

More importantly, the absence of market pressures in international development projects' appraisal and implementation combined with the intangibility of objectives, "often makes these projects the target of political manipulations" (Khang & Moe, 2008, p.75). Politicians or political parties of partner countries may push for unfeasible projects or oppose good ones for political gains. Also, funding agencies of donor countries may nourish alliances with political elite of recipient countries using IDPs (Khang & Moe, 2008). International development project implementers have to deal with complexity, resistance to change, competing agendas of large number of stakeholders and their diverse and even contradictory expectations (Ika, et al., 2010a).

2.1.3.4. Complex net of stakeholders

There are many stakeholders[8] involved in international development projects compared to standard projects (see Table 1 point 4). Typically, in industrial projects there are two stakeholder categories involved: the client, who pays for the project and benefits from it, and the contractor, who gets paid by the client for implementing a project and delivering desired results (Khang & Moe, 2008). International development projects commonly involve three separate key stakeholders: the funding agency, who pays for but does not receive project outputs, the

[8] Stakeholders – agencies, organizations, groups or individuals who have a direct or indirect interest in the development intervention, or who affects or is affected positively or negatively by the implementation and outcome of it (Glossary of Evaluation and Results-based management (RBM) Terms, 2000).

implementing unit, and the target beneficiaries, who benefit from the project (Khang & Moe, 2008). The World Bank has a more complex network of stakeholders that includes: a lender or donor, the Ministry of Finance of the partner country, the client (usually a sectorial ministry of institution), many stakeholders, a project management or coordination unit and a multitude of contractors, both firms and individuals who will carry out the physical implementation of most of the activities of the project (Aucoin, 1995). It is striking that project's beneficiaries[9] and population at large are left out from his stakeholder model. A good explanation as to why they were excluded may be that the beneficiaries, who may participate in the project identification phase, "can rarely be effective as clients once a project is in execution" (Diallo & Thuillier, 2005, p.239). This is "due to the lack of representative authorities or organizations, especially when it comes to validating the quality of the project outputs" (Diallo & Thuillier, 2005, p.239). There are nevertheless exceptions, as there are projects designed under a participative approach that aim to enhance the position of the beneficiaries as real stakeholders. In their earlier paper (Diallo & Thuillier, 2004) talk about as many as seven stakeholders, which are: the project coordinator in charge of operations, the task manager located in the headquarters of the development agency, a national supervisor to whom the coordinator reports, a project team, a steering committee, the beneficiaries and the population at large. None of these stakeholders list should be considered as exhaustive. It seems that the choice of international development project stakeholders may depend on a particular donor's or implementing partner's approach, sector in which project is implemented as well as local context and local culture.

[9] Beneficiaries – the individuals (the target groups) or organizations that benefit, directly or indirectly, from the development intervention (Glossary of Evaluation and Results-based management (RBM) Terms, 2000).

2.1.3.5. High levels of bureaucracy

Last but not least, international development projects are characterized by high levels of bureaucracy (see Table 1 point 5) as international aid donors have stringent reporting requirements and demand high levels of accountability from their implementing partners (Diallo & Thuillier, 2005) as well as partner countries. International development projects follow transactional processes that have been codified by donors to guarantee that projects maintain rigor and transparency in how tasks are performed and contracts awarded (Diallo & Thuillier, 2005). Those aid agencies' processes are everything but simple. To guide CIDA development assistance partners, as well as the agency's employees, through the processes used to deliver development assistance program CIDA has been publishing its Business Process RoadMap. It outlines three business delivery models: core funding, responsive programming, and directive programming, and provides an overview of the different methodologies used to develop, manage, communicate and implement CIDA investments, and provides appropriate references and links to key policies, strategies, guidelines and discussion or issue papers (CIDA's Business Process RoadMap, 2010). This CIDA guide counts 220 pages although it barely gives a high level overview of CIDA's policies and processes.

Table 1: Differences between international development projects and standard projects.

	Standard projects	ID projects
1. Objectives	*Hard*, for example bridge construction	*Soft*, for example poverty reduction or sustainable development
2. Deliverables	Tangible	Intangible
3. Environment	Business environment, Highly competitive Cultural or geographical gap is not a rule (domestic projects)	Very political, Complex Cultural and geographical gap as a rule
4. Stakeholders	Two general categories	Three or more general categories
5. Bureaucracy	Low to moderate levels	High levels

To sum up: there are several important differences between standard projects and international development projects. It can be said that IDPs are characterized by: more soft goals (like social and human development) that translate directly to relatively intangible deliverables, largely subjective measures of project's success, very political and complex environment with cultural and geographical gap as a rule, complex net of stakeholders and beneficiaries and high levels of bureaucracy and stringent reporting requirements.

2.1.4. Relative importance of nine knowledge areas in international development project management

In this subsection we will look more closely into the differences between traditional and international development projects. We will do this by adopting a PMBOK Guide's approach called the nine knowledge areas. The nine knowledge areas are defined as management processes crucial to project's successful implementation. It seems that project's success is of utmost importance not only to the project management practitioners but also to PM scholars. For example, to some scholars PM is the process by which a project is completed successfully (Muriithi & Crawford, 2003). In this section we will try to assess which knowledge areas are most critical to international development project success in comparison to standard projects. Is each of nine knowledge areas as important to international development projects as it is to standard projects? It has to be stressed that this comparison is prepared based on the literature review and at least in part is not empirically proven.

Traditionally, project management "has been seen largely about completing tasks on time, in budget, to scope" (Morris, et al., 2000, p.156). "High quality projects deliver the required product, service or result within scope, on time and within budget" (PMBOK Guide, 2004, p.8).

Project scope, time and cost are referred to as *triple constraint* (PMBOK Guide, 2004). Meeting project requirements is accomplished through the application and integration of management processes, grouped in so called "nine knowledge areas"[10], throughout the project life cycle (PMBOK Guide, 2004). These areas are also called *functions*, and named the breakdown of project management into the set of specialist functions a *functional structure* in contrast to a *life cycle structure* (Wirth, 1992). These are management of scope, time, cost, quality, human resources, communications, risk and procurement. The ninth function is called integration management and is an integrative function as it "seeks to achieve a synergetic management" of all other eight functions "while balancing the internal and external environments" (Muriithi & Crawford, 2003, p.311).

2.1.4.1. Cost management

Project completion within time, cost and scope, and maintaining quality throughout, are very common dimensions of success factors mentioned by project management professional bodies and the research community (Ahsan & Gunawan, 2010). A study of 100 projects that were sponsored by the Asian Development Bank (ADB) and hosted by several Asian countries showed that most international development projects that were behind schedule experienced cost underrun[11] (Ahsan & Gunawan, 2010). That is an unusual cost and schedule variation relation in projects because, as a general rule, projects taking more time cost more money (Ahsan & Gunawan, 2010). Major reasons for project cost underrun were: depreciation/devaluation of local currency, lower than estimated bid price, international competitive bidding and less use of

[10] Those nine knowledge areas are called in PMBOK: Project Integration Management, Project Scope Management, Project Time Management, Project Cost Management, Project Quality Management, Project Human Resource Management, Project Communications Management, Project Risk Management and Project Procurement Management.

[11] Cost underrun implies that project is completed under the budgeted cost and that unused money is accounted as loan surplus. At project's closing that loan surplus is cancelled.

contingency funds. Other important causes are project scope cut, project design change and local taxes and interest policy changes. Furthermore, schedule and cost variance were compared in relation to project success rate[12]. The success rate differed depending on whether schedule and cost variance is positive or negative, but the relationship was rather unique. For the cost variance of projects analyzed the more cost underrun, the higher the project success rate (Ahsan & Gunawan, 2010).

2.1.4.2. Time management

A study of international development projects in Asia, documented that most of the projects were lengthy in terms of duration and took more time than expected to complete (Ahsan & Gunawan, 2010). Despite significant time overruns, reaching 31.4%, as much as 83% of ADB projects were recognized as successful. Further comparison of schedule and cost variance in relation to project success rate showed that in case of schedule variance the later the schedule, the higher the project success rate (Ahsan & Gunawan, 2010). In the same vain, investigating World Bank projects' critical success factors and their interactions (Ika, Diallo, & Thuillier, 2010b) provided empirical evidence that project cost is far more important to project success than the time constraint. This does not come as a surprise as international development is a long-term oriented effort (Ika, Diallo & Thuillier, 2010b) and project delays are not infrequent.

2.1.4.3. Scope management

The scope of a project establishes the boundaries, the resource requirements and the quality requirements. Scope management is more critical with international projects than with domestic

[12] The performance of ADB project is measured by overall performance rating, which is calculated based on weighted average (WA) of the following criteria: relevancy with host country and ADB strategy, effectiveness in achieving objectives, efficiency in achieving outcome and output and sustainability with weights 20%, 30%, 30% and 20% respectively. Source: Ahsan & Gunawan, 2010.

ones due to the diversity of the organizations involved in implementing international development projects and cultural differences involved (Grisham, 2010). Developing a scope description for a new project is a challenge, and scope specifications are never perfect (Grisham, 2010). Another challenge faced by project managers in scope management is the scope change control. During the long process of project preparation there will be changes in the environment that probably should be reflected in the project (Youker, 1989). Changes in the project scope are unavoidable also because as the project progresses, the contractor learns more about the implied needs of the customer (Grisham, 2010). In addition, the longer the ID project is, the higher the risk of undertaking a project for which the needs are no more relevant (Ika, et al., 2010b). The objectives of a project are not immutable (Youker, 1989) and must be adapted to the changing situation. This might induce the redesign of the project and provoke changes to its scope, which is not uncommon in international project management.

2.1.4.4. Quality management

Quality management can be equated to customer satisfaction. The customer may not know the quality standards for the industry, but she or he will have an idea what quality means (Grisham, 2010). In development aid context, a customer is of course a beneficiary, and quality management can be defined as making sure that particular needs of the project beneficiaries are indeed satisfied. In fact, the ultimate goal of international development projects is to respond to the needs of targeted population and therefore the beneficiary and stakeholder satisfaction is important when evaluating the overall project performance. As the project scope is never perfect, the needs of the client, or in our case the beneficiary, cannot be known from reading the scope documents alone. As implied needs come from a relationship with the customer (Grisham, 2010) quality management is related and dependent on communications management. This is because

the project manager needs "strong communications skills, patience and persistence to have a continual dialogue with the customer going on what the customer thinks quality is" (Grisham, 2010). Therefore, to know the real needs of a targeted population, the ID project manager must develop a relationship with the beneficiary based on mutual trust and understanding.

2.1.4.5. Communication management

Communication can be defined as: "an interaction between two or more people that progresses from shared feelings, beliefs, and ideas to an exchange of wants and needs to clear action steps and mutual commitments" (Grisham, 2010, p.131). In international development, communication management seems to be one of the knowledge areas with crucial importance to project success. In international development communications, together with human relations, is undoubtedly the most important knowledge areas, which include business oriented as well as non-for-profit development aid projects (Grisham, 2010).

On international projects in general, and IDPs in particular, attitudes are influenced by culture. There are language issues that must be addressed, but more importantly, there are cultural, sociological and psychological aspects of communications (Grisham, 2010). In addition to the cultural complexity, managers have to deal with a complex net of project stakeholders and beneficiaries where each may have different expectations and interests in the project. Trust and communication between different players are inseparable and that they are critical factors of international development project success (Diallo & Thuillier, 2005). "Early and continual active participation of a wide range of local stakeholders in the preparation and design of the project" is the answer to the problem of lack of ownership on the side of project stakeholders (Youker, 1989, p.56). In order to improve project performance stakeholders active participation is needed

throughout the project life cycle: in the design, planning, implementation, monitoring and evaluation (Khang & Moe, 2008). At CIDA, all its RBM tools, like the logic model (LM) and the performance measurement framework (PMF), should be developed and assessed in a participatory fashion with the inclusion of local partners, beneficiaries, stakeholders and relevant CIDA staff. Beneficiaries and stakeholders should also be involved in establishing targets. Moreover, CIDA staff is responsible for the quality of the information about their programs and projects, which is disseminated to the Canadian public and to the OECD Development Assistance Committee (DAC).

2.1.4.6. Human resource management

The need to lead diverse teams from diverse cultural backgrounds is embodied in international project management (Grisham, 2010). The project manager must be prepared to adjust, not change, his or her attitudes and cultural mores to set the standards for the team by leading the way (Grisham, 2010). To lead people is the first job of a project manager, followed closely by communication skills (Grisham, 2010). Also, in the case of international development projects, effective consultations between stakeholders are far more important in influencing project success than the competence of project designers, planners and the project management team (Khang & Moe, 2008). The team cohesion is the second most important critical success factor after good communication between stakeholders (Diallo & Thuillier, 2005). As the atmosphere within the project team is decisive, making more efforts in team building is recommended (Diallo & Thuillier, 2005).

2.1.4.7. Risk management

"One certainty on all projects is that they will change" (Grisham, 2010, p.54). International projects are even more susceptible to change because of the complexity of their environments: complexity of the markets, politics, laws, customs, norms and so on (Grisham, 2010). The same applies to IDPs that are often implemented in very poor countries with unstable and changing environments. The definition of environment includes *virtually everything,* all factors outside the project: the technology (knowledge base), the nature of its products, customers and competitors, its geographical setting, the economic, political and even meteorological climate, etc. (Youker, 1992). With current social, political, economic, financial and technological upheavals, the environment is almost certain to change over the life of a two- or three-year project (Youker, 1992). Development interventions "are often experimental, in remote locations and influenced by political, social, cultural and economic conditions and changes over which the Agency and its partners have no control" (CIDA's Business Process RoadMap, 2010, p.60).

Interestingly, exogenous risk factors, like natural disasters, political climate, social disorders and military conflicts, as well as contextual factors like changes in political leadership, changes in the project's team or even suspension of project financing do not have any influence on the perception of project success among project stakeholders (Bouchard, 2008). This is due to the fact that in their perception of project success, project stakeholders take a necessary distance to "neutralize" these risk factors (Bouchard, 2008).

Still, the changes in the project's external environment can affect planning, organizing, staffing, and directing, as well as other project manager's chief functions. Therefore, for a project to be

successful, the manager must look outside the project, study the project environment, and try to manage or adapt to risks (Youker, 1992). To define potential problems, assess the probability of their occurrence and to solve them the project manager must:

- Scan the project environment,
- Identify the actors and factors having influence on project's success,
- Define the degree of dependency in the relationship,
- Estimate the nature of the uncertainty and the probability of something going wrong,
- Analyze the degree of power that the project manager has to control the key actors and factors,
- Identify potential problems (high dependency, high risk and low power),
- Develop contingency plans to deal with potential problems by analyzing stakeholders' purposes and planning linkages to increase power and influence (Youker, 1992).

As continuous change is normal in international PM, it is certainly routine and anticipated (Grisham, 2010). In fact, all donor agencies have some sort of risk assessing and managing processes put in place to manage the risks that may impact on the effectiveness and efficiency of their initiatives. Still, no matter the tool and technique being used to assess the risk, it is impossible to completely quantify the project's risks (Hirschman, 1967). The key to the effective management of risks is therefore to select limited number of critical project risks and to manage them thoroughly (Grisham, 2010), proactively and on an ongoing basis (CIDA's Business Process RoadMap, 2010).

2.1.4.8. Procurement management

Most of the techniques that have been developed in procurement are aimed at the transfer of work and scope from one organization to another (Grisham, 2010). More importantly, procurement management is a formal way to assign risk. If people and organizations trusted one another, there would be no need to sign formal contracts to transfer obligations and risks (Grisham, 2010). Attitudes to risk and contracts vary from one culture to another. In some societal cultures, such as Asia, personal relationships and trust must be established prior to business arrangements. In such cultures contracts tend to be short and secondary to the relationship. On the other hand, in cultures such as the United States and Northern Europe in general, business dealings are more one-time, transactional relationships and the contracts tend to be longer and more detailed (Grisham, 2010).

Bidding and procurement procedures were identified as one of the most important causes of delays in case of ID projects (Ahsan & Gunawan, 2010; Hirschman, 1967). Delays caused by bureaucratic administrative systems, including procurement, were listed as selected problems in WB *expost facto* evaluation reports (Youker, 1999b). At the same time, most of these problems could be solved early in the project development process (Youker, 1999b). Nevertheless, since time factor does not seem to be pertinent to international development projects' perceived success the delays caused by long procurement procedures seem of little importance to the IDP's success.

2.1.4.9. Integration management

Integration management is the most crucial function in the management of international development projects and it is often the key to project success (Muriithi & Crawford, 2003).

Integration management is difficult primarily because the external environment in which the project is implemented is overpowering. The success or failure often depend on factors in the general environment outside the direct control of the project manage (Youker, 1992). For example, from ten critical problems related to the organization and administration of large-scale integrated rural development projects, only four appear to be related to internal project management and other six were clearly aspects of the external project environment (macro constraints - political, economic, and environmental, institutional realities, host country personnel limitations, decentralization and participation, differing agendas of stakeholders involved) (Gow & Morss, 1988). "To achieve synergetic management of all the other functions and to balance the needs of the organization with the demands of the external environment requires deft political skill" (Muriithi & Crawford, 2003, p.317).

To conclude: in this subsection we established the importance of the so-called nine knowledge areas to successful implementation of international development projects. Taking a standard project as a backdrop for our analysis we contend that management processes grouped by PMI in nine areas indeed provide a good basis for comparison of projects in different fields. In the case of international development projects and standard projects it is clear that differences exist between these two fields with regards to processes that influence project success. The success of standard projects in the fields like engineering or construction depends largely on completing work within scope, on time and within budget. Out of these "triple constraint" factors, only cost seems to be equally critical to IDPs' success. To our surprise, delivering project on time is not as important as how IDPs' success is being perceived by project stakeholders. Though implementing project within scope is usually an important success factor in IDPM, frequent changes to project's scope due, for example, to schedule delays do not seem to have a

determinant influence on the project success. Quality management seems to be the second knowledge area with equal importance to project's success in standard PM field as well as ID. In standard PM fields, as well as international development projects are implemented to satisfy a need of a client or beneficiary. Therefore, the project cannot be considered as a success unless a client or beneficiary is satisfied with its outcome. Finally, the two processes, which seem to be of crucial importance to ID projects success, and at the same time are of lesser importance to the successful implementation of a standard project, are communication management and integration management. In short, this is caused by the extreme complexity of IDPs environment and stakeholders involved. In order to successfully implement an IDP a manager should skillfully manage both external and internal project environments and at the same time efficiently communicate with all identified stakeholders to fully involve them in the project implementation.

Table 2: Relative importance of nine knowledge areas in the field of entrepreneurship and international development projects

Knowledge area	Definition according to PMBOK Guide	Standard projects	IDPs
Cost Management	Includes the processes involved in planning, estimating, budgeting, and controlling costs so that the project can be completed within approved budget	+++	+++
Time management	Includes the processes required to accomplish timely completion of the project	+++	+
Scope Management	Includes the processes required to ensure that the project includes all the work required, and only the work required, to complete project successfully	+++	++
Quality Management	Include the processes that determine quality policies, objectives, and responsibilities so that the project will satisfy the needs for which it was undertaken	+++	+++
Human Resource Management	Include the processes that organize and manage the project team	++	++
Communications Management	Includes the processes required to ensure timely and appropriate generation, collection, distribution, storage, retrieval and ultimate disposition of project information for project team, stakeholders, customer, and sponsor	++	+++
Risk Management	Includes the processes concerned with conducting risk management planning, identification, analysis, responses, and monitoring and control on a project	++	+++
Procurement Management	Includes the processes to purchase or acquire the products, services, or results needed from outside the project team to perform the work	++	+
Integration Management	Includes processes and activities that integrate the various elements of project management, which are identified, defined, combined, unified and coordinated within various processes and knowledge areas	++	+++

2.1.5. Characteristics of IDP life cycle

In this subsection, we will look into the characteristics of the international development project life cycle. This research adopts a life cycle model for at least two reasons. First, the life cycle approach to project management is widely used in international development sector by both bilateral donor agencies, like CIDA, and multilateral aid organizations, like the World Bank. Secondly, the life-cycle approach makes it easier to talk about projects. By dividing them into phases, it splits management processes into smaller, more manageable units of analysis.

It is difficult to attribute the concept of project life cycle to one author since this concept has gradually evolved overtime (Bonnal, Gourc, & Lacoste, 2002). "All project life cycles consist of a sequence of stages and activities, from origin to completion" (Stewart & Fortune, 1995, p.279). The sequential phases are generally differentiated by the technical work being carried out, the key actors involved, the deliverables to be generated and the ways these are controlled and approved (Khang & Moe, 2008). Transition from one phase of a project to another involves *approval gates* (Besner & Hobbs, 2006), in other words, "some form of technical transfer or handoff" (PMBOK Guide, 2004, p.20). Deliverables are reviewed for "completeness and accuracy" and approved before the next phase starts (when phases are sequential). The practice of "managing by phase occupied a prominent position in the project management literature and practice for a very long time" (Besner & Hobbs, 2006, p. 39). Dividing projects into phases provides better management control and assures appropriate links with ongoing operations of an organization (PMBOK Guide, 2004). However, the PMBOK does not recognize management-by-phase as an important project management process (Besner & Hobbs, 2006). The PMBOK introduces a concept of

process groups: initiating, planning, executing, and closing process groups and an idea that processes from these groups repeat during each phase. Therefore, those process groups have names and descriptions very similar to those used to identify project phases (Besner & Hobbs, 2006). "It is, therefore, not always easy to maintain the distinction between the phase and the process group" (Besner & Hobbs, 2006, p. 39) although PMBOK stresses that the phases of a project life cycle are not the same as process groups (PMBOK Guide, 2004).

There is "no single best way to define an ideal project life cycle" (PMBOK Guide, 2004, p.20). Some organizations have standardized project life cycle, applicable to all projects, while others allow project management team to choose the most appropriate cycle for their project (PMBOK Guide, 2004). Pinto and Slevin (1988) were employing a four-phase life cycle with: conceptualization, planning, execution and termination. According to Muriithi and Crawford (2003), the most common life cycle model in literature proposes four phases: initiation and concept, design and development, implementation and commissioning and hand-over. However, Ahsan and Gunawan (2010) established that most international development projects have five stages in the life cycle, which are: identification, preparation, appraisal and approval, implementation and evaluation.

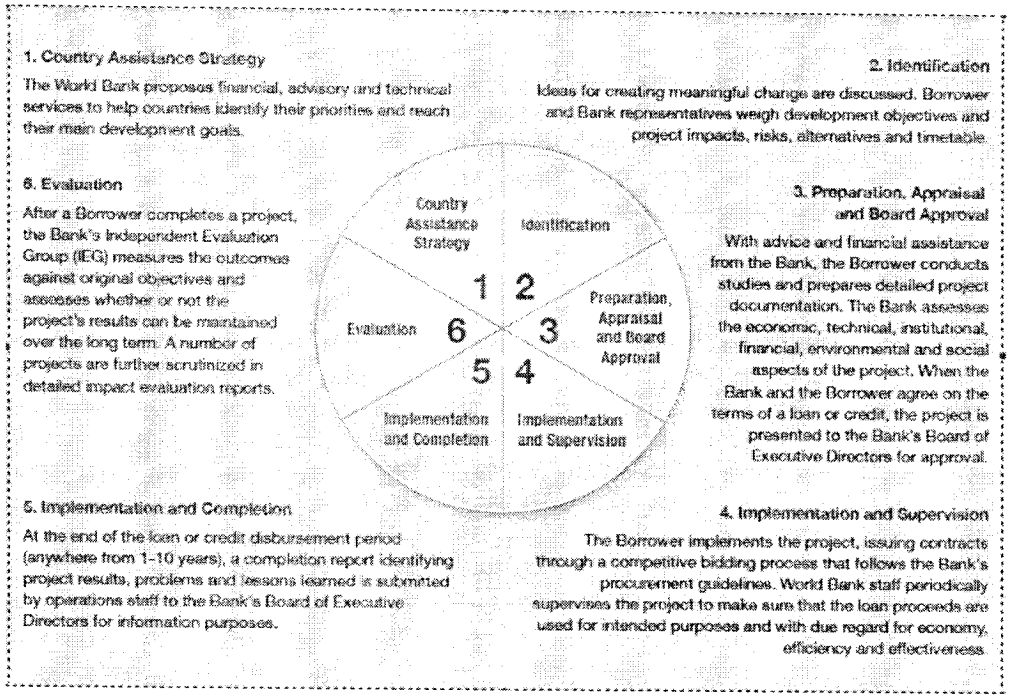
In the following paragraph, the author will take a look at the World Bank's project life cycle[13] due to the World Bank experience and leading role in implementing development aid projects around the world. The traditional World Bank life cycle so "lucidly articulated by Warren Baum in the December 1978 issue of Finance & Development" (Picciotto & Weaving, 1994, p.42)

[13] Referring to the new World Bank project life cycle Picciotto and Weaving (1994) used the term *learning cycle,* emphasizing experimentation, organizational learning and risk assessment. The new World Bank life cycle centers on the borrower and the beneficiary (Picciotto & Weaving, 1994).

consisted of six standardized sequential steps of identification, preparation, appraisal, negotiations, implementation and supervision and ex-post evaluation (Baum, 1970, 1978). The traditional cycle, grounded in engineering tradition has been "particularly well suited to infrastructure development in stable economies with well-established institutions and predictable government policies" (Picciotto & Weaving, 1994, p.42) but it proved maladapted to "participatory, risky and volatile framework" (Picciotto & Weaving, 1994, p.42) of development aid in the 90s. The new context forced the World Bank to start testing new approaches to processing projects (Picciotto & Weaving, 1994). The current World Bank project cycle still counts six phases, although with two new phases added, notably: *country assistance strategy* and *implementation and completion*, others were regrouped and merged to give: 1) Country Assistance Strategy; 2) identification; 3) preparation; appraisal and board approval; 4) implementation and supervision; 5) implementation and completion and 6) evaluation.

During the first phase of the project life cycle, the World Bank works with the borrowing country's government and beneficiaries to develop the Poverty Reduction Strategy Paper (PRSP) that lays down a country's development priorities and the Country Assistance Strategy (CAS) being the World Bank's plan for program assistance linked to the country's identified needs (WB, 2009). These two documents symbolize the shift in WB's development aid paradigm from a traditional, grounded in engineering, to a more social and client-oriented.

Figure 1: World Bank project cycle (Source: World Bank[14])



CIDA does not have a generic project life cycle model. Therefore, there are different project life cycles for each CIDA business delivery model: core funding, responsive programming and directive programming[15] (CIDA Business Process RoadMap, 2010). In core funding and responsive programming there are seven generic phases which exist in both delivery models 1) initiation; 2) planning; 3) approval; 4) operationalization; 5) implementation; 6) monitoring and control and 7) closure. Initiation, planning, approval, operationalization, implementation and closure phases are treated as discrete processes and monitoring and control processes apply to each phase and span all steps in the life cycle (CIDA Business Process RoadMap, 2010). In case

[14] Original World Bank address for this figure: *http://go.worldbank.org/OJ7YYNVED0; more interactive version of the WB project cycle now available at: http://go.worldbank.org/GI967K75D0*

[15] Core Funding - used when CIDA chooses to support organizations, institutions or recipient countries involved in development initiatives that are expected to yield developmental results reflecting CIDA goals and objectives;
Responsive Programming - used when CIDA agrees to support development initiatives conceived by a proponent which are consistent with the goals and objectives of CIDA's programs;
Directive Programming - used when CIDA takes the lead in designing development initiatives. These initiatives may eventually be implemented by CIDA or through another organization under CIDA's supervision. (Source: CIDA Business Process RoadMap, 2010, p.43)

of directive programming, in which CIDA takes a lead in planning and implementing projects, processes changed in April 2010 and the new Directive Project Development Process (DPDP) user guide now describes new phases of the project development process, which are: 1) initiation; 2) work planning; 3) design; 4) selection and agreements, which are followed by: 5) implementation and 6) closure.

So what are the similarities between the World Bank and CIDA project life cycles? At the first glance, the World Bank and CIDA life cycles vary significantly. World Bank is a lending agency and CIDA is a donor country agency that has three different business delivery models. Nevertheless, for both the World Bank and CIDA, the planning and evaluation project phases seem to be of the utmost importance.

Summary statement on what we have learned in section one about the differences between the standard and international development projects: International development projects differ from standard projects in terms of their "soft" objectives and intangible deliverables, the complexity of the environment in which they are implemented, number of stakeholders involved and high levels of bureaucracy. Also, international development projects' success is not so dependent on the "triple constraint" of time, money and scope.

2.2. Overview of RBM experience in the public sector with focus on international development agencies

In this second section of chapter two we will focus our attention on results-based management, also called performance management, managing for results (MFR), results by objectives or outcome measurement (Muraguri-Mwololo, 2010). We will look at how performance management concepts, which were inspired by private sector practices focused on achieving results, became a popular management approach in public sector and then expanded to international development projects funded by bilateral and multilateral donor agencies and implemented by non-governmental organizations (NGOs). In subsection 2.2.1, we will look at the origins of performance management that initiated in late 1970s as part of wide public sector reforms adopted by most OECD countries, called New Public Management. In subsection 2.2.2, we will talk about what are the characteristics of performance management in public sector and what were the reasons why it became so important. We will try to explain the confusion around the term performance management and to distinguish it from performance measurement or monitoring. We will also come up with suggestions as to what makes effective performance management systems. In subsection 2.2.3 we will delve deeper into the concepts of performance management and talk about the recent focus on managing-for-results. In subsection 2.2.4 we will move on and concentrate on what is results-based management in the area of development aid. We will discuss the context in which results-based management became an important management approach for donor agencies and we will clarify concepts and definitions related to RBM. In the last subsection 2.2.5 we will discuss RBM concepts, terminology and tools in use at the Canadian International Development Agency, for which RBM became an organizational strategy, or even a philosophy.

2.2.1. Origins of performance-based public sector reforms in OECD countries and their focus areas

Since the mid-1970s, governments of industrialized and developing countries around the world have been increasingly concerned with adapting state's structures to achieve greater efficiency in public spending and, at the same time, provide more responsive and flexible public services to their citizens. Economic, political and social pressures have motivated the movement for a public sector reform. Common economic pressures have included "economic crises (...) resulting in reduced financial resources for governments" (Kaul, 1997, p. 13). Political and social factors "have included a lack of public confidence in government, growing demands for better and more responsive services, and better accountability for achieving results with taxpayers' money" (Binnendijk, 2000, p.5).

This is how OECD countries justified the reasons behind the public sector reform: 'Most of our governments are facing pressures that are leading to changes in the structure and role of government itself. These pressures include, for example:

- Globalization – global pressures to co-operate and compete in new ways,
- Dissatisfaction – ever rising expectations of citizens, and
- Budget stringency – the need to reduce deficits' (Ormond, 1996)

A combination of pressures acted as forces for change. The *new public management revolution*, initiated in 1979 by Margaret Thatcher, spread onto other industrialized countries over the following decade, becoming an international phenomenon (Aucoin, 1995). A generic stimulus led to generic wave of reforms (*Beyond the new public management : changing ideas and practices*

in governance, 1998)

"Across the Western democracies, government efforts to cope with this trinity of developments [economic, political and social pressures] have varied in their particulars", but all governments were seeking "to roll back the state, improve public services and promote national competitiveness" (Aucoin, 1995, p.2). The ideas about public sector reform have been shaped in significant degree by the teachings of Chicago School economics, that focused on: deregulation (D), privatization (P) as well as *marketization* (M) of state (Lane, 1997). Still, the realities of the reform were more complex than the DPM message.

Despite some country-specific prescriptions or models for improving public management practice, it is noticeable that public sector reforms had many common characteristics across the countries that started implementing it, for example:

- Focus on performance issues (e.g. efficiency, effectiveness, quality of services)
- Devolution of management authority and responsibility
- Orientation to customer needs and preferences
- Participation by stakeholders
- Reform of budget processes and financial management systems
- Application of modern management practices (Binnendijk, 2000)

Still, "one of the key management innovations has been in questioning the role of the government itself" (Kaul, 1997, p.14). The concern with economic growth forced governments to redefine the functions of the state as a route towards improved economic efficiency. The role of the state was

re-focused and changed from "acting as a principal vehicle for socio-economic development to that of guiding and facilitating that development" (Kaul, 1997, p.14) and resulted in the narrowing of government institutions and responsibilities. The popular axiom: *steer not row* has driven governments to rethink not only what they do, but also how they do it (*The handbook of Canadian public administration*, 2002). The idea was to concentrate government activities more on developing policy and to allow its implementation, which means program delivery, to be taken over by other organizations, outside government (Zussman, 2002). That is why, in almost all Western political systems changes in public policy have encompassed "the privatization, or at least the commercialization, of public enterprises; the increased contracting out of public services; an expansion of user charges for public services; and, more generally, a wide variety of expenditure restraint initiatives, including those that seek to reduce the size of the public service as well as the public service payroll" (Aucoin, 1995, p.2-3). As a result, governments moved from "a concern to do towards a concern to ensure that things are done" (Kaul, 1997, p.14). This emphasis on improving performance and ensuring that government activities achieve desired results has been perhaps the most central feature of the reforms (Binnendijk, 2000).

2.2.2. Performance management in the public sector: concept and definitions

Along with the growth in use of market mechanisms in public sector, performance management became a central issue (Greener, 2009). For many organizations across the world, including not-for-profit organizations, performance management "is on top of their management agenda" (Marr, 2009, p.2). There were a number of reasons for that:

- Performance management became a valid tool for service measurement, especially in relation to finance, in times of fiscal crisis and budget cuts

- Performance management gave policymakers a way to bridge an implementation gap amid concerns that plans were not being implemented
- Performance management was a tool allowing for greater accountability and quality standards of public services, even when *marketization* and decentralization are carried out
- Wider availability of information technology facilitated construction of more complex information systems, on which performance management systems depend (Greener, 2009).

Despite a big interest in the concept of performance management as a strategy, there is no consensus among scholars on whether it in fact enhances organizational efficiency, effectiveness and public accountability (Ohemeng, 2009). Marr (2009) insists that while the aims of performance management initiatives (efficiency, effectiveness, accountability to the public) make sense, the problem lies in the way the organizations approach performance management. According to this author, they put too much stress on collecting and reporting data, which produces little insights, learning and improvement (Marr, 2009).

Also, the concept of performance management remains ambiguous in spite of the attention it received in academic journals (Ohemeng, 2009). A comprehensive definition of performance management states that performance management "is about collecting, reporting, and using information about government programs to assess and improve the delivery of government services" (Carrol & Dewar, 2002, p.413). Performance management consists of four elements: 1) deciding the desired level of performance, 2) measuring performance, 3) reporting or communicating performance information, and 4) using performance information to compare

actual performance to the agreed performance level (Carrol & Dewar, 2002).

Part of the confusion around performance management can be explained by the fact, that there are three levels of focus to be considered (Carrol & Dewar, 2002). The first one is the evaluation of programs or policy at the broad political level, the second level is the implementation and management of the policy or program and the third is the assessment of individual employees' performance. "While all of these involve some aspect of performance measurement and monitoring, only the second is appropriately called performance management" (Carrol & Dewar, 2002, p.413).

Performance management is often equated to performance measurement, but the two are not the same' (Greener, 2009). In fact, performance management encompasses performance measurement (Binnendijk, 2000). Performance measurement is an important part of the performance management cycle that involves planning and, after a measurement phase, corrective actions (Greener, 2009). Other researchers place performance measurement among the key tools and related processes of performance management within public organizations (Thomas, 2004). Performance measurement can be defined as "the collection of information about the performance of programs using some indicator or standard measurement" (Carrol & Dewar, 2002, p.414). It is also described as "the regular generation, collection, and analysis, reporting and utilization of a range of data related to the operation of public organizations and public programs, including data on inputs, outputs and outcomes" (Thomas, 2004, p.1). Other definition in turn puts a lot of stress on the impact that performance measurement should have on behavior and decisions in the organization. Performance measurement "is intended to produce objective, relevant information [...] that can be used to strengthen management and inform

decision making, achieve results and improve overall performance, and increase accountability" (Poister, 2003, p. 4). The most traditional use of performance measures in government and nonprofit organizations is for monitoring and reporting purposes (Poister, 2003). Such reporting systems are relatively "passive in nature because they are usually not embedded in formalized decision-making or management processes" although they may also lead to taking some kind of actions and decisions (Poister, 2003, p.10). On the other hand, performance measures may be used in a more proactive way in conjunction with strategic planning efforts and emphasizing an organization's fit with the external environment (Poister, 2003). These measures may inform such a planning effort by being important sources of information about an organization's strengths and weaknesses (Poister, 2003)

Performance management and *performance measurement* should also be distinguished from *performance monitoring,* which is the review, or tracking, of the measurements. When performance measurement and performance monitoring are used by managers to improve the performance of the programs they form a part of performance management systems (Carrol & Dewar, 2002). Nevertheless, we have to keep in mind that some authors use the terms performance measurement and monitoring interchangeably (Poister, 2003).

The actual experience with performance reporting and performance management is, at best, mixed (Thomas, 2004). "It is easier to find examples of where performance measurement systems have been abandoned or drastically scaled back than it is to find examples where such systems have become an influential feature of government decision-making and have contributed demonstrably to improved performance by public organizations" (Thomas, 2004, p.1). "The result of [...] efforts [to put performance management systems in place] is often just an increased

administrative measurement burden and is very rarely producing new management insights, learning or performance improvements" (Marr, 2009, p.1).

There are four reasons for why performance measurement systems fell short of practical use of performance data in supporting decision making and improving performance:

- Analytical obstacles: while developing measures to track inputs (the combination of money, staff, materials and other resources) and outputs (the goals, services and activities produced) is fairly straightforward, development of causal models which allow to measure outcomes (impacts) and to attribute them to programs continues to be difficult
- Institutional obstacles: people who work in public organizations are expected to conduct and to present unbiased and complete accounts of their own performance, which is unrealistic.
- Financial obstacles: development of performance measurement systems is expensive, both in terms of generating data, staff time and investments in information technology. Also, when performance measurement feeds resource allocation decisions, this system is perceived by public officials as a threat, possibly leading to selective reporting
- Political obstacles: performance measurement is viewed as a subjective, value-laden activity, taking place in a political context (Thomas, 2004)

From another perspective, performance management systems fail because the majority of organizations spend too little time clarifying and agreeing their strategy and "too much time measuring everything that is easy to measure" (Marr, 2009, p.4). Also, not enough effort is spent ensuring that the performance data is turned into meaningful insights and learning (Marr, 2009).

Instead, the use of performance information is limited to being put into reports (Marr, 2009).

Given those obstacles several criteria were suggested to render performance management systems effective:

- Existence of an agreed-upon set of indicators for measuring process (activities), outputs, outcomes, and impacts
- Achievement of an expected standard must be within the control of the program managers. The fact that some things were beyond the control of those managing the program became a problem in measuring and isolating the performance of aid programs, where other actor's actions and environment themselves could not be controlled and their influence on indicators could not be assessed. In such cases, either process or output indicators should be adopted.
- Flexibility of a system and its tailoring to the specific program, or dealing only with small, manageable components.
- Providing incentives for program managers to use the system to improve, meaning that the system should not be used to reward, punish, or embarrass (Carrol & Dewar, 2002)

A three-step approach to performance management was suggested:

- Identifying goals and agreeing on what matters. Developing strategy should begin with an analysis of the environment and stakeholders' assessment. An organization needs to identify its overall aims (mission), outcomes (specific aims that will make impact), outputs (specific deliverables the organization will produce to achieve its aims) and enablers (internal resources, competencies and activities necessary to deliver outputs and

outcomes)

- Measuring by collecting the right management information. Indicators must help to assess the things that matter most and not that is easy to measure. Numbers have to be supplemented with words and commentary.
- Managing by using the relevant performance information in decision taking. For a learning to take place, a performance-driven organizational culture and enabled learning environment has to be developed. (Marr, 2009)

2.2.3. Managing for results in Canadian federal government

In Canadian federal government RBM is often referred to as managing for results (MFR), which suggests that performance information is used in internal management processes with the aim of improving performance and achieving better results (Binnendijk, 2000). Managing for results in Canadian federal government "is thus a catalyst for learning, innovation and improvement" (Managing for Results Self-Assessment Tool, 2003, p.1). The use of performance information internally to inform decision-making processes has often been a weakness of performance management in the OECD countries (Binnendijk, 2000). Too often, "government agencies have emphasized performance measurement for external reporting only, with little attention given to putting the performance information to use in internal management decision-making processes" (Binnendijk, A., 2000, p.7).

Managing for results is not new to Canadian federal government. Starting in the 1980s and through the 1990s, various Canadian departments and agencies experimented with results-based management practices (Managing for Results Self-Assessment Tool, 2003). These involved the

use of performance measurement strategies and periodic evaluations conducted to inform decision-making processes. When in 1997, the Office of the Auditor General (OAG) of Canada assessed the existing state of RBM implementation in the federal government, it found that federal departments were not moving toward managing for results (Managing for Results Self-Assessment Tool, 2003).

In March 2000, the President of the Treasury Board of Canada presented a document: "Results for Canadians: A Management Framework for the Government of Canada". It set out an agenda for improving and modernizing management practices in federal departments and agencies laying down four broad management commitments as the foundation for the government's delivery of services and benefits to Canadians: citizen focus, values, results and responsible spending (Managing for Results Self-Assessment Tool, 2003). Under the "Results for Canadians" the government committed to delegate more authority to *the front line*, but also to ensure due diligence, proper stewardship, and accountability in the use of public funds. Accordingly, federal departments and the Treasury Board Secretariat (TBS) were to work together "to actively monitor management practices and controls, and make improvements as necessary" (Managing for Results Self-Assessment Tool, 2003, p.2). Moreover, in 2006 Canadian government introduced the "Federal Accountability Act", which provides specific measures to help strengthen accountability, and increase transparency and oversight in government operations (Results-Based Management Policy Statement, 2008).

Therefore, the new policy push was aimed at deepening and broadening of the functioning results-based management system, by putting stress on managing for, not by, results and using results information not only for reporting and public accountability but also for internal learning

and decision-making.

2.2.4. Results-based management systems in international aid agencies: overview of context, concepts and definitions

In the specific case of the international development aid, the old approach based on inputs, activities and outputs made sense in 50s and 60s, when international donors like CIDA were investing mostly in physical infrastructure projects in developing countries (Carrier, 1997). But in the 70s and 80s aid donors began to shift their focus from infrastructure to social and human development and gradually expanded their interventions to cover such areas as human resources, poverty reduction, health, education, rural development, technical assistance, human rights, good governance, and even macro-economic reforms, free trade, and private sector development and investments. At the same time, political, economic and social conditions in the developing world started to change dramatically: development problems became complicated and solutions to them were no longer clear or easily transferable, the impact of development interventions was not always predictable nor were the objectives of the multiple players involved always consistent (Carrier, 1997).

As it has been the case with their national governments, the development co-operation agencies of the OECD countries have faced considerable external pressures to reform their management systems to become more effective and results-oriented. Citizens of industrialized countries were experiencing *aid fatigue*; the public perception was that aid programs were failing to produce significant development results. This, combined with declining aid budgets and government-wide reform, all contributed to donor agencies' efforts to establish performance measurement mechanisms and results-based management systems (Binnendijk, 2000).

An important push to establish management systems focused on results came from the international scene. After some forty years of collective experience in providing and receiving international aid, an important consensus on key development results emerged, leading to the adoption of the Millennium Development Goals[16] (MDGs) (Results-Based Management Policy Statement, 2008). Also, in 2005, the Paris Declaration on aid effectiveness was signed. This international agreement emphasizes partner-country ownership as well as mutual accountability, and aims to increase efforts in harmonization, alignment, and managing aid for results with a set of measurable indicators (Paris Declaration, 2005)

Nevertheless, governments and agencies charged with delivering Official Development Assistance[17] (ODA) have been slow to take up the performance-related reforms (Saltmarshe, Ireland, & McGregor, 2003). The tardy impact of the New Public Management drive on donors "can broadly be understood to have occurred for technical and political reasons" (Saltmarshe, et al., 2003, p.446). From the technical point of view, the assessment of donor activities poses measurement challenges in a multi-donor environment, and where performance is primarily "in the hands of recipient governments and organizations" (Saltmarshe, et al., 2003, p.446). This leads to the so-called attribution problem when interrogating relationships between a concrete donor and performance outcomes. From the political perspective, the time lag between aid

[16] In short MDGs are: 1) eradicate extreme hunger and poverty, 2) achieve universal primary education, 3) promote gender equality and empower women, 4) reduce child mortality, 5) improve maternal health, 6) combat HIV/AIDS, malaria and other diseases, 7) ensure environmental sustainability, 8) develop global partnership for development (*CIDA's Business Process RoadMap*, 2009)

[17] Official Development Assistance (ODA) - Grants or loans to countries and territories on the DAC List of ODA Recipients (developing countries) and to multilateral agencies that are: (a) undertaken by the official sector; (b) with promotion of economic development and welfare as the main objective; (c) at concessional financial terms (if a loan, having a grant element of at least 25 per cent). In addition to financial flows, technical co-operation is included in aid. Grants, loans and credits for military purposes are excluded. Transfer payments to private individuals (e.g. pensions, reparations or insurance payouts) are in general not counted. Source: DAC Glossary of Key Terms and Concepts, OECD DAC, www.oecd.org/dac/glossary

interventions and their results do not map well onto the shorter political timescales (Saltmarshe, et al., 2003). Also, ODA do not usually face the same level of public scrutiny and pressure to deliver, as do, for example, domestic health or education sectors, where success or failure is of far greater concern to the public (Saltmarshe, et al., 2003).

Most international development agencies had their RBM systems include the following processes or phases: 1) Formulating objectives, 2) Identifying indicators, 3) Setting targets: 4) Monitoring results, 5) Reviewing and reporting results, 6) Integrating evaluations, 7) Using performance information for internal management learning and decision-making, and for external reporting to stakeholders on results achieved. The first three processes relate to a planning approach (or strategic planning). The first five together form concept of performance measurement. All seven phases combined are essential to an effective results-based management system (Binnendijk, 2000).

The basic purposes of RBM systems in the donor agencies are to generate and use performance information for accountability reporting to external stakeholder audiences and for internal management learning and decision-making. Those two RBM functions are often called as *accountability-for-results* (external use of performance information) and *managing-for-results* (internal use of performance information) (Binnendijk, 2000).

In most donor agencies, RBM systems function on three levels: project level, country-program level and agency-wide level. The project level is the one, which has been established the longest and for which there is most experience. More recently, some of the donor agencies started to establish country-program level performance measurement and management systems within their

country offices or operating units (Binnendijk, 2000).

The crucial element of results-based management systems in donor agencies, whether on project, country-program or agency-wide level, is a choice of appropriate indicators, which can be defined as "quantitative or qualitative variables that provide a simple and reliable basis for assessing achievement, change or performance" (Glossary Of Evaluation and Results-based management (RBM) Terms, 2000, p.11). There is probably no such thing as an ideal indicator and no one best way in developing them. There are always tradeoffs involved in a choice of indicators: on the one hand, it is recommended that they are of a sufficient quality and on the other that they are practical: timely and affordable (Binnendijk, 2000). Driven by the need to choose the best possible indicators, many donor agencies have devised checklists of criteria against which indicators can be judged and selected. Some of the most commonly used state that the result should be:

- Valid -- Does the indicator directly represent the result it is intended to measure?
- Objective -- Is the definition precise and unambiguous about what is to be measured?
- Reliable -- Is the data consistent or comparable over time?
- Practical -- Can data be collected easily, on a timely basis and at reasonable cost?
- Useful -- Will the data have utility for decision-making and learning?
- Owned -- Do partners and stakeholders agree that this indicator makes sense to use?

Some agencies, like the World Bank, USAID, DANIDA have gone even further and devised sector-specific *menus* of standard indicators (Binnendijk, 2000).

On the project level, the RBM tool that helps conceptualize inputs, activities outputs, outcomes,

results and impact along with relative indicators is the Project Logical Framework[18] (LF), or *log frame* in short. The LF is also used as a planning tool on the country program level, but is much more comprehensive and general. It excludes activities and concentrates on outputs, intermediate outcomes and development objective. The country level approach is more strategic approach to performance management. It focuses on a development objective within a country and measures collective contribution of projects or some non-project activities towards the achievement of this objective. Finally, at the corporate level agencies develop policy papers and strategic plans that articulate agency's mission, key development goals or priority areas, sub-goals and program approaches. Generally, the same criteria that apply to the choice of indicators at project and country level, also apply to agency strategic framework. Nevertheless, indicators at the agency level have to be standardized so that they can be later summed up, which means aggregated across projects and programs to higher organizational level (Binnendijk, 2000).

2.2.5. RBM system at CIDA: context, definitions and tools

Results-based management has been in use at Canadian International Development Agency (CIDA) "in one form or another" since the mid-1970s[19]. It was then formalized through various frameworks and management commitments in the early 1990s, culminating in a first formal *Results-Based Management Policy* in 1996, and updated in 2008 when *Results-based Management Policy Statement* was issued (Results-based Management Tools at CIDA, 2010).

RBM is integral to the Agency's management philosophy and practice (Results-Based Management Policy Statement, 2008). CIDA's vision is to "be among the most effective and

[18] At CIDA LF has recently been replaced by Logic Model, see section 2.2.5 below for details about this tool
[19] It its Results-Based Management Guide (2009) and Results-Based Management Policy (2008) it is mentioned that CIDA has been using RBM for more than thirty years but these documents are not specific about how exactly RBM methodology was used during that time until CIDA released its first official RBM policy in 1996.

accountable development agencies in the world" (CIDA's Business Process RoadMap, 2010 p.4). The agency "focuses on results to ensure that it employs management practices that optimize value for money and the prudent use of its human and financial resources" (Results-Based Management Policy Statement, 2008, p.1) and the results based policy approach underpins its "sound corporate, program, and project planning, implementation, monitoring and evaluation" (Results-Based Management Policy Statement, 2008, p.2). As we can see, the RBM system at CIDA is designed for internal management as well as external accountability purposes. In this sense, it serves three parallel objectives: to support management and continuous improvement within the agency, to increase accountability to responsible ministers or to the public, and to enable savings on the budget (Carrol & Dewar, 2002).

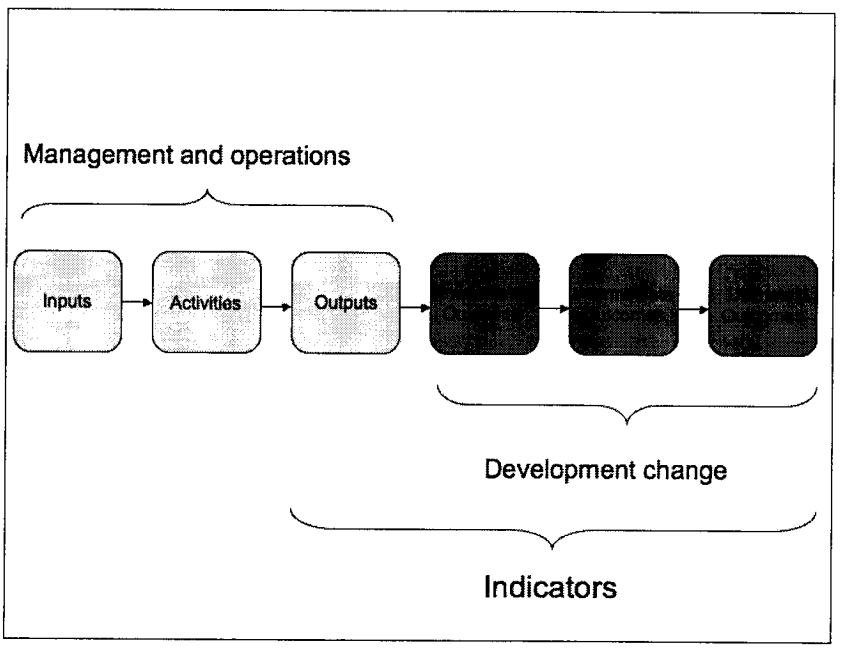
That explains why CIDA defines RBM as: "a life-cycle approach to management that integrates strategy, people, resources, processes, and measurements to improve decision making, transparency, and accountability. RBM is essential for CIDA's senior management to exercise sound stewardship in compliance with government-wide performance and accountability standards. The approach focuses on achieving outcomes, implementing performance measurement, learning, and adapting, as well as reporting performance." (Results-Based Management Policy Statement, 2008, p.3).

CIDA developed three RBM tools to make managing for results throughout life cycle easier: the logic model (LM), the performance measurement framework (PMF) and the risk register (CIDA Business Process RoadMap, 2010).

The logic model replaced the earlier tool called logical framework (LFA), which has been in use

at CIDA for many years. The logic model, sometimes referred to as *results chain,* is a depiction of causal or logical relationships between activities, outputs and outcomes of a project, program or initiative (CIDA Business Process RoadMap, 2010). "The results chain gets across the idea that in every project there are cause and effect relationships" (Cox, et al., 2009, p.2). Also, inputs, activities and outputs relate to the management and operations of projects, while all three levels of outcomes relate to the development changes (Cox, et al., 2010).

Figure 2: The schematic of the "results chain" connecting inputs to ultimate outcomes. Adapted from Cox, et al., 2009.



The new logic model has six levels: *inputs*, *activities*, *outputs*, *immediate outcomes*, *intermediate outcomes* and *ultimate outcomes*. In the new logic model, the outputs represent completed activities: services or products stemming from activities, instead of short-term development results. Outcomes are development results and are divided into short (immediate), medium-term (intermediate) and long-term (ultimate) results. Immediate outcomes are short-terms results that

can be attributed directly to the organizations outputs, policy, program or initiative (CIDA Logic Model - Terms and Definitions). Intermediate outcomes mark a change that is expected to logically occur when one or more immediate outcomes have been achieved. These are medium-term outcomes, which can usually be achieved by the end of the project/program and are usually at the change of behavior or practice level of beneficiaries (CIDA Logic Model - Terms and Definitions). *Ultimate outcomes* simply replaced *impact* (CIDA Business Process RoadMap, 2010) and marks the highest level change that can reasonably be attributed to an organization, policy, program or initiative in a causal manner and is a consequence of one or more medium-terms outcomes (CIDA Logic Model - Terms and Definitions).

The performance measurement framework (PMF) is the RBM tool used to structure the collection and analysis of performance data throughout the life cycle of a project, program or investment to assess and demonstrate progress made in achieving expected results (CIDA Business Process RoadMap, 2010). It documents major elements of the monitoring system and ensures that information is collected on a regular basis. The PMF template contains information on: expected results (three levels), indicators used to measure performance, baseline data, targets, data sources, data collection methods, frequency and responsibility of data collection (CIDA Business Process RoadMap, 2010).

The risk register lists the most important risks to the successful implementation of the project, the result of their analysis and a summary of mitigation strategies (CIDA Business Process RoadMap, 2010). Information on the status of the risk is included over a regular reporting schedule; the risk register should be continuously updated and reviewed (CIDA Business Process RoadMap, 2010). CIDA identified the following risk areas: operational risks (potential impact on

CIDA's ability to operate efficiently and effectively), financial risks (potential impact on the ability to properly protect public funds) and development risks related to external environment, like natural disasters, political, sociological and economic situation, institutional capacity that have impact on the ability to achieve development results. Underlying those three risks is a reputation risk: a potential impact arising from a reduction in CIDA's reputation and in stakeholder confidence that CIDA can fulfill its mandate (CIDA Business Process RoadMap, 2010).

Summary statement on what we have learned in section two about results-based management in international development projects: for aid donors, RBM is a management strategy used at different organizational levels that puts emphasis on achieving results. Even though RBM systems are designed for internal management as well as external accountability purposes, when using RBM to manage international development projects more stress should be put on internal decision taking and learning.

3.Research methodology

The purpose of this research is to look into the practice of RBM in the field and answer **how** RBM is applied in CIDA-funded projects and **why**. To reply to the "how" question the researcher will describe what RBM tools and techniques CIDA partner organizations use and at which phases of a project life cycle. To address the "why" question the researcher will look for reasons as well as purposes of its use by CIDA-partner organizations.

This is an exploratory study that uses qualitative research methods and draws on two forms of qualitative data: interviews and documents. The theoretical underpinning and methodology of this study is neo-positivist. That implies that neo-positivist assumptions about the knowledge produced fuel both the study's design and data analysis.

Five Canadian organizations out of eighteen that are present in Bolivia to participated in this research. Out of eighteen six were not invited to participate because they were either volunteer-based development organizations or universities that were sending volunteers or experts on short assignments and do not implement typical development aid projects in Bolivia. Out of twelve organizations seven agreed to participate and five were chosen to represent many different sectors of intervention, which are: health, nutrition, water and sanitation, education, child protection and economic growth. They all have an established presence in Bolivia and are well known to both Canadian as well as Bolivian public.

Table 3: Sectors of intervention of CIDA-funded projects

	Sectors of intervention of the project
Org #1	Health
Org #2	Health, nutrition, water and sanitation
Org #3	Health, nutrition, water and sanitation
Org #4	Child's protection and education
Org #5	Economic growth

These organizations have various approaches to implementing their project activities in Bolivia. Four of them chose to work through or with the government at the central or/and local levels, community organizations and/or non-government organizations (NGOs) to deliver project activities. One Canadian organization implements its project activities directly in the field, although with a very broad involvement of local communities and grass-root organizations. Consequently, their projects' results depend largely on the performance of the local public and NGOs that execute project activities in the field.

Ten project implementers: Team Leaders, Country Representatives and Program Directors from both participated in semi-structured interviews. The reason why there were only two professionals selected for interviews from each organization was related to the interview requirements. The researcher was looking specifically for professionals who, aside from managing CIDA projects, possessed very good knowledge of CIDA RBM processes and were involved in talks with CIDA representatives in CIDA HQs or in the field on a regular basis, as well as in writing proposals and/or reporting to CIDA. Only those professionals who had rich experience dealing with CIDA would have been able to respond to the researcher's questions.

Choosing a theoretical framework on which the research will be based is fundamental to demonstrating the quality of data gathering process and its analysis as different theoretical and

epistemological assumptions about how the knowledge is produced have important practical implications for the study, for example with respect to using leading questions in the interview or data analysis (Kvale, 2007).

According to the neo-positivist theory the "interview subject" has his/her "inner or authentic self" (Roulston, 2010, p.204) and that implies that he or she can access its interior and exterior states and describe them accurately through language. This inner self can be revealed and the knowledge uncovered or collected by an interviewer, through "careful questioning by an attentive and sensitive interviewer who contributes minimally to the talk" (Roulston, 2010, p.204). This neo-positivist conception of the interview knowledge production process and the researcher's role in it is well illustrated by the miner metaphor (Kvale, 2007). To use a metaphor, just as the miner unearths the mineral, the researcher can discover the nuggets of knowledge, which can be conceived as objective real data or subjective authentic meanings (Kvale, 2007). An interviewee and an interviewer can therefore have a common understanding of research topic and interview questions and a quality data can be generated in the process (Roulston, 2010). According to this theory, contextual influences on the generation of data as well as on interviewees' answers can be reduced or even avoided by minimizing the researchers' influence on the interviewee (Roulston, 2010).

Ensuring the quality of the research was addressed in the design of the study, the conduct of the research, and the analysis and interpretation as well as representations of the research findings (Roulston, 2010). When designing the study, the researcher decided to use the combination of two data sources and methods in order to seek convergence and corroboration (triangulation). To that end, the interviews chosen as a primary research method were supplemented with document

analysis (see table 4). Also, the interviews were to be conducted with different people within each of the organizations that were investigated in order to gain several viewpoints and check details from prior interviews (Roulston, 2010).

Table 4: Data collection methods[20]

Research questions	Interviews	Documents
Question 1: How does the organization use RBM?	XXX	XXX
Question 2: For what reasons and purposes does the organization use RBM?	XXX	X

Primary data source XXX Very important X Not that important

The quality of the original interview is decisive for the quality of the subsequent analysis, verification and reporting of the findings (Kvale, 2007). The researcher believes that the most important quality criteria for an interview are: interpretation, validation and reporting of the meaning of what is said by the end of the interview (based on six quality criteria[21] for semi-structured interviews by Kvale, 2007). These criteria refer to an "ideal" interview, and may not all be fully attainable in every circumstance. Nevertheless, they served as a guide during the interview process.

During the interviews, the researcher made an effort to minimize her influence on the interviewee by adopting a neutral role: she did not demonstrate her viewpoint on the subject under investigation and tried to ask only open and non-leading[22] questions; the questions were asked in a particular sequence, from more general to more specific (Roulston, 2010). Even though the

[20] Prepared based on the Data Collection Methods Table in Muraguri-Mwololo (2010, p.55)
[21] The six quality criteria for an interview are: 1) The extent of spontaneous, rich, specific and relevant answers from the interviewee; 2) The shorter the interviewer's questions and the longer the subjects' answers, the better; 3) The degree to which the interviewer follows up and clarifies the meanings of the relevant aspects of the answers; 4) To a large extent the interview is interpreted throughout the interview; 5) The interviewer attempts to verify his of her interpretations of the subject's answers in the course of the interview; 6) The interview is 'self-reported', it is a self-reliant story that hardly requires extra explanations.
[22] According to Kvale (2007) it is a well-documented finding that even a "slight rewording of a question in a questionnaire or in the interrogation (...) may influence the answer" (p.88).

interviews were designed and carried out according to the neo-positivist methodology, the researcher recognizes that it was not entirely possible to completely eliminate influence on the interviewee due to the interpersonal character of a semi-structured interview. When talking about semi-structured interviews Kvale (2007) noticed that "different interviewers, using the same interview guide, may produce different statements on the same themes, due to varying levels of sensitivity towards, and knowledge about, the topic of the interview" (p.13). This is an important point because a semi-structured interview is less restrictive than a closed questionnaire and therefore "comes close to an everyday conversation" (Kvale, 2007, p.11). Consequently, when conducting a semi-structured interview a researcher has a lot of freedom to decide which themes she or he wishes to follow-up on by asking additional, in-depth questions, and which not. Therefore, instead of trying to completely eliminate the influence of all personal interaction, the researcher recognized her role in the interview process as a key research instrument (Kvale, 2007). This approach to interview quality suggests that the interviewer qualifications[23] may lead to good interviews in terms of richness of knowledge produced and ethically beneficial situation for its participants (Kvale, 2007). Such an approach undoubtedly puts strong demands on the researcher's knowledge, empathy and craftsmanship (Kvale, 2007) but a lot of the interviewer skills can be thought and practiced in advance of interviews.

The methods used to demonstrate the quality interpretations of the interview data are drawn from the neo-positivist theories in which the study is grounded (Roulston, 2010). To guarantee the

[23] A good interviewer is: 1) knowledgeable about the interview theme; 2) structuring - introduces the purpose of the interview, outlines the procedure and rounds off the interview; 3) clear - poses simple, clear and easy questions, speaks distinctly and understandably; 4) gentle - allows subjects to finish, let them proceed at their own rate, is easy-going, tolerates pauses; 5) sensitive - listens actively, hears and seeks the nuances of the meaning; 6) open - hears which aspects are important for an interviewee; 7) steering - knows what he or she wants to find out; 8) critical - questions critically to test reliability and validity; 8) remembering - retains what was said and can recall earlier statements and ask to have them elaborated; 9) interpreting – manages to clarify the meanings of the interviewee's statements throughout the interview.

quality of the interview process we shared the interview transcripts as well as research findings and conclusions with research participants and included their remarks and comments in the final document. By doing so, we made sure that we developed an adequate understanding of the research topic (Roulston, 2010). Also, data obtained from the interviews was coded and categorized using grounded and phenomenological theory procedures. These data analysis methods are focused on meaning (Kvale, 2007). They are closer to the miner metaphor of knowledge production because they attempt to bring out what is already there in the texts (Kvale, 2007). Finally, the research process was made accessible and transparent so it could be replicated (Roulston, 2010).

Table 5: Type of interview

	In person	Via Skype	By mail
Number of interviewees	7	2	1

Interviews were used as a primary data collection method. The rationale behind the use of interview as a primary source of data was that in her exploratory study the researcher wished to present views and opinions that development aid practitioners had on RBM. It would be very difficult, if not impossible, to show those opinions based on official project documents or correspondence. Ten respondents, occupying different positions in their organizations were interviewed (see table 7). Interviews were conducted in person, via Skype and by mail (see table 5). They were conducted in three languages: Spanish, English and French (see table 6). All respondents are given a pseudonym to guarantee their anonymity.

Table 6: Interview language

	In Spanish	In English	In French
Number of interviewees	5	4	1

As the common question about interview inquiries is always about the number of subjects needed in order to make statistical generalizations, we feel that a small parenthesis is needed here. The number of interview subjects depends of course on the purpose of a study (Kvale, 2007). The purpose of this study was to explore the practice of RBM in CIDA-funded projects in Bolivia. Therefore, the study findings are generalizable among Canadian NGOs in Bolivia, but are not representative of other countries where Canadian NGOs implement CIDA-funded projects. Further studies are needed to that end.

In common interview studies the amount of interviews needed to make a generalization tends to be around 15 ± 10 and is a result of combination of the time and resources available for an investigation and a law of diminishing returns. In this study the researcher's intent was to conduct interviews until a point of saturation was reached, where further interviews would yield little new knowledge. This purpose was well achieved with 10 interview subjects.

Table 7: Participants' positions within their organizations

	Team Leaders HQ	Country Representatives	Program Directors
Number of interviewees	4	5	1

Document analysis served as a supplementary source of data to the data obtained from the interviews in support of triangulation. Documents analyzed in this study included draft project

proposals, final proposals, project implementation plans (PIPs)[24], work plans[25], project reports and in some cases global/country strategies. The documents were authentic and credible as they were obtained in the electronic format via email from the organizations' Team Leaders or Bolivia Country Representatives. All the above-mentioned documents, except for the strategies, were official documents solicited by CIDA and its target audience were CIDA Officials in charge of the projects. As such, they were selective in that more positive aspects of the projects may have been highlighted. In many cases the documents were uneven, with, for example, a lot of information given on activities of the project while missing pieces of information on overall results achieved. Despite that, the documents served at least three important purposes as part of this research undertaking (Bowen, 2009). First, they provided additional data that supplemented the information gained from the interviews. For example, they were used to see whether the organizations used all three RBM tools, qualitative as well as quantitative indicators and indicators disaggregated by gender. Second, documents provided a means of tracking change and development. The researcher gained access to two drafts of project proposal, before and after changes were negotiated by CIDA. That allowed the researcher to track changes in the documents structure and content. These changes reflect CIDA priorities, for example stress on gender and environmental strategies. Third, the documents were analyzed to verify findings and corroborate evidence (Bowen, 2009) from interviews. Also, the documents provided the background and context for the study by giving a glimpse at the mission, objectives of the organizations involved, as well as their projects' rationale and results to be achieved.

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[24] The PIP is an official plan for the project or program that evolves from the original design documentation. It combines narrative with a series of tools, matrices and charts to answer questions about the plan for the project. It usually includes: the project's context and rationale, expected results, a strategy to achieve results, budget, schedule, a management framework with roles and responsibilities, a framework for monitoring performance and indicators to measure results. The logic model and PMF are usually at least partially completed during the planning and design stages of an investment and refined during the development of and implementation plan. Sources: *A Results Approach to Developing the Implementation Plan*, 2001; *Results-Based Management Tools at CIDA: A How-to Guide*, CIDA.

[25] The work plan is a detailed work schedule that lists all activities to be implemented during the time frame covered by the work plan.

Table 8: Types of documents collected from each organization

	Draft project proposal	Proposal final	Project Implementation Plan (PIP)	Work plans	Reports	Global organizational strategy	Country strategy
Org #1	Yes	Yes	No	Yes	Yes	Yes	No
Org #2	Yes	Yes	No	Yes	Yes	No	No
Org #3	Yes	Yes	Yes	Yes	Yes	No	Yes
Org #4	Yes	Yes	Yes	Yes	Yes	No	No
Org #5	Yes	Yes	Yes	Yes	Yes	No	No

The in-depth analysis of interviews and transcripts started only once all the data was gathered: that way the researcher tried to keep the data generation and data analysis separate (Seidmar, 2006). Of course, the researcher had to prepare in advance of the interviews by reading through the related project documents. Also, the researcher was sometimes identifying salient topic in early interviews, but was doing her best not to impose anything on the interviewee during next interviews. It is all to say that a complete separation of generating from analyzing data is impossible (Seidmar, 2006).

The interview transcripts together with documents were analyzed using content and thematic analysis and meaning condensation methods both based in the neo-positivist theory of the interview, which attempt to bring out the meaning that is already in the text (Kvale, 2007).

Meaning condensation was used to analyze participants' answers to the first question on their personal experience using RBM approach. Meaning condensation is a method grounded in a phenomenological philosophy, and its purpose is to "obtain rich and nuanced descriptions of the phenomena investigated in the subjects' everyday language" (Kvale, 2007, p.107). The method involves compressing of long statements into brief ones so that the main sense of what was said is captured in a few words (Kvale, 2007). The meaning condensation is carried out in five steps.

First the interview is read through "to get a sense of a whole". Second, the meaning units as expressed by the participants are identified. Third, a theme that dominates each of these "natural meaning units" is restated from the subject's viewpoint by the researcher statement. Fourth, the researcher interrogates the meaning units in terms of the purpose of the study. Fifth and finally, the essential, non-redundant statements are put together in a descriptive statement (Kvale, 2007). These statements were presented in ten boxes, one per each participant, in the Research Findings (Chapter 4). It is important to stress that the meaning condensation analysis did not include meaning interpretation, a method widely used in humanities, which goes beyond structuring of the meanings of what is said to deeper and more critical interpretations (Kvale, 2007). Each statement speaks for itself describing participants' experience with RBM in his or her own words. Nevertheless, the whole interview, including participants' answers to question 1, was included in the content and thematic analysis. That means that themes that emerged from the description of participants' experience using RBM were included in the research findings.

Along with the meaning condensation a combination of content analysis and thematic analysis was used to analyze the documents together with the interview transcripts. The content analysis used in this research originates from a grounded theory and excludes quantification of codes (Bowen, 2009, p.32). Codes in a grounded theory approach "enter into a qualitative analysis of the relations to other codes and to context and action consequences" (Kvale, 2007, p/105). The grounded theory approach involves a "first-pass" document review in which "meaningful" and "relevant" passages of text are identified (Bowen, 2009, p.32) and marked as "interesting" (Seidmar, 2006, p.125). During the process of reading and marking the categories or labels emerge to classify the marked passages. Those labels were often words or phrases from the passages or their subjects (Seidmar, 2006). At this point of data analysis the researcher was trying

to keep the labels tentative. The next step was a thematic analysis. The researcher filed excerpts into folders under the name of the assigned category. The process of working with excerpts begun seeking connections among them and trying to build themes or interpretive categories (Seidmar, 2006). The interview transcripts and the documents were analyzed together with codes emerging from the interviews applied to the content of documents (Bowen, 2009). That way, the emerging themes served to integrate data gathered by two different methods, priority being given to the interviews as a primary source of data. Nevertheless, several themes were specific only to documents, ex. "output/activity oriented reporting", "mixed intermediate and immediate results", "targets chosen before baseline known".

The constant comparative method was used to facilitate data analysis (Bowen, 2009) with codes and themes being checked and rechecked repeatedly across interview transcripts and documents. To make this process possible the researcher was constantly asking herself the following questions: what are the connecting themes among all the documents? How are the interviews consistent with documents and how inconsistent? How the documents have gone beyond the interviews? (See Annex 2 for interview questions)

4.Research findings

The Central Research Question of this study is how and why CIDA partner organizations working in Bolivia use the RBM methodology. We will start by tackling the "why" question first before addressing the "how" question later in this chapter.

4.1. The WHY question

Nine interviewees out of ten told the researcher that they would use the RBM approach even if it were not a donor requirement. One interviewee, under the pseudonym Mariana, given the choice would probably not use the results-based approach to management of projects and instead "use a methodology which is more based in action-research and participatory methods for designing and monitoring projects". Mariana does "not believe RBM to be a tool that can accurately plan for or measure the effectiveness of a project" and points out that it "often becomes the main focus of the work – staff [are] more concerned about completing a 'nice' PMF or LFA, and sticking to its rigid parameters than for allowing organic development processes emerge". According to her "there are intangible elements that cannot be captured in RBM, such as long-term qualitative impacts that are captured in narrative writing."

Box 1: Mariana's experience with RBM

- RBM used throughout project life cycle
- A tool to guide planning
- A part of a proposal
- A reference document for M&E and reporting

We will start discussing the "why" question by briefly describing the major weaknesses of Bolivian public and non-governmental organizations. The purpose is to give the reader an idea about the organizational context in which Canadian organizations implement their projects.

Box 2: Miguel Angel's experience with RBM

- RBM dates back 20 years, started with a logic model and objectively verifiable indicators
- The organization now works with the new logic model and the PMF, more specific and precise
- The PMF is a useful tool; it forces to set measurable objectives and allows to agree with actors
- For some organizations may be complicated tools
- The organization received CIDA trainings on RBM
- The logic model's structure is difficult to understand even for experienced practitioners
- In the logic model it is difficult to structure hierarchically the results
- The new logic model is better than the previous log frame
- Key words to understand structure: "skills" (immediate results) and "change" (intermediate results)
- Outputs are finished activities
- For the Bolivia project it was the first logic model, as well as for CIDA, both learning by doing
- The most complicated part of the logic model was the gender part, took 2 months to negotiate
- In the project the empowerment of women is achieved through the increase in their income
- The gender specialists at CIDA have to sign off on each project
- It shouldn't be a gender project but the gender is a horizontal issue in it
- In the end, half of all indicators are gender indicators
- Aside from gender there were not many changes made in the logic model
- With the new methodology to understand a project you have to look at both the logic the PMF
- Before there were indicators in a log frame
- The organization used to prepare PMFs before it was a CIDA requirement
- Using PMF is an improvement, made the project monitoring and reporting easier
- The risk register is interesting, completes the two documents
- The logic model, the PMF and the budget are more important than the risk register
- To understand a project you need objectives, indicators and a budget
- CIDA wanted to do a budget per result but it is not useful
- The problem is assigning human resources, time to activities. It is not exact.
- And then the problem is assigning indirect expenditures to each activity
- For a big project it would take minimum 2 months to prepare a budget per activity
- If there is one change on the activity or input level you need to start from zero
- If the project changes orientation it goes to the basket, it is a waste of important resources
- A budget per result also means monitoring per activity
- They did it once with other project it took one person full-time to follow-up on this
- The information is interesting but nobody was looking at it
- It would take 2 staff in Bolivia Office to follow up on the budget of this project per activity
- In the Bolivia project the financial reports are prepared by budget line
- The system at CIDA is by budget line – input not ready to receive reports per result (activities).
- As a manager, do not need financial information per activity but per budget line
- Budget monitoring per activity is expensive, costs too much for the information you get from it
- The information obtained is not interesting, it is a waste of money
- This money should go into development
- Budget monitoring per activity is ok in hard projects like engineer projects, it serves to say whether 10k spent is good or not
- In development each project is different you cannot use this data for benchmarking, for a comparative analysis between one organization and another
- It is relative, nobody knows, you would need a similar or identical project to be able to compare
- What matters in the RBM is that result is attained

Second, we will see how RBM approach assists Canadian NGOs in their work with the local Bolivian partner organizations. Third, we will look at several important reasons why the application of the RBM methodology within each NGO, to manage projects, may be beneficial to the organization. At the end of this section we will discuss the disadvantages of RBM in managing aid projects as well as the weaknesses of the methodology itself.

4.1.1. External institutional context in which Canadian organizations operate

Our interviewees indicated that the major weakness of Bolivian organizations, whether they are public sector institutions at a central level, service delivery organizations at the operational level, NGOs or cooperatives, is lack of management capacity. According to one of the interviewees, under the pseudonym Manuel, in the case of the public sector there is certain continuity with regards to national policies. Nevertheless, this political will does not directly translate into actions at the operational, service-delivery level. There are several reasons for that. First of all, operations of public sector institutions are still activity/product based. As Manuel described it: "As we realized during the process [of project implementation] and based on our experience with the public sector in Bolivia, there are great weaknesses with respect to this [RBM] approach." Manuel used a term "activismo" to refer to this work culture focused on delivering activities that permeates all public institutions in Bolivia. Second, high rotation of technical staff at operational levels undermines the continuity of all organizational processes. Manuel stressed that "political nominations affect (...) all levels of the administration". According to him "it is logical that the designation of the authorities at the higher hierarchical levels of the Ministry has a political character, but at the levels below the designation of those responsible for programs should be of a more technical nature, because in the last instance they are the ones who implement policies." Third, the technical staff who execute program or project activities lack necessary skills to

manage financial, human, time and technological resources. Moreover, the coordination mechanisms between institutions to manage funds are weak or nonexistent. Consequently, the public sector doesn't even have capacity to spend the little money they have in their annual budgets[26]. Manuel mentioned: "in general, the execution of budgets at the national level, in municipalities, in departments is terribly low (...) they manage to execute less than a half of the resources assigned, they do not have a capacity to manage." Also, there is no "culture to use [performance] information", as Manuel noticed. Performance information is put into reports, but usually it does not feed into decision-making processes in public administration. And even if sometimes it does, there are "no technical, administrative and managerial mechanisms to turn these decisions into effective actions. As to community organizations, grass-root organizations, agricultural co-operatives and organizations of producers of the first level, the persistent problem is a very low level of education of their members and high illiteracy rates. Another interview participant, whom I shall call Ricardo, commented: "You know, we have had a good impact as far as RBM is concerned with the organizations of the second and third level. The knowledge level and capacities of the staff working with the organizations of the first level is still very low. It is still difficult to explain this [RBM] concept. I tell you, we are working with organizations of the first level where its leaders can neither read nor write."

[26] For example, only 2 months before the end of this fiscal year (2012), which in Bolivia ends on December 31, ten biggest cities in Bolivia (nine departmental capitals and the city of El Alto in the Department of La Paz) executed only 39,6% of their annual budgets. The average budget execution for 337 municipalities in Bolivia, that excludes the ten biggest cities, amounts to 37,2%. Only five municipalities exceeded a 60% threshold of budget execution, 22 have the average between 50 and 59%, 48 municipalities between 40 and 49%, 98 between 30 and 39%, 87 municipalities between 20 and 29%, 52 between 11 and 19% and 7 municipalities have the budget execution rate below 9 percent. Source: Tapia, G. (2012). La Razón, p. A14, A16; SIGMA (2012). Estadísticas del Presupuesto, Estado Plurinacional de Bolivia, Ministerio de Economía y Finanzas Públicas, Dirección General de Sistemas de Gestión de Información Fiscal (DGSGIF).

Box 3: Anita's experience with RBM

- RBM allows you to be objective when measuring your results
- Planning done each trimester based on the logic model seems to be more operational
- Internally they use a different logic model but S prefers the CIDA tool, which is more horizontal
- The CIDA logic model allows you to visualize results
- The CIDA logic model is easier to understand and to use by staff in the field
- Before the start-up the team gets to know the model and results to be obtained
- Logic model is a part of a proposal, is used in annual planning, and each semester to evaluate progress
- Each semester reports are sent to HQ on activities and results based on the model
- The project was short there was one evaluation after a year and a final
- Baseline study is for programs in all sectors conducted at the same time, costs less than for each sector separately
- The common vision and integrated approach apply to all sectors of intervention
- There is no one logic model for all sectors of intervention, which would be better
- Not everybody in the Office received training on the CIDA logic model

4.1.2 Advantages of using RBM in the Canadian NGOs' work with their local partners

Canadian NGOs use RBM methodology to facilitate management of their projects with the Bolivian partners. For example, in Ana's words: "it's a clear way of showing a vision for a project or a program with partners, internally." Therefore, the use of RBM with the local partner organizations during project planning assists in defining of and agreeing on the project purpose and results. Such discussions allow project beneficiaries to better understand the project's purpose and their roles and responsibilities in it, secure their buy-in and strengthen local ownership of the project. Once ready, a clear logic model serves as a guide for both sides as it describes a full scope of a project. Ana described that when, at the beginning of the project, her organization was still working on the logic model, "it created some confusion with partners because they were not clear on what we could fund and there were kind of ongoing constant requests for various small amounts of funding for things that were out of scope of our project." She added: "I understand their point of view, we did not have a very clear logic model that could have guided them and could have been an easy reference." If project activities are implemented by local partner organizations, RBM tools are adapted to facilitate project implementation and monitoring by the organizations themselves. Maria said that when her organization has a new proposal or a new project they "break it into what's called Project Outlines which is essentially a

mini proposal for each municipality so that they have their own activities, their own targets they are working towards. And this helps with the local ownership of a project (...) tends to (...) outline what local actors roles would be". The use of RBM-based documents in planning and monitoring of a project by local partner organizations strengthens the local ownership of a project and facilitates its implementation and control.

Box 4: Andrea's experience with RBM

- Very positive experience with RBM
- Started working with the organization two months ago
- Used to work in the results-based logic throughout a whole professional career
- Teaching RBM to students
- RBM is a usual way of doing monitoring and evaluation in order to achieve 90% of stated targets.
- The PMF is used for operational planning: 5 years, yearly, semester, trimester
- PMF is a monitoring plan, PMF targets are broken down per year, semester, trimester and month
- They periodically monitor local partners organizations' progress and receive reports each 3 months based on the PMF
- Conceived simplified tool, less technical for their staff
- In the Office, each coordinator uses results-based tools in management
- Staff monitors process indicators (on activities) on a monthly basis
- RBM leads to performance: timely decisions, analysis of progress, you see your potential the weaknesses

Canadian NGOs, by using RBM in their work with public and non-governmental organizations in Bolivia promote those new management practices focused on achieving results. As Manuel put it: "Our institutional work in results-based management is directly promoted... driven towards the public sector in Bolivia. (...) I think these [RBM] initiatives have opened eyes to a new perspective of aiming for results and breaking the institutional practice of working routinely and without proposing changes, without resolving the optimization of resources." Canadian NGOs encourage their local partners to plan, manage and execute their activities, both project-specific and statutory, having in mind a final result that they want to achieve. It was brought to the researcher's attention that a lot of local organizations became interested in this "managerial novelty", as Diego called RBM, and started to apply it as their own. There are examples of a successful appropriation of RBM methodology by public partner organizations in Bolivia that

made use of RBM tools and approaches to plan and implement their Annual Operational Plans (POA - Programa Operacional Annual), as well as private enterprises. As Maria said: "What we've noticed in a number of municipalities was that for their POAs, their annual operation plans, there is a number of municipalities that asked [us] to help to apply RBM to have more participatory and results-based planning processes for their own planning purposes. This is something that was really exciting that we would have hoped for maybe 4-5 years down the line not in our first year that there would be this kind of interest. So this has been I think the most significant application of RBM in the project to date." Ricardo said that "I'm not going to say that 100% of the organizations that we support, but I dare say that minimally 50% have appropriated this methodology. They understand it, apply it and see the benefit of it."

Still, with respect to public sector, the Canadian NGOs have a higher rate of success working with subnational institutions like, for example, the Departmental Autonomous Governments or the municipalities and their service-delivery organizations. As Maria said: "We certainly did include an RBM training in our workshop and there were Ministry of Health staff, many of them changed over since then with the change of Minister (...) so I am not sure that it's our best investment of time to have the RBM training with the Ministry, I think I've seen more interest with the municipal level." The main reasons why organizations have less success working with central public institutions, like Ministries, are: high staff rotation at the central level, what Maria called "a revolving door", and a "much more set" structure of those central institutions.

Table 9: Why would organizations want to use RBM with their local partners?

RBM allows to show a vision for a project or program with partners;
RBM tools serve as a guide for partners;
RBM tools adapted to partner needs facilitate project implementation and monitoring;
RBM helps with local ownership of a project;
RBM promotes new management practices focused on achieving results.

4.1.3. Advantages of internal RBM use by Canadian NGOs in project management

Ten out of ten Team Leaders, Country Representatives and Program Directors who work with five Canadian NGOs implementing CIDA-funded projects in Bolivia saw a link between the use of RBM in managing projects and achieving project's results - project's effectiveness. Still, the respondents' opinions differed as to the strength of this link (nine respondents saw a direct link between the two and one respondent described the link as not strong). Mariana and Miguel Angel indicated that other factors, compared to the use of RBM methodology, have a more direct influence on the achievement of project results. These are: skills of the project staff, political, economic and social contexts of the project, ownership of partner organizations or even organic processes of change and development.

First of all, according to the interviewees, the RBM approach assists in achieving project's results by setting the project's "North", it serves as a "vision", "map", "guide", or "guidance" for the project. As Ana explained: "It prevents you from going off course, (...) it's sort of a touchdown for your program, you go back to it, you can refer to it. (...) It is something you should be using, not on a daily basis, but on a regular basis to be consulting and assessing your project". Applying RBM methodology in the management of projects allows organizations to visualize the purpose of the project and orient all activities, resources and processes accordingly, towards the achievement of those results.

Second, RBM provides organizations with the appropriate tools and methodologies to align their project's goals with the broader (national) programs in the sectors of their interventions. As

Manuel described it: "It is important to mention that [RBM] helped us to visualize and to fit in perfectly, to complement in the most adequate manner the vision and the perspective of the [national] program, it allowed us to see how the project contributes to the results of the [national] program and from there how different results, products and activities emerge."

Third, RBM assists in creating a common vision for the organization's country program that would embrace all projects in all sectors. As Anita said: "Nevertheless, we do not have a comprehensive logic model [for the whole country program] which would be the best thing, no? To have a same scheme for health, agriculture and livestock, nutrition; this would allow us to measure our interventions in a more integral way."

Fourth, RBM methodology assists in operational planning. Once the logic model and PMF are ready, it is easer to lay your targets and project activities for the next month, quarter, semester or year in your Work Plans and link them to concrete results from the project's PMF. As Andrea described: "Then we have generated instruments such as a project monitoring plan, where we have operationalized each of the indicators and their targets for a period of, normally, a year and then we broke it down by month, trimester, semester." Also, RBM tools assist in designing the project activities. Gabriela said: "we take this logic model and we break it down (...) we break down monthly what activities need to be completed that month in order to pull from those activities results that can be measured on an annual basis." Also, as Diego mentioned, it is possible, using RBM methodology, to "break down the activities in accordance with project actors, sectors and also priorities".

Fifth, the RBM tools make the project implementation and follow up easy. All organizations need to do once they have their PMF, PIP and work plans is to carry out all their activities systematically, one after another, taking into account the risk mitigation strategies as they go. According to Ricardo: "At any time we have information on all our indicators and we know who is responsible for monitoring those indicators and activities." Also, RBM methodology allows organizations to be flexible in choosing priority areas of project intervention. Once the baseline study is completed and the baseline data is made available, it is possible to implement activities while taking the specific needs of the targeted population into consideration. Following an example given by Diego: "say, there is a certain weakness in a municipality; the project covers many, many different municipalities, but their characteristics vary, so we will intensify activities in this particular municipality and put less stress on activities in other municipalities." Therefore, project resources can be moved across activities and project interventions concentrated where they are most needed so that results are achieved across the targeted groups/communities.

Sixth, using RBM makes it easy to monitor the project implementation by measuring its actual progress towards results. As Gabriela said: "We've recognized that the tools brought a lot to our ability to manage our projects and also just to be able at the end to see what actually happened in the project." Having measurable results allows managers to check whether the project is on the right track and take corrective actions if needed.

Eight out of ten respondents admitted to a relationship between the use of RBM and efficiency in the use of project's resources (time, money, staff). As Gabriela put it: "if you are not measuring the effect of actions through the results then you have no way of knowing if the time you are spending with the beneficiaries, the time you are investing in a project, as well as the money, the

CIDA money we are investing, is having any effect at all". Ricardo mentioned that: "RBM is forcing us to be more efficient in the use of resources because we have to assign all the resources, in this case human resources, financial resources, intellectual and all other, they all have to be linked to a specific result." Manuel said that "doing this ordering... in terms of investment of resources, activities, products and results helped us a lot to optimize the use of our resources to achieve better efficiency in attain what we wanted." Miguel Angel was of the opinion that the link between the use of RBM and project's efficiency is not direct: tools alone cannot guarantee optimization of resources, which depends "more on how good your human resources who manage the project are". He also said, that "the fact that you exceed the budget or not does not give you information on whether you managed well."

Nevertheless, according to the majority of respondents, RBM does help to optimize the use of resources in a project. The use of the PMF and tools derived from the PMF assists in identifying and assigning resources directly to the project activities and results. As Diego explained: "It is the first time that we plan a budget based on activities. Usually, we were doing a global budget for each project. So we had our traditional log frame, activities and budget for each of the activities. But on the other hand with this, the budget is broken down by activity and that activity contributes to that result. Then the management of resources in terms of budget planning is more detailed, more real, allows a distribution of budget in the different areas of intervention. In contrast, with the old one, we had a kind of cake and we were splitting it in four. Here, we assign a budget depending on the situational context of each municipality and therefore the intensity of each activity." In addition, regular monitoring of how these resources are being used in advancing planned activities and results allows for greater responsiveness: following-up on results achieved and resources invested in them, the managers can reallocate resources where

they are most needed and away from interventions that do not bring about change or that are no longer a priority. As Gabriela explained: "For example if we're measuring the rate of malnutrition in the community so we know that we want this rate of malnutrition to be three percent or less of acute malnutrition and if we achieve that then we can then take those funds and we can apply those to the community for instance that has six or seven or eight percent malnutrition rate. (...) And that is much more efficient use of funds rather than jus being activity-based and say, ok, we are gonna continue to have these activities in these communities."

Table 10: Why would organizations want to use RBM approach internally?

RBM approach helps improve project's effectiveness	**RBM approach helps improve project's efficiency**
RBM serves as a guide for the project, preventing it from going off track; RBM provides appropriate tools and methodologies to align the project's goals with the broader national program; RBM assists in creating a common vision for the organization's country program that would embrace all sectors of intervention; RBM tools, like PIP and work plans assist in operational planning, by specifying targets and project activities for the next month, quarter, semester or year and by linking them to concrete results; RBM makes project implementation relatively easy when project activities are carried out systematically as specified in plans; RBM facilitates implementation of activities while taking the specific needs of the targeted population into consideration; RBM makes it easy to monitor the project implementation by measuring its actual progress towards results.	RBM allows to see if money spent has any effect; RBM tools like PMF and PMF-based tools assists in assigning resources directly to the project activities and results; RBM facilitates the regular follow-up on how resources are spent on activities and results and their reallocation where they are most needed.

To sum up: Canadian organizations use RBM approach because it facilitates project planning and follow-up internally, as well as in their work with the local partners involved in project implementation. RBM approach helps improve both project's effectiveness, therefore the achievement of project's results, as well as projects' efficiency in terms of use of its resources, like time, money, staff etc.

4.1.3. Disadvantages of using RBM approach and weaknesses of the methodology itself

We broadly discussed the reasons why organizations may choose to use RBM methodologies, which basically talk in favour of this approach to management. Nevertheless, the application of that new "management paradigm", as Ricardo called RBM, may prove burdensome to organizations.

First of all, RBM methodology and its tools are not easy to understand. As Miguel Angel said: "I understand that for certain organizations that are less familiar with them, the tools may perhaps seem a bit complicated." We will talk about it in detail below in this section, nevertheless it is necessary to stress at this point that it takes a lot of time, training and practice using this methodology, to use it well and... willingly.

Second, the problem with RBM is that, according to Maria, "different donors use different performance management methodologies in different ways." Also, changes get introduced to the RBM approach periodically. As Maria said: "People are used to outputs being one thing and all of the sudden it's something totally different, it is quite confusing." Ana noticed that the "logic model or the RBM process within CIDA also changed over the last few years. So when we started the project the tools and guidance that were available at the time were different than the ones that are currently available." Therefore, as Maria stressed: "The staff have to manage these different systems (...) it's a huge challenge." This undoubtedly increases the workload and reduces the time the staff can devote to actual project implementation.

Third, NGOs are often asked to prepare the logic model, PMF and risk register as a part of their project proposal. As it takes, on average, three and a half years to approve a project [27] by CIDA, these frameworks have to be revised during the first year of the project.

Fourth, working in results-based management may become, as Mariana noticed, "the main focus of the work", therefore tool-oriented, for the organization and for CIDA as well. According to Mariana it happens when donors and executing agencies' are too concerned about following rigid requirements for completing a "nice" logic model and PMF than with the actual value of the project. In the same vein Ana said that: "I am a believer in having these tools but I think sometimes there is a real push to adhere to these strict rules on how results are stated, the verb tense and an output versus an intermediate outcome and it contradicts the purpose of having it (...) I think that if you focus too much on the structure and on strict rules, then it ends up just being a document that is on somebody's desk and not actually a useful tool."

Box 5: Maria's experience with RBM

- RBM is institutionally applied, way of managing projects
- RBM taken in the non-CIDA projects also
- The CIDA project was in a proposal development stage for more than 3 years
- A lot of build-up time to do the preparation with the field office, train staff in RBM, set up base of knowledge
- Project was broken up into outlines for each actor with their own activities and targets
- That helps with local ownership
- Trainings given to actors on RBM
- Unexpected result: a number of actors applied RBM approach to their annual planning purposes
- High staff rotation in public administration at a national level, not the best investment of time

Fifth, RBM may sometimes provide a narrow vision of the project and keep organizations on a course that is no longer a correct one. This occurs when there is a dramatic change in project context that requires that the whole project be reassessed. As Ana put it: "When done too strictly,

[27] In 2007 CIDA undertook an internal study to improve the efficiency of its business processes. The study confirmed that the administrative burden remains serious and frustrating. On average, a project needed 28 different documents to take it from conception to the completion of final project implementation plan, and that it took, on average, 43 months to get project approval. *Source: AGC (2009). 2009 Fall Report of the Auditor General of Canada.*

RBM limits project flexibility in the same way that it prevents from not going off course". In this situation, a logic model, PMF and risk register have to be quickly redesigned and the donor has to be open and flexible about that.

Sixth, the risk related to the use of RBM with its focus on indicators and measurements is that organizations may focus too much on quantity to the detriment of quality of the results achieved. As Anita noted, in designing their PMFs, organizations concentrate a lot on the numbers, giving as an example the number of persons who received a particular training. According to her, "it is crucial to take the quality of the data into account". It is possible to safeguard the quality of a quantitative indicator, by making sure that participants followed the whole course and did not miss any class. From our personal perspective, this could be done using some qualitative indicators, following the example above, like the percentage of participants who have better knowledge on a subject at the end of the training.

Another disadvantage related to the use of RBM methodology is planning and monitoring of a results-based budget, which in case of CIDA involves detailed financial planning, follow up and reporting at the activity level. According to Miguel Angel, to prepare a budget per result "it takes linking each activity with resources that will be used in it." As Ricardo mentioned, assigning resources to activities is not self-evident, because "resources are used in a global manner to reach common objectives or a final target". According to Miguel Angel, the task of dividing project's resources for each activity is even more problematic in case of human resources, as there are hundreds of activities in each project and staff can work on many different activities each day. Because of that, "to attribute the time of each person is really random, it is not exact, and it is not precise." Moreover, planning, monitoring of and reporting on results-based budget is very time

and money consuming and is especially burdensome for local partners that have neither capacity nor staff to do that. According to Miguel Angel "[results-based budgeting] is not useful and it is a waste of money." As Miguel Angel put it, instead of spending money for administrative work that involves "splitting up resource's time among project's activities this money should rather go into development".

Box 6: Ricardo's experience with RBM

- Positive aspect of RBM: gives clear orientations for the project
- Helps to orient results to be achieved in a strategic, clear and direct way
- RBM is effective, helps to orient and outline strategies, activities and in daily operations
- Facilitates in certain way distribution of tasks
- The negative aspect of RBM is allocation of the financial resources
- Practically impossible to assign resources to results
- Resources are used globally to achieve project's common goals
- Many resources work for several results
- Impossible to break them down for each result
- Double way of allocating resources per intermediate and immediate results not products and activities
- For example a car works for a whole project and not a specific result. Impossible to say how much time the car works for each of the results
- In the same way human resources invest their time advancing many different results
- It is impossible to plan in advance, only to estimate, how much time each one of staff will work for each of the results
- In the project resources assigned to intermediate and immediate results, not products or activities
- Before they executed similar project, they had previous experience
- Based on that experience strengthened certain aspects of the project in Bolivia
- The project had an old logic framework
- They were trying to modify the log frame to adapt it to the logic model
- It was impossible to assign the budget to each levels of the logic model
- The project is only a "hypothesis", things don't necessarily go as planned
- Logic model and RBM limited them, there are activities planned which are no longer pertinent
- It is a difficult process with CIDA to do modifications within RBM
- Never made changes to the logic model
- CIDA's electronic database does not allow more than 4 indicators per result, it is disappointing
- In the first draft of the logic model they had up to 6 or 7 indicators per result
- You want to have indicators that follow certain logic and let you show the evolution in time
- But then you have to select indicators and use those that are most important
- Then you eliminate some important indicators a part of work done is not being measured
- There are things you cannot measure with only 4 indicators
- To measure activities it is enough to have 1, 2 or 3
- To measure immediate results it is not enough

Several other disadvantages are related to the three CIDA RBM tools. In general, the templates look easier than they are. First of all, it is not easy to understand the difference between the immediate and intermediate results. In the process of comparing different drafts of the organizations' logic models, the researcher noticed that in their early drafts, 4 out of 5

organizations were writing immediate results as intermediate or the other way round. For example, in one of the organization's logic models "strengthened capacity of municipal governments and civil society to implement (...) programs" is listed as an intermediate outcome, instead of immediate. This is a common mistake made by 4 out of 5 NGOs participating in this study. Only one organization out of five did not have any problem writing immediate and intermediate results in their draft proposal to CIDA and its logic model and PMF did not change much during negotiations with CIDA. Second, the identification of partner organizations' needs and weaknesses to be addressed by capacity building activities may prove a challenge, as those needs often, as Diego put it, "turn out to be very ambiguous". Consequently, it is not easy to translate the capacities into immediate result. Third, according to Miguel Angel it is difficult to label results in a way that would summarize or reflect what will be achieved. In other words, it is not easy to find appropriate wording that would be comprehensive and not distort what is actually behind those results. Fourth, it proves problematic to define risks, as they also tend to turn out rather ambiguous. Consequently, it is not easy to identify appropriate mitigation measures to counter them. Fifth, Mariana noticed that a large number of indicators are difficult to track, especially for local partner organizations. Finally, the logic model when not done in a participative way tends to be exclusive. According to Ana, the whole point of RBM is that everybody should feel a part of the process and also, that everybody understands the methodology and "speaks the same language" as Anita put it. This won't happen unless organizations make an ongoing investment in the capacity building of their staff and their partners and go about preparing the RBM tools in a participative way.

Table 11: Why organizations wouldn't want to use RBM approach?

Problems related with how RBM is used	Problems related with the RBM tools
Different performance management methodologies used by donors, with the changes introduced periodically are time consuming for staff to manage; RBM frameworks are prepared as part of the proposal and later have to be revised during the first year of the project; RBM may sometimes become the main focus of the work for NGOs and for CIDA; RBM may keep organizations on a course that is no longer a correct one when the project context changes; Organizations may focus too much on quantity to the detriment of quality of the results achieved; Planning, monitoring of and reporting on results-based budget are very time and money consuming and especially burdensome for local partners.	The templates look easier than they are; The difference between different levels of results is not easy to understand as well as to find a label that would reflect what will be achieved; Partner organizations' needs to be addressed by capacity building often turns out ambiguous to identify; Risks and appropriate mitigation measures to counter them are difficult to identify; Large number of indicators is difficult to track, especially for local partner organizations; The tools tend to be exclusive when not done in a participative way.

To sum up: organizations are sometimes reluctant to use RBM because it is a time and resource consuming exercise, especially for local partners involved in project implementation. The methodology itself is not so easy to understand and apply, either. In addition, if not updated regularly to include changes in the project environment, RBM may keep the organization on a course that is no longer a correct one.

4.2. The HOW question

The use of the RBM approach in project management coincides with a wider organizational shift from activity-based to results-based in the Canadian organizations. It is not clear whether the change in CIDA RBM policies is the only major factor that triggered that shift. This cultural change in organizations is a difficult and resource-consuming process. Despite the rather firm commitment towards the results-based management, this approach to managing projects remains a challenge for many organizations, as they still need to recognize the added value of this approach. As Andrea put it: "I think that this focus [results-based] should expand each time

because we do not necessarily all have it. When we talk, we say we all manage by results but when you take a look at the instruments, processes, methods, you see that not really."

Box 7: Gabriela's experience with RBM

- Very good experience with RBM
- The RBM is a way to go because it's not focused on activities
- It was key that CIDA was more interested in tangible results than activities
- The reports for CIDA based on results
- You can prove the project is making a difference, has worth to the next funder
- The importance of measuring effect of your activities and resources invested through results
- Challenge was in making sure results gathered were accurate problem is a high illiteracy rate
- The key to RBM is that respondents understand survey questions.
- "Garbage in garbage out" – the quality of results are only as good as the quality of input
- The questions you ask of beneficiaries determine the survey results
- The Bolivia Office was introduced to the logic model several years ago
- The office did a shift from activity-based to RBM during the CIDA grant
- Received training on monitoring and evaluation based on RBM from their HQ
- The team from HQ trained the directors first and they then trained their technicians
- During training there was a conscious effort to clarify the difference between activities and results
- Globally, some offices use RBM, some don't development oriented yes, disaster relief no

4.2.1. The use of RBM at different stages of the project life cycle

The RBM process within CIDA and its tools changed over the last few years. For all of the Canadian NGO Offices in Bolivia, the CIDA project was the first one prepared according to the new RBM guidelines. Some Offices were used to working with objectives and activities, but as Diego put it, "the old approach did not allow to measure change and effects of interventions". Therefore, following new CIDA RBM guidelines that included an updated log frame (now called a logic model) and PMF, was a new experience for all and the organizations had to learn by doing.

Nowadays, the RBM methodology is applied extensively, as Maria put it, "as a way of managing projects" in the organizations' Offices in Bolivia. The RBM tools and approaches are applied throughout the life cycle of the projects with the stress put on implementation and monitoring/reporting.

4.2.1.1. Planning

Once the project concept paper is approved by CIDA and detailed planning in Canadian NGO's HQ and Country Office begins, the organizations use RBM tools and approaches to decide on a strategic orientation of their projects and to get the buy-in from their staff and partner organization. Sometimes, a stakeholder analysis is conducted to first identify all project beneficiaries and partner organizations. They are then involved in project planning with the use of available participative techniques, like brainstorming sessions, conferences, workshops, community meetings, etc. As Ana said: "The intent was always to sit down with our partners in the Ministry with a clean slate and use a participative method to define it" [the project's logic model]. We began exploring how to do that and the idea that actually emerged was to hold these workshops".

At the beginning of the participative planning sessions, problem trees and solution trees are sometimes used to identify the main challenges the project should address as well as appropriate strategies. As Maria described it: "What we did was, I guess, that we looked at the situation [in the sector] and some of the challenges that our project was not able to address and then from there started identifying what are the different changes that we would need to see for this to be addressed, so I guess identifying the problem but then looking at it in terms of what are the results and what are the activities we would need to get there." The project's logic model, with its horizontal and logical sequence of activities, products and different level of results facilitates this planning exercise, as it allows everybody to visualize the project, see where the project is heading and how the change is going to be achieved. Once the logic model is ready, the PMF is prepared.

At the planning stage, the PMF may be helpful in assigning responsibilities for achieving concrete results to staff and all partner organizations involved in a project.

Box 8: Ana's experience with RBM

- Started to work with a Bolivia project in its implementation phase
- Used number of RBM tools
- The original proposal submitted to CIDA was for a smaller amount
- CIDA wanted to add more money in the project, Bolivia a priority country
- The approval time was very quick and lacked regular planning steps
- The PIP for the first year was based on the proposal it did not change at all
- No clear logic model for the project at the beginning
- At first confusing to align project with a greater national program
- Relied on the national program's logic model as a guide for the project
- Started developing a logic model a year into the project
- Initially a desk exercise between HQ and the Office in La Paz but the intent was to use a participative method
- The idea emerged to have workshops with the government to do a logic model for the whole national program
- The project logic model is a flow-through form the national one which is a right approach
- Mixed personal experience with RBM. Positive: discussions about the project, flexibility. Negative: confusion about the scope with the partners.
- A clear logic model could serve as a guide, describe a scope
- At the beginning the government side did not have a full scope of the logic model either
- Their results were not aligned to their strategy
- During the project implementation the CIDA RBM process, tools and guidance changed
- Now the project uses the most current tools

Planning of the results-based project is very time consuming, but overall, the time invested in thorough planning pays back during the implementation phase as it facilitates smooth implementation and monitoring. As Manuel said: "The time you take to plan your project has a lot of positive effects, say, it is worthwhile to invest this time to do a careful planning. (...) You may of course say that if you took less time to plan your project you would start implementing more fast, but the problems you may encounter down the road may take more time to solve if you didn't do your detailed planning."

4.2.1.2. Implementation and monitoring

The project's PMF is constantly used as a reference during the project implementation phase to follow-up on results achieved. To allow for an ongoing monitoring of their projects, the organizations create their own monitoring tools based on the performance management

framework. Simplified versions of these tools are usually created for local partners organizations. As Andrea put it: "We also created the same tool, but a bit simpler and not very technical for our partners who work in the same logic. And now we receive their reports based on the PMF." The project's progress is measured against the set targets. The targets for all indicators are broken down to provide annual, semi-annual or in some cases even quarterly and trimestral projections as part of work plans or work schedules. The baseline measurements usually take place during the projects' first year. The organizations are using gender-sensitive and sex-disaggregated indicators.

Gabriela used the expression "garbage in, garbage out" to stress the importance the data collection process has on measuring results. According to Gabriela: "Your results are only gonna be as good, the quality of your results is only gonna be as good as the quality of the inputs." It is an important point for those organizations that work with local partner organizations and beneficiaries who generally have very low level of education. According to Gabriela "this is a challenge in rural zones (...) they have a high illiteracy rate, the majority of people haven't finished 7th grade because there's no schools after that." Consequently, during surveys or interviews such respondents will have difficulty understanding questions being asked of them. Therefore "it is key that the beneficiary understands those questions (...) you are asking them."

Reporting on activities and results achieved Organizations are often required to report both on activities and results achieved. Reports on results are usually submitted on a yearly basis and reports on activities are asked of organizations more frequently. Logic model and PMF can serve as frameworks for work plans and reports. Mariana said that the "template for both the work plan and reports use the logic model as the framework." Maria said: "We've structured the annual

work plan and the annual report to, basically, have the same framework. What we've done is we've taken the indicators at each level and created a table that incorporates each indicator, when they are to be addressed during the year, the budget for them, what the target is and a description. And then the report looks at the same areas but also what was achieved and what were the variances and the description of what happened. So the logic model and PMF actually are the structure for the reports." Miguel Angel also commented on the structure of reports, saying that: "The structure of the PIP and the structure of work plans and reports is based on results to be achieved and the indicators. So everything is based on that. This is the starting point of all the documents."

Annual, semi-annual, quarterly and monthly reports of four organizations were analysed as part of this research. One organization hasn't started to submit reports yet. The size and layout of reports and type of information provided differ significantly. Two out of four organizations, which reports were analysed, started/will start to provide information on results achieved after two years in the project. During that period their reports focused on outputs/activities realized. Two other organizations reported on results and the information on results achieved was presented either in a table or a narrative form. In the first case, the results information was put in an easy-to-read results matrix with columns for: the name of the result, result achieved during the reporting period, global target and a target for the next reporting period. In the second case the results were described by each intermediate result that included all of its immediate results and products. The collected information was usually, but not always, disaggregated by sex.

Box 9: Manuel's experience with RBM

- Experience with RBM highly positive
- The Bolivia project channels all technical help and funding through the state's system
- Other organizations working in the sector implement project activities themselves
- The organization's use of RBM has a spill over effect on state institutions
- As a general rule, managing for results is a great weakness of the public administration in Bolivia
- The public sector in Bolivia is activity/product based
- It is not optimizing the use of its resources (financial, human, time, technology)
- The low level of institutionalism that undermines the continuity of organizational process
- At the political level there is continuity with regards to national policies in the sector
- The political will does not translate into actions on the operational level
- High rotation of technical staff, political nominations affect all levels of the public administration
- Weaknesses in resource management, public institutions execute only small part of their budgets
- Weak or nonexistent coordination between different levels of administration
- Lack of management capacities to spend
- It is crucial that the public sector focuses on achieving results
- The project aims at improving management in public sector in Bolivia, orient it towards results
- The project facilitates creation of such inter-institutional links and coordination mechanisms
- Project initiatives opened eyes to the new results-oriented management practices
- The project helped to elaborate a logic model for the national program in the sector
- There was interest, motivation and participation during the workshops
- Importance to promote, give continuity to this process of change
- Institutional and inter-institutional effort needed to really achieve the change
- Overall slow pace of change in the management practices observed at the operational level
- The authorities resist taking charge of their activities.
- The public sector was "spoiled" by the development aid institutions
- Those aid institutions are in charge of delivering all activities, deliver all "in a package"
- National authorities do not need to plan and manage
- The project chose the "difficult way"
- It strongly encourages the authorities to plan, manage and execute their activities
- The project provides money and technical assistance but authorities implement
- The project promotes focusing on desired results
- But reporting is still activities-based
- RBM is fundamental to create a "critical mass" to promote and optimize management processes

Financial reports Financial reports were not part of document analysis. Nevertheless, several of the interviewees mentioned CIDA requirements related to financial reporting during the interviews. When reporting on a results-based budget, the organizations have to explain any discrepancies between the budgeted and actually spent amount for each activity. Reporting at this level of detail is complicated, time-consuming and means a lot of work-hours invested in budget follow-up and reporting. As Diego said: "We did separate budgets for each activity so it got really complicated because each municipality has also its budget done per activity and then each municipality has its variance (...) so it takes time to justify variance for each of the activities, as each municipality does that, and we have to consolidate it at the national level." He also mentioned: "It took us two months to prepare a [financial] report, one month for writing it up and

one for corrections." According to Miguel Angel: " The financial follow-up per activity is good in case of engineering projects, if you are going to construct a bridge or you are going to construct a road, airport, then it is ok. But in case of organizational development projects or 'soft' projects like gender, education or health, something like that, it is really not interesting. It serves absolutely nothing." Miguel Angel suggested that this kind of financial information does not serve any real purpose at CIDA. He said: "I did the budget follow-up per activity before (...) To do that we needed one person per country full-time to do this follow-up work. For what? Nobody looked at that, it was interesting to say, ok, that result cost 25 thousand dollars, so what?"

4.2.1.3. Lessons learning

Project performance information can, in some cases, be used for organizational learning. Nevertheless, the usefulness of project performance information at the global organizational level is limited. As Ricardo noticed: "Personally I do not see the use of [exchanging information about performance across countries and programs] because it would be difficult for me, working in economic development, to talk with a person about a health project." Therefore, information about project's performance can be of value for projects implemented in the same thematic areas. For example, Maria's organization organizes each year a regional workshop to exchange on experiences and progress being made in specific thematic areas. In her own words: "And so we had a presentation there about [childhood development and risk reduction] elements of the project and how this would be developed and this is something at the regional level we have at least once a year. And because the thematic areas of the project are so broad it's likely that there would be project-specific presentations for our [Bolivia] staff in many of these workshops. So it's a very broad project and would have cross-country sharing in our regional workshops."

What surely is useful for lessons learning at the global organizational level is an exchange about particular strategies chosen to achieve results. In Miguel Angel's own words: "it is more at the level of strategies, whether or not we had a good strategy to achieve results. Sometimes we try something and it doesn't work as we thought it would, often due to cultural factors, as each country is different. (...) We notice it when we do a follow-up on our results and we see we are not able to achieve a particular result. When it doesn't work we ask ourselves why and we try to answer it. We then say, ok, it doesn't work because of that and that reason. We also talk to specialists at CIDA, like gender specialists, who do the follow-up on our project and we say, we have this problem, look, have you ever experienced a similar situation and what did you do?"

Some staff also exchange their experiences related to the use of RBM methodology in their projects and what this methodology entails for the organization. Ricardo had and interesting suggestion related to that: "What would be useful [for the organization globally as part of the organizational learning] would be to talk about this [RBM] paradigm, this vision or methodology of work and perhaps the implications that this has and how it can be used in a more effective way and how to adapt organizationally to it."

Table 12: How RBM approach is used at different stages of the project life cycle?

Planning	Implementation and monitoring	Lessons learning
Stakeholder analysis conducted to identify all project beneficiaries; Participative methods used to involve partner organizations and stakeholders; Problem trees and solution trees used to identify main challenges and strategies; Logic model used to visualize and understand project's purpose and results and get buy-in from staff and partner organizations; PMF used to assign responsibilities for achieving results to partner organizations.	PMF constantly used as a reference for indicators and targets; Targets broken down to annual, semi-annual, quarterly and trimestral projections in work plans; PMF-based tools created to allow ongoing monitoring by staff and partner organizations; Baseline measurements done during the projects' first year; Gender-sensitive and sex- disaggregated indicators used; "Garbage in, garbage out" - the importance of the quality of data collection process; Reports on results submitted each year, reports on activities more frequently; Each organization used different structure of reports, but the structure of PMF usually serves as a framework; In financial reports any discrepancies between the budgeted and actually spent amount for each activity have to be explained, high level of detail of financial reports.	Performance information shared between projects and programs implemented in the same sector to talk about advances in the area of intervention; Information about particular strategies to achieve stated results exchanged; Experience about implementing projects based on RBM methodology exchanged.

To sum up: organizations use RBM methodology throughout the project life cycle with a special stress on implementation phase and least stress on lessons learning. RBM is used extensively at the project level, but some organizations begin to use it also at the national program level and sometimes, but rarely, at their organization's global level.

4.2.2. The different uses of performance information

There are two major uses of performance information by the organizations that can be grouped into external and internal use of performance information. All interview participants mentioned both, with donor reports as an example of external use, and decision taking as an example of internal use of performance information given most frequently. First, the information on results achieved is used externally to report to the donor on the progress achieved. This is the most "obvious" use of performance information, as Maria put it. Also, as a share of funding of

Canadian organizations often comes from Canadian public, "performance information is shared with the Canadian public through various publications or website updates or letters sent out to donors" as Maria explained. The performance information is also shared with the partner organizations for their reporting and auto-evaluation purposes, as well as to include them in decision making related to the project. As Manuel said: "One element that we are trying to push for in the public system is actually that they use the [performance] information for the effective decision taking." And, according to Ricardo: "Externally, if I can say so, and in our case specifically, the partner organizations use the information on results to evaluate themselves. (...) They also have their own results and their own indicators that, the results that they obtain within this result-based management." Information on results achieved is also included in project proposals to potential funders to demonstrate that the organization is reliable and is performing well. As Andrea put it: "this kind of information I can use with whichever donor to demonstrate that from management point of view we have everything under control, so that they see I am trustworthy and fundable and that they are sure that my performance is high."

Second, performance information is used internally to assist in project management. Ongoing follow-up on results achieved is of strategic importance to the organizations. It provides information on whether or not the project is on track. As Ana said: "our performance information is used (...) as a tool to annually, and I would even say more frequently than annually, semi-annually to assess our progress." Having hard, factual information that the project is underperforming enables the organization to take timely corrective actions by adjusting its strategies or quickly moving resources to execute additional activities. Gabriela noticed: "and ideally it's also to tweak or to adjust the activities of the following month. So for instance, if we see in the month of March that we saw a spike in malnutrition, say it went up from 10%, 12% or

13%, just over the span of a month, then we know that we will go back to those communities and we are gonna focus more (...) maybe we take away a training on domestic violence and say we add another training on nutrition. That is the idea." In the same vein, Anita said: " [we use it to] adjust our strategies, for example, sometimes it happens that we are not reaching our targets and what happens? You need to revise your strategies, revise your resources, perhaps we put more here and less there. And we need to check the targeted groups." Moreover, performance information is used to inform work-planning sessions. As Gabriela said: "it's to use this information to develop the log frame for the following year." Performance information also serves managers to evaluate their staff based on the " progress achieved in terms of assigned responsibilities" as Ricardo said. It is also used by the Country Office to report on the Office performance to the organization's senior management "about the progress of the project and so any challenges are identified" as Maria put it. In addition, at a country level of the organization the performance information is used to assist the learning process: to capitalize on organizational strengths, address weaknesses and to assess strategies. If chosen strategies proved to be successful in bringing about desired change they can serve as a model to be duplicated in other projects. As Diego described it: "At the internal level we use [the information on results achieved] for learning and knowledge management, we look at how interventions were rolling out in the project in terms of coordination, sectorial approach, relationships with ministries and human rights guarantors." Often, as Maria noticed, organizations are looking if they are having "unexpected advances in other areas" and how they can "replicate this for other interventions." Also, according to Ricardo, if organization has a results-based budget, the performance information may be used to do a budget follow-up.

Table 13: Different uses of performance information

External use	Internal use
To report to the donor on the progress achieved; To share with the Canadian public through various publications, website updates or letters sent out to donors to demonstrate how money was spent and secure funding; To share with the partner organizations for their reporting and auto-evaluation purposes as well as to include them in decision making; To be included in project proposals to potential funders to demonstrate the high performance	To do the follow-up and assess project's progress, check whether or not it is on track; To take timely corrective actions by adjusting its strategies or moving resources to activities; To inform work planning sessions; To evaluate staff based on a achieved progress in assigned project results; To report on the Office performance to the organization's senior management; To capitalize on organizational strengths and to address weaknesses; To see if there are any unexpected results that can be replicated; To assess strategy and see if it can be applied as a model for other projects; To do a budget follow-up.

To sum up: Organizations use their performance information externally, to report on their progress and internally to inform decision-making processes related to project operations and management, staff evaluation and strategic planning.

4.2.3. Regarding the three CIDA RBM tools

All organizations use the logic model, the Performance Measurement Framework (PMF) and the risk register in their projects in Bolivia. These tools form a cascade starting with a logic model where the logic sequence of results is identified. The PMF then uses the flow through from the model to assign indicators, targets, data sources and baseline to each of the indicators and activities from the logic model. The document analysis shows that all project documents, like the project proposals, the results-based budget, the PIP, the work plans and the project reports, use the same flow through from the logic model and the PMF, as they refer directly to the results, activities and indicators set out in those two tools. The risk register completes the logic model and the PMF.

4.2.3.1. Logic model

The logic model is an important planning tool that "helps you see measurable changes" organized in a "logical sequence", as Diego put it. According to Miguel Angel, the new logic model is an improvement compared to the previous log frame because it is "more specific, more precise". Also, as Diego mentioned, the "traditional log frame did not have the human rights focus. He said: "We intended to make the distinction between the needs and the rights in the old log frame. We did a project management guide with this human rights focus but we were still working with the same objectives and not changes, not results achieved." The new logic model, with its different levels of results, gives human rights organizations a way to link their project results with human rights that the project aims at promoting.

Compared to the previous log frame, the new logic model does not include indicators. Therefore, as Miguel Angel noticed: "before, only with a log frame we could know the objectives of the project, the results to reach and we also had indicators." It now takes the two documents, the logic model and the PMF to understand a project."

What is causing problems, even to experienced staff, is the difference between the immediate and intermediate results in the logic model. As Miguel Angel duly noticed, the key to understand that difference is to remember two words: the word "skills" to describe immediate results and "change" to refer to intermediate results. Talking about the difference between the immediate and intermediate results Gabriela concluded: "There are things we simply cannot measure in the short term, that are meant to be measured, those results are gonna be found in the medium term, especially around behaviour change, because behaviour change is an ongoing process, and it really does take a long time to change an adult's behaviour." For Gabriela's staff the key to

understand the difference between the immediate and intermediate results was to grasp that the behavioural change they were looking for is "impossible to achieve in the short term." Based on document analysis, strong logic models tend to have the two levels of immediate and intermediate results clearly defined and the difference between them leaves no doubt in the mind of the reader as to what is being measured, capacities or practices.

Another problem related to writing the logic model is to make a clear distinction between results and activities. According to Gabriela, the biggest challenge for her technical staff in the field was to write the logic model in a way, that the "results were truly results and the results were not written as activities." As she explained: "there's a tendency to say that a result is that, you know, 15 women in the community have been trained. That is not a result, that is an activity that the training occurred."

Choosing the right wording for results is also problematic. It is not easy to label results so that it describes, in an understandable and concise way, what is going to change as a result of all planned activities that fall under a particular result. Well-defined results and appropriately chosen indicators facilitate project follow-up because the data gathering process is... logic!

4.2.3.2. PMF

The PMF is a very important monitoring tool as it links results to measures and provides organizations with targets and baseline information. The PMF is crucial to project's implementation, monitoring and reporting, as well as annual planning. As Maria described it: "The PMF is the one [RBM tool] that is most regularly referred to and discussed (...) so it's something that certainly for everyone, for all of our annual work planning, workshops, there is a

reference back to the PMF to what our targets are and what it means in terms of regional targets and how we're advancing against it. (...) So I think that would probably be our key document." Diego said: "In fact, the PMF is our project implementation guide, we always manage it, (...) it is like our map."

A well-written PMF, with well-defined indicators, allows for smooth ongoing monitoring of a project. There is little agreement among project practitioners as to the optimal number of indicators to report against. Some managers argue there are too few indicators allowed by CIDA (Ricardo) or too many of them (Mariana). Also, it seems that managers always have a preference for either quantitative or qualitative indicators, which may depend on the sector of intervention. It would be difficult, for example, for a manager working in economic development to use mostly qualitative indicators, but it can be easily done by NGOs working in the area of human/child rights.

Box 10: Diego's experience with RBM

- First time this Office was using RBM methodology, new experience
- Before the Office was using an old framework with objectives instead of chain of results
- The CIDA project was prepared using an old model
- The old model did not show change, effects of interventions
- CIDA RBM training for Bolivia Office helped to improve the proposal
- Recently the new model was prepared using the information from the old frame.
- Extensive analysis: a lot of analyzing activity by activity and result by result to improve the document
- Was necessary to understand the difference between knowledge, capacities and practices
- Intermediate result are competencies, immediate result is knowledge
- It was a process that included actors and HQ
- The latest version of the logic model starts with an actor
- RBM is a new form of project design oriented towards logically sequenced results
- RBM shows how the change can be achieved through interventions and how to measure them
- It is now easier to identify indicators to measure change because of this sequence of results
- Enabled to assign results to each of the actors
- Capacities were built internally as well as externally (among actors)
- Actors made use of the methodology in their own management practice allowing for greater decentralization
- Other projects in the Bolivia Office now use RBM methodology
- The organization is in the process of making a project management guide based on RBM

Some organizations create their own computer tools based on their PMF with targets broken down per each reporting period to assist their staff and partner organizations in ongoing monitoring of the results they are responsible for.

4.2.3.3. Risk register

Together with a project's logic model, PMF and budget, a risk register allows the reader to quickly get a picture of how the project might fail and how to reorient it in that situation. As Miguel Angel described: "there is also the risk register, which is interesting and which complements those documents [the logic model and the PMF], because it takes these documents together with the risk register and the budget to understand a project, but the most important are these two [the logic model and the PMF] and the budget."

The risk register, although an important tool, doesn't receive the same attention as the logic model and the PMF and is not referred to as often as the other two RBM tools. In the citation above Miguel Angel suggested that the logic model and the PMF are more important as tools than the risk register. Referring to the risk register Mariana said: "the risk register is updated annually and presented to CIDA, although we do not use this tool in practice." The main reason for why the risk register is less frequently referred to than the logic model and the PMF may be that the organizations usually have an established presence in zones they work in and therefore a lot of risks are already institutionalized in terms of response. As Maria put it: "I guess some of the challenges that consistently come with the implementation (...) are the things that at the office here we certainly recognize but it's been a reality of working here as long as the staff have been here, and so although it's important to recognize them as well as identify how we are going to work with this, a lot of strategies are not much different from one project to another because

we have an established present in a lot of the municipalities. For a number of the risks that are identified, the strategy is part of how the organization rolls out work overall, rather than specific to one project or another."

Nevertheless, as Miguel Angel noticed, in a situation when the project is not performing, the risk register may be a very useful tool for project evaluators as it allows them to see if there were any risks to a project's successful implementation that were identified but not appropriately addressed in terms of mitigation strategies.

4.2.3.4. Other tools used

Organizations use other tools to assist them in project planning and monitoring (e.g. stakeholder analysis, problem tree, solution tree and SWOT (Strengths, Weaknesses/Limitations, Opportunities and Threats) analysis. They also adapt RBM tools, most of all logic model and the PMF depending on their or partners' needs.

Table 14: About the three CIDA RBM tools

The logic model	The Performance Measurement Framework (PMF)	The risk register
Used a lot during project planning; Allows to see changes in a logical sequence; Does not contain indicators; Understanding the difference between the immediate and intermediate results is difficult; Finding understandable and concise labels for results is complicated; Understanding the difference between the results and activities/products is not easy.	Used extensively during project implementation; Is a key document for many organizations; Links results to measures and sets targets; Facilitates a smooth project implementation and monitoring and serves in annual planning workshops to set targets; Choosing appropriate indicators that would measure the achievement of results is difficult.	Not used as often as the two other RBM tools; Allows to see where the project might fail; Is a useful tool for project evaluators when the project is not performing to check mitigation strategies;

To sum up: out of the three RBM tools the PMF is the most important tool for project practitioners. It is used extensively during the project implementation. The second in the order of importance is the logic model, which is an important planning tool. The least used is the risk register.

5. Research conclusions and recommendations

5.1. Conclusions

The purpose of this research was to reveal **why** and **how** project practitioners from Canadian organizations, who implement their CIDA-funded projects in Bolivia, are using RBM approach. First of all, to answer the why question we wanted to know if project implementers use the RBM approach to manage project only because it is a donor requirement or perhaps because they find this methodology useful. To judge that, we looked at the advantages as well as disadvantages of this approach to management and checked whether the advantages outweigh possible downfalls of its use. Also, we wanted to verify whether there is a link between the use of RVM approach and increased project effectiveness and efficiency. Second, to reply to the how question, we needed to know whether organizations use RBM as a management strategy or perhaps as a management and evaluation tool. To answer that question we looked at when organizations use RBM, at which project life-cycle phases, for what purposes is the performance information used and which RBM tools: the logic model, the PMF and the risk register are most important and most frequently used.

5.1.1 The "WHY" question

When undertaking a research project, a researcher is told to leave all assumptions and preconceptions aside and approach the subject of his or her dissertation with an open mind. Still, we always harbour some thoughts about what the research may prove and what interviewees may say and we often find ourselves surprised at some findings that we may not have fully anticipated. When embarking on this research study I believed, based on the literature review

containing a lot of critiques of RBM, that the majority of project practitioners would tell me that RBM was indeed "just another management fad" and that they were using it only because they had to, not because they chose to. I have to say that this is not what the research showed. Surely, the use of RBM methodology and tools remains a donor requirement that NGOs have to fulfill in order to receive CIDA funding. Nevertheless, after a thorough data analysis based on interviews and project documents it can be said beyond any doubt, that the organizations apply RBM methodology because it is a "right way to manage their projects", as one of our respondents said. Organizations use RBM because this approach assists them in managing project resources in an efficient way and, at the same time, keeping the project focused on achieving desired change. I admit that this is something I did not expect to find.

The majority of people we talked to linked RBM use in their projects to their increased effectiveness and efficiency. Interestingly, as a general rule, Country Representatives were far more "enthusiastic" about RBM and its contribution to project's effectiveness and efficiency than their Team Leaders, who work at organization's headquarters in Canada. One possible explanation for this finding could be that, while the Team Leaders may see the "worse" side of RBM, involving all the daunting paperwork related to long negotiations with CIDA, the Country Representatives can actually benefit from this methodology while using it to mange their projects in the field. They can also observe first-hand the transfer of this project management approach to their local partner organizations and witness all the positive changes it has on the way these public/private and non-governmental organizations are being managed.

In the introduction to this study, we discussed what we already know about RBM approach to management and what we have learned from the PM literature, including several critical views of

RBM. During our interviews several respondents raised some interesting arguments that directly refer to those critiques. We would like to recall the major arguments against RBM discussed in detail in the Introduction chapter and relate that to what was said during the interviews.

RBM is a western invention that obstructs doing development work and can be exclusive (see Introduction, section 1.2.1.2). Our interviewees' overall positive experience using RBM methodology internally and with their local partners in Bolivia seems to rebuke the fist part of this statement. RBM facilitates project planning, implementation and monitoring. In addition, RBM assists Canadian NGOs in their work with local partners, its use was said to raise local partners' motivation and ownership of the project. According to Diego, thanks to using this methodology, project design was not as "monotonous" as it used to be. Using the problem tree, the solution tree and other RBM tools to design a project allowed, as he said, "to motivate the staff to use this methodology in the field." Also, many local government and non-government partner organizations started to use the RBM methodology in their operations and projects unrelated to CIDA. Still, the transfer of the RBM approach to the local partners is an ongoing process that takes a lot of time and investment, and demands particular caution so that the partners do not feel like something is being imposed on them. Also, applying RBM internally by Canadian NGOs is a time and resource consuming process that requires a lot of organizational effort to plan, monitor, report, and to train their staff. In fact, training of staff in organizations' HQs and in the Country Offices is rather an ongoing investment due to staff rotation and changes made to RBM or performance management approach by donors. Nevertheless, RBM can indeed be exclusive when not everybody who is involved in a CIDA-funded project "speaks the same [RBM] language". Therefore, RBM can marginalize not only entire organizations that are not fluent in RBM "language and concepts", but also those individual employees who do not know

RBM but are working in organizations that do apply RBM.

RBM does not address beneficiaries' needs (see Introduction, sections 1.2.1.3). According to the interviewees one of the major benefits of RBM is that it does create tools and mechanisms to actively involve beneficiaries and local partner organizations in the project since its planning stage so that they can define problems that needs to be addressed by it. Therefore, the mechanisms to create such spaces, where "the needs (...) for intangibles such as dignity, equality and social justice" can be met do exist and it is up to the organizations to use them in the project. Of course to design a project that would be inclusive, again, takes a lot of time.

RBM is linear and therefore reductive, oversimplifying a non-linear reality (see Introduction, section 1.2.1.4) Many of the interviewees indeed pointed to the danger that the RBM may become too "restrictive" and cause the organization to stay on a wrong track. They also pointed out the difficulty in defining or labeling results that won't be ambiguous and that would describe what they really mean. Organizations face tough choices when it comes to choosing the right indicators. Some of the interviewees feel that the number of indicators per result should not be limited; others underline the importance of using quality indicators. Finally, there are some who doubt that change can be measured in numbers and suggest using narratives to talk about change. As one of the interviewees put it: "RBM should be more of a guideline". At the same time it is the simplicity and the logic of the RBM tools that was pointed out as something that allows the organization to have a clear "vision" of the project and helps them see where they are going.

5.1.2 The "HOW" question

In the introduction to this research we presented two contrasting uses of RBM: as a broad management strategy, and as a management and evaluation tool. During the interviews we asked the project practitioners whether they think their organization was using RBM as a tool or rather as a strategy. Five out of ten respondents expressed a view that their organization uses RBM as a strategy and also five were more inclined to admit that their organization applies RBM as a management and evaluation tool. The interesting thing about these answers was that there was no consensus on how RBM was used among the managers in the same organization. The main reason for that may be that the role RBM plays within organizations is not clearly defined. Therefore, whether the manager uses RBM as a tool to implement his or her project's activities, do the follow-up, monitoring and reporting or whether he or she goes beyond that basic use of RBM and starts applying RBM methodology to strategic planning of projects and programs and lessons learning, depends only on his or her personal choice.

Here is how the respondents understand what it is to use RBM an organizational management strategy or as a management/evaluation tool. What our respondents had to say about these two approaches to RBM added some new elements to our literature-based definitions of RBM as a tool and as a strategy.

RBM as a management strategy. To use RBM as a strategy is to use it long-term at a strategic level. It has to be integrated into and to guide the process of organizational strategic planning, monitoring and reporting, performance measurement of staff, budgeting and fundraising. It is used to identify the global organizational strategy and to align country strategies and

program/project goals with it by assuring a flow-through of results from the global to the program and the project levels. It is a clear vision focused on achieving real change that is internalized, shared and referred to by the organization's staff. It implies a change of organizational work culture and the mindset of staff from activity to results. Its tools: the logic model, the performance management framework (PMF) and the risk register have to be used, revised and referred to on a regular basis. At a program/project level, RBM as a strategy implies using all available resources to achieve measurable results that are mutually agreed on by an organization with its local partners and project beneficiaries.

RBM as a tool. To apply RBM as a tool is to use it in a short-term and instrumental way. As a tool RBM is used to communicate the global organizational strategy and country strategies to the public, donors, local partners and beneficiaries rather than to assist the organization in identifying their strategic results. RBM as a tool is not used at a project initiation stage to identify project's goals and activities, but the project is later 'retrofitted' into RBM formats as a part of proposal. As a tool RBM facilitates project implementation, monitoring, reporting and evaluation by determining project activities and then measuring the progress against the targets. RBM as a tool "only gives a small snapshot of the overall project or what is really happening in a specific context", as one of the respondents noted.

Overall, it can be said that RBM as a tool is more "punctual" because it is related to demonstrating results: it serves to gather some performance data, to take corrective actions and to report to a donor on results achieved. Therefore, the purpose in this case is to show that the stated results were actually achieved. In contrast, RBM as a management strategy is broader, as it is

related to managing for results and the whole project, and all of its management processes, are built around results.

Based on both interviews and document analysis we can conclude that, even though RBM is always extensively used at the projects' implementation phase, with the primordial role played by the Performance Management Framework, the organizations are starting to use the RBM approach beyond this basic instrumental application as a management and evaluation tool that assists them in achieving and demonstrating results. More and more, the RBM approach is being integrated into the whole project's life cycle. As Mariana said: "RBM has been used during the whole project cycle – as a planning tool during the inception, as a key part of the proposal, and now it is being used as the main reference document for the project – guiding planning, for M&E and for reporting". However, RBM methodology is still infrequently applied in lessons learning and strategic planning. As Mariana described: "RBM is used for all program development in the organization. However, it is not used in the organization's strategic planning or reporting to the board."

Also, in the organizations' Country Offices RBM methodology is being gradually rolled out to non-CIDA projects as well. In fact, majority of the organizations that participated in this study are not only using this approach in their Country Offices in Bolivia, but are moving towards a more strategic application of RBM at a regional or even global level. As Maria said: "so for projects that have funding from other donor, even sometimes with private donors (...), we do apply an RBM approach, so it's something that institutionally we've applied beyond, beyond CIDA, as just our way of managing projects and this is something that (...) we've been rolling out to other offices." Gabriela said that her organization globally "has gone through a big shift

(...) to trying to present more results-based data and this has been an organizational shift that although it hasn't been RBM-driven, is something that (...) made sense for us to be applying RBM just globally for projects." This does not mean that CIDA-specific methodology is the one that is being adopted by the organizations, because they often create hybrid versions of RBM tools for their internal use.

In addition, there is undoubtedly a move towards more results-oriented way of managing within organizations. Ana said that RBM plays "a very large role" in her organization" and that "the use of RBM is extensive but broad" in that for example "every contract and all the activities (...) are clearly identified and clearly linked to the broader logic model (...) for either the country program or more so the international or global logic model." One NGO even uses RBM approach in its strategic planning at the headquarters (HQ) and in reporting on the global performance with the use of impact results indicators (poverty reduction in the targeted population).

After all, it looks like "RBM is here to stay".

5.2. Recommendations

In this last part of our research we present eleven recommendations addressed both to CIDA as well as CIDA's executing agencies (implementing partner organizations). Based on the interviewees' responses to our questions as well as the analysis of the project documents we are of the opinion that using RBM tools and approaches, despite all the disadvantages, is beneficial to organizations and worth investing in. Ironically, it is because RBM is a donor requirement that CIDA partner organizations started applying it and eventually saw benefits of this methodology

in improving effectiveness and efficiency of their projects. Nevertheless, despite this rather positive picture of RBM there are several very important limitations or weaknesses in the methodology itself, as well as in the way it is interpreted and applied by CIDA and its implementing partner organizations, that we feel should be addressed. While the majority of recommendations to CIDA executing agencies relate to their strategic planning and policies, the recommendations to CIDA concern the need for streamlining its business processes.

5.2.1. Recommendations to CIDA partner organizations

5.2.1.1. RBM could be an effective management and evaluation tool as well as a management strategy. As one of the respondents put it: "RBM has short-term advantages and long-term advantages, so what is ideal for a development organization is to use both simultaneously." The most basic application of RBM is to use the logic model to plan project activities and then the PMF to monitor the project's progress against set targets with the help of measurable indicators. Many organizations stressed the primordial importance of the logic model and, most importantly, the PMF in its project implementation and monitoring. But according to the interviewees, there is much more to RBM than just its tools. As the research findings show, RBM can assist in finding organizational strengths and weaknesses and allows for timely adjustments in strategies based on an analysis of the program/project performance up-to-date. Therefore, RBM methodology can also be used at a strategic organizational level to define the organization's vision and its global strategy.

5.2.1.2 As a strategy, RBM has to be applied consistently and regularly in order to be of benefit to organizations. As one of the interviewees put it, the logic model, the PMF, the risk

register and the results-based budget are only documents. They alone cannot guarantee the success of the project, but they may assist in it. Nevertheless, it is not enough to prepare a logic model and a PMF as a part of a proposal and never use it again. In order to be of value to its staff and the organization as a whole, the RBM approach and its tools have to be used on a regular basis in assessing the project's progress towards results. The RBM tools have to be constantly referred to as part of planning and monitoring and to be updated if there is any important change occurring in the project's context.

5.2.1.3 Organizations should have their global organizational definition of RBM. Most of the organizations that participated in this study use RBM in an uneven way, meaning that some Country Offices use it while some other don't. Moreover, the concept of RBM is not yet consensual within organizations and still leaves open doors for interpretations. Even managers of the same organization tend to interpret RBM in different ways. Lack of consensus as to the meaning of RBM within Canadian organizations can have inadvertent effects on their local partners. As we discussed in the Research Findings section, Canadian NGOs implement their projects with the help of local partner organizations. As project performance depends greatly on their local partner organizations' management capacities, Canadian NGOs encourage their local partners to use RBM approach to plan, implement and report on their activities. Consequently, these local organizations become real end-users of RBM methodology. It is therefore a great responsibility for the Canadian NGOs to transmit a coherent concept of RBM to their partners. In order for that to happen, Canadian organizations' staff would have to share the common understanding of RBM and the role it plays in management of their projects. Aside from benefiting their partner organizations, it would also allow Canadian organizations staff to "speak the same language" when it comes to the daily project management work.

5.2.1.4 A shift to RBM in organizations requires a corporate culture change. If an organization takes a strategic decision to use RBM beyond its application as a tool and adopt it as its management strategy, it can bring about a positive organizational change that focuses all organizational efforts on achievement of planned results, promotes evidence-based decision-making and effective use of project resources and that brings closer staff and involves project beneficiaries and local partner organizations. This change implies a shift of paradigm from an NGO that simply uses resources from its donor to a more business-oriented vision, which means using resources in an efficient way to achieve results. It is a slow evolutionary process that requires organization-wide adjustments and investments.

5.2.1.5 Organizations' top management has an important role to play in the shift to results-focused culture. In the organization that went through the organizational reshuffling to adjust its strategies and processes to the new results-based management paradigm senior managers played a very important role as leaders of change. Surely, the shift to the results-oriented culture may originate in one of the Regional or Country Offices but it is a top-down process to tweak all the organizational structure starting with modifying the global strategy, creating new planning, monitoring and evaluation tools and processes, and finishing with training staff in both HQ and field offices. In order for the organizational change to be successful, the results-oriented way of managing projects requires a full backing of the top managers in the organizations' HQ.

5.2.1.6 Organizations should invest more to train their staff on RBM. The major organizational weakness related to the RBM that was mentioned by the interviewees is the relatively low capacity of their staff with regards to the knowledge of RBM. The understanding

of RBM in field Offices is still relatively weak, especially among staff implementing project activities in the field. The managers who were interviewed in this research talked about the low level of understanding and knowledge of RBM methodology among their field staff and staff working with local partner organizations. It is absolutely necessary that the organizations invest in an ongoing RBM training of their staff, so that they know how to use RBM approach when planning, implementing and monitoring of their projects and also how to use it with their partner organizations. What is needed most is the specific knowledge of how to convey in a simple and understandable way the concepts of RBM to local partner organizations whose members are illiterate or have only basic education, and how to tweak the RBM tools to adapt them to their specific needs.

5.2.1.7 Organizations should report on key indicators globally. Canadian NGOs report on their projects not only to their donor(s) but also to the Canadian public. Most of those reports to the public are done at activity or output level, for example giving information on number of hospitals/schools built, number of children that went to school etc. The information on outputs is relative as the public has no way of knowing whether 20 schools built for a particular amount of money is a lot or not, because of lack of comparison. Nevertheless, with intention of demonstrating to the public the actual change that was achieved due to their work, some organizations made a step ahead and now report at a results level. The information on results shows the actual change in lives of project beneficiaries that was made due to the organization's work. Immediate outcomes are the ones that can be directly attributed to the outputs of an organization and its initiatives. Choosing a set of indicators at the immediate results level for each sector of intervention, that all Country Offices have to report against independently of what

indicators are required by the donors, will allow the organizations to report on results achieved by the organization globally.

5.2.1.8 Organizations should monitor the implementation of RBM and use this knowledge in organizational learning at a global level. The organization globally could benefit from the experience of their staff in implementing results-based projects. This could be achieved by encouraging their staff that worked on results-based projects to share their insights into that management approach. Also, the Country Offices could share any tools, guidelines they created that may be useful to other programs. Does the Office have RBM expertise, know-how that may be adopted by the organization as a whole? What good practice does the Office have to share? What mistakes were made that could be avoided?

5.2.2. Recommendations to CIDA

5.2.2.1 Project approval process should be less time-consuming. We mentioned before that CIDA-funded projects might stay in the development stage for two or three years from initiation until the funding agreement is signed. Over such a long cycle, projects suffer due to, among other things, staff rotation both at CIDA and at CIDA executing agencies, as it is rarely the same people who prepare the project proposal and then implement it. According to the interviewees projects should be planned and implemented by the same staff in order to increase their ownership and understanding of the project and consequently ensure its smooth implementation. To allow organizations to keep the same staff since the project planning and throughout its implementation, CIDA would need to considerably reduce the time needed to bring a project from the idea stage to implementation.

5.2.2.2. Process to update a project's logic model, PMF and risk register should be less time consuming. As the project approval time is lengthy, once the funding for the project is secured it is usually necessary to adjust its logic model, PMF and risk register to the changes in its implementing environment. There may also be a need to update these documents later in the project. In this situation it seems only reasonable to assure the flexibility of CIDA procedures to allow for quick revisions of the project documents and to facilitate project's swift implementation. The RBM tools will be of benefit to the implementing organization only when they are up-to-date.

5.2.2.3. Reporting requirements should be simplified. It is crucial to allow for balance between a weight of reporting and the importance of time for actual project implementation. Reports should be short, concise and to-the-point. Annual reports on results-achieved should really concentrate on results instead of activities. After reading through many annual reports provided by the NGOs participating in this study the researcher believes that the most understandable way to present performance information is in a table form based on the PMF layout. Financial reports could explain any discrepancies in spending per immediate or even intermediate result instead of having to do so per activity/output. The rational idea behind having budget information per activity is "to compare alternative spending proposals in terms of the results they would produce." (Poister, 2003) For such a comparative analysis to be valid, we would need to compare similar activities of similar projects implemented in similar contexts. Therefore, in case of development aid projects such comparisons may not be feasible due to their very nature, which is largely determined by their specific context (see subsection 2.1.3. for details). There are no two similar projects or two similar activities in international development.

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ANNEXES

ANNEX 1 Interview Consent Form

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Practice of results based management in CIDA-funded projects in Bolivia: Practitioners' perspective on RBM and what could be done to close the gap between planning and evaluation approach to RBM?

Joanna St-Laurent (researcher) - Administration and Project Management Department - prof. Lavagnon Ika (thesis advisor)

You are being invited to participate in an interview, which will inform a study on results-based management (RBM) practices. Before the interview begins, it is important for you to understand why the research is being done and how it will involve you. Please take time to read the following information carefully.

For the last two decades RBM has unquestionably become a 'fact of life' for those working in international development. A considerable amount has been written about the use of RBM; much of it is descriptive and reviews experience with RBM from either aid donors' or project/program evaluators' perspective. For evaluators RBM is mostly a management and evaluation tool, therefore an instrument. International donor agencies tend to view RBM as a broad management strategy or even an organizational philosophy, focusing all organizational efforts on achieving defined results. Interestingly, people working in aid industry have varying opinions with respect to RBM and its usefulness. As a general rule, donors and some international implementing agencies tend to be very supportive of RBM. Local governments and beneficiaries are less 'enthusiastic' about it. Still, little is known about project implementers' perspective on RBM as well as RBM practice in the field.

The purpose of the study is to examine **how** and **why**, for what **reasons** and **purposes**, CIDA partner organizations use RBM methodology in the daily management of their projects.

Participation in this interview is on voluntary basis. If you do decide to take part in it, you will be asked to sign this consent form and will be given one copy to take with you. Even if you decide to participate you are still free to withdraw at any time and without giving a reason. In this case the recording will be destroyed and I will not use the information provided by you in my research.

Your participation in this interview will imply answering about 13 questions on how and why your organization is using RBM methodology in daily management of your CIDA-funded project. Your answers should be based on your knowledge of your organization's approach to RBM and its CIDA-funded project. The interview will be conducted either in person, via Skype or via email. The interview

will take about 60-90 minutes to complete. The interviews will be tape-recorded.

There are no risks associated with your participation in this research. All the information you provide me with during the interview is strictly confidential. Once the interview data is transcribed and analyzed all the recordings from the interviews will be erased. Your name will not be mentioned in the transcript of the interview or any other written document, for example a research report or a scientific paper. My research report will not contain any information that could lead to identifying its participants or their organization. Only the researcher herself and her thesis supervisor, prof. Lavagnon Ika, will have access to the original recording of the interview. The research data, including transcripts, will be stored for 5 years in the place known to the researcher and her thesis advisor, and later destroyed. The only inconvenience is time you will have to dedicate to participate in the interview.

There are several benefits for you and your organization, if you decide to participate in this research. Firstly, your participation will contribute significantly to the increased knowledge of RBM practices in the field. Secondly, this research is not funded by any government agency or private business organization and its primary audience is development aid practitioners, therefore you and your colleagues. I want my research to be practically applicable in your daily management of development aid projects. The information will provide me with will be used exclusively for the purpose of this research project. After the interview I will send the interview transcript to you for your comments and inputs. I will do the same with my study findings before they are published.

If you have any additional questions concerning my research, you can always call me at: (+5912) 715 55 491, or write me at stlj07@uqo.ca. If you prefer, you can contact directly my thesis advisor, professor Lavagnon Ika, by phone at (+1) 819 595-3900 # 1938 or by mail at: Lavagnon.Ika@uqo.ca.

It is important for you to know that the UQO's Research Ethics Committee has approved this research. If you have any concerns about the way in which the study has been conducted, you should contact directly the Research Ethics Committee's President, André Durivage, by phone at: (+1) 819-923-9960 or by mail at: comite.ethique@uqo.ca.

☐ I agree to take part in this interview.

☐ I refuse to take part in this interview.

Participant's Name _____Participant's Signature _____Date _____

Researcher's Name Joanna St-Laurent Researcher's Signature _____Date_____

ANNEX 2 Interview Guide

1. Introduction

This guide is designed to enable the researcher to conduct interviews with project management practitioners working with CIDA implementing partners on CIDA funded projects in Bolivia (i.e. representatives, project managers, project advisers, consultants etc.). The purpose of the interviews is to investigate how and why CIDA partner organizations use RBM methodology in their daily management of CIDA funded projects.

The interviews will be conducted by the researcher in person or by e-mail. The interviews will take 60-90 minutes. Each interviewee will be asked a same set of questions in the same order.

2. Interviewing Framework

The Interviewing Framework is comprised of one **Central Research Question (CRQ)** and a series of the Research Questions (RQ) that together provide an answer to the **CRQ**.

Each of the RQ is supported with the Interview Questions, the ones that will be actually posed during the interview process. The Interview Questions contain the same substantial content as the RQ, but are the addressed to the interviewee and are arranged in a logical sequence to smoothen the interview process.

CRQ: How and why do CIDA partner organizations use RBM methodology?

RQ1: How does the organization use RBM?

Question 1: Using your CIDA-funded project as a reference, could you please tell me about your personal experience using RBM approach?

Question 2: Could you please explain what role RBM plays in your organization? Has anything changed in that respect over the last few years?

Question 3: Using your CIDA-funded project as a reference, could you please explain step by step how RBM methodology is being applied in it?

Question 4: How does the logic model, PMF and risk register translate into your Work Plans and reports?

Question 5: Using your CIDA-funded project as a reference, could you please explain what does your organization do with the performance information, what does it use if for?

Question 6: What are the weak points, if any, of how your organization uses RBM approach? Is there anything you would change or improve?

RQ2: For what reasons and purposes does the organization use RBM?

Question 7: Based on your experience, what are the advantages of using RBM approach in the management of international aid projects?

Question 8: Based on your experience, what are the disadvantages of using RBM approach in the management of international aid projects?

Question 9: Do you see a relationship between the use of RBM and achieving project's goals – project's effectiveness?

Question 10: Do you see a relationship between the use of RBM and efficiency in using project's resources (staff, money, time)?

Question 11: If this decision depended on you and RBM were not a donor requirement, would your organization still use it? Why yes/ why not? If yes, what would you use RBM for?

Question 12: CIDA likes to refer to RBM as a management strategy or philosophy that emphasizes development results in planning, implementation, monitoring, reporting, learning and making adjustments, and that integrates strategy, people, resources, processes, and measurements to improve decision making, transparency, and accountability. On the other hand, some project evaluators call RBM a management or evaluation tool. Based on your experience what do you think could be the difference between using RBM as a tool or a strategy? Do you think your organization uses RBM as a tool or a strategy?

ANNEX 3: Data analysis: Coding (insert the pdf. file – 10 pages)

Question 5: Using your CIDA-funded project as a reference, could you please explain what does your organization do with the performance information, what does it use if for?

Our donor reports! That's the big one! Our performance information is used, well, it is used as a tool to annually, and I would even say more frequently than annually, semi-annually assess our progress. So we have done this a number of times when we've assessed where we are so far with our annual targets and our by-the-end-of-the-project targets. And we've actually changed course. We've changed strategy to a certain extent over the course of the project. One example, just to make it nice and clear: as part of our project MI was funding 60 integrated nutrition units in prioritized municipalities. We had been pushing for this for probably about 2 years and every 6 months for sort of assessing what was the best way to insure that we would get to the 60, because the ??? [22.27] was really quite slow, the administrative delays in the Ministry of Health were causing a lot of backlog, and a lot of staff change over in those 60 units and so every, probably more frequently than 6 months, probably every, quarterly, we were sitting down and trying to assess what was the best way that we could help the Ministry of Health, change our strategy, and it got to the point that we actually decided that this wasn't something that was worth MI funding any more and by us backing off the Ministry of Health would have to take on a much more active role and so after, I guess 3 years despite the fact that this was in our Project Implementation Plan to support them for the whole length of the project, after 3 years we stopped funding them.

Uno de los elementos que estamos impulsando en definitiva es impulsar en el sistema público de salud la utilización de la información, la utilización para la toma de decisiones.

Y en su organización también?

En nuestra organización también. Toma de decisiones, en esto recalco que la toma de decisiones no es el ultimo paso, si no la conversión de esa decisión en una acción efectiva. Institucionalmente, la información que vamos recabando del trabajo constante y, recalco, a no ser operadores si no brindar asistencia técnica, para nosotros es fundamental el socializarla. El transmitirla a los diferentes niveles, a los diferentes niveles, a los diferentes niveles, sean niveles jerárquicos sean operativos retroalimentar esa información...

En el país?

En el país.... Para impulsar los procesos de análisis. Que sucede? En el sistema de salud... tenemos un sistema nacional de información en salud que es el SNIS, que es el sistema oficial de información. Si tu me preguntas cuanto crédito tiene la información

que genere ese sistema y cuanta gente lo utiliza efectivamente, es muy poco. En términos de credibilidad y en términos de utilización. Y partimos del hecho de que si no usamos la información, no vamos a tener la posibilidad de mejorar su calidad y obviamente impulsar los procesos de utilización. La información es deficiente en términos de calidad, en términos de oportunidad en el conjunto del sistema de salud, porque no tenemos el habito cultural, institucional de utilizar la información. Y al no utilizarla no hacemos un esfuerzo por mejorar la información en términos de calidad, en términos de oportunidad. Institucionalmente, considero que el manejo de la información, el impulso de los procesos de gestión utilizando como una herramienta fundamental la información que tenemos disponible es un proceso permanente y que nos ayuda a superarnos permanentemente. Consideramos que el proceso de enseñanza-aprendizaje es un proceso recíproco y es un proceso permanente. Nosotros vamos aprendiendo permanentemente de la realidad que vamos observando de los diferentes actores y esas enseñanzas las vamos aplicando en lo que es nuestro conocimiento institucional, enriquecemos nuestro conocimiento institucional para volver a volcar esa información enriquecida otra vez hacia el sistema de salud, hacia los operadores del sistema de salud. Con mucha pena realmente hemos visto en nuestra experiencia y te recalco, desde mucho años atrás... yo soy medico de profesión y de profesional muy joven tuvo la oportunidad de trabajar en los diferentes niveles del sistema nacional de salud en Bolivia, fui partícipe de toda la creación del sistema nacional de información desde el inicio, en realidad llegue a conocer el antiguo sistema de información y la estructuración del nuevo y ya te digo: la cantidad de recursos humanos, tiempo, económicos que sean invertidos en la consolidación de ese sistema de información ha sido terriblemente grande en función a los resultados que se tiene de ese sistema de información y cuan útil es? A tal punto ha llegado esta situación que al nivel del Ministerio se han tenido que plantear mejoras y sistemas alternos de información para poder complementar y mejorar la calidad de información. Te planteo un ejemplo: tenemos el sistema nacional de información que captura información de estado nutricional, de distribución de micronutrientes, coberturas, etc. Tenemos el bono Juan Azurduy que por necesidades propias de la estructura del bono ha generado un propio sistema de información. Y resultaba sorprendente en las exposiciones de las autoridades del programa Desnutrición Cero el no utilizar la información de los SNIS y utilizar la información del bono Juan Azurduy. Si está muy bien que se utilice la información del bono Juan Azurduy pero algo que consideramos no se puede soslayar es la información que genera el sistema oficial de información en Bolivia que es el SNIS. Eso ocasiona el problema de que la información no es coincidente, de que unos trabajan unos indicadores, otros trabajan otros y uno empieza a cuestionar si es bueno y quien tiene la verdad, quien tiene la mejor información. Creo que eso ha sido un elemento que ha sido adecuadamente evaluado por las autoridades nacionales y se ha iniciado un esfuerzo de integración de los sistemas de información en uno solo, que es el SOAP que actualmente está trabajando. Y la integración de la información del bono al SOAP, la información del Esguinc, de diferentes esfuerzos que se han generado para más bien enriquecer el sistema nacional único de información, así como toda la información del sistema logístico de abastecimiento y distribución que está manejado por el sistema Sialsalni ¿? Que también se lo está integrando al SOAP de tal modo de tener un sistema de información mucho más sólido. Cuales son los grandes retos así adelante. Los grandes retos así adelante en esta medida yo creo es que se debe dimensionar de una manera adecuada los saltos y las mejoras en los sistemas de información que están ligadas a mejoras tecnológicas. Te doy un ejemplo: en el sistema Sialsalni que es el sistema, no se si has escuchado hablar, pero es un sistema de administración logístico. En Bolivia tenemos el seguro materno-infantil, el SUMI cada

prestación del SUMI, por diarreas, por infecciones respiratorias está ligada a la entrega de medicamentos o de insumos. Entonces el Sialsalni es el sistema que controla la entrega de esos insumos ligada a las prestaciones del seguro de tal forma que esa información es transmitida a los municipios para que los municipios hagan la devolución de los recursos que implican las prestaciones que han brindado los diferentes establecimientos para reponer los fondos. La creación del Sialsalni fue un progreso, es un programa computacional que fue implementado en las farmacias institucionales municipales en cada establecimiento de salud y en el principio de su implementación surgieron problemas muy concretos. No había personal capacitado para manejar el sistema. En muchos casos se improviso personal y esto por la experiencia operativa nosotros vimos operativamente este programa. Y el personal asignado no sabia manejar una computadora. Entonces el sistema no funcionaba adecuadamente no porque el diseño del sistema tenga deficiencias porque es un sistema muy bien diseñado si no porque los operadores en gran parte del país no tienen las habilidades ni las destrezas suficientes para manejar adecuadamente una computadora. Entonces se ha dado un salto muy importante que ha originado un quiebre y el SOAP yo estimo... el Ministerio ahorita está en proceso de prueba en las redes de salud, el SOAP es un sistema computarizado de trabajo en red en los establecimientos de salud que posiblemente se choque con ese tipo de inconvenientes. Creo que los saltos tecnológicos son muy importantes, aportan muchísimo, pero nuestra realidad nacional, hay un quiebre muy importante en niveles operativos respecto a su conocimiento y su capacidad de utilizar la tecnología para mejorar esos sistemas. Y si a eso sumas que hay una alta rotación de personal el problema se complica más porque haces un gran esfuerzo en capacitar a las personas para que operen ese sistema, están pocos meses, los cambian y tienes que volver a iniciar el proceso. Creo que esos elementos conjuntamente han hecho que no hay la cultura de utilización de la información, si no la información se ve como un requisito burocrático. Lleno mis informes porque presento mis informes y me pagan pero no me tomo la molestia de analizar la información que tengo. El sistema nacional de información incluso tiene los comités de análisis de información estructural incluso las salas situacionales de análisis de información. Si? Y tal vez un elemento complementario que vale la pena mencionarte es que los comités de análisis vienen funcionando hace muchos años. Los problemas a nivel local siguen siendo con algunas mejoras básicamente los mismos. Se llegan a hacer análisis de información, se identifican los problemas, se llega al punto de tomar decisiones y decir necesitamos hacer esto para mejorar esto, necesitamos esto para mejorar esto, pero el convertir eso a una acción efectiva, allí es donde existe el quiebre. No hay los mecanismos técnicos, administrativos, gerenciales para convertir esas decisiones en acción efectiva. Y eso a llegado a un desgaste. Lo que es, muy bien, analizamos, identificamos el problema, tomamos decisiones, pero no cambia nada, porque no hay la posibilidad de que esas decisiones se conviertan en acciones efectivas.

Y en su organización? Porque es muy interesante lo que usted ha dicho sobre Bolivia, eso es lo que me interesa mucho también. Pero seria interesante ver si estas lecciones que usted observa en el país influyen de alguna manera las decisiones en la organización misma y no solamente aquí pero también en Canadá. Como funciona eso, como su organización aprende?

Yo creo que a nivel institucional en la relación que establecemos con Canadá el proyecto de Bolivia la comunicación es sumamente fluida, el flujo de la información es permanente. Yo creo que aporta mucho, tenemos el habito de análisis permanente de la realidad, porque es muy cambiante. Y vemos que es necesario adecuarnos a la realidad

cambiante, buscar nuevas estrategias, nuevas alternativas que permitan viabilizar de una manera más rapida, más efectiva la implementación de las actividades del proyecto o la consecución de los determinados resultados. Es un proceso de análisis permanente y de adecuación permanente a la realidad que vamos identificando en el país. Porque te menciono y hago mucho la referencia a la realidad nacional? Por la característica del nuestro proyecto. Si? El equipo de [redacted] en Bolivia somos 6 personas. O sea institucionalmente tenemos un equipo muy reducido, pero básicamente vemos la realidad de todo el país. Y nuestro relacionamiento con esa realidad es absolutamente constante y permanente y nos afecta de una manera directa entonces es un proceso de aprendizaje permanente, de análisis de realidad, de análisis de información de irnos adecuando a los nuevos desafíos que se van generando para ver la factibilidad de los mejores caminos para operativizar estas acciones. Y la comunicación con MI Canadá en este sentido es permanente. De tal forma que Canadá no es ajena a la realidad que vivimos en el país. El análisis de la información, en análisis de la realidad es permanentemente compartido con Canadá. Y institucionalmente eso nos permite tener un muy adecuado relacionamiento que nos permite redirecionar, nos permite buscar nuevas estrategias, nuevas alternativas para ir afrontando los nuevos retos que se vienen presentando como producto de esa realidad cambiante. Si?

So it's really, it's, it's to use this information to develop the log frame for the following year. And ideally it's, it's also to tweak or to adjust the activities of the following month, yeah? So for instance, if we see in the month of March that we had a, we saw a spike in malnutrition, you know, say it went up from, you know, 10%, 12% or 13%, just over the span of a month, you know, in, in, in a, then we know that we will go back to those communities and we are gonna focus more maybe, maybe, maybe we, we take away a training on domestic violence and say we add another training on nutrition. That's the idea. That is the idea. So the coordinators have meetings, monthly, with the, you know, the director of their project, the supervisor of their project to go over those results and then to take a look at the, at the "cronograma" for the following month and to make sure that in those weak areas we're, we're doing activities around information, knowledge presentation and training.

Ajustar las estrategias por ejemplo a veces pasa que no estamos logrando la meta y que está pasando? Tienes que revisar las estrategias, revisar los recursos quizás hemos puesto más aquí y menos aquí, no, ver los recursos y también el grupo objetivo que estamos dirigiendo, niños, madres. Son huertas u huertas familiares donde va a ir, a quienes, a todas las madres, solamente las mamas con los niños, las mamas con desnutridos, o sea dentro de las, cada trimestre tenemos un capitulo que se llama un análisis de debilidades, soluciones, que te ha pasado en este trimestre, no, que logros has tenido y también que debilidades ha habido, lecciones aprendidas, no. Eso te permite tomar la siguiente trimestre, no, ajustar. Tenemos desayuno escolar que también damos a los niños en (el nombre de la comunidad). Entonces porque han venido niños menos en este trimestre, no, y porque han venido más en este trimestre entonces tenemos que revisar y ver cuales son las causas, no, de las... aumento o disminución de coberturas, no, en las atenciones.

Y esta evaluación de debilidades, como se la hace?

Solo como, como, que obstáculos has tenido este mes, no? Como pregunta no más dentro de la misma evaluación, cuales son tus debilidades, tus obstáculos y cuales han sido tus mejores acciones que has hecho este mes.

Personales, como técnicos?

Como técnicos, como técnicos. Y también elegimos la mejora historia de éxito, por ejemplo. Quien este mes ha tenido una mejor historia de éxito. Y esas son las que vamos haciendo, no? Historias de éxito para rescatar porque aquí nos piden también historias de éxito, no.

reporting — Internal

Quien les pide?

La oficina, tienes que mandar a, a... aquí en la central de (el nombre de la organización) las historias de éxito, no, de lo que estamos trabajando. Si, eso motiva mucho.

5. So I would say that this happens at three levels. The obvious level is that we use the performance information to report to the donor. And so we submit semi-annual repots to CIDA and to the Ministry of Health. And, so that's one use of the data. We use the data in the (name of the organization) office and for us we use it for evaluation of our programs, we, I do a monthly reporting to our senior staff about the progress of the project and so any challenges are identified in that form.

reporting to donors externally and to the Ministry — (partner)

Sorry, is it standardized this monthly reporting, everybody reports on the same things?

reporting to senior staff — Internally

To the senior staff?

Yes.

No. So it's something that we don't have a standard report, we have a standard financial template and analysis that we use. We do not have a standard programmatic one. I think partly because we've been working to try and have, we have a technical team in the (name of the organization) Canada office and we've been working to try and have participation from different technical team members as well as the manager and so we've kept the format quite fluid to allow for participation by different people. There are certain areas that I know if I don't include them in my presentation I will be asked about. So although we do not have a formal format that is used because the same senior staff attends each of the programmatic meetings and comes each month to my meeting after about 2 or 3 meetings it becomes very clear, make sure you include this information. So it's I guess it's understood without having been formalized. So that performance information is shared there I also, because 10% of the funding comes from Canadian public, from Canadian donations, performance information is shared with Canadian public through various (name of the organization) publications or website updates or letters sent out to donors. And so performance information is certainly also used in support of ensuring the funding of the project. And then at the other level obviously the performance information is used in the (name of the organization) Bolivia office we use it, like I said as a basis for our annual work planning session to have an analysis of our progress to date, any adjustments to our strategy that are necessary, if there are areas where we're not seeing a significant advance or looking if we're having unexpected advances in other areas, how can we replicate this for other interventions. So this is done on an annual basis but we also have quarterly meetings between (name of the organization) Bolivia, (name of the person) whom you have met, the project coordinator, the gender advisor, I do not know if you've met her, (name of the person), and the

reporting to Canadian public external use

annual planning / progress to date / adjustments to strategy

unexpected advances, how to replicate it — Internal uses

regional staff. So we have, they're called program units, the PUs, so we have one PU in Sucre, which manages the interventions in Potosi, Chuquisaca and Cochabamba; we have another in El Alto, which manages La Paz interventions. In Oruro we have partner organization (name of the organization), and then in Tarija we have, we actually have no municipalities in Tarija, but because of how large the Chuquisaca program unit is, there are certain municipalities that is easier to enter through Tarija then from Sucre, so we've involved the Tarija office also in for the municipalities that are managed from there. And so there's quarterly meetings with the PU staff to look at progress and challenges also. And to make sure there's an ongoing follow-up and that problems are identified not only once per year. And so yes.

So the performance information is used internally, too.

Yes.

... But within the Bolivia office. As you mentioned before, you don't usually share the information between the regions.

So the performance information for the project would be included in the annual report that is sent to the regional and to the international headquarters. It's not included as project specific information, it's included as advances in health, advances in education, advances in early childhood education, so we parcel it off into whatever the relevant thematic area is instead of being presented as project advances. But would be, in that way shared with the (name of the organization) community. We do tend to have also regional workshops for (name of the organization), where, we had one in May on early childhood development and risk reduction. And so we had a presentation there about these elements of the project and how this would be developed and this is something at the regional level we have at least one a year. And because the thematic areas of the (name of the project) are so broad it's likely that there would be project-specific presentations for (name of the organization) staff in many of these workshops. Just because if it's a health workshop obviously there's a considerable amount to discuss but the project also has elements of nutrition security, and reproduction, it has water and sanitation and some sexual and reproductive health, risk reduction. So it's a very broad project and would have cross-country sharing in our regional workshops.

6 Bueno, los resultados son mostrados al nivel de las redes de salud, no? En los CAIS departamentales, es esta consolidación. Entonces se les va mostrando al nivel de los actores en avance de los indicadores para que ellos pues tomen decisiones, sean parte del ajuste de la estrategia. Sirve de análisis para el estado situacional de la salud materno infantil en cada uno de los municipios con los tomadores de decisiones para que ellos también pueden incluir presupuesto en algunas debilidades que están notando, no, o que ellos sugieran acciones para mejorar la implementación del proyecto. Entonces es, yo creo que esa es la, el principal uso de los resultados, no? En, también, estos usos de los resultados para mostrar avances al financiador, no, como se esta ejecutando el presupuesto asignado, es decir, el impacto que se ha teniendo el proyecto con financiamiento otorgado al proyecto. No, bueno y este, al nivel interno también el interno de (el nombre de la organización) utilizamos para aprendizaje, la gestión del conocimiento, no, como las acciones que se están desarrollando dentro del proyecto acciones de coordinación, acciones de intersectorialidad, de integralidad, de relacionamiento con los ministerios, con los garantes de derechos están logrando los

resultados del proyecto. Entonces cuando, es un especie de modelo para que otros proyectos tengan una forma similar para la intervención, no?

Entonces otros proyectos, programas pueden también aprovechar...

Si

...del aprendizaje...

Si, del aprendizaje... si

de (el nombre de la organización) Bolivia, no?

Si, si, así es.

It is used:

1) For reporting back to CIDA and to our donors in Canada
2) For monitoring the progress of planned activities and planned results by field and headquarters staff, and as indicators of strengths to learn and capitalize on or weaknesses that need to be addressed
3) It is used for reporting progress to our board of directors
4) For metrics reporting for the organization in terms of the work we do on a global scale
5) It is used for communications regarding our programs and impact to the Canadian public.

Primero es, porque tenemos como te decía relaciones contractuales con financiadores entonces nosotros paso uno es hacemos un reporte estratégico a los financiadores para decirles lo que estamos haciendo, eso es paso uno para cumplir compromiso. Segundo hacer resúmenes por ejemplo de los proyectos y asegurar este estándar que te menciono es una es la información que puedo utilizar como histórico para cualquier otro financiador, no, mostrar como gerencialmente estamos teniendo todo bajo control para que vean que soy confiable que soy refinanciable y que tengan la certeza de que mi rendimiento es alto. Lo mismo con los socios que son locales, nosotros retroalimentamos toda la información a la, a los socios locales, sean municipios, sea el gobierno departamental, o las propias juntas escolares, nosotros trabajamos con niños, las juntas escolares en las unidades educativas o las alcaldías, compartimos la información periódicamente.

Y dentro de la organización, para que se utiliza la información?

Porque nosotros tenemos un que se llama ese, "senior management team" y yo como estoy a cargo de todo eso periódicamente reporto el avance global de los proyectos y uno por uno y monitoreemos también la parte financiera entonces son, ese análisis digamos, rendimiento global de la oficina y yo reporto, toda esa información la utilizo para eso. Y para la oficina regional, nosotros tenemos la oficina regional en Panamá entonces estamos reportando semestralmente.

Y usted tiene este sentido que esa información se utiliza para el aprendizaje dentro de la organización o no, todavía falta?

Como te decía si nosotros queremos ser líder en la región entonces un poco vamos hacer escuela en este sentido para los demás países, no? Porque si todos estuvieran trabajando con esta lógica yo creo que estaríamos brillando con luz propia.

Entonces no trabajan?

No todos, no todos los países. Lo he estado investigando, como te digo, yo soy nueva, he estado investigando la lógica de los monitoreos y no eran así tan, no era por gestión por resultados no era así enfocado en esto, no era así como herramienta. Entonces yo tengo certeza de que podemos ser liderazgo de país, de región para institucionalmente hablando y entonces ya he ido compartiendo mis herramientas gerenciales a los otros países etc. el enfoque pero vamos a, quiero digamos en 6 meses demonstrar que ese funciona, que puede hacer llevar el rendimiento.

9. Bueno, nosotros tenemos dos niveles en los cuales utilizamos... bueno, son varios pero lo puedo resumir en dos niveles, uno al nivel interno. A nivel interno nos permite a nosotros generar todos los informes para nuestro financiador, en este caso para ACDI, a nivel interno también nos permite hacer una evaluación de nuestro personal en función al avance alcanzado de las responsabilidades que se ha dado, y también en cierta medida, pero como ya sabes como no ha sido fácil al nivel presupuestal hacer un seguimiento presupuestal. Eso con respecto a los resultados a nivel interno. A nivel externo si se puede decir las organizaciones, específicamente en el caso del nuestro proyecto con (el nombre de la organización) los resultados, utilizar a autoevaluarse. No con respecto a nuestro proyecto, porque nuestro proyecto tiene sus propios indicadores pero externamente si bien algunos indicadores o resultados son los mismos en nuestro proyecto que en las organizaciones o en (el nombre de la organización), el (nombre de la organización) tiene también sus propios indicadores y sus propios resultados entonces a nivel externo, los resultados que ellos obtienen con esa gestión por resultados nosotros también los traemos para generar los informes, evaluar el avance, un seguimiento y demás.

Bueno, y para su organización a nivel interno, generar los informes, evaluación de su personal, hacer seguimiento del presupuesto, todo eso toca la gestión de proyecto o programa, pero hay algo como "learning", hay algo como evaluación entre programas y charlando entre la gente de otros programas sobre que funciono, que no funciono para aprender entre Ustedes dentro de la organización?

Bueno, específicamente en mi caso no. yo no ahorita no tengo conocimiento especifico se por ejemplo que estamos con un proyecto como (el nombre de la organización) Honduras bajo el mismo modelo lógico y gestión por resultados pero no tenemos unas charlas entre nosotros mismos, no, eso no, a nivel interno como (el nombre de la organización) mundial, no. Yo aparentemente estoy implicado en las conversaciones sobre el uso del mismo, los resultados que se obtiene y como es de funcionamiento, no.

Y es algo que piensas que seria útil hacer, o no?

Bueno, personalmente yo no veo tampoco una gran utilidad de mismo porque cada proyecto tiene sus resultados específicos a alcanzar, difícil para mi seria hablar con una persona sobre los resultados del proyecto con respecto a un proyecto de salud. Si, podría ser útil sobre este paradigma, visión o metodología del trabajo y tal vez

implicancias que esto tiene y como se puede utilizar de una manera mas efectiva o adaptarse, si. Pero para especificamente para los casos de cada proyecto, no, porque no hay una vinculación. Lo que si pero no entre nosotros pero el (el nombre de la organización) y las organizaciones que apoyamos eso si, tenemos debates permanentes porque eso es lo que hemos hecho el primer ano hasta adaptarnos bien a la gestión por resultados con los beneficiarios, o los socios del proyecto sobre la gestión por resultados la implicancia, la utilidad, y los beneficios que eso nos puede traer, no solo para el proyecto sino bien para las organizaciones.

10a L'information sur le rendement. Qu'est-ce que tu entends, est-ce que c'est le rapport a l'ACDI, le rapport sur le rendement a l'ACDI?

Ça peut être utilisé pour cela justement, l'information que vous obtenez en faisant le suivie d'un projet, qu'est-ce que vous faites avec cette information?

Je ne comprends pas bien la question.

Je parle d'information sur les résultats que vous obtenez dans votre projet.

Ah, les informations qu'on obtient sur les résultats nous aide à ajuster le... est-ce qu'on est, par rapport à la planification est-ce qu'on est correct, est-ce qu'on est à intérieur de la planification, oui ou non et si non, mais qu'est-ce qu'on fait pour... le plus vite dans... pour atteindre certains résultats. Donc oui, c'est stratégique d'avoir, donc nous de toute façon à chaque 6 mois, ben non, on en a plus souvent parce que on sait exactement pour plusieurs indicateurs mensuellement ou on est-ce qu'on est rendu pour tel indicateur et effectivement l'information qu'on obtient au niveau des résultats est vraiment stratégique pour suivie et pour mettre des mesures correctives pour certaines activités si on atteint pas des résultats escomptés. C'est stratégique. Si non ça serait naviguer les yeux fermés.

Et par exemple, est-ce que vous utilisez cette information sur rendement, sur des résultats par exemple, parlant avec d'autres gestionnaires d'autres programmes de différentes pays, est-ce qu'il y a une sorte d'échange d'information sur la performance des projets entre vous dans l'organisation ou cette information sert seulement dans le programme pour l'améliorer, avoir des actions correctives dans le programme de Bolivie?

Ça sert seulement, ça sert au projet en tant que tel. Pour d'autres informations qu'on peut obtenir, mais c'est au niveau des leçons apprises, « lessons learned ». Ça oui, de manière globale « lessons learned » ça peut servir à plusieurs projets du même type du développement économique. Mais pour un projet en particulier ces informations au niveau de suivi servent au projet en particuliers.

Et quel genre d'information vous sert pour « learning »?

C'est pas nécessairement le genre d'informations qui sont dans les résultats à atteindre, c'est plutôt dans les stratégies, qui sont pas, les stratégies sont pas ici. Les stratégies pour atteindre les résultats... c'est plus au niveau, le « learning » c'est plus au niveau des stratégies. Si on avait la bonne stratégie, la bonne approche ou pas. Des fois on essaye des choses et ça fonctionne pas comme on pensait... souvent à cause des différences culturelles ou... chaque pays est différent.

Est-ce que vous le mesurer ou décrivez?

On le constate. On l'a constaté, c'est justement, quand on fait le suivi des résultats, on n'est pas capable d'atteindre tel résultat, ça fonctionne pas, mais pourquoi ça fonctionne pas, puis on essaye de fouiller la question. On dit, ok, ça fonctionne pas à cause de telle, telle, telle raison. On se parle aussi avec des spécialistes de l'ACDI, comme les spécialistes GED, différentes spécialistes qui suivent le projet de la part de l'ACDI pour nous c'est des collaborateurs, donc a tel problème, regardez est-ce que vous avez déjà vécu cette situation-la et comment vous l'avez fait face?

Est-ce que vous avez une stratégie globale pour votre programme en Bolivie?

Oui, oui. Oui dans le c'est plus au niveau des résultats ou le type des résultats qu'on va atteindre. On va atteindre résultats d'accroissement de la richesse pour les populations pauvres, donc c'est la où on travaille beaucoup. On travaille beaucoup en création de la richesse le slogan d'ailleurs de (le nom de la organisation) c'est créer, protéger et distribuer la richesse. Donc les trois mots sont importants mais la création de richesse et la distribution de richesse, nous on travaille beaucoup a travers des coopératifs, pour nous une coopérative c'est une entreprise qui doit créer la richesse et la richesse doit appartenir aux membres. Donc s'il n'y a pas de création de richesse on n'a rien fait. Et si la richesse n'est pas distribuée de manière équitable parmi les membres, on n'a rien fait non plus. Donc les deux aspects sont très importants donc la stratégie c'est vraiment, ça je dirais c'est la stratégie pour la Bolivie puis c'est la stratégie pour tout (le nom de la organisation) en fait ça parle de la répartition de la richesse mais c'est au niveau des assurances parce que (le nom de la organisation) travaille aussi au niveau de la micro-assurance en, dans d'autres pays.

to include in another point -> they measure impact of their projects - poverty reduction

Alors ce n'est pas mesurable, vous ne mesurez pas la création de la richesse, la distribution de la richesse?

Projet par projet oui. Oui, projet par projet oui, d'ailleurs des indicateurs de la création de richesse sont très, très précis, on dit dans chacune de famille on va atteindre tel ou tel niveau. Donc on a vraiment des cibles chiffrés au niveau de... chacun des projets pour dire ok, c'est pas de dire qu'on va demander 15%, ok, on parte de où, on veut emmener a quelle endroit.

Et ça c'est la mesure de...

De la création de richesse.

... de...

...succès de projet. Si le revenu n'a pas augmenté... on n'a rien fait. Mais c'est ça que, on peut avoir... amélioré au niveau des compétences, au niveau de savoir faire des personnes mais on est la nous pour oui des compétences, oui savoir faire mais oui qu'il y ait plus d'argent dans leurs poche, c'est ça qu'il est but du projet qu'on fait.

Question 6: What are the weak points, if any, of how your organization uses RBM approach? Is there anything you would change or improve?

ANNEX 4 Data analysis: Thematic analysis

Different uses of performance information: external use, internal use

External use:

- Donor reports

1. Our donor reports! That's the big one! Our performance information is used, well, it is used as a tool to annually, and I would even say more frequently than annually, semi-annually assess our progress.
5. The obvious level is that we use the performance information to report to the donor.
6. (...) también, estos usos de los resultados para mostrar avances al financiador, no, como se esta ejecutando el presupuesto asignado, es decir, el impacto que se ha teniendo el proyecto con financiamiento otorgado al proyecto.
7. It is used for reporting back to CIDA, and to our donors in Canada.
8. Primero es, porque tenemos como te decía relaciones contractuales con financiadores entonces nosotros paso uno es hacemos un reporte estratégico a los financiadores para decirles lo que estamos haciendo, eso es paso uno para cumplir compromiso.
9. A nivel interno [la información sobre el rendimiento] nos permite a nosotros generar todos los informes para nuestro financiador, en este caso para ACDI

- Reports to Canadian public

5 (...) also, because 10% of the funding comes from Canadian public, from Canadian donations, performance information is shared with Canadian public through various (name of the organization) publications or website updates or letters sent out to donors. And so performance information is certainly also used in support of ensuring the funding of the project.
7. It is used for communications regarding our programs and impact to the Canadian public.

- Reports for partners for their decision-taking and auto-evaluation

2. Uno de los elementos que estamos impulsando en definitiva es impulsar en el sistema público de salud la utilización de la información, la utilización para la toma de decisiones.
5. And so we submit semi-annual reports to CIDA and to the Ministry of Health.
6. Entonces se les va mostrando al nivel de los actores en avance de los indicadores para que ellos pues tomen decisiones, sean parte del ajuste de la estrategia. Sirve de análisis para el estado situacional de la salud materno infantil en cada uno de los municipios con los tomadores de decisiones para que ellos también pueden incluir presupuesto en algunas debilidades que están notando, no, o que ellos sugieran acciones para mejorar la implementación del proyecto.
8. Lo mismo con los socios que son locales, nosotros retroalimentamos toda la información a la, a los socios locales, sean municipios, sea el gobierno departamental, o las propias juntas escolares, nosotros trabajamos con niños, las juntas escolares en las unidades educativas o las alcaldías, compartimos la información periódicamente.
9. A nivel externo si se puede decir las organizaciones, específicamente en el caso del nuestro proyecto con (el nombre de la organización) los resultados, utilizan a autoevaluarse. No con respecto a nuestro proyecto, porque nuestro proyecto tiene sus propios indicadores pero externamente si bien algunos indicadores o resultados son los mismos en nuestro proyecto que en las organizaciones o en (el nombre de la organización), el (nombre de la organización) tiene también sus propios indicadores y sus propios resultados entonces a nivel externo, los

resultados que ellos obtienen con esa gestión por resultados nosotros también los traemos para generar los informes, evaluar el avance, un seguimiento y demás.

- To be included in project proposals to potential funders

8. Segundo hacer resúmenes por ejemplo de los proyectos y asegurar este estándar que te menciono es una es la información que puedo utilizar como histórico para cualquier otro financiador, no, mostrar como gerencialmente estamos teniendo todo bajo control para que vean que soy confiable que soy refinanciable y que tengan la certeza de que mi rendimiento es alto.

Internal use:

- To do the follow-up

5. (...) performance information is used in the (name of the organization) Bolivia office, we use it, like I said as a basis for our annual work planning session to have an analysis of our progress to date (...)
5. And so there's quarterly meetings with the PU staff to look at progress and challenges also. And to make sure there's an ongoing follow-up and that problems are identified not only once per year.
7. It is used for monitoring the progress of planned activities and planned results by field and headquarters staff.
10. Ah, les informations qu'on obtient sur les résultats nous aide à ajuster le... est-ce qu'on est, par rapport à la planification est-ce qu'on est correct, est-ce qu'on est à intérieur de la planification, oui ou non (...)

- To take corrective actions by: changing strategy, reallocating resources

1. So we have done this a number of times when we've assessed where we are so far with our annual targets and our by-the-end-of-the-project targets. And we've actually changed course. We've changed strategy to a certain extent over the course of the project.
2. Y vemos que es necesario adecuarnos a la realidad cambiante, buscar nuevas estrategias, nuevas alternativas que permitan viabilizar de una manera más rápida, más efectiva la implementación de las actividades del proyecto o la consecución de los determinados resultados. Es un proceso de análisis permanente y de adecuación permanente a la realidad que vamos identificando en el país.
2. Y institucionalmente eso nos permite tener un muy adecuado relacionamiento que nos permite redirecionar, nos permite buscar nuevas estrategias, nuevas alternativas para ir afrontando los nuevos retos que se vienen presentando como producto de esa realidad cambiante.
3. And ideally it's, it's also to tweak or to adjust the activities of the following month, yeah? So for instance, if we see in the month of March that we had a, we saw a spike in malnutrition, you know, say it went up from, you know, 10%, 12% or 13%, just over the span of a month, you know, in, in, in a, then we know that we will go back to those communities and we are gonna focus more maybe, maybe, maybe we, we take away a training on domestic violence and say we add another training on nutrition. That's the idea. That is the idea. So the coordinators have meetings, monthly, with the, you know, the director of their project, the supervisor of their project to go over those results and then to take a look at the, at the "cronograma" for the following month and to make sure that in those weak areas we're, we're doing activities around information, knowledge presentation and training.

4. Ajustar las estrategias por ejemplo a veces pasa que no estamos logrando la meta y que está pasando? Tienes que revisar las estrategias, revisar los recursos quizás hemos puesto más aquí y menos aquí, no, ver los recursos y también el grupo objetivo que estamos dirigiendo, niños, madres.
10. (...) effectivement l'information qu'on obtient au niveau des résultats est vraiment stratégique pour suivie et pour mettre des mesures correctives pour certaines activités si on atteint pas des résultats escomptés. C'est stratégique. Si non ça serait naviguer les yeux fermés.

- To inform planning sessions

3. So it's really, it's, it's to use this information to develop the log frame for the following year.
5. (...) performance information is used in the (name of the organization) Bolivia office, we use it, like I said as a basis for our annual work planning session to have an analysis of our progress to date, any adjustments to our strategy that are necessary, if there are areas where we're not seeing a significant advance or looking if we're having unexpected advances in other areas, how can we replicate this for other interventions.

- To evaluate staff

9. (...) a nivel interno también [la información sobre el rendimiento] nos permite hacer una evaluación de nuestro personal en función al avance alcanzado de las responsabilidades que se ha dado (...)

- To report to the senior managers

4. Y también elegimos la mejora historia de éxito, por ejemplo. Quien este mes ha tenido una mejor historia de éxito. Y esas son las que vamos haciendo, no? Historias de éxito para rescatar porque aquí nos piden también historias de éxito, no.
- Quien les pide?
La oficina, tienes que mandar a, a... aquí en la central de (el nombre de la organización) las historias de éxito, no, de lo que estamos trabajando. Si, eso motiva mucho.
5. And, so that's one use of the data. We use the data in the (name of the organization) office and for us we use it for evaluation of our programs, we, I do a monthly reporting to our senior staff about the progress of the project and so any challenges are identified in that form
5. So the performance information for the project would be included in the annual report that is sent to the regional and to the international headquarters.
7. It is used for reporting progress to our board of directors
8. Porque nosotros tenemos un que se llama ese... "senior management team" y yo como estoy a cargo de todo eso periódicamente reporto el avance global de los proyectos y uno por uno y monitoreemos también la parte financiera entonces son, ese análisis digamos, rendimiento global de la oficina y yo reporto, toda esa información la utilizo para eso. Y para la oficina regional, nosotros tenemos la oficina regional en Panamá entonces estamos reportando semestralmente.

- To learn:

I. To capitalize on strengths and address weaknesses
2. Institucionalmente, considero que el manejo de la información, el impulso de los procesos de gestión utilizando como una herramienta fundamental la información que tenemos disponible es un proceso permanente y que nos ayuda a superarnos permanentemente.
4 (...)cada trimestre tenemos un capitulo que se llama un análisis de debilidades, soluciones, que te ha pasado en este trimestre, no, que logros has tenido y también que debilidades ha habido, lecciones aprendidas, no. Eso te permite tomar la siguiente trimestre, no, ajustar.

4. que obstáculos has tenido este mes, no? Como pregunta no más dentro de la misma evaluación, cuales son tus debilidades, tus obstáculos y cuales han sido tus mejores acciones que has hecho este mes.
7. It is used to learn and capitalize on or weaknesses that need to be addressed

II. To assess strategy, if it can serve as a model

6. (...) al nivel interno también el interno de (el nombre de la organización) utilizamos para aprendizaje, la gestión del conocimiento, no, como las acciones que se están desarrollando dentro del proyecto acciones de coordinación, acciones de intersectorialidad, de integralidad, de relacionamiento con los ministerios, con los garantes de derechos están logrando los resultados del proyecto. Entonces cuando, es un especie de modelo para que otros proyectos tengan una forma similar para la intervención, no?
10. Les stratégies pour atteindre les résultats... c'est plus au niveau, le « learning » c'est plus au niveau des stratégies. Si on avait la bonne stratégie, la bonne approche ou pas. Des fois on essaye des choses et ça fonctionne pas comme on pensait... souvent à cause des différences culturelles ou... chaque pays est différent.

III. To see if unexpected results can be replicated

(...) performance information is used in the (name of the organization) Bolivia office, we use it, like I said as a basis for our annual work planning session (...) if there are areas where we're not seeing a significant advance or looking if we're having unexpected advances in other areas, how can we replicate this for other interventions.

- To do budget follow-up

9. (...) y también en cierta medida, pero como ya sabes como no ha sido fácil al nivel presupuestal [nos permite] hacer un seguimiento presupuestal.

ANNEX 5 Glossary of useful RBM terms (Glossary Of Evaluation and Results-based management (RBM) Terms, 2000; Results-Based Management Policy Statement, 2008)

NOTE: Terms are delineated in alphabetic order and sources (CIDA, OECD) given in the brackets

Accountability

An obligation to provide a true and fair view of performance and the results of operations (OECD)

Activities

Actions taken or work performed through which inputs are mobilized to produce outputs (CIDA). Activity is also used as a general term for development interventions such as projects, programs, loans, grants, etc (OECD).

Beneficiaries

The individuals (the target groups) or organizations that benefit, directly or indirectly, from the development intervention. The distinction is commonly made between direct (intended) beneficiaries and indirect (not intended) beneficiaries (OECD).

Effectiveness

A measure of the extent to which a development intervention has attained its objectives at the goal or purpose level (OECD).

Efficiency

A measure of how economically inputs (funds, expertise, time, etc.) are converted to outputs (OECD).

Evaluation

An assessment, as systematic and objective as possible, of an on-going or completed development intervention. The aim is to determine the relevance of objectives, developmental efficiency, effectiveness, impact and sustainability. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process of both partner and donor (OECD).

Indicator

A quantitative or qualitative variable that provides a simple and reliable basis for assessing achievement, change or performance (OECD).

Impact

At CIDA 'Impact' was replaced with 'Ultimate Outcome' as the highest level of development result achievable by an investment or program (CIDA).

Inputs

The financial, human, material and information resources used to produce outputs through activities and accomplish outcomes (CIDA).

Logic model

At CIDA a logic model replaced a logical framework approach (LFA). The logic model provides a visual snapshot of the investment activities, outputs and results. Sometimes also called a 'results chain', it is a depiction of the causal or logical relationships between activities, outputs and the outcomes of a given policy, program or initiative (CIDA). The logic model is divided into 6 levels: inputs, activities, outputs, immediate outcomes, intermediate outcomes and ultimate outcome, each of which represents a distinct

step in the causal logic of a policy, program or initiative (CIDA). The bottom three levels (inputs, activities and outputs) address how of an initiative while the top three levels (outcomes) constitute the actual changes that take place: the development results (CIDA).

Monitoring

A continuing function that uses systematic collection of data to provide management and the main stakeholder of an ongoing development intervention with early indications of progress and achievement of objectives.

Outcomes

At CIDA, with the new logic model, outcomes represent development results and are classified as: Immediate (short term), Intermediate (medium-term) and Ultimate (long-term) (CIDA).

Outputs

The direct products or services stemming from the activities of an organization, policy, program or initiative (CIDA).

Partners

The institutions that collaborate to achieve mutually agreed upon objectives. Note: partners may include governments, NGOs, international non-governmental organization, universities, professional and business associations, private businesses, etc (OECD).

Performance

The degree to which a development intervention or institution operates according to specific criteria/standards or achieves results in accordance with stated expectations (OECD).

Performance measurement

Activities undertaken by line management to assess performance of development interventions and agency operations (OECD). Measuring performance is a vital component of the RBM approach (CIDA). Performance measurement is undertaken on a continuous basis during the implementation of investments so as to empower managers and stakeholder with 'real-time' information (use of resources, extent of reach, and progress towards the achievement of outputs and outcomes) (CIDA). This helps identify strengths, weaknesses and problems as they occur and enables project managers to take timely corrective action during the investment's life cycle (CIDA). This in turn increases the chance of achieving the expected outcomes (CIDA).

Performance measurement framework

At CIDA, an RBM tool, a plan, used to systematically collect relevant data over the lifetime of an investment to assess and demonstrate progress made in achieving expected results (CIDA). It documents the major elements of the monitoring system and ensures that performance information is collected on a regular basis (CIDA). It also contains information on baseline, targets, and the responsibility for data collection (CIDA). As with the LM, the PMF should be developed and/or assessed in a participatory fashion with the inclusion of local partners, beneficiaries, stakeholders and relevant CIDA staff (CIDA).

Result

A describable or measurable change in state that is derived from a cause-and-effect relationship. Results are defined as outcomes, which are further qualified as immediate, intermediate, or ultimate (CIDA).

Results-based management

A broad management strategy aimed at achieving important changes in the way agencies operate, with improving performance and achieving results as the central orientation (OECD). Results-based

management provides a coherent framework for strategic planning and management by improving on learning and accountability (OECD).

RBM is a life-cycle approach to management that integrates strategy, people, resources, processes, and measurements to improve decision-making, transparency and accountability (CIDA). RBM is essential for CIDA's senior management to exercise sound stewardship in compliance with government-wide performance and accountability standards (CIDA). The approach focuses on achieving outcomes, implementing performance measurement, learning, and adapting, as well as reporting performance (CIDA). CIDA has developed three main RBM working tools: the logic model (LM), the performance measurement framework (PMF) and the risk register.

Results chain

It is a depiction of the causal and logical relationships between the inputs, activities, outputs, and outcomes or a given policy, program, or initiative (CIDA).

Review

An assessment of the performance of a development intervention, periodically or on an *ad hoc* basis (OECD).

Risk register

At CIDA an RBM tool that lists the most important risks, the results of their analysis and a summary of mitigation strategies (CIDA). Information on the status of the risk in included over a regular reporting schedule (CIDA).

Stakeholders

Agencies, organizations, groups or individuals who have a direct or indirect interest in the development intervention, or who affects or is affected positively or negatively by the implementation and outcome of it (OECD).

Sustainability

The continuation of benefits from a development intervention (such as assets, skills, facilities or improved services) after major development assistance has been completed (OECD).

Target group

The specific group for whose benefit the development intervention is undertaken (OECD).