

**Independent Evaluation of the
Implementation of Results-Based Management
at the United Nations Office of the
High Commissioner for Human Rights (OHCHR)**

Final Evaluation Report

September 2019

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*External Consultants have prepared this report. The views expressed herein are those of the
Consultants and therefore do not necessarily reflect the official opinion of OHCHR.*

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Table of Acronyms

ASG	Assistant Secretary-General
AWP/CP	Annual work and cost plan
CSO	Civil society organisation
CTMD	Human Rights Council and Treaty Mechanisms Division
DAC	Development Assistance Committee
DHC	Deputy High Commissioner
EA	Expected accomplishment
EYR	End-of-year review
FOTCD	Field Operations and Technical Cooperation Division
GMO	Global Management Output
HC	High Commissioner
HR	Human rights
HRA	Human rights advisor
HRC	Human Rights Council
HRM	Human Resource Management
IM	Information Management
IPSAS	International Public Sector Accounting Standards
JIU	Joint Inspection Unit
KM	Knowledge Management
KPI	Key performance indicator
LGBTI	Lesbian, gay, bisexual, transgender and intersex
M&E	Monitoring and evaluation
MOPAN	Multilateral Organisation Performance Assessment Network
MYR	Mid-year review
NGO	Non-governmental organisation
NHRI	National human rights institution
OEAP	Organisational Effectiveness Action Plan
OECD	Organisation for Economic Cooperation and Development
OHCHR	Office of the High Commissioner for Human Rights
OIOS	Office of Internal Oversight Services
OMP	OHCHR Management Plan
PBRB	Programme Budget and Review Board
PMS	Performance monitoring system
PPMES	Policy, Planning, Monitoring and Evaluation Service
PSMS	Programme Support and Management Services
QCPR	Quadrennial Comprehensive Policy Review
RB	Regular budget
RBM	Results-based management
RC	Resident Coordinator
RGA	Regional Gender Advisor
RO	Regional office

SDG	Sustainable Development Goal
SMT	Senior Management Team
TESPRDD	Thematic Engagement, Special Procedures and Right to Development Division
TOR	Terms of Reference
UN	United Nations
UNCT	United Nations country team
UNDAF	United Nations Development Assistance Framework
UNSDG	United Nations Sustainable Development Group
UNDP	United Nations Development Programme
UNEG	United Nations Evaluation Group
UNGA	United Nations General Assembly
UNOG	United Nations Office at Geneva
UN-SWAP	United Nations System-Wide Action Plan
UPR	Universal Periodic Review
USG	Under-Secretary-General

Acknowledgements

This evaluation of the implementation of Results Based Management in the Office of the High Commissioner for Human Rights was carried out by Camille Massey (team member) and Mark Singleton (team leader and owner/CEO of Nexus Strategy Consultancy). We would like to thank all staff at OHCHR for their kind collaboration in the execution of this evaluation. We are deeply grateful to the many individuals who made their time available to engage in frank discussions, provide information and answer questions. Special thanks go to Jennifer Worrell, Sabas Monroy, Sylta Georgiadis, Tetsuya Hirano, Teresa Albero, Karin Buhren, Vaida Jones and Sakura Chounramany at PPMES for their valuable guidance and tireless effort to provide us with the necessary documentation, background information as well as logistical support. Also, we would like to express our sincere gratitude to Natalia Cepeda and Juan-Carlos Monge at OHCHR Bogota, and to Seynabou Dia and Meriem Knani at OHCHR Tunis, for their generous hospitality and support before, during and after the field visits.

30 September 2019

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I. Executive Summary

I.1. Background

OHCHR is a relatively young and small UN organisation with 1343 staff and total funding of USD 314 million per year (2018)¹. It is part of the UN Secretariat and operates under its regulatory framework. Although its financial and human resources have grown over the past decade, they remain relatively modest and do not match the scope of the Office's mandate and level of ambition.

OHCHR's mandate is to "promote and protect all human rights and fundamental freedoms for all"². Its mandate corresponds with one of three pillars of the UN Charter. Its mandate is unique, politically challenging and constantly expanding. OHCHR leads the UN's global human rights efforts, which can only be achieved through the collective efforts of member states, civil society, the UN system, other agencies, the private sector, trade unions, parties to armed conflict, etc. Thus, when analysing OHCHR's results-based management (RBM), it is important to keep in mind that the Office is one of many actors, operating in oftentimes volatile conditions.

At the outset, OHCHR was predominantly involved in standard setting and monitoring of UN Member States' human rights obligations as well as human rights conditions in Member States. RBM only made its way into OHCHR in the late 1990s, when the Office took on additional tasks such as human rights advocacy, technical assistance and capacity building of governmental and civil society partners. Since then, and especially during the past decade, OHCHR has undertaken various efforts to instil a results culture within the Office, as a way to enhance understanding and implementation of OHCHR's strategic direction, establish more timely and transparent strategic decision-making processes, as well as to achieve and measure greater impact. OHCHR took numerous Initiatives to apply RBM principles, as evidenced by more appropriate use of RBM principles in the daily work of staff and in the focus on results in OHCHR Management Plans (OMPs) and annual reports. In its OMP 2014-17, the Office committed itself to ensure the ongoing integration of RBM into its work and facilitate the effective and efficient functioning of internal decision-making bodies. This approach was reiterated in the OMP 2018-21.

I.2. Methodology

This evaluation was commissioned by OHCHR and conducted between late April and mid-September 2019. The purpose of this evaluation was to assess the implementation of RBM in OHCHR between 2014 and 2018 and produce recommendations across six evaluation criteria: relevance, efficiency, effectiveness, impact, sustainability and gender integration. The objectives of the evaluation were to:

¹ OHCHR Annual Report 2018

² /64/203/Add. I, 14 September 2009.

- i. Identify areas of strength and areas for improvement in the implementation of RBM in the Office;
- ii. Produce useful lessons learned and good practices that illustrate successful and unsuccessful strategies in the implementation of the RBM approach, and critical factors; and
- iii. Produce clear and actionable recommendations identifying concrete actions and responsibilities for OHCHR to undertake towards the achievement of its objectives related to RBM.

The evaluation followed prescribed evaluation principles and guidelines.³ Based on an initial evaluability assessment and agreement on the approach, we drew on 100 primary and 177 secondary sources of data. Primary data was obtained from 59 semi-structured face-to-face interviews with sampled OHCHR staff in HQ, 20 interviews and 2 focus group discussions with altogether 29 staff at the OHCHR offices in Bogota and Tunis; and 9 remote interviews. In addition, although originally not envisaged, we interviewed 3 representatives of major donors with a keen interest in RBM. Also, 147 OHCHR staff contributed through an all-staff survey. Secondary data was obtained from 177 documents. These included OHCHR's own corporate management information, evaluation reports produced by UN entities, independent evaluation reports commissioned by OHCHR, external audits, and third-party assessments of OHCHR such as the 2019 MOPAN assessment⁴. Finally, OHCHR provided access to its intranet, through which we were able to analyse OHCHR's internal RBM systems and data.

The evaluation findings were presented and discussed with OHCHR staff and members of senior management at a workshop on 19 September 2019, confirming the key findings and identifying practice measures to operationalise the evaluation's recommendations.

1.3. Main Findings

The Office has invested significantly and systematically in various areas of RBM, well-beyond the formal requirements of the UN Secretariat. RBM was intended to unite staff around a common vision, contribute to a strong and coherent results culture and – thus - change the way the Office works. Starting with a focus on strengthening accountability for the results it sought to achieve, the Office set aside modest resources to develop its own bespoke planning, monitoring and reporting tools. In 2011, driven by a strongly committed senior management, it rolled-out its own tailor-made, standardised performance monitoring system (PMS), developed in-house expertise on RBM, issued user guidance notes, and provided in-house training to 800 staff at HQ and in field offices. Its RBM system links the planning, budgeting, monitoring and reporting to corporate strategies, results and management outputs.

RBM was given a major 'boost' when, in 2014, OHCHR moved from a biennial to a quadrennial timeframe for its OMP 2014-17, centred around an office-wide theory of change, expected

³ <http://www.uneval.org/document/detail/1914>

⁴ OHCHR 2017-18 Performance Assessment, MOPAN April 2019

accomplishments and global management outputs. Similarly, the consultative planning process for the OMP 2018-21, whereby staff and external parties were actively involved, also helped foster a common vision, corporate identity and 'results' mindset' among staff, and encourage two-way communication with external partners.

These investments have paid off – today, OHCHR is in a much better position than 10 years ago both in terms of knowing what it is contributing to, to what extent and why; and communicating this to others. The investments and innovations that followed were carried out by OHCHR staff themselves, which has helped build support from within for what, in essence, boils down to a paradigm shift. There is strong evidence that staff increasingly apply RBM principles and make use of RBM tools and instruments to make informed decisions that are focused on results. Despite the Office's diversity (across themes, work streams, distinct geographies and views on OHCHR's core business), we also witness a positive trend to incorporate perspectives that transcend departmental interests and practices. Donors interviewed, have expressed satisfaction over the Office's implementation of RBM.

Other achievements include well-established strategic management, performance monitoring and results reporting practices; a positive trajectory in terms of planning and performance re. gender integration and women's empowerment; the establishment in 2014 of a dedicated evaluation unit with corresponding policies and practices; and, more recently, a growing recognition of the need to enhance RBM in areas such as results-based budgeting; thematic analysis; knowledge management; and information management.

At the same time, there are areas where improvements can still be made. Evidence suggests that the OMP 2018-21 is less clear than its predecessor in terms of the way its internal results chain logic is structured. Also, RBM means different things to different people, and although progress to date has been commendable, there is a need to better articulate the RBM principles and practices and share these with all staff. In that regard, we found evidence of staff perceiving RBM largely in terms of project-level operations and tools, rather than a comprehensive 'mindset'.

RBM is not yet fully recognised for its contribution to learning and generation of knowledge. The evaluation function is still very modest. And although OHCHR is a data driven organisation, only very recently have initiatives been taken to strengthen information management and knowledge management, including ways to improve the exchange of knowledge and experience across the organisation and incorporate these in the programming cycle.

Since its roll-out in 2011-13, RBM training has been lacking and needs are once again high, across the Office. Furthermore, we found that the PMS is not sufficiently user-friendly, and reporting requirements at times unnecessarily high, leading to disproportionate time spent on reporting. Importantly, the Office has not yet developed ways to integrate results-based budgeting within its RBM system, making it difficult to assess the cost-efficiency and cost-effectiveness of

investments. Similarly, RBM has yet to make its way into human resource management (HRM), in particular in staff performance and career planning.

1.4. Conclusions and Recommendations

OHCHR has come a long way in developing and implementing a results' focus within the organisation. It has achieved well beyond what could normally be expected from a medium-sized multilateral organisation. A paradigm shift is happening internally; RBM is now almost universally supported as an approach, and commitment is high and genuine. This achievement is all the more commendable, if we consider the very challenging and, in some respects, constraining environment in which the Office operates.

The OMP 2014-17 and the OMP 2018-21 set the strategic direction of the Office. They reflect the high level of ambition and direction of travel – illustrated through the shifts and spotlight populations – that the organisation has set for itself. As a communications tool and a basis for engagement with stakeholders, they are highly effective. From an RBM perspective, however, the OMP 2018-21 is less clear than its predecessor. The multitude of results and targets as well as the lack of clarity around the latest OMP's Theory of Change and Results Framework, makes it a less suitable framework for prioritisation, internal monitoring of the Office's contribution to achievements against objectives, subsequent adjustments, and reporting. It is too vast and complex to provide the kind of clarity needed in operational terms. Given the funding constraints the Office is currently facing with regard to its regular budget, the unlikelihood that XB funding will continue to grow at the same pace as before, and the risk of spreading scarce resources too thinly, strategic-level prioritisation is a must. It is also an integral part of RBM. Prioritisation will require improvements in areas such as results-based budgeting, monitoring and reporting.

Within OHCHR, so far, RBM is largely defined in terms of its accountability function, and less so in terms of learning. So far, most effort has been spent on the programming cycle: planning, monitoring and reporting, in support of fundraising and accountability to donors. With the growing reliance on XB funding and the donors' increased attention on results ('value for money' considerations), this choice is merited. The flipside however is that it has led to an 'instrumentalisation' of RBM. We see an overemphasis on the sophistication of planning, monitoring and reporting tools and instruments, with other equally important RBM areas receiving less attention. These include strategic clarity and direction, developing a results culture, improving information management (IM) and knowledge management (KM), integrating substantive and financial data, fostering learning, promoting broader and more effective collaboration and coordination between divisions at HQ and between HQ and Field Offices. Although the Office is data-driven and data-heavy, it does not yet have a corporate position on IM, whilst KM has only recently been identified as an office-wide priority. This, too, is an area where significant positive gains can be made with small investments.

The focus on planning, monitoring and reporting has led to an excess of plans and reports, increasing rather than decreasing transaction costs. Staff spend too much time on writing

documents that too few people actually have time to read, use and comment upon, defeating the purpose of monitoring for decision-making and learning. The PMS, like many other such systems, is not a user-friendly tool; data entry is labour-intensive, and the products are difficult to search, read and understand. Despite its potential as a source of information and basis for analysis and knowledge, in practice, few people make use of its functionalities beyond what is mandatory.

Decision-making on matters pertaining to the programming cycle is primarily the responsibility of the PBRB. Decisions on budgeting/costing, spending and adjustments needed, are taken mostly at HQ-level. Field presences, who in many cases are a key source of fundraising and the driving force behind the delivery of results, lack authority over “their” resources.

RBM components are closely interrelated, with feedback loops between them. Thus, strengthening the implementation of RBM in OHCHR will require a systemic and dynamic approach, whereby interventions in RBM would be better synchronised and sequenced than is currently the case. Our recommendations focus on four priority areas:

1. Accelerate efforts to foster an RBM mindset within the organisation. This will include a variety of actions, such as clarifying the OMP 2018-21 theory of change; issuing an RBM manual; providing compulsory (refresher) RBM training and on-the-job coaching to staff; stronger emphasis on the importance of strategic thinking and management within HRM policies and practices.
2. Streamline, consolidate and simplify the PMS to reduce the administrative burden and release capacity for implementation and learning, recognising that striking a balance between standardisation on the one hand, and flexibility on the other will always be challenging. Related to this, generate a better understanding of planned versus actual performance and of cost-effectiveness of investments / interventions as a means to contribute to transparent, evidence-based prioritisation and decision-making. This is pertinent in all cases but even more important in the event of funding challenges.
3. OHCHR should aim to strike a better balance between accountability and learning. Among others, this can be achieved by adding more human and financial resources to the evaluation function as well as closer collaboration between sections and departments across the entire organisation, to help strengthen the use of existing data and generate more and better knowledge and understanding of each other’s work and identify synergies. This is particularly relevant to thematic exchange between HQ and the field offices, but also between staff involved in areas such as fundraising, external communications, knowledge management and information management. The Office has identified Knowledge Management as one of nine Organisational Effectiveness Action Plans and needs to resource it as a matter of urgency.
4. Finally, ensure that a results-culture does not evolve into a ‘control-culture’. More data does not deliver greater accountability. Overall, there is a need to move from management by rule, to management by exception, with less need for ex-ante permission, and more ex-post

accountability. In this regard, while acknowledging the breadth of its mandate, it is important to remain focused on the type of results the Office seeks to contribute to, the long-term character involved, and the diverse contextual challenges involved. While the goals remain aspirational, expectations and management of results must be grounded in realism.

2. Introduction

2.1. Programme Background

OHCHR's strategic direction is set out in its vision statement, thematic/pillar strategies and expected accomplishments of its OHCHR Management Plan (OMP), within the framework of the Human Rights Programme of the Secretary-General's Strategic Framework which has been endorsed by the General Assembly.

During the past decade, OHCHR has undertaken various efforts to impart a results culture within the organisation, as a way to enhance understanding and implementation of OHCHR's strategic direction and establish more timely and transparent strategic decision-making processes. Senior management has also driven initiatives to apply results-based management (RBM) principles, as evidenced by more appropriate use of RBM principles in the daily work of staff and in the focus on results in OMPs and annual reports. In its OMP 2014-17, the Office committed itself to ensure the ongoing integration of RBM into its work and facilitate the effective and efficient functioning of internal decision-making bodies.

2.2. Evaluation Background

This evaluation was first suggested in 2014 by the Office's evaluation focal points network. During the preparation of the evaluation plan 2016-2017, focal points again suggested that an RBM evaluation should be carried out, a suggestion which was re-iterated during the preparation of the plan 2018-21 and included as one of the approved evaluations in the Evaluation Plan for the Office. Subsequently, two independent external evaluators were commissioned to undertake an independent evaluation of the implementation of Results-Based Management (RBM) in OHCHR⁵. The evaluation was commissioned by OHCHR, based on the evaluation plan approved by senior management, and managed by the Office's Policy Planning, Monitoring and Evaluation Service (PPMES). The evaluation was conducted from 29 April until 19 September 2019.

Purpose

The purpose of the evaluation was to assess the implementation of RBM in OHCHR and produce recommendations across each of the following six evaluation criteria:

Table 1: Evaluation criteria

Evaluation Criteria	Definition
Relevance:	The extent to which the implementation of RBM is relevant to the mandate of OHCHR, its expected results according to the OMP, and the needs of stakeholders

⁵ For a full description, see the TORs in Annex I

Efficiency:	The extent to which the Office has economically converted resources and assets into results during the implementation of its RBM strategy
Effectiveness:	The degree to which planned results and targets of the implementation of RBM in the Office have been achieved
Impact orientation:	The extent to which the implementation of RBM contributes to the development of a culture of results in the Office, and the way in which it has affected OHCHR as an organisation, including through unintended results ⁶
Sustainability:	The likelihood that the results of the implementation of RBM are durable and form the basis for future improvement
Gender integration:	The degree to which a gender perspective has been integrated in all the activities and processes of the RBM implementation in the Office

Objectives

The objectives of the evaluation were to:

- iv. Identify areas of strength and areas for improvement in the implementation of RBM in the Office;
- v. Produce useful lessons learned and good practices that illustrate successful and unsuccessful strategies in the implementation of the RBM approach, and critical factors; and
- vi. Produce clear and actionable recommendations identifying concrete actions and responsibilities for OHCHR to undertake towards the achievement of its objectives related to RBM.

The evaluation took both a summative and a formative approach. It looked at results achieved or not achieved so far (summative) with a view to inform the Office's work in the future (formative). This report delivers findings, observations and recommendations that are meant to directly support the work of PPMES and the Senior Management Team (SMT), and as a consequence, indirectly support OHCHR staff in further strengthening a results-focus in their daily work.

Scope

Conceptually, the evaluation took a comprehensive, systemic approach to RBM. It assessed the implementation of RBM during the entire programming cycle 2014-2017 at the corporate, programme and regional/country levels in OHCHR Headquarters and field presences. This covers

⁶ The evaluation looked at the achievement of organisational impact, not development impact

first and foremost the areas of planning, monitoring, evaluation, reporting and decision-making, as well as related areas such as knowledge management, information management, organisational culture and human resource management. The planning process conducted in 2017-2018 for the preparation of the OMP 2018-21⁷ was also considered.

2.3. Methodology

The evaluation followed the Evaluation Cooperation Group (ECG) guidelines and principles, and UNEG's evaluation principles and guidelines.⁸ It used OECD-DAC criteria to guide the enquiry, focusing on the key areas and issues of interest to Senior Management as expressed in the inception phase. Based on an initial evaluability assessment and agreement on the approach articulated in the inception report, we conducted the evaluation in the following manner.

The evaluation's overall approach was guided by the following principles:

- **Credibility** – that is, ensuring that the best evidence available is harnessed through strong methodology, and that it is analysed appropriately, so as to generate findings, conclusions and recommendations that resonate, and that management can therefore feel confident acting on.
- **Independence** – ensuring the evaluation team does not have any dependency links with any part of OHCHR, or any conflicts of interest;
- **Impartiality** – ensuring the evaluation is not influenced by the positions of any particular individual or administrative entity within or outside OHCHR, so that its judgements do not serve particular positions or interests;
- **Usefulness** – ensuring the evaluation yields knowledge and recommendations that are specific, relevant, realistic and actionable.

We used contribution analysis structured around the following steps:

- Based on key-informant interviews at OHCHR headquarters and on document review, we reconstructed the theory of change of RBM, in particular its key assumptions – both internal and external;
- We then collected data on evaluation questions, in particular regarding the key elements of the theory of change and its key assumptions;
- Thereupon, we triangulated data under each evaluation question, with the guidance of evaluation sub-questions, and confronted findings with the harvested outcomes, in order to demonstrate typical chains of results and outcomes.

The evaluation drew on extensive amounts of primary and secondary sources of data. Based on sampling, primary data was obtained from:

- 59 semi-structured face to face interviews with sampled OHCHR staff in HQ. These included members of Executive Direction and Management; Policy, Planning, Monitoring and Evaluation Service; Programme Support and Management Service; Field Operations and

⁷ OHCHR Management Plan 2018-21

⁸ <http://www.uneval.org/document/detail/1914>

Technical Cooperation Division; Human Rights Council and Treaty Mechanisms Division; Thematic Engagement, Special Procedures and Right to Development Division.

- Field visits: We visited HQ and the OHCHR offices in Tunis and Bogota. The Tunis office offers a well-documented example of RBM design and implementation at a field office level. In Tunis, we interviewed 3 interviewees, and held two focus group discussions with an additional 9 participants. The Bogota office is the largest and one of the oldest field presences. There, we held in-depth interviews with 16 staff in the Country Office and 1 representative in the Medellin sub-regional office.
- Other field presences: We conducted 9 remote in-depth interviews with a representative sample of staff from regional offices, country offices, human rights components in peacekeeping operations, and human rights advisors, as well as New York Office.
- Other key informants: although originally not envisaged, we interviewed 3 representatives of major donors with a keen interest in RBM.
- Staff survey: To cover a larger sample of OHCHR staff and simplify survey administration, both at HQ and in the field, a perception survey in the form of a questionnaire was conducted among all OHCHR staff. The survey comprised 20 questions, mostly 'closed', with an opportunity to add comments for each question. The survey also included questions about the respondents' functional area, length of service and seniority level on the basis of which we disaggregated and compared responses. Survey data was analysed using standard survey techniques. The respondent rate was 11 %.

Primary data collection was used to corroborate, or contest findings suggested by other sources; to test the reasonableness of assumptions underpinning the design logic of RBM within OHCHR; and deepen our understanding of the RBM objectives and implementation in context for the purposes of lesson-learning.

Secondary data was obtained from:

- 177 Open source documentation provided by OHCHR: OHCHR policies, strategies, plans, and manuals. These included OHCHR's own corporate (financial, operational and administrative) management information, including budget, work-plan, corporate performance data and reports; relevant evaluation reports produced by OIOS and JIU, relevant evaluation reports commissioned by OHCHR, and relevant external audits; Relevant third-party assessments of OHCHR, such as the recent MOPAN assessment⁹
- Closed source documentation (Intranet) provided by OHCHR

For secondary data/document review we used evidence templates, structured in line with the evaluation questions and indicators. We populated the templates with empirical data from the documents/data sets reviewed. In synthesising the data, we used evidence matrices to locate, juxtapose, reconcile, adjudicate and integrate findings from our multiple sources. In synthesising evidence to reach a judgement, we included "strength of evidence" ratings to accompany our key findings.

⁹ OHCHR 2017-18 Performance Assessment, MOPAN April 2019

The evaluation findings were presented and discussed with OHCHR staff and members of senior management at a workshop on 19 September 2019, confirming the key findings and identifying practical measures to operationalise the evaluation's recommendations.

2.4. Limitations

Originally, the evaluation was expected to commence early 2019. Administrative processes took longer than expected, however, causing a delay to the starting date. The evaluation was conducted between 29 April and 19 September. Working within a confined budget implied that no more than two field visits could be conducted. The selection of the field visit locations proved challenging and time-consuming, and the timing of the visits coincided with mid-year reporting requirements, the annual meeting of heads of offices in Geneva, and the summer holiday period, which meant that not all staff were available at the time of the visit.

In view of the limited visibility to field-level implementation of RBM, the evaluation purposely included remote interviews with field-based staff as well as a survey among all staff. The survey was not finalised until late June, which seems to have contributed to a lower than expected 149 respondents, of which 69 were based in Geneva or New York, 37 in the Americas, 12 in Asia & the Pacific, 10 in Africa, 9 in the Middle East, and one undisclosed. Although the survey results do tend to corroborate other sources of evidence, a higher response rate would have been preferred.

3. Main Findings presented according to evaluation criteria

3.1. OHCHR: context and characteristics

Mandate

OHCHR's mandate is to “promote and protect all human rights and fundamental freedoms for all”¹⁰, a mandate that is unique, politically challenging, and constantly expanding. As the principal UN office mandated to do so, OHCHR leads the UN's global human rights efforts. Its work is articulated around six pillars¹¹:

- Mechanisms: Increasing the implementation of the outcomes of international human rights mechanisms;
- Development: Advancing sustainable development through human rights;
- Peace and security: Preventing violations and strengthening protection of human rights, including in situations of conflict and insecurity;
- Non-discrimination: Enhancing equality and countering discrimination;
- Accountability: Strengthening rule of law and accountability for human rights violations;
- Participation: Enhancing participation and protecting civic space.

Its strategic direction is set out in its vision statement, thematic priorities (pillars) and expected accomplishments (results). This strategic direction is set within the framework of the Human Rights Programme of the Secretary-General's Strategic Framework which has been endorsed by the General Assembly. The strategic direction is elaborated in the OHCHR Management Plans (OMP).

Organisational Structure and staffing

OHCHR is a relatively young and small UN Department of the UN Secretariat with 1343 staff and total funding of USD 314 million per year¹². As part of the UN Secretariat, OHCHR is directly accountable to the Secretary-General and the General Assembly. The High Commissioner for Human Rights is the principal, independent human rights official of the United Nations, and is appointed by the UN General Assembly (UNGA). OHCHR's headquarters is stationed in two locations: the main HQ in Geneva, headed by the High Commissioner supported by a Deputy High Commissioner at the Assistant Secretary General (ASG) level; and the second in New York, headed by a second ASG. Furthermore, OHCHR has 12 regional offices, 17 country or stand-alone offices, 32 human rights advisors located within UN missions or operations, and 4 other types of field presences, with human rights officers serving in UN peace missions or political offices¹³.

¹⁰ /64/203/Add. 1, 14 September 2009

¹¹ The pillars comprise the international human rights mechanisms (the backbone of OHCHR's work), mainstreaming (in the two other UN pillars Development and Peace & Security), and the three key human rights principles emanating from all human rights treaties (participation, non-discrimination and accountability).

¹² Source: OHCHR Annual Report 2018, p. 8 (2019). The 2018 funding showed an increase of USD 69 million compared to 2017. Of the total amount for 2018, USD 125m was covered by the UN regular budget, USD 187m by voluntary contributions, and USD 1.8m through other sources.

¹³ Human Rights Report 2018, p. 10 (2019)

Field offices are created or closed upon request by host nations. On 1 January 2019, 56% of staff were based in the Geneva Office and the New York HQ¹⁴. The remaining 44% of staff are based in the field. An increasing proportion of the staff is funded by voluntary contributions, particularly in the field.

Funding

Financially, in 2018, OHCHR received 40% of its annual budget from the UN Regular Budget (RB).¹⁵ It relies increasingly on voluntary (XB) contributions. Despite increased efforts to expand, and secure XB-funding, the predictability of this funding remains a major challenge. Flexibility for allocating available resources, due to the increase in earmarked funding, is another.

Partnerships

Operationally, OHCHR works with many partners to execute its mandate. Partners include governments, legislatures, courts, independent institutions within national authorities, civil society organisations at national and international levels, other civil society actors such as media and academia, the private sector, unions, development agencies, regional and international organisations, and the UN-system.

Governance

As an entity within the UN Secretariat, OHCHR operates under the Secretariat's Strategic Framework, undertaking its planning and reporting processes in accordance with guidance and review mechanisms provided by the Committee for Programme and Coordination (CPC), the Advisory Committee on Administrative and Budgetary Questions (ACABQ) and the Third and Fifth Committees of the General Assembly. The regulatory framework of the UN Secretariat applies to OHCHR; as a consequence, OHCHR has limited influence over finance, human resources, budgeting, IT systems and programming for its regular budget, all of which is centralised in the UN secretariat in New York. While OHCHR continues to participate in these processes, over the years it has taken measures to help strengthen an office-wide results culture within the Office and support it with OHCHR-specific tools and processes.

3.2. Evolution of RBM within OHCHR

At the outset, OHCHR was predominantly involved in support to the standard-setting and the international human rights mechanisms, and the monitoring of UN Member States' human rights obligations as well as human rights conditions in UN Member States. With the growing focus on rights-holders and on the responsibilities of duty bearers to uphold human rights standards, a more programmatic and operational dimension was added, whereby the Office became increasingly involved in human rights advocacy, advice and capacity building of governmental and non-governmental partners in-country. This gradual, non-linear expansion of the Office's mandate and 'lines of operation' led to new partnerships, an increase in extra-budgetary project funding, mostly for (project-based) staff, the creation of new, project- or activity-based management

¹⁴ Ibid, p.8.

¹⁵ Ibid, p.72. The RB contributions in 2017 and 2016 were 43.6% and 44.8%, respectively.

processes, and additional reporting requirements. With the creation of the Policy, Planning, Monitoring and Evaluation Service (PPMES) and adoption of RBM principles in 2006, has since gradually developed its programmatic perspective, experience and capabilities, albeit within the confines of the governance structures and regulatory framework - the personnel, financial and administrative regulations and rules - of the UN Secretariat.

RBM first made its way into OHCHR in the late 1990s, in response to requirements expressed by the Board of Trustees for the UN the Voluntary Fund for Financial and Technical Cooperation. This occurred at a time when the UN as a whole came under increased scrutiny to improve its performance and demonstrate results, all the more so following the adoption of the Millennium Development Goals. The 2006-07 biennial plan was the first attempt to apply a results logic. In 2008, programme officers were recruited to mainstream a programmatic approach, using planning, monitoring and reporting tools based on RBM principles.¹⁶ Accountability, more than learning, was the main driver behind the adoption and implementation of RBM principles and practices.

Interviews with the most experienced OHCHR staff members, and the review of OHCHR's strategic planning documents, suggest that the recognition that all staff within the Office should work towards a common agenda, and that the focus needed to shift from activities to results for the Office as a UN entity, was not felt immediately.

The first time OHCHR systematically translated its mandate into *changes it sought to achieve* (i.e. results), was in 2008-09. These corporate-level results were used to articulate the thematic strategies in 2010-11, articulating the office-wide thematic priorities and expected thematic results. Subsequently, the first biennial Office Management Plan (OMP) 2012-13 provided global targets for each of the expected accomplishments and global management outputs for the biennium at the corporate level; these thematic results were then used to articulate results at the country level. This was followed in 2013, ahead of the 2014-2017 OMP preparations, by robust capacity building exercise and the roll-out of the PMS, along with a mandatory requirement to categorise these results in terms of corporate-level Expected Accomplishments within a select number of thematic priorities. In doing so, the Office took a conscious and brave decision to go well beyond the requirements set by the UN Secretariat, whose regulations, rules and procedures still applied, and find additional ways to determine and measure its added value to the promotion and protection of human rights and fundamental freedoms, in a transparent and accountable manner to all.

An important part of this move involved the establishment of OHCHR's in-house capability to introduce and roll-out RBM, in accordance with UN Secretariat requirements. In doing so, the Office applied a phased approach, starting with a focus on results-based planning, then monitoring to reporting and finally evaluation, with some preliminary attention devoted more recently to learning. Already in 2011, the Office started to develop and roll-out its own bespoke in-house tool, the Performance Monitoring System (PMS). More than just a monitoring tool, the PMS is an

¹⁶ Programme Officer P3 and P4 Job Descriptions, OHCHR (2008)

internet-based tool tailor-made to facilitate planning, monitoring and reporting in line with results-based management (RBM) principles and standards within OHCHR.¹⁷ It is the key repository within OHCHR on programme cycle management data. Based on the OMP result areas, it uses standard indicators for each of the corporate results the office contributes to. The PMS generates data at activity, output and outcome level and allows geographic and thematic aggregation of this information. All planning, monitoring and reporting activity is done through PMS, and all staff can access all data. The PMS is updated regularly, subsequent to policy adjustments.

As part of the roll-out of RBM and the PMS, the Policy Planning, Monitoring and Evaluation Service (PPMES) developed user guidance notes. It also developed and conducted an ambitious series of trainings for a sizeable number of staff at headquarters and in the field. These trainings were key in evolving from an activity-focused way of working, towards a culture of results in a results-based organisation, driven by a desire to make a lasting change in the lives of rights holders. According to PPMES, between 2011 and 2013, close to 800 staff were trained across the globe in the same, systematic way.¹⁸ Following these trainings, PPMES also provided a well-appreciated ‘help-desk’ support function for staff to assist them throughout the planning, monitoring and reporting process, as well as a Training of Trainers course for some staff.

RBM was given a major ‘boost’ when the OMP’s scope shifted from a 2 to a 4-year timeframe. The 2014-2017 Office Management Plan was the first four-year OMP, centred around a highly ambitious, office-wide vision and Theory of Change, with 11 Expected Accomplishments (EAs) and 8 Global Management Outputs (GMOs). The 2014-2017 OMP reiterated the strategic importance of a strong results-focus within OHCHR and became an important milestone in the organisation’s journey towards becoming a results-based organisation, accountable for these expected results. It was also the first time that programmatic aspirations were linked to organisational (management) goals and targets, while acknowledging that success would depend on many variables beyond the Office’s own control. The results culture now had to be translated at a much higher, strategic level, and harmonised through the operations of all country and thematic operations. In practice, most attention during this period went to the aspirational pillar-based EAs, and – understandably, given the scale of the changes involved and the limited resources available to guide this process - less to the Global Management Outputs (GMOs), dedicated to the managerial and support functions within OHCHR.

The OMP 2018-21 set out to address this shortfall and included 9 interconnected Organisational Effectiveness Action Plans (OEAPs)¹⁹ which are more detailed and S.M.A.R.T. than the GMOs in the 2014-17 OMP. The OEAPs are being monitored on a bi-monthly basis by senior management. With the OMP 2018-21, the Office further set a highly ambitious policy and institutional agenda for itself. It has maintained the thematic priorities, renaming these as Pillars, and added new cross-cutting areas of focus – the ‘Shifts’: (i) preventing conflict violence and insecurity; (ii) expanding

¹⁷ PMS leaflet, p. 2

¹⁸ 500 out of 591 staff in field offices, and 300 out of 752 at HQ. Source: Interviews with PPMES, RBM Trainers’ Guide, internal Document.

¹⁹ The OEAPs are: Strategic Leadership and Direction; Operations Management; Resource Mobilisation; Partnerships; Innovation; External Communications; Dynamic Knowledge; Diversity and Gender; and Managing our Talent.

civic space; (iii) broadening the global constituency for human rights; and (iv) exploring emerging human rights concerns/frontier issues (frontier issues include climate change, digital space/emerging technologies; corruption; inequalities; people on the move)²⁰. Shifts are lenses/aspects of all the pillars, which OHCHR wishes to “mainstream and emphasise in order to maximise impact. Simultaneously, the OMP targets certain (“spotlight”) populations, because they are most at risk, and/or constitute strong agents of change: women, persons with disabilities, young people.”²¹

The OMP further identifies various types of interventions/activities: provision of expert advice, facilitating learning and knowledge transfer, raising awareness, monitoring and reporting on human rights situations, human rights advocacy, providing direct protection to members of civil society and human rights defenders, facilitating dialogue between diverse stakeholders, building networks and alliances, and enabling the functioning of the international human rights mechanisms. In parallel, the Office has started dedicated increased attention to learning, through the development of evaluation functions and an evaluation culture, as well as the production of analytical products based on the data stored in the PMS. The Office has also started to network its staff according to key result areas or spotlight populations, by creating networks/communities of practice (e.g. on transitional justice and gender).

3.3. Findings

This section presents our findings against the evaluation criteria and evaluation questions as described in the inception report. In keeping with the TORs, we have chosen to analyse the implementation of RBM within OHCHR, rather than provide a detailed description of its many components.

It goes without saying that when assessing the adequacy of the Office’s results framework, processes, procedures and tools to the OHCHR’s mandate, needs and strategic priorities, it is critically important to consider these within the broader political, financial and institutional context. Two aspects stand out.

First, the Office is the principal UN agency mandated to promote and protect the full enjoyment, by all people, of all rights and fundamental freedoms, established in the UN Charter and in international human rights laws and treaties. Human rights are universal, interdependent and indivisible, and their standards are continuously refined, something stakeholders expect the Office to honour. The broad and expanding mandate means that the Office works for the promotion and protection of all rights for all people and assists those responsible for upholding such rights. The mandate’s scope covers everything from support to standard setting, to monitoring and reporting to strengthening capacity of governmental and civil society partners, in vastly different contexts. Not only does this imply that the Office’s (RBM) results framework, processes, procedures and tools must be equally comprehensive, it also creates very high and varied

²⁰ OMP 2018-21, pp. 42-45

²¹ Ibid., pp.48-49

expectations from all stakeholders towards OHCHR, and conversely affects the Office’s margin of choice to prioritise.

Secondly, the mandate and subsequently, the expected accomplishments are aspirational and can only be achieved through the collective efforts of all parties involved: member states, civil society, the UN family, other agencies, the private sector, trade unions, parties to armed conflicts, etc. The resources at OHCHR’s disposal, though having grown significantly during the past 10 years, remain relatively modest, and do not match the Office’s scope and level of ambition. Thus, when analysing RBM within OHCHR, it is important to keep in mind that the Office is but one of many actors, in highly volatile environments. Through its actions, OHCHR seeks to *contribute to* the achievements of these high-level results by strategically aligning its resources and actions to the results; it cannot, however, be held directly accountable for (non-)achievements, especially when taking into account that the promotion and protection of all human rights and fundamental freedoms for all, is a long-term objective that is subject to countless critical success factors beyond OHCHR’s control.

3.3.1. Relevance

<p>To what extent is the implementation of RBM coherent with the fundamental principles, mission and values of OHCHR?</p>	<ul style="list-style-type: none"> • What are the theory of change, objectives and intended results developed for the Office’s RBM approach? • To what extent are RBM processes, procedures and tools relevant and accessible/usable by all staff, regardless of their gender, status and other relevant characteristics? • To what extent do they integrate a Human Rights and Gender Equality Based Approach?
<p>How adequate to the OHCHR’s mandate, needs and strategic priorities are the Office’s results framework, processes, procedures and tools?</p>	<ul style="list-style-type: none"> • To what extent is the implementation of RBM aligned with the expected accomplishments, thematic priorities, indicators and targets) reflected in the Management Plans 2014-2017 and 2018-21? • To what extent are the Office’s results framework, and RBM processes, procedures and tools realistic in view of the external constraints faced by the Office? • To what extent do they take into consideration the results of monitoring of the implementation of applicable standards in the countries of coverage?

Findings

Theory of change of RBM in OHCHR

Although a theory of change of the deployment of RBM was never explicitly articulated, it can be reconstructed based on documents older than 2015 and interviews with the cadre that were involved in its deployment.

From the start, RBM was intended to increase the impact of the Office for the rights-holders. The assumption was that, faced with high expectations (expanding mandate, rights holders-oriented approach) and important challenges (limited resources and limited political and regulatory flexibility), the Office had to be more focused, geared towards effect, and optimise its work processes and resources towards its vision.

The introduction of RBM was therefore intended to unite the staff around common goals and change how OHCHR works.²² The expectation was that it would correct ongoing practices, characterised by activity-based business processes reproduced every year, at a time when demands within the mandate were increasing, the mandate itself was expanding, and resources were thinly spread. RBM was also meant to increase accountability towards, and trust from the donors,²³ as part of an effort to secure increased, more flexible, and more reliable XB funding. With the aim to raise more voluntary contributions came the need to comply with donor demands to measure and demonstrate results and effect.

RBM was seen as an approach to all phases of OHCHR's business cycle (planning, implementation, monitoring, evaluation, learning, knowledge management), and to decision-making as the link between each phase and between all actions taken within each phase. RBM intended to gear all decisions and actions of this cycle towards results. Results were defined as changes to the human rights situation at all level (from local to global). This meant moving from a reactive, incident-driven attitude to a more pro-active, results-driven approach. As such, the introduction of RBM amounted to a paradigm shift.

The key expected outcome was that RBM would pull staff in a common direction, because the RBM philosophy and tools (in particular planning tools) would breed a common vision and contribute to a new, strong, coherent, results-oriented corporate culture (cultural shift). To foster its use, leadership (1) developed and promoted a common vision along RBM principles (evolution of the content of strategic documents - sometimes in consultation with the whole organisation and/or external stakeholders); (2) developed the RBM tools and processes (for planning, implementation, monitoring, reporting, evaluation, and recently initial steps towards learning and knowledge management); and (3) capacitated the staff (trainings, guidelines, individual advice/support) to adopt RBM principles and practices.

OHCHR has made considerable progress during the last decade to promote and instil a culture of results within the organisation. Notable progress areas include *senior management support and promotion, staff knowledge and awareness of RBM, development of tools & instruments for planning, monitoring and reporting, and gender mainstreaming*. In other RBM areas, such as evaluation, knowledge management, information management, financial management and human resource management, progress has been less visible.

²² Interviews with PPMEs and senior management; RBM Trainers' Guide p. 11

²³ RBM Trainers' Guide, p.8. Interviews with headquarters staff.

Senior management support

The decision to embrace results-based management within OHCHR was taken at the senior management level. Since then, the DHC and then senior management more broadly, has been the main driver and catalyst, making sure that expertise and resources were set aside to raise awareness, train staff, and develop and roll-out RBM tools and work processes that matched the results-focus better than the UN Secretariat's own systems. A separate unit – PPMES - was created under the Deputy High Commissioner and made responsible for translating the High Commissioner's strategic vision into concrete priorities and operational programmes that focus on the achievement of results. PPMES ensures that "programme implementation and results are effectively monitored and evaluated, thereby providing a feedback loop to incorporate lessons learned into programme design and implementation. Through ongoing analysis of OHCHR's organisational environment, PPMES helps to identify substantive or managerial gaps in OHCHR's results-based programming and policies and proposes actions to address them. PPMES supports all parts of the Office in developing Office-wide policies and programmes."²⁴

An important contribution to the adoption of RBM principles came when the Results Framework and the Performance Monitoring System were introduced. This meant that every unit and field office in OHCHR now had to plan on the basis of a *common set of office-wide results*, in accordance with (regularly updated) standard guidelines.²⁵ From that moment onwards, all internal planning, monitoring and reporting documents within the Office were standardised and aligned with corporate-level result areas: the expected accomplishments and thematic priorities, all of which were captured in the overarching Theory of Change in the 2014-2017 OMP.

Development of tools & instruments for planning, monitoring and reporting

As the 2019 MOPAN report²⁶ states, OHCHR's RBM system is principally designed to link the planning, monitoring and budgeting of annual work and costs plans to the overarching result areas and global management outputs (now known as organisational effectiveness action plans). Corporate-level strategies are based on an RBM focus and logic and guide lower-level planning, reporting and results management approaches. All planning, monitoring and reporting is done through the use of the online Performance Monitoring System (PMS) tool - the main repository of performance data within OHCHR. The PMS is the OHCHR's own tailor-made, standardised planning and reporting system, and forms the basis for strategic and operational decision-making by the Programme and Budget Review Board (PBRB), the Office's highest decision-making body for issues related to programme, budget and finance. The PBRB's Terms of Reference underscore the centrality of RBM and, consequently, the OHCHR Results Framework as the guiding principle for senior-level decision-making on programming, budgetary and financial issues, and organisational structure.²⁷

From the start, emphasis was deliberately put on planning, results monitoring and reporting for accountability, effectiveness, efficiency and impact purposes. In interviews, most of the staff

²⁴ PPMES - General functions of the service – Strategic Framework and Results Based Management.doc, p. 1 (2015)

²⁵ Guidelines were developed for annual work plans (which later became annual work and cost plans), mid-year and end-of-year reviews.

²⁶ MOPAN OHCHR assessment 2017-2018, p. 130-131 (2019)

²⁷ OHCHR's Programme and Budget Review Board Terms of Reference – revised, p.1 (2015)

intuitively associate RBM with planning, or with reporting, or both. Learning and knowledge management, while part of OHCHR's RBM concept (the OMP 2018-21 mentions learning and evaluation²⁸, and one of the OEAPs focuses exclusively on knowledge management²⁹), were rarely identified by the staff interviewed as central parts of RBM. The OMP 2018-21 does not *explicitly* refer to any specific lessons learned, nor does it link knowledge generated from monitoring and evaluation, to the pillars, shifts, spotlight populations or regional engagements. That said, as part of the OMP 2018-21 preparation, PPMES undertook a meta-evaluation and the consultative process definitely did incorporate past experiences and lessons.

Steps to strengthen an Office-wide, common understanding of RBM and its purpose, therefore remain necessary. Based on interviews and survey results, we observe that, with some exceptions, RBM is largely perceived in either very general terms ("a way to think about our work", "a way to work for impact"³⁰), or in narrowly defined terms: its contribution to external fundraising and accountability to donors, or internal planning and reporting tools and instruments. Consequently, not all staff recognise RBM for its (potential) contribution to strategic management and evidence-based decision-making. Most of the staff display a high and profound level of dedication to the vision, mission and values of OHCHR, including as defined in the OMP, which is clearly a success of the Office, and of its RBM deployment. At the same time, they experience difficulties using RBM in their daily decision-making, and adapting the related principles and the tools to their real-life working environment.

At the Geneva HQ, with some exceptions, mid-level management³¹ recognises the value of RBM as a guiding principle, but often challenges its value for operational decision-making, and for planning beyond strategic objectives. Non-managerial staff sometimes perceive RBM in terms of additional administrative tasks, i.e. data entry into the PMS. Although the latter appear to be very attached to the RBM culture, they are not always sufficiently knowledgeable and/or able to implement RBM in their daily working processes. Often lacking proper training, they have still learned to work with the mandatory parts of PMS, at times applying knowledge about RBM that they acquired in other UN agencies or NGOs.

As for field presences, the will to work for results and impact is widespread, in an oftentimes unyielding context: there is clearly a tension between the specificities of the external context on the one hand, and the need to utilise an Office-wide system on the other. Conditions on the ground - a fluid, unpredictable and challenging security/political context in the field; double reporting lines for some staff (peacekeeping operations, human rights advisors) alongside specific demands from donors and challenging expectations from national Government/institutions - call for an adaptive, flexible approach with extended deadlines to allow for improved coordination and collaboration. Although regular adjustments to PMS are made, the processes, procedures and methodology involved do not sufficiently cater to these needs, and instead require staff to use a 'one size fits all' template and process, even if guidelines encourage a more flexible use. Staff

²⁸ OMP 2018-21, p. 9

²⁹ Dynamic Knowledge Organisational Effectiveness Action Plan (2018)

³⁰ Quotes from interviewees' answers

³¹ Heads of Departments and Units

do not always make use of the tool’s flexibility. The Office has yet to find a practical compromise to resolve this.

The results framework, processes, procedures and tools should take into consideration the results of monitoring of the implementation of applicable standards in the countries of coverage, and the recommendations put forward by human rights mechanisms. We observed that monitoring by field-based staff is highly dependent on staff availability. Although field-based staff are well positioned to gain situational awareness of the human rights situation in the countries where they are stationed, unless specifically required, they seldom monitor implementation of human rights mechanisms’ recommendations because they are hard pressed to deliver project-related results with only limited resources. In most field presences, staff are often project-funded and therefore either working within the confines of their project or tasked to cover a wide array of topics. As a result, despite growing attention³², monitoring of the implementation of obligations and recommendations stemming from the human rights mechanisms in their area of operation, is not yet systematically taken into account in the results planning or reporting.

3.3.2. Efficiency

<p>Do the results achieved so far in the implementation of RBM justify the investment made in terms of physical, intellectual, human and financial resources?</p>	<ul style="list-style-type: none"> • Has the Office’s staff received the training, guidance, tools and support required to implement RBM in OHCHR? • How effectively does the Office’s management coordinate, communicate, monitor, evaluate and report on the implementation of RBM in OHCHR? • What type of efforts has the implementation of RBM involved for the Office in terms of physical, intellectual, human and financial resources? • To what extent have these efforts proved useful to all staff, and taken into consideration the needs and constraints of male and female employees? • How far has OHCHR optimised its resources and assets towards embedding a culture of results across the organisation?
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Findings

Modalities for introduction of RBM tools

OHCHR has invested, and continues to invest in RBM in various ways: the establishment of PPMES, the development of the Results Framework; the creation and refinement of the PMS software; the development of a new methodology to prepare the OMP; efforts to strengthen the programme management capacity in divisions and field offices; development of methodologies,

³² Generally speaking, the number of recommendations for each country is (very) high. OHCHR offices lead on development of UNCT reports to treaty bodies and UPR on implementation of recommendations, and increasingly contribute to the creation or strengthening of mechanisms for follow-up, monitoring and reporting on these.

guidance, documents and secretariat support for senior management; staff training and guidance; the development of an RBM manual (pending); as well as this evaluation. Already, a great deal has been achieved with modest resources.³³

After the Results Framework and PMS were introduced, PPMES staff have trained approximately 800 staff (500 in field offices and 300 at HQ) in RBM, its application to human rights work, and the use of the PMS.³⁴ This was superseded by an online RBM training module which was piloted in 2015 and then formalised. RBM principles and practices within OHCHR are also part of the voluntary induction programme for incoming staff. PPMES has developed guidelines for planning, monitoring and reporting, which are updated regularly. Moreover, members of PPMES staff and designated RBM focal points (programme managers) within other sections, and the larger field offices (such as the planning, monitoring and evaluation unit in Bogota) provide assistance to colleagues when called upon, e.g. in the use of the PMS. This has helped to spread and decentralise RBM expertise, alongside a perceived growth in senior management and staff support for the application of RBM principles for human rights.

Despite these efforts, we observe that not all staff feel they have received the training and support required to apply RBM. Survey results and interviews show that a significant number of interviewees never took part in an induction programme or RBM training. Only one in every four survey respondents had taken part in a face-to-face OHCHR RBM training, and only 12% had followed the online training course. The majority of staff considered that online training can supplement, but not replace face-to-face training. There is still a significant proportion of staff who have never been trained on RBM. Finally, almost all interviewees who shared their RBM training experience considered they needed a refresher, because the methodology has evolved since they took their training, and/or because they do not feel confident about their ability to use an RBM approach in their work. In light of the high staff turnover, there is a felt need for a compulsory face-to-face training; the 1-hour introduction as part of the voluntary induction programme and 2-hour online training module do not suffice to instil a results-mindset. In addition, a large majority of staff welcomed the initiative to develop an RBM manual.

Programming processes, guidance and the performance monitoring system (PMS)

Before the PMS was rolled out, OHCHR prepared its country notes, plans and reports in Word and its annual work and cost plans in Excel, which were then distributed via email. After the introduction of PMS, these were all brought together. The PMS is the main repository of performance data and contains a wealth of information. It is meant to serve as the basis for planning, monitoring, reporting and decision-making at all levels, allowing the Office to analyse data and aggregate these at national, regional, global and thematic levels, by result, shift and spotlight population, for oversight and accountability purposes. All staff can access the PMS and browse through the plans and reports of other units, thus facilitating cross-sectional understanding and learning. Reporting structures are coherent, time-bound and comprehensive,

³³ A comprehensive cost-benefit analysis of investments and results did not form part of this evaluation. The maintenance and staffing costs for the PMS amounted to approximately USD 300,000 in 2018.

³⁴ PPMES-General functions of the division – Strategic Framework and Results Based Management.doc, p. 2 (2015). See also footnote 14.

including field-level monthly/quarterly reports³⁵, end-of-cycle reports, and mid-year and end-of-year reports for all sections at both HQ and field-levels. At HQ, PPMES and some others ensure data quality when reviewing and commenting on reports in PMS.

Since its introduction, a large amount of effort has gone into upgrading the PMS, with regular adjustments being made to accommodate changes to methodology, policy and strategy and/or to obtain more detailed information. While useful, this has not necessarily improved its user-friendliness or adaptation to the technical conditions in the field. In interviews, staff both from headquarters and the field appreciate the wealth of information contained in the PMS, but doubt whether this information is easily navigable, accessible, and whether it is used to an extent that justifies the effort needed to use and maintain the system. They complain that the PMS has become laborious and confusing because of the many changes. Many see it as a straight-jacket, remote from realities on the ground (field-level) or unable to capture the particularities of intergovernmental processes. Some interviewees expressed difficulties operating the PMS, either because they are not properly trained, or because they simply do not have the required level of internet bandwidth. Many interviewees liken RBM to burdensome administrative tasks ('chores'), while some others in a management role 'delegate' what they see as RBM to lower-level staff, who may lack a basic understanding and are expected to learn from others 'on the job'. Only few interviewees use PMS functionalities beyond the mandatory planning and annual reporting functions. In practice, the system is rarely used to help monitor implementation progress beyond the obligatory reporting standards, or to find information or knowledge from peers. Consequently, PMS is widely seen as a repository of reports only, rather than as a knowledge management tool or an instrument for informed decision making.

Survey results underscore these observations. The majority see the PMS as a good repository of data. That said, 56% of respondents rarely use PMS and those that do, do so mainly for their own planning and reporting purposes. 27% use PMS to read office-wide documents, and less than 20% consult the analytical products in PMS. Less than 30% of respondents consider the system to be user-friendly or an effective avenue to give or receive feedback, and a significant number say that the countries they work in lack the necessary IT-infrastructure to use PMS to its full potential.

We largely concur with these observations. The PMS is complicated to navigate without a clear understanding of its structure and functionalities, and practical user-experience. Entering and amending data is arduous, while templates for plans and reports render them too long and illegible, which undermines their utility for higher-level decision-making.³⁶ As such, reporting risks becoming a goal in itself, rather than a means to an end. Its length and complexity weaken its

³⁵ At the time of writing, a decision was made to abolish the mandatory monthly reports. Quarterly reports are not part of OHCHR RBM guidelines but are compiled on a voluntary basis.

³⁶ For instance, according to several interviews and one focus group in Tunisia, the staff contributes upon request to a word document which is aggregated by the head of Office, and then uploaded into the PMS. The periodicity of reporting, beyond the obligatory mid-year and end-of-year review varied, depending on the workload of the Head of Office. In Colombia, the quarterly progress report of the country programme, when exported to Word, produced an 821-page document. The process to generate the quarterly report is also resource-heavy: staff in each unit prepare reports in Word or Excel which are then discussed internally, translated from Spanish to English by a professional translator, and uploaded into the PMS. This used to be done on a monthly basis but because of the disproportionate amount of effort needed, was then 'reduced' to quarterly reports only. Although the PMS generates about half of the text automatically (taken from the country office's Annual Work and Cost Plan – another excessively long document), the costs, in terms of the amount of work needed to produce the report, is disproportionate to the benefits of each field presence, and arguably to the Office as a whole.

utility for higher-level steering and decision-making and the collection of lessons learned or collaboration with colleagues in other locations - contributions the PMS was also meant to make.

A key weakness is that while the PMS offers some searching functionality³⁷, staff are manifestly unaware and/or unable to use it. Several interviewees regretted that they could not search the PMS with key words in order to find documents related to a topic of interest. Instead, some use the dropdown menu to explore the PMS and search for documents they are aware of. This is operational up to a few dozen documents and for users who are familiar with the tool, but not for a larger number of documents, nor for users who are unfamiliar with the intricacies of the platform or who lack the time. Others report that they do not look for information on the PMS beyond documents provided by their own field presence/unit. None of our interviewees reported using the search tool on the basis of a search logic.

Importantly, the PMS was designed for substantive purposes only. As a consequence, it does not systematically include updated budget and spending data, nor does it interface with the Office's financial data systems, which are administered exclusively by PSMS. Although the PMS is used to aggregate results at various levels (output and outcome), it does not contain data on cost-efficiency and cost-effectiveness. At present, OHCHR does not have a unique, combined dataset tying performance against objectives (outputs and outcomes) at unit, country, regional and corporate levels, with budget and actual spending. Both at field office and HQ branch levels, financial administration is done in separate Excel tables – and this is the most accurate and up-to-date source of data there is about financial flows at this level. While the cost plans are drafted in accordance with the results framework, expenditures are recorded in accordance with budget lines, which are defined by the types of activities (e.g. seminar, travel, procurement of services). Assessing the cost-effectiveness of results at output and outcome levels can only be done manually, comparing the two data sets. UMOJA 2.0, the UN Secretariat's RBM tool that is currently being rolled out in stages, is intended to enable that analysis, which would provide a major boost to transparent and accountable decision-making. However, UMOJA 2.0 will not be fully operational until at least 2023. Meanwhile, survey results point out that a majority of staff would welcome having access to real-time financial information and adopting results-based budgeting within OHCHR's RBM toolbox.

Evidence³⁸ suggests that budget prioritisation and resource (re-)allocation decisions are centralised, which is to some extent understandable, but also that the information about these processes either takes too long to reach the protagonists in the field or is incomplete. Several interviewees reported that they are not able yet, but need to know, at a given time, how much of their budget is spent, and how much is remaining. The case study in Tunisia shows that at an operational level, RBM would benefit from a system that would offer the same functionalities as UNDP's Atlas, which provides real-time updates of committed funds, expenditures and available budget, at any given time. Staff indicated that they need access to tailored, real time financial information in order to make informed decisions and adjust their priorities throughout the annual

³⁷ During interviews, specialists in HQ indicate that the information that is uploaded is associated to key data such as type of document, result/pillar output, activity or responsibility.

³⁸ Minutes of PBRB meetings, interviews and survey findings

cycle. Chiefs of sections, especially in field locations, do not enjoy appropriate delegation of authority. They do not have the required information, nor the required clearance to make decisions with financial implications, although they are ultimately responsible for the results. Complaints were raised about the perceived micro-management in the use of core budget funds, which is said to be due to the UN Secretariat financial regulations that, during the period covered by this evaluation (2014-2018), did not allow delegation of authority.

Monitoring of RBM implementation

Within OHCHR, RBM implementation is monitored in different ways and at different phases of the programme cycle. The ultimate responsibility for RBM implementation rests with staff and management. Line managers are responsible for making sure that all plans and reports comply with the Office's RBM principles and standards. PPMES, as custodians of RBM, have a quality assurance role, especially when the annual work and cost plans are being developed, to ensure that the plans presented to the PBRB for discussion / approval meet the quality standards. PPMES also monitors the use of PMS for monitoring and reporting. Based on data entered into PMS by sections and field presences, PPMES compiles overviews of performance against corporate result areas; this can be done at various levels of aggregation (corporate, departmental, regional, country, thematic). This information is shared on a regular basis with senior management and used to inform decision-making in the PBRB and SMT. The extent to which this information informs decisions regarding the reallocation of funds, could not be determined. PPMES also generates aggregated data based on the PMS, which provides a very useful overview of key variables such as reported progress, output implementation, or activity implementation, which are then disaggregated by pillar, shift or spotlight population.³⁹

Evaluation

In light of limited resources available and noting that the focus within RBM has been on building an Office-wide planning, monitoring and reporting capacity, the evaluation function and culture are still at a relatively early stage of development. Because of the 2019 cuts to the regular budget, PPMES has had to postpone or cancel planned external evaluations, hampering necessary progress. However, some important positive steps have been taken to strengthen the role of evaluation and learning within the Office.⁴⁰ The amount of decentralised independent evaluations (evaluations carried out by independent contractors and procured by the branches or by the field presences) is low, but they are gradually becoming more harmonised, and explicitly linked with RBM.⁴¹ Some field presences, often due to donor requirements, are progressively increasing the number of decentralised evaluations, as shown by interviews, particularly with larger field presences. Still, the majority of interviewees do not think of evaluations as part of RBM.

³⁹ PMS, Monitoring function's entry page

⁴⁰ OHCHR established an evaluation unit in 2014 and published its first evaluation policy. Its resources are modest, both in terms of staff and funds. The evaluation function does not (yet) enjoy full structural independence. Efforts are underway to foster a results culture; increasingly, evaluation results are shared and discussed more widely and feed into new policies and programmes, and quality assurance is carried out. Management responses are obligatory, and implementation of action plans are monitored. For more details, See MOPAN OHCHR assessment 2017-2018, pp. 136-143 (2019)

⁴¹ <https://www.ohchr.org/EN/AboutUs/Pages/Evaluation.aspx>

3.3.3. Effectiveness

<p>What has been the contribution of the implementation of RBM to the development of a culture of results in OHCHR at the organisational, headquarter unit, field presence and staff level?</p>	<ul style="list-style-type: none"> • What systems, organisational arrangements and tools are in place for the implementation of RBM in OHCHR? • To what extent is RBM contributing to decision making at HQ and the field level? • To what extent is the Office using the products developed for monitoring and evaluation activities? • What has been the role of the Performance Monitoring System in supporting the planning, monitoring and reporting in OHCHR? • To what extent has the implementation of RBM enabled OHCHR to plan in a human rights-oriented way, and in a way that integrates gender equality and the empowerment of women?
<p>To what extent has the implementation of RBM contributed to the development of OHCHR as a learning organisation?</p>	<ul style="list-style-type: none"> • What progress has been made in the building of an evaluation culture in the Office within the framework of the implementation of RBM in OHCHR? • To what extent has the implementation of RBM resulted in the collection and dissemination of lessons learned throughout the Office? • To what extent has the implementation of RBM enabled to collect stronger data and knowledge relevant to men and women beneficiaries, and on groups which are vulnerable to human rights violations?

Findings

Office Management Plans

In terms of RBM tools and instruments, a decisive step forward was made when management decided to develop the 4-year Office Management Plan (OMP). Building on the OHCHR biennial strategic framework⁴², the OMPs are elaborate, results-based four-year roadmaps. They are meant to serve two main purposes: (1) *external communication* to OHCHR’s stakeholders (duty bearers, rights holders, donors and partners); and (2) as *strategic frameworks* for internal planning, monitoring and evaluation, including improvements in the way the Office works.

Both OMPs are based on robust context analysis and broad consultations with many different stakeholders, and they both draw increasingly on past achievements and lessons learned, including from evaluations and audits. In line with OHCHR’s overarching objective – ‘promotion and protection of all human rights for all’ – and its expanding mandate, the OMPs are aspirational, comprehensive, ambitious, transparent and results-focused. Both OMPs define ambitious targets

⁴² The biennial strategic framework has since been discontinued as an outcome of the UN reform process, but was in place between 2014 and 2018, i.e. the period covered in this evaluation.

across six thematic areas or pillars. Both OMPs are guided by an overarching Theory of Change (ToC).

The programmatic assumption of the OMP 2014-2017 is that *“if these results (EAs) were to be achieved one day, duty-bearers would uphold their human rights obligations and rights-holders would claim their rights, thereby contributing to the improved enjoyment of all rights by all.”*⁴³ The OMP 2014-17 comprises an explicit results chain logic (results framework), and the selected global indicators are relevant to the EAs and enable qualitative and quantitative progress measurement. The tools and instruments were developed to undertake consistent evidence-based monitoring and reporting on the achievement of the EAs, from the project level right up to the corporate level. It was comprehensively reviewed/revised biennially by senior management, based on progress against corporate objectives, changing external environment, and financial resource projections. This led to adjustments in some of the OMP’s EA and GMO targets.

The OMP 2018-21 comprises a more simplified ToC, made up of 3 lists: ‘what we do (11 activities), our pillars (6), and the results we contribute to (10)’, and a roadmap to 2021, presented as a tree – with nine organisational effectiveness action plans, six pillar strategies and four shifts⁴⁴ across the six pillars in response to the evolving context, including the UN Reform Agenda, the 2030 Agenda for Sustainable Development, the Prevention Agenda, as well as political and technological developments. The shifts are meant to increase OHCHR’s relevance.

The OMP 2018-21 also includes what are called ‘spotlight populations’: women, young people and persons with disabilities. Whereas the 2014-2017 identified 11 ‘expected accomplishments’ or results, the 2018-21 speaks of ten institutional level ‘results we contribute to’, with 30 OHCHR (global) Programme Indicators. There are now altogether 70 country and/or sub-regional programmes with selected pillar results adjusted to specific country results. The OMP lists 40 pillar results to “increase implementation of the outcomes of the international human rights mechanisms”. The global indicators have been slightly revised: two new indicators have been added, while eight have been removed.

Generally speaking, the OMP and Annual Appeals and Reports are well-regarded by OHCHR staff. The documents are well formulated and sufficiently broad for thematic/country teams, as well as donors, governing bodies and host governments to identify with the document and recognise their own, most important priorities in the document. Some interviewees, including donors, see a common vision and essential Office-wide guidance in the OMP 2018-21, and all agree that the documents ensure that resource mobilisation is geared towards the Office’s own priorities. A (small) majority of survey respondents appreciate the OMP for the way it delineates the scope of their work, its results focus, and the direction it gives. Staff are less clear about the OMP’s purpose to steer the allocation of resources.

⁴³ 2014-2017 OMP, p. 11 (2014)

⁴⁴ The shifts are: (i) Working to protect and expand civic space; (ii) Promoting human rights in the context of frontier issues’ (climate change, digital space and emerging technologies, corruption, inequalities, and people on the move); (iii) Helping prevent conflict, violence and insecurity; and (iv) Supporting a global constituency for human rights.

Survey responses, donor interviews, as well as interviews with OHCHR staff involved in resource mobilisation in headquarters and in the field, concur that the OMP is a powerful communication tool with the donors, and that it is often used as such. All interviewees in the field further agree that it is a useful document to breed a common vision and corporate identity. However, several suggest it could be improved on this front.

The OMP 2018-21 is less articulate than its predecessor as regards the *internal results chain logic* (results framework). It is not entirely clear whether there is an internal hierarchy or causal logic between the six pillars and the overarching objective; whether there is a hierarchy between the six pillars, e.g. between mechanisms, development and participation, or whether the three lists be seen as a mutually reinforcing system. Nor is it stated how the ToC (the lists) and roadmap (the tree) correspond, nor how the different results levels link up to the SDGs, listed in the OMP and why some SDGs are depicted larger than others. Finally, it is not entirely clear what the issues, categorised across the six pillars and listed under the SDGs on page 13 of the OMP signify, nor how these relate to the thirty targets identified within the ten results areas (pp. 56-59). Although the ‘shifts’ and ‘spotlight populations’ suggest some degree of prioritisation, both plans necessarily cover all human rights-related ground. However, because the OMPs comprise so many priorities and do not draw a hierarchy among them, prioritisation is limited. We did not find evidence to suggest that certain pillar results were being prioritised over others. It implies that, as a planning tool, the OMP is too general to purposefully provide a strong steer on results-based resource (re-)allocation. This is compounded by a tendency among at least some staff to fit ‘their’ activities into the OMP mould. Moreover, for some sections, especially the Human Rights Mechanisms, the *marge de manoeuvre* to prioritise and/or change the way the work is undertaken, is more limited than for others.

Other RBM tools and instruments

Besides the OMP, OHCHR uses various other RBM systems, tools and instruments. As an entity of the UN Secretariat, the Strategic Framework is the Office’s main document in its dealings with the UN General Assembly and its related bodies.⁴⁵ During the period under review (2014-2018), the Strategic Framework followed a biennial planning process based on strict requirements of the General Assembly and was not updated during the two-year cycle. This has now become an annual exercise as part of the UN Secretary General’s management reform process.

More recently, additional steps have been taken to strengthen RBM. These include the introduction of a decision tracking system, an online system to monitor the status of decisions made by the PBRB, SMT and Policy Advisory Group; the recent ‘budget reset’ initiative where the Office is looking at ways to introduce a zero-based and results-based budgeting; and the drafting (by PPMES) of analytical papers for PBRB, e.g. on Youth, Prevention and Innovation, Economic, Cultural and Social Rights in the OMP; and on the End of Year report 2018. Based on the evidence available⁴⁶, these additional steps appear to have positively contributed to decision-making.

⁴⁵ OHCHR- Proposed strategic framework 2016-2017. Part Two: biennial programme plan, Programme 20 Human Rights ((2014)

⁴⁶ Minutes of PBRB meetings, staff interviews

Internally, the Office operationalises the OMP through a standardised planning, monitoring and reporting process. Guided by the OMP and specific guidance notes prepared by PPMES, country and regional offices prepare 4-year country programmes (formerly known as country notes) and form part of the OMP. These programmes, to which HQ entities can contribute, are reviewed and approved by the PBRB. In addition, all office units (HQ and field) prepare annual work and cost plans, directly in the PMS to operationalise the OMP at a unit level. Implementation is monitored directly in the PMS through monthly reports (*field presences*)⁴⁷ and six-monthly mid-year and end of year reviews. Until recently, in theory, OHCHR also required monthly reports in the PMS, however this regularity was rarely followed and has now been abolished. All sections produce weekly updates⁴⁸ which are compiled by PPMES and distributed widely. Staff also contribute to other reports, such as the High Commissioner's annual report to the Human Rights Council, the HC's annual report to the UN General Assembly, the Secretary General's Programme Performance report, reports for the Board of the Voluntary Fund for Technical Cooperation, and so on. Field presences also issue at least two public reports each year, for advocacy purposes mainly. The reports publish the findings of the Office's monitoring of particular human rights issues and recommendations. These are not recorded in the PMS.

Most of the interviewed staff felt that the reporting templates focused largely on programme implementation, and less so on tracking and analysing actual change, including implementation of obligations and recommendations stemming from human rights mechanisms. To palliate this perceived gap, several field presences have developed their own analytical tools: some map all recommendations issued to their country (e.g. Tunisia), and their stage of implementation; others map their advocacy targets and progress towards them (e.g. Kenya).

Alongside these, OHCHR (both at field and headquarters levels) reports separately to donors for XB-funded projects, in accordance with the donors' prescribed formats. Headquarters prepares an annual report based on the end-of-year reports of the staff, and the annual appeal. Although the PMS comprises all relevant data, the system does not sufficiently cater to the reporting needs of the Donor and External Relations section (DexRel), who until recently would issue separate requests for (people-centric, human interest) results information for OHCHR's Annual Reports and Appeals. Finally, OHCHR staff working within UN peacekeeping operations, or other UN missions, additionally report to their missions in separate weekly, bi-weekly and/or monthly, and sometimes even daily updates.

Within OHCHR, we see a multitude of reports, many of which go unnoticed/are not responded to by colleagues which tends to diminish staff motivation. In the field, staff also have numerous reporting obligations towards other UN structures and donors⁴⁹. Management is aware of this

⁴⁷ In practice, some field offices submit monthly reports on a less regular basis, whilst others have adopted quarterly reports for internal purposes

⁴⁸ Weekly updates on human rights developments in countries are for internal communications purposes only and rarely reflect programme implementation

⁴⁹ While all reports are submitted to donors by DexRel, the drafting thereof is largely undertaken by the implementing entity.

and tolerates missing reports or later than foreseen submission, even though this may delegitimise the reporting structures and reduce the comparability of data in PMS.

Although the obligatory RBM planning and reporting requirements are reasonable (4-year plan, annual work and cost plan, mid-year report and end of year report), we find the total number, size and frequency of plans and reports excessive. Furthermore, internal planning timelines and templates do not appear to encourage cross-section collaboration and coordination, especially between thematic experts in headquarters and the field. FOTCD's role as the linking pin between field presences and HQ sections, is strained by staff capacity constraints and the fact that joint planning, monitoring and reporting is not yet a well-established practice within the organisation beyond the OMP. For instance, one case study shows that, within a field presence, human rights officers have general discussions on the outlook for the upcoming year, but then often prepare their plans individually, and the head of field presence or supporting function aggregates them. Interviews show that this tends to be the case in field presences having more than two or three HROs, whereas, unsurprisingly, smaller teams (e.g. HRAs) tend to function more on the basis of joint planning.

HQ and field staff could benefit more from each other's expertise through closer and more systematic engagement at periodic intervals. Currently, quality checks, coaching and advice on draft plans and reports is insufficient: despite PPMES' reported efforts to offer a "helpdesk", and the sustained work of the country desks in FOTCD, all but three interviewees in the field reported that they had received occasional feedback on their plans and reports. Survey findings are only slightly more generous, with 10-15% of staff receiving regular feedback. Considering the close connections between the EAs/results, something the OMP 2018-21 clearly argues, we recommend reviewing the templates, timelines and guidelines accordingly, and rewarding good practice.

The rationale behind progress reports should not be to keep track of detail, but to recognise where desired change effectively occurs, in order to acknowledge and build on it, as well as to identify where progress is lagging behind and/or having unintended effects, so that corrective measures can be taken. The principle of 'management by exception' should determine what is reported on, and when. Those tasked with implementation are best informed and should be empowered to correct the course if and when necessary. From a performance monitoring and decision-making point of view, there is no need to have field presences report more frequently than sections at HQ. The effort and time currently invested in internal monthly reporting would be better spent on improving the quality of more coordinated planning, implementation and monitoring, based on vertical and horizontal dialogue.

Besides the frequency of reports, we also question whether all the time needed for drafting, translating (in field presences where Spanish, French or other languages are dominant, as illustrated by case studies), checking and uploading of internal reports from Word into the PMS, alongside drafting of other reports for donors or for case documentation, is well spent, when the

field staff's core function is to implement the mandate, with already thinly spread human resources.

The learning dimension of RBM within OHCHR

Having focused primarily on developing Office-wide planning, monitoring and reporting capabilities, the evaluation function within OHCHR is still relatively new. The evaluation unit was created in 2014 and resourced modestly. Important progress was made with the development of an evaluation policy, guidelines and biennial work plans. These documents are helpful steps in building an Office-wide evaluation culture. PPMES reported the need to develop guidance, model documents and checklists for evaluations, a work which is incurring delays due to lack of funding. The evaluation unit – situated in PPMES - has taken a consultative approach to help raise institutional buy-in for the need for and use of evaluations. Lessons learned from internal reviews and external evaluations were pulled together and used to inform the OMP 2018-21.⁵⁰ Although the number of evaluations and reviews has increased since the unit was created, it remains low; due to recent budget cuts and limited staff capacity, it is not expected to increase in the near future.

Related to all the above, Information Management (IM) also serves as a yardstick for RBM effectiveness. Noting that at its core, OHCHR is an information-based organisation, the way that information is identified, collected, processed, analysed, protected and disseminated, is clearly extremely important to the Office's overall organisational effectiveness. Put otherwise: IM is OHCHR's core business. This holds true for all six pillars, shifts and spotlight populations, whether it is developing and monitoring the implementation of human rights standards, advocating for promotion and protection of human rights, or contributing to the capacity of duty bearers. IM is a cross-cutting function, an enabling tool in support of organisational objectives; the more efficient and effective IM becomes, the more it helps build a corporate institutional memory, foster internal and external collaboration and coordination, and strengthen OHCHR's capacity to deliver on its mandate.

Interviews show that staff do not systematically share, nor look for information on good practices, lessons learned, or on-going experiments, mostly because of lack of time, sometimes compounded by unfamiliarity with PMS. Interviewees report that their experience of information exchange, apart from compulsory reporting requirements, is mostly linked to personal relationships: they exchange information orally, or via emails, with the colleagues they know well, and whose activities they are aware of. Case studies confirm this. The PMS, complemented by the intranet, was intended as a tool for IM, but is used as a stock-based tool, not a flow-based tool or a cooperative framework. As a platform, it does not fully respond to the needs, nor to the most recent IT practices for a business process management system, because it is not practical for cooperative processes.

Despite the Office's extensive experience in gathering information and reliance on data, IM at OHCHR is still an area where a great deal of progress can be made. IM is dealt with unsystematically, and dedicated capacity is very small. A draft IM strategy was only recently

⁵⁰ See MOPAN OHCHR 2017-2018 Report, KPI 8 (pp. 136-143), for further details.

developed, first at the divisional level, and a revised version applicable to the Office as a whole was approved in May 2019.⁵¹

Another important part of cultivating a learning culture – as a means to strengthen understanding of what works, what doesn’t and why - is the way in which organisations conduct Knowledge Management (KM), i.e., analyse and disseminate and utilise knowledge, both internally and externally. KM is an integral part of RBM and a corporate priority. Still, like information management, the KM function within OHCHR is still relatively modest. Until recently, no dedicated resources had been allocated to it. While knowledge is being generated, systematic cross-pillar collaboration and coordination is not yet standard practice, both within HQ and between HQ and field presences, and among field presences. Alongside the positive experiments with thematic networks (e.g. gender focal points, network of practice on transitional justice), examples were given of poor collaboration and coordination (C&C) during the planning process at country or thematic level, resulting in missed opportunities to apply lessons and evidence-based methodologies in e.g. country-level planning. As part of the OMP 2019-21, OHCHR has made KM an organisational priority. It has initiated a “Dynamic Knowledge” OEAP, with clear outputs, activities, resources and timelines, so that by 2021, KM is integrated in the business culture and work processes.

Since 2018, PPMES has drafted seven analytical papers based on PMS data for the PBRB, e.g. on Youth, Prevention and Innovation, Economic, Cultural and Social Rights in the OMP; and on the End of Year report 2018. These documents are well-appreciated by the few interviewees who knew about them; still, they are not widely known and deserve further promotion.

Overall, within OHCHR, we observed a healthy appetite for the learning dimension of RBM. Survey responses indicate strong support and appetite among staff for the dissemination of lessons learned and analytical papers, for knowledge management, for a stronger evaluation function, and for more and more regular feedback on plans and performance.

3.3.4. Impact⁵²

<p>Has the implementation of RBM contributed to effective and efficient functioning internal decision-making at all levels within OHCHR?</p>	<ul style="list-style-type: none"> • Has the implementation of RBM contributed to the effective and efficient functioning of decision-making bodies, and if so, how? • Has RBM had different results in the decision-making chain for men and women, and for OHCHR’s diverse workforce, and if so, how? • To what extent has the staff of the Office used RBM to make informed decisions at programmatic level?
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⁵¹ Information Management strategy 2018-21, draft 3.03 (20 May 2019).

⁵² It should be noted that the scope of this evaluation is limited to the implementation of RBM within OHCHR only; as such, it does not consider the extent to which OHCHR has achieved its intended impact on the lives of rights-holders.

<p>To what extent has the implementation of RBM contributed to enhance the effectiveness and efficiency of the Office in the discharge of its mandate?</p>	<ul style="list-style-type: none"> • To what extent has the implementation of RBM contributed to higher effectiveness and efficiency in programme implementation? • Has the impact of RBM on the discharge of OHCHR's mandate been different for men and women, and for all categories of end beneficiaries, and if so, how? • To what extent has the implementation of RBM contributed to enhance the effectiveness and efficiency of the Office in the achievement of its thematic expected results according to the OMP? • To what extent has the theory of change of RBM materialised?
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Findings

Within OHCHR, a sincere, progressive change of organisational culture is at play. OHCHR's genuine leadership and investment in an RBM philosophy, discourse and tools, have created the necessary conditions, and undoubtedly contributed to this corporate evolution. There is a general consensus that the Office works towards impact, and that therefore results need to be formulated, measured, accounted for, and showcased. This suggests that one of the key objectives underpinning the introduction of RBM - namely that RBM usage will pull staff in a common direction, because the RBM tools (in particular planning tools) will breed a common vision and contribute to a new, strong, coherent, results-oriented corporate culture (cultural shift) - has indeed been achieved.

There is strong evidence, based on the interviews, the case studies in Colombia and Tunisia, as well as the analysis of a sample of annual work plans and reports extracted from the PMS, that staff increasingly apply RBM principles and make use of RBM tools and instruments to make informed decisions. For instance, in Tunisia, the field office staff organises annual retreats to prepare their upcoming annual workplan. On these occasions, they use a map of recommendations by treaty bodies issued to Tunisia, as well as the end-of-year cycle report as baselines. Then, they cross-reference with the OMP, to update their priorities and discuss labour division within the office.

The Office-wide application of the RBM-based PMS and associated guidance has helped staff to focus increasingly on results rather than activities, which is done mostly for accountability purposes. This was particularly evident when RBM was rolled out and staff received simultaneous training from PPMES. The OMP 2014-17, country notes, annual work and cost plans and reports, helped to consolidate and deepen this. OHCHR is clearly making a dedicated effort to better capture changes in the human rights conditions of the people, and the position and capacity of duty bearers, institutions and civil society organisations to implement and uphold these rights. The Office is better capable to identify the results it wishes to contribute to. Thus, while obviously challenging to prove in all cases, it is plausible that this enhanced results focus has indeed contributed to greater efficiency in programme implementation.

Among staff, the adoption of RBM principles, tools and processes has been the strongest in country presences. This suggests a stronger correlation between RBM and XB-funded work streams, which can be found largely at field operations levels. Although OHCHR did not articulate an RBM ‘theory of change’ for itself, within PPMEs there does seem to be a shared vision of what RBM is, what it comprises, and how it contributes to the purpose and mandate of the organisation.⁵³

In this regard, OHCHR’s main strategic bodies, the Programme Budget Review Board (PBRB) and the Senior Management Team (SMT), are critical RBM instruments. The PBRB is the highest *decision-making body* on programme, budget and finance matters. Its Terms of Reference explicitly states that it “plays a key role in ensuring that OHCHR manages for results, learns from experience and maintains programmatic and financial transparency and accountability.”⁵⁴ It provides office-wide guidance on, and strategic monitoring of programme, budgetary and financial issues. Chaired by the Deputy High Commissioner, the PBRB makes recommendations to the High Commissioner on establishing and defining office-wide strategic programmes and the allocation of human and financial resources. It also monitors programme implementation and the funding, financial and human resources allocation, and reviews and makes recommendations regarding changes to these as well as to the organisational structure.⁵⁵ The SMT is the *principal consultative and advisory body* of OHCHR. It considers all ‘Office-wide’ policy issues for the HC’s decision with the exception of those issues which the HC reserves to herself for decision-making, or delegates to other bodies; and decisions related to programme planning and budgeting, which are made at the PBRB.⁵⁶

Of these two bodies, the PBRB is pivotal in advocating and implementing RBM principles. Based on interviews, meeting minutes, the various TORs and guidelines, we observe that in practice, the PBRB’s role in the 4-year OMP and annual planning process is in fact highly operational. Much of the discussion and decision-making on specific operational details of AW/CPs, such as funding, resource allocation, staffing and grading of positions, is done at this strategic management level during 2-day PBRB planning meetings, after having been ‘filtered’ and prepared for PBRB approval by administrative support units. As was already alluded to, strategic as well as tactical decisions regarding prioritisation and resource (re-)allocation, are not systematically based on comprehensive assessments of real/anticipated costs and benefits of an investment. The PBRB sessions would benefit greatly from a more integrated, evidence-based cost/benefit analysis. Also, devolving some additional responsibilities to lower-level management levels, would free the PBRB from minutia, and allow for a more strategic discussion at PBRB level, reviewing past performance as the basis for decisions on future priorities.

Senior management is becoming increasingly aligned as regards the importance of and need for results-based management and has collectively bought into the RBM principles described above.

⁵³ Based on individual interviews and PPMEs documentation

⁵⁴ PBRB Terms of Reference, p. 1 (15/08/2016)

⁵⁵ Ibid., p. 1-2

⁵⁶ SMT Terms of Reference p.1 (2010)

There is however a degree of dissatisfaction among senior management with the way in which RBM has been ‘instrumentalised’, focusing too much on adding granularity (i.e. detailed plans and reports), and too little on strategic thinking, adapting to evolving conditions on the ground, and analysis of effect.

3.3.5. Sustainability

<p>What is the likelihood that the results achieved so far through the implementation of RBM will last through the next OMP cycle?</p>	<ul style="list-style-type: none"> • Have there been improvements in the Office’s planning 2018-21 based on the lessons learned from the planning process for the OMP 2014-2017? If so, which ones? • To what extent were the assumptions of the theory of change of RBM materialised? • What risks are threatening the implementation of RBM in the future and the realisation of its theory of change? • To what extent does the implementation of RBM have adverse effects, or create risks to the organisation? • Has the implementation of RBM had positive externalities of in terms of resource mobilisation and donor relations, and if so, how? • How has staff commitment and motivation been affected by the implementation of RBM?
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Findings

The OMP 2018-2021 preparations started with general consultations among staff, including an internal survey on priorities, challenges and opportunities. It continued with national-level consultations in the countries where OHCHR has a presence, followed by regional and global consultations with key partners (Governments, donors, staff, international and regional organisations, UN-system agencies). Generally speaking, there is widespread recognition for this consultative approach.

The consultations served two main purposes: (i) the fostering of a corporate identity and a ‘results mindset’ among all staff; and (ii) more two-way communication with partners and donors. With regard to the latter, the external consultations with partner organisations was overwhelmingly positive, confirming OHCHR’s added value in ‘traditional’ areas and also identifying a number of areas where the Office should progressively move towards (e.g. frontier issues), even if at present its added value was not that visible yet.

The internal consultations were also perceived in largely positive terms, offering staff across the organisation an opportunity to discuss and contribute to the Office-wide strategy, thereby enhancing the fidelity of the document to realities on the ground, as well as boosting staff ownership and buy-in. Staff were highly appreciative of their involvement in the planning process

and consider both the process and the outcome (the OMPs) as reflecting their own aspirations and commitment to making a tangible difference in the lives of others.

Not all staff members were equally positive, though. Comments include a perceived lack of clarity/communication around selected priorities ('pre-cooked process'; 'quasi-consultative'), as well as delays, changing instructions/guidelines for planning and reporting etc. Conversely, others felt that the consultations were too inclusive, lasted too long and/or added new priorities where, they felt, OHCHR did not add value. The planning process began in 2017 and lasted longer than foreseen, which meant that the planning process for 2018 and 2019 had to be combined into an 18-month cycle, a frustrating experience for many. Yet, the level of inclusiveness of the consultations which led to the last OMP are a very positive element of sustainability: this process, although labour-intensive and time-consuming, helped build consensus, and especially contributed to the credibility of the document among donors. Donor interviews, as well as interviews with those involved in fundraising at headquarters and field level, confirm that the OMP process and document have helped to raise the visibility of OHCHR's vision and priorities, and boost donor's trust and alignment.

It is still early days to determine to what extent the OMP process itself has helped strengthen the corporate identity and 'results culture'. The breadth of topics covered, and methods applied, the different work streams, the sometimes diverging views among staff about what the Office's core business is or should be, combined with quite distinct field presences spread across all continents, renders this an even greater challenge than in many other agencies. Nevertheless, we observe a positive trend, starting at the senior management level, to incorporate a perspective that transcends departmental interests and practices. The paradigm shift sought for is genuine and illustrated not just in the way in which senior management communicates internally and externally, but also in the explicit goals it has set itself, in terms of the GMOs and OEAPs. In so doing, it is leading by example – setting the stage for others to follow in their footsteps.

At a time when fundraising has becoming increasingly challenging (with greater competition, higher scrutiny, more volatility and increasing needs) and the multilateral system itself is being challenged, OHCHR's fundraising statistics are impressive. Judging by the positive feedback given by OHCHR's main donors on the OMP and project reports which we obtained anecdotally, the introduction of RBM has indeed been supportive. Some donors, e.g. Denmark, now accept the PMS as the basis for reporting. External relations officials are stepping up their efforts to encourage other donors to follow this example and provide lightly earmarked funding. Other donors have expressed their satisfaction over the level of detail and quality of OHCHR results planning and PMS-generated reporting.

On a different note, unintended consequences of the introduction and evolution of RBM include what we would consider to be a too narrow focus on accountability, with too little attention on learning; an 'instrumentalisation' of RBM tools rather than encouraging a more fundamental understanding of the multifaceted character of RBM; and 'projectisation' of OHCHR's operations.

In the preceding sections, we pointed out that the Office had originally prioritised the accountability dimension of RBM. This accountability focus has to a large extent been taking place at the office-level, and less so at the individual level. We found little evidence to suggest that RBM had been incorporated in performance appraisal systems (E-Performance document), nor that Human Resource Management more generally has incorporated RBM within the selection, training and career development policies and instruments. While necessary and important, the focus on accountability led to a situation whereby significantly less attention was given to the equally important part of the same paradigm shift towards results, namely building and strengthening a learning culture and encouraging innovation based on learning. Given the complex conditions in which OHCHR finds itself, combined with the formidable challenges to monitor and measure human rights situations and outcome of OHCHR's own interventions, investing in knowledge generation, absorption and management—internally as well as through independent external evaluations – is actually an integral part of RBM that should feed into the programme cycle. By sequencing RBM components this way, the inter-connectivity between them was neglected.

A second unintended consequence of the implementation of RBM within OHCHR has been the '*instrumentalisation*' of RBM, i.e. the development and sophistication of tools and instruments, while neglecting the need to build a more comprehensive understanding, strategic thinking and results mindset. As mentioned before, we observe that staff have either a vague understanding of RBM, or a narrow one (i.e. RBM = PMS), with the stated adverse effect on support for RBM itself. The lack of a comprehensive 'RBM manual' so far (although this is in the process of being remedied), combined with meaningful and mandatory training is clearly felt, as well as a stronger emphasis on learning. The time has come to expand RBM beyond the realm of planning and reporting systems and procedure.

Thirdly, given its contribution to project fundraising, RBM risks becoming synonymous with project management at the field level, rather than a paradigm shift stretching across all parts of the Office. The emphasis on projects also has the added risk of over-emphasising the short-term and local level, rather than seeing human rights as one indivisible, interrelated and interconnected set of standards applicable to all. As a consequence, this 'projectisation' runs the risk of harming OHCHR's human rights-based RBM approach toward Office-wide common strategies.

Risks to the realisation of RBM and its (implicit) theory of change, stem from within the organisation and beyond. Internally, besides the aforementioned unintended consequences, there is the risk that the lack of integrated planning & budgeting and widespread use of the current real-time financial monitoring system will hamper evidence-based decisions on resource (re-)allocation. There is also the risk that the organisation continues to spread its resources too thinly, because of a reluctance to prioritise more clearly, thereby diluting its actual potential. Thirdly, and this is a risk faced by most if not all international organisations, a growing mismatch between HQ and field presences' perspectives and realities. This risk can manifest itself in very practical ways, e.g. the incompatibility between the PMS template for plans and reports and changing circumstances in the external environment. Building a corporate identity and culture in

a situation whereby work-streams and working environments differ so greatly, is challenging; but it is also a prerequisite for the adoption of a shared results culture and its institutional consequences. More delegation of authority in combination with a “management by exception” approach would be an appropriate countermeasure to this risk. Another potential risk we see is one whereby lower-level interests interfere with corporate needs and priorities. We witnessed this in the area of knowledge management, but also with regard to concerns over allocation of resources and budget cuts. Finally, because of the way in which the organisation is structured, with teams and individuals tied to specific themes, countries or tasks, there is a risk that cross-sectional coordination and collaboration does not reach its full potential, thereby weakening overall performance.

External risks have to do with the political, financial, regulatory and institutional conditions over which the Office has no control, but which may have far-reaching effects on its work. The example of the ‘Change Initiative’ is a case in point⁵⁷, but the same can be said of too rigid donor requirements, at times demanding levels of detail that could digress attention from results back to activities.

More fundamentally, there is the issue to what extent “classical RBM approaches” taken from the development community, can truly capture and harness the kind of results/changes that are intended in human rights work. These intended changes run deep and are by nature long-term, indirect, difficult to demonstrate and subjected to multiple, powerful external factors. There is a need to further refine and adapt RBM thinking and tools to the specificities of OHCHR’s mandate, in particular in terms of formulation of results and indicators. Again, a deconcentrated approach to decision-making would contribute to greater flexibility at the levels of intermediate results setting and formulation of indicators.

OHCHR has rightly chosen to aim for *contribution* to intermediate results at the outcome level, and not attribution; to formulate indicators and their applicability to the outcomes; and to identify ways to better accommodate changes in the external environment in the programme. However, in some of its publications, it has adopted the notion of ‘impact’, suggesting an unrealistic causal linkage of attribution between its interventions and ultimate effect.

3.3.6. Gender integration

Gender Integration	To what extent has a gender perspective been integrated in the activities and processes of the RBM implementation in the Office?
	How has RBM implementation contributed to the achievement of results in the area of gender equality?

⁵⁷ The ‘Change Initiative’ is the name given to a plan to reallocate staff from Geneva to the New York Office and regional offices. The budget-neutral plan was deferred indefinitely by the UN General Assembly.

Findings

OHCHR has made considerable progress in mainstreaming gender equality and women's empowerment within RBM, one of the Office's key policy areas. The Office has well-established, well-known and well-regarded policy and strategic frameworks for these and has developed a range of practical guidance, tools and checklists for integrating a gender perspective in all its work.⁵⁸

Building on the 2010 report of evaluation of OHCHR performance in gender mainstreaming⁵⁹ and subsequent steps taken to address the identified barriers to systematic gender integration (including the reinforcement of OHCHR gender architecture, adoption of Gender Policy, capacity building of staff and the piloting of the UN-system wide action plan on gender equality and the empowerment of women), the OMP 2014-2017 went a step further. GMO 3 was identified to "effectively integrate a gender perspective in all OHCHR policies, programmes and processes"⁶⁰, for which a Gender Equality Strategic Plan 2014-2017 was developed.⁶¹ The Strategy covered seven areas, with altogether twenty-six interventions and three major deliverables, including a report on the expected accomplishments and strategic interventions on women's rights and gender in all thematic priorities.

Since 2014, the Office has developed tools and guidelines for all staff to enhance accountability. In addition, OHCHR has adapted the PMS and the AWP/CP guidelines to better reflect and track performance against gender equality and women's empowerment goals. Performance was tracked on a regular basis by PPMS and the Women's Human Rights and Gender Section (WHRGS) by analysing work plans and reports in PMS and reported upon to the PBRB. Staff are incentivised to promote gender equality and women's empowerment in their plans and are supported by PPMS and WHRGS in formulating results and identifying activities. A gender accreditation programme was introduced in 2018, training is now mandatory for all new staff, and a mandatory online course on gender equality has been developed, with close to 80% participation. Through XB funding, the Office succeeded in expanding its gender architecture, including the appointment of Regional Gender Advisors and Gender Facilitators.

In the process leading up to the OMP 2018-21, the Office, through the joint efforts of PPMS and WHRGS, undertook a wide range of activities to ensure that gender was fully integrated in the planning process.⁶² Among others, separate guidelines were prepared prior to assist in the elaboration of pillar strategies and country and regional programmes. This resulted in the identification of four result areas that are gender related⁶³, the integration of gender in the other

⁵⁸ MOPAN OHCHR 2017-18, p. 67 (2019)

⁵⁹ OHCHR performance in gender mainstreaming, final report (2010)

⁶⁰ OMP 2014-17, p. 98

⁶¹ OHCHR Gender Equality Strategic Plan (2014-2017)

⁶² OHCHR - Defining OHCHR Strategic Direction for 2018-21 – Gender Integration; internal document (2018)

⁶³ International, regional and national justice systems respond more effectively and without discrimination to gender-related crimes; Legal and social frameworks increasingly promote women's and girls' autonomy and choice and protect them from violence in all spheres, including in the digital space; Harmful gender stereotypes and social norms are increasingly recognised and challenged within the judiciary, media, and the other sectors with a view to their eradication; public health approaches, including sexual and reproductive health policies, comply with international human rights standards and provide access on a non-discriminatory basis, especially for children, adolescents, women and migrants.

thirty-six and the drafting of an Organisational Effectiveness Action Plan on Diversity and Gender⁶⁴, with stronger involvement of offices/units in the implementation of the OEAP.

Most of the country and sub-regional programmes that had been elaborated in the context of the 2018-21 timeframe were analysed on gender integration. Out of these, 23% selected gender-related results. Senior Management has shown strong commitment to gender mainstreaming in RBM implementation. It is now up to mid-level management to engage more strongly and ensure that the ambitions are reflected more thoroughly and explicitly in all areas of RBM.

⁶⁴ The OEAP on Diversity and Gender commits the organisation to gender parity; more equitable representation of staff; policies and strategies that promote respect for diversity, gender equality and women's rights; and improvements in staff perceptions and behaviour.

4. Emerging Good Practices

Based on our findings, we have identified a (non-exhaustive) number of emerging good practices. These include:

Strategic Management

From the outset, OHCHR expressed a strong and intrinsically motivated desire to be held accountable for its performance in ways that exceeded formal requirements. It sought to add focus and develop a more unified and integrated organisation, while recognising the challenges of applying RBM principles to such a politically sensitive set of topics. The Office is increasingly able to make evidence-based decisions aimed at improving performance. The Organisational Effectiveness Action Plans constitute another step forward in strengthening the organisation's capability to deliver on its mandate and operate more systemically and in unison. In this regard, five 'good practices' stand out:

- Adapting, to the extent possible, the RBM approach to a human rights-based approach, through tools such as the OMP and the country notes, or perspectives such as the pillars and shifts, as well as their translation into a results framework and indicators. While extremely challenging and perfectible, these pioneering efforts are a most promising way to increasing OHCHR's impact in the field;
- Clearly and candidly communicating to the staff on the ambitions behind RBM, which might sometimes have been confusing, has ensured staff buy-in and commitment;
- Applying an evolutionary approach to RBM, with a clear view to ensuring a balance between the introduction of concepts and tools on the one hand, and developing staff awareness and capabilities on the other;
- Establishing a dedicated "RBM secretariat" (PPMES), strategically positioned under the supervision of Senior Management, with the task of supporting and overseeing the implementation of RBM principles and practices in the organisation, and gradually strengthening the results-focus across all units;
- Establishing and expanding a constituency of RBM "experts & practitioners" in HQ and field presences, to serve as change agents/frontrunners/facilitators of RBM implementation across the organisation.

Provided investments in staff understanding and skills are accelerated, and senior management continues to promote, communicate, adopt and refine RBM principles, these good practices are likely to continue.

Communication and fundraising

At the more operational level, our findings show how OHCHR's ability to introduce an organisation-wide programmatic, rather than a partial and/or project-based focus to results-based management, has brought RBM into all echelons of the organisation. Increasingly, RBM is driving OMP pillar strategies, and within these, decisions around priority areas, themes and spotlight populations, while at the same time leaving ample room for context-driven prioritisation. This

has allowed OHCHR to better articulate its contribution to results at both the global and national levels and communicate these to its audiences. As a consequence, OHCHR has been able to relate to donors' expectations and attract considerably more funds, both at the local and the global level, thereby further strengthening its operational capabilities.

Accountability and learning

An emerging good practice is the growing attention for the learning dimension of RBM. An ambitious set of measures has been taken recently to address the gaps in OHCHR's RBM architecture. These include introducing a PBRB decision-tracking system; initial discussions to combine RBB & RBM and also look at cost-effectiveness; in-depth PMS data analysis; the creation of communities of practice (on gender, transitional justice, innovation, dynamic knowledge, communication, field administration and engendered leadership), and the commissioning of this evaluation itself. Moreover, the consultative approach to strategic planning in the context of the recent OMPs has stimulated the organisation to listen to its partners and donors, think 'out of the box' and innovate accordingly. OHCHR has conducted RBM introduction and gender-sensitiveness mainstreaming in parallel, and our findings show that gender-sensitive planning and management and RBM reinforce one another. Also, efforts to improve organisational effectiveness, including in areas such as information and knowledge management, are becoming more structured and better resourced. Overall, these are all ambitious steps in the right direction, whose success will ultimately depend on establishing the necessary staff buy-in and ownership, and careful handling of the many simultaneous change management processes currently underway.

5. Lessons Learned

The Office has invested seriously and substantially in various areas of RBM. This has paid off – today, OHCHR is in a far better position than 10 years ago, both in terms of knowing what it is contributing to and why; and communicating this to others. Rather than bringing in external experts, this investment and all the innovations that followed were carried out by OHCHR staff themselves, which has helped build support from within for what, in essence, boils down to a paradigm shift. This has allowed OHCHR to keep a lid on the costs and implement RBM *more gradually* than is oftentimes the case. This constitutes four important lessons:

- (1) Building a results-philosophy starts with commitment at the top.
- (2) RBM stands a better chance of being institutionalised when it is developed from within, rather than seen as being driven/ imposed upon (by donors); and
- (3) RBM is not a one-size-fits-all; it must be tailored to the mandate of the organisation and allow sufficient room for flexibility to cover the organisation's diversity.
- (4) RBM needs to be constantly operationalised, explained, taught and mentored. The trainings that were given to staff when the PMS was rolled out, were mostly effective. However, with the influx of new staff, a renewed effort to invest in and nurture the capacity of the staff is needed.

RBM consists of many interconnected components, whereby 'the whole is more than the sum of its parts'. The Office has put more attention on accountability than on learning. In doing so, it has placed too much emphasis on sophisticating one of the tools (the PMS), at the expense of learning, changing the way of doing business together ('one OHCHR') and investing in skills and competency development. Instead of being helpful and supportive, this has led to unwanted frustration and unnecessarily high transaction costs, and could encourage bureaucratisation, a 'control' mentality, compartmentalisation and internal competition. Here, two lessons stand out:

- (5) Getting the balance right between accountability and learning is important, as is striking a balance between structure, process, culture, and tools & instruments. This requires clarity of vision - seeing the forest, not just the trees - and adoption of a 'systems approach'.
- (6) 'Perfect is the enemy of the good'; in this case, the aim should be to keep RBM as simple as possible and to regard it as a helpful tool to better manage risk. User-friendliness should drive the way it is designed and adjusted.

At a more philosophical level, there are questions concerning the compatibility between HRBA/human rights interventions and RBM, which has its origin in development cooperation. How can RBM principles be applied to such a political arena? How can the prevention of human rights abuses be measured? And, in relation to these, how can OHCHR's own performance be measured – both quantitatively and qualitatively? While there are no easy answers to these questions, we note that OHCHR is less unique than some may argue; other disciplines such as diplomacy, peacebuilding and preventive health care face similar challenges. Learning from their experiences, three main lessons stand out:

- (7) In determining its added value, OHCHR should speak only of contribution, not attribution. The latter is well beyond its sphere of influence and suggests non-existent causality. This

warrants creativity and flexibility in the formulation, the content, and the levels of the results framework and related indicators.

- (8) Similarly, the Office should look at inputs, outputs and outcomes only; while the plausibility of impact can be demonstrated, it is impossible to measure, and well beyond OHCHR's grasp. The evaluation function will need to seize itself of these concepts, and adapt them to RBM within OHCHR's mandate.
- (9) Planning within such a wide and ever-expanding mandate as OHCHR's is extremely challenging. Too many priorities runs the risk of spreading resources too thinly and jeopardising overall effectiveness.

6. Conclusions

OHCHR has come a long way in developing and implementing a results' focus within the organisation. Looking back on where it stood less than ten years ago, it has achieved well beyond what could normally be expected from a medium-sized multilateral organisation. In doing so, the Office has shown good faith and determination. This achievement is all the more commendable, if we consider the very challenging and, in some respects, constraining environment in which the Office operates. A paradigm shift is happening internally; RBM is now almost universally supported as an approach, and commitment is high and genuine. The Office has managed to bring all its work under one common and unifying set of results and institutional accomplishments that are traceable. Tools have been developed and introduced, policies have been crafted, staff have been trained and a structure is now in place to facilitate and encourage most of RBM's dimensions. Externally, OHCHR is increasingly respected and trusted by its supporters.

The OMP 2014-17 and the OMP 2018-21 both set the strategic direction of the Office. They reflect the high level of ambition and direction of travel – illustrated through the shifts and spotlight populations – that the organisation has set for itself. As a communications tool and a basis for engagement with stakeholders, they are highly effective. The strategic-level breadth, the large number of substantive and organisational effectiveness priorities and a predominantly bottom-up planning process, offer opportunities and protection against criticism.

In terms of RBM implementation, the OMP 2018-21 is less clear than its predecessor. The multitude of results and targets, as well as the lack of clarity around the latest OMP's ToC and Results Framework, makes it a less suitable framework for prioritisation, internal monitoring of the Office's (contribution to) achievements against objectives, subsequent adjustments, and reporting. It is too vast and complex to provide the kind of clarity needed in operational terms (including the causal logic between the new theory of change, the roadmap, the SDGs, the spotlight populations, pillars and shifts – see paragraph 5.3. on effectiveness). As a consequence, there is a risk that it could discourage the strategic-level change sought for.

Given the funding constraints the Office is currently facing with regard to its regular budget, the unlikelihood that XB funding will continue to grow at the same pace as before, and the risk of spreading scarce resources too thinly, strategic-level prioritisation is a must. It is also an integral part of RBM. Prioritisation will require improvements in areas such as results-based budgeting, monitoring and reporting. They will help improve the Office's capability to assess the cost-efficiency and cost-effectiveness of its interventions and take better informed, performance-based strategic decisions, e.g. on resource (re-)allocation.

Within OHCHR, so far, RBM is largely defined in terms of its accountability function, and less so in terms of learning. So far, most effort has been spent on the programming cycle: planning, monitoring and reporting, in support of fundraising and accountability to donors. With the growing reliance on XB funding and the donors' increased attention on results ('value for money' considerations), this choice is merited. The flipside is that it has led to an 'instrumentalisation' of

RBM. Not all staff fully embrace RBM principles and philosophy yet, partly due to a lack of awareness, and partly because of the way it is currently applied. The current planning, monitoring and reporting processes are arduous and do not systematically encourage/promote cross-departmental collaboration and coordination. We see an overemphasis on the sophistication of planning, monitoring and reporting tools and instruments, while other equally important RBM areas, such as strategic clarity and direction, developing a results culture, improving information and knowledge management, integrating substantive and financial data, fostering learning, promoting broader and more effective collaboration and coordination between divisions at HQ and between HQ and Field Offices, are now more pressing. Although the Office is data-driven and data-heavy, it does not yet have a corporate position on either IM or KM. This, too, is an area where positive gains can be made with small investments.

The focus on planning, monitoring and reporting has led to an excess of plans and reports, increasing rather than decreasing transaction costs and compounding rather than alleviating the staff's workload. Staff spend too much time on writing documents that too few people actually have time to read and comment upon. These documents are at times prepared in different languages, translated and then uploaded into the PMS that in practice, too few people know how or have the time to navigate. The PMS, like many other systems, is not a user-friendly tool; data entry is labour-intensive, and the products are difficult to read and understand. The amount and size of internal reports has become counterproductive, defeating the purpose of monitoring for decision-making and learning. Despite its potential as a source of information and basis for analysis and knowledge, in practice, very few people make use of its functionalities beyond what is mandatory. Planning and reporting guidelines are logically structured, but long. They also tend to change often, which adds to the confusion.

Decision-making on matters pertaining to the programming cycle is primarily the responsibility of the PBRB. Decisions on budgeting/costing, spending and adjustments needed, are taken mostly at HQ-level. Field presences, who in most cases are an important source of fundraising, lack authority over "their" resources. Devolving decision-making power to the extent possible, will enable more agile responses to changing conditions on the ground and will also help streamline and rationalise decision-making within OHCHR. In doing so, the PBRB will be able to become the strategic-level decision-making body it was meant to be, and less engaged in day-to-day operations.

7. Recommendations

Our recommendations focus on four priority areas:

(1) Accelerate efforts to foster an RBM mindset and practice within the organisation. This will involve a variety of concrete actions:

- Clarify the internal results chain logic in the 2018-21 OMP (between theory of change, roadmap, result areas, global indicators), and the hierarchy – or lack thereof – between pillar strategies, spotlight populations, and contribution to the SDGs
- Provide compulsory face-to-face RBM training for all new staff (as part of an obligatory induction training) and a refresher course for all current staff
- Develop and issue a practical, comprehensive RBM manual
- Expand the number of RBM focal points and where necessary, expand on-the-job coaching, e.g. through regular “RBM clinics”, working with the staff directly on their planning sessions and on their draft documents
- Translate and reward the importance of strategic thinking and management through HRM, e.g. by incorporating of RBM skills and competencies in recruitment processes, job descriptions, E-performance assessments and career planning selection methods

(2) Streamline, consolidate and simplify the PMS to reduce the administrative burden and release capacity for implementation and learning, recognising that striking a balance between standardisation on the one hand, and flexibility on the other will always be challenging. Related to this, generate a better understanding of planned versus actual performance and cost-effectiveness of investments / interventions as a means to contribute to transparent, evidence-based prioritisation and decision-making. This will involve a variety of concrete actions, such as:

- Establish a task force involving staff from various locations and levels to refine and simplify the planning and reporting templates (in particular AW/CP, MYR and EYR) and reduce transaction costs of planning, monitoring and reporting. The goal should be to reduce the workload - by reducing the number of reports (MYR, EYR only), shortening the size of the reports, and improving the PMS platform to make it simpler (structure of the platform itself, and structure of the templates) and less bandwidth-consuming (IT expertise should be sought to this end);
- Engage with partners (donors, and other UN agencies such as UNDP or DPKO where relevant) to reduce the reporting workload and harmonise internal and external reporting templates and content, building on good practice examples (e.g. Colombia, where donors are increasingly accepting OHCHR’s own planning and reporting templates);

- Accelerate the work of the 'Budget Reset Task Force' to identify and recommend practical ways to systematically integrate results-based planning, monitoring and reporting with results-based budgeting and spending. This would involve either developing an integrated, real time financial management platform, where every expenditure is tied to activities of the work plans and cost plans through an individual ID number; or, if not feasible, extending access to UMOJA to all staff with a responsibility to implement XB-funded programmes.
- In light of recent UN Secretariat Reform proposals, strengthen the strategic oversight function of the PBRB by transferring responsibilities and accountability for operational decisions to the lowest permissible levels.

(3) Strike a better balance between accountability and learning. Among others, this can be achieved by adding more human and financial resources for the evaluation function, as well as closer collaboration between sections and departments across the entire organisation, to help generate more and better knowledge and understanding of each other's work and identify synergies. This is particularly relevant to thematic exchange between HQ and the field offices, but also between staff involved in areas such as fundraising, external communications, knowledge management and information management. The Office has identified Knowledge Management as one of 9 Organisational Effectiveness Action Plans and needs to resource it as a matter of urgency. Concrete actions include:

- Allocating more resources for independent external evaluations and reviews, but also to the promotion of evaluation results, towards the emergence of an evaluation culture within the Office;
- As a matter of urgency, ensure full implementation of the 'Dynamic Knowledge' Organisational Effectiveness Action Plan;
- Bring efforts in Knowledge Management and Information Management under the direct supervision of Executive Management;
- Institutionalise exchange between and across HQ-based staff and field presences, especially among thematic experts, administrators and mid-level management by:
 - Holding regular retreats for staff involved in particular thematic areas
 - Stronger engagement of HQ-based experts in formulation and/or appraisal of AW/CP, MYR and EYR at field-level
 - Joint drafting of analytical papers
 - Exchange visits between HQ and field-based staff
 - Developing and implementing staff mobility schemes

(4) Ensure that a results-culture does not evolve into a 'control-culture'. RBM is a means to an end, not a goal in itself. Avoid the misleading notion that more data will deliver greater accountability. Overall, there is a need to move from management by rule, to management by exception, with less need for ex-ante permission, and more ex-post accountability. In this regard, while acknowledging the breadth of the mandate, it is important to remain focused on the type of results the Office chooses to contribute to, their long-term character and the

diverse contextual challenges involved. While the goals remain aspirational, expectations and management of results must be grounded in realism. To this end, practical measures include:

- a. Formulate realistic, rather than aspirational, “intermediary results” in the country notes, which would then become the backbone of annual workplan;
- b. Introduce more flexibility in the formulation of indicators at that level.

8. Appendices

Annex One: TOR Evaluation Of The Implementation Of Results Based Management In OHCHR

I. Background and Context

OHCHR's strategic direction is set out in its vision statement, thematic priorities and expected accomplishments. This strategic direction is set within the framework of the Human Rights Programme of the Secretary-General's Strategic Framework which has been endorsed by the General Assembly.

In 2012-2013, two Office's internal bodies for policy deliberation and decision-making, the Senior Management Team (SMT) and the Programme and Budget Review Board (PBRB) revised their terms of reference, improved their working methods to enhance staff accessibility and transparency and put in place mechanisms to track progress in implementing decisions. Further achievements were made in this area as a result of an Organisational Effectiveness Programme launched to follow up on the recommendations of the Office of Internal Oversight Services. Results included an extension of the Office's planning cycle from two to four years, simplified procedures related to work planning, budgeting and internal and external reporting according to organisational results as opposed to individual Divisions activities, and new policies and procedures related to internal communications.

These changes have resulted in an improved understanding and implementation of OHCHR's strategic direction and in more timely and transparent strategic decision-making processes.

Significant progress has also been made in developing a culture of results within OHCHR. OHCHR's progress in this area includes an increased understanding among staff and senior management of results-based management (RBM) principles and the importance of "managing for results," as evidenced by more appropriate use of RBM principles in the daily work of staff and in the focus on results in OHCHR Management Plans (OMP) and annual reports.

Every organisational unit and field office in OHCHR plans, monitors and reports through an IT-based Performance Monitoring System (PMS) that is based on common results and uses RBM methodologies and principles.

In its Management Plan 2014-2017, the Office committed itself to ensure the ongoing integration of RBM into its work and continue to facilitate the effective and efficient functioning of internal decision-making bodies.

These Terms of Reference will guide the evaluation of the implementation of RBM in OHCHR, with a focus on the programming cycle 2014-2017, including the planning process for the OMP 2018-2021 conducted in 2017.

2. Evaluation Justification, Purpose and Objectives

This evaluation was suggested first in 2014 by the Office's evaluation focal points network, however, after discussion, focal points and Senior Management suggested that it was premature to evaluate RBM in OHCHR because the office needed more time to build internal RBM capacity, including time for more office-wide use of the Performance Monitoring System. Further, the Joint Inspection Unit (JIU) conducted in 2017 a review of the implementation of RBM UN system-wide. During the preparation of the evaluation plan 2016-2017, focal points again suggested that an RBM evaluation should be carried out, a suggestion which was re-iterated during the preparation of the plan 2018-2021 and included as one of the approved evaluations in the Evaluation Plan for the Office.

The RBM evaluation would be an overall assessment of the implementation of Results Based Management during the programming cycle 2014-2017 for which RBM standards and procedures were used and for which monitoring data in the PMS is available; such an evaluation would also attempt to identify lessons learned from the planning process for the OMP 2018-2021. The learnings from this assessment will be useful for the implementation of the 2018-2021 programme and for planning, monitoring and evaluation processes across the Office.

The purpose of the evaluation is to assess the implementation of RBM in OHCHR and produce recommendations in terms of these six evaluation criteria:

- Relevance – the extent to which the implementation of RBM is relevant to the mandate of OHCHR, its expected results according to the OMP, and the needs of stakeholders;
- Effectiveness – the degree to which planned results and targets of the implementation of RBM in the Office have been achieved;
- Efficiency – the extent to which the Office has economically converted resources into results during the implementation of its RBM strategy;
- Impact orientation – the extent to which the implementation of RBM contributes to the development of a culture of results in the Office;
- Sustainability – the likelihood that the results of the implementation of RBM are durable and form the basis for future improvement;
- Gender integration – the degree to which a gender perspective has been integrated in all the activities and processes of the RBM implementation in the Office.

The objectives of the evaluation are:

- To identify areas of strength and areas for improvement in the implementation of RBM in the Office;
- To produce useful lessons learned and good practices that illustrate successful and unsuccessful strategies in the implementation of the RBM approach;
- To produce clear and actionable recommendations identifying concrete actions and responsibilities for OHCHR to undertake towards these ends.

The evaluation will therefore take both a summative and a formative approach, in that it will look at results achieved or not achieved so far (summative) with a view to inform the Office's work in the future (formative). This approach will therefore increase OHCHR's accountability and learning, as per OHCHR's Evaluation Policy.

The evaluation will follow the UNEG Norms and Standards⁶⁵ for Evaluation in the UN System, as well as the UNEG Handbook for Conducting Evaluations of Normative Work⁶⁶.

3. Scope and Evaluation Questions

The evaluation will cover the implementation of RBM during the entire programming cycle 2014-2017 at the corporate, programme and regional/country levels in OHCHR Headquarters and field presences. This includes the areas of planning, managing, monitoring, evaluation, reporting and decision-making. The planning process conducted in 2017 for the preparation of the OMP 2018-2021 will be also considered in the evaluation's scope.

The following set of evaluation questions, framed along the OECD/DAC criteria, will guide the evaluation in pursuit of its stated objectives and purposes:⁶⁷

RELEVANCE

- What are the theory of change, objectives and intended results developed for the Office's RBM approach?
- How adequate to the OHCHR's mandate are the Office's results framework (including expected accomplishments, thematic priorities, indicators and targets) reflected in the Management Plans 2014-2017 and 2018-2021? Do they integrate a Human Rights Based Approach?
- What lessons can be learned from the planning process for the OMP 2014-2017 and 2018-2021? Have there been improvements in the Office's planning based on these lessons?

EFFECTIVENESS

- What systems, organisational arrangements and tools are in place for the implementation of RBM in OHCHR?
- What has been the role of the Performance Monitoring System in supporting the planning, monitoring and reporting in OHCHR?
- What progress has been made in the building of an evaluation culture in the Office within the framework of the implementation of RBM in OHCHR?

⁶⁵ <http://www.uneval.org/document/detail/1914>

⁶⁶ <http://www.uneval.org/document/detail/1484>

⁶⁷ It is expected that the questions will be reviewed by the evaluators in the course of their inception work and may therefore be modified to reach a final form after the inception report has been approved by the Evaluation Management.

EFFICIENCY

- Do the results achieved so far in the implementation of RBM justify the investment made in terms of physical, intellectual, human and financial resources?
- Has the Office's staff received the training, guidance, tools and support required to implement RBM in OHCHR?
- How effectively does the Office's management coordinate, communicate, monitor, evaluate and report on the implementation of RBM in OHCHR?

IMPACT ORIENTATION AND SUSTAINABILITY

- What has been the contribution of the implementation of RBM to the development of a culture of results in OHCHR at the organisational, headquarter unit, field presence and staff level?
- Has the implementation of RBM contributed to facilitate the effective and efficient functioning of internal decision-making bodies?
- To what extent has the implementation of RBM contributed to enhance the effectiveness and efficiency of the Office in the achievement of its thematic expected results according to the OMP?

GENDER INTEGRATION

- To what extent has a gender perspective been integrated in the activities and processes of the RBM implementation in the Office?
- How has RBM implementation contributed to the achievement of results in the area of gender equality?

Evaluability

For the 2014-2017 programming cycle, OHCHR developed office-wide strategies for a number of Global Management Outputs (GMOs). GMO I is related to the implementation of RBM in the Office: "Strategic decisions are made in line with results-based management principles and are implemented in a timely manner". A monitoring framework for each GMO includes specific indicators and targets.

In addition, information on the planning, monitoring and reporting for headquarters and field presences during the period 2014-2017 is uploaded in the Performance Monitoring System, including country and regional notes, annual work and cost plans, as well as annual and end-of-cycle reports, among others. Information on evaluations conducted in the Office is also available for the cycle, and minutes from the discussions of the internal bodies for decision-making are also stored in a repository that can be consulted during the evaluation.

Stakeholder Involvement

The main stakeholders of the evaluation include, at least:

- OHCHR Senior Management

- Divisions and Services at OHCHR Headquarters
 - Executive Direction and Management (EDM)
 - Policy, Planning, Monitoring and Evaluation Service (PPMES)
 - Programme Support and Management Service (PSMS)
 - Field Operations and Technical Cooperation Division (FOTCD)
 - Human Rights Council and Treaty Mechanisms Division (CTMD)
 - Thematic Engagement, Special Procedures and Right to Development Division (TESPRDD)
- OHCHR Field Presences
- OHCHR Staff

4. Approach and Methodology

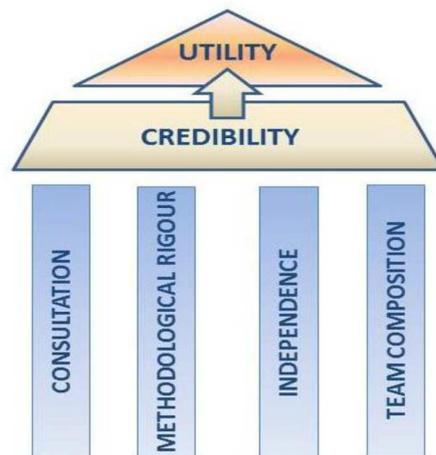
Overarching approach to conducting utilisation-focused evaluations:⁶⁸

The evaluation's overall approach will be guided by the principle of credibility – that is, ensuring that the best evidence available is harnessed, and that it is analysed appropriately, so as to generate findings, conclusions and recommendations that resonate and that management can therefore feel confident acting on. This approach presumes four pillars, depicted in the figure below, including:

- a. **Consultation** with and participation by key stakeholders, in the form of a Reference Group and other venues, so as to ensure that the evaluation remains relevant, and that the evidence and analysis are sound and factually accurate;
- b. **Methodological rigour** to ensure that the most appropriate sources of evidence for answering the questions above are used in a technically appropriate manner;
- c. **Independence** to ensure that the analysis stands solely on an impartial and objective analysis of the evidence, without undue influence by any key stakeholder group;
- d. **Evaluation team composition** to ensure that the foregoing three pillars are adequately understood and followed, and that the appropriate evaluation skills and appropriate subject matter expertise to make the analysis of the evidence authoritative and believable.

These four pillars should consider the integration of human rights and gender equality in aspects such as: consultation with and participation by stakeholders, conformation of the Reference Group, selection of the methodology, and evaluation team composition.

⁶⁸ This section and section 6 below have been liberally adapted from UNICEF Terms of Reference for evaluations, as best practices shared through the United Nations Evaluation Group.



Methodology:

The evaluation will be conducted by a team of two external consultants. They will use as far as possible, considering the specificities of OHCHR's work, a mixed-methods approach - quantitative and qualitative, with rigorous triangulation of information. It is expected that evaluators will be using the following methods (to be further defined by the evaluation team in the inception report):

- **Desk Reviews** informal, for general background; and formal, on OHCHR's and external systems and documents such as plans, reports, audits, evaluations, etc.;
- **Interviews and focus group discussions** either in person or virtually with stakeholders identified in the analysis;
- **Surveys and questionnaires** addressed to stakeholders;
- **Direct observation**, through field trips to a sample of OHCHR field presences;

The evaluation methodology includes missions to Geneva, where OHCHR headquarters are located, and a sample of five OHCHR's field presences for desk reviews, direct observation and face to face interviews with stakeholders. If some of the stakeholders are not available during the missions or are located in cities other than those visited, telephone or Skype will be used.

Taking into consideration geographical representation, different types of field presences and logistical constraints, these field presences have been selected to be considered by the evaluation team during the field work phase of this evaluation:

- Americas:
- Europe and Central Asia:
- Middle East and North Africa:
- Africa:
- Asia – Pacific:

This list could be revised during the inception phase with the participation of the Reference Group.

It is important to emphasise that the purpose of this sample is to assess the implementation of RBM in the field, in order to extrapolate general findings relevant to OHCHR situation at the global level, and not to study individual cases or establish comparisons among the offices visited. Both consultants will participate in the scoping mission to Geneva, and they will also conduct jointly the first mission to one of the field presences selected in the sample. Then, they will split to conduct individually the rest of field missions based on their geographic expertise. OHCHR staff will join some of the field missions as resources to provide support to the evaluators and participating as observers in selected interviews for quality control purposes.

Integration of Human Rights and Gender Equality (HR & GE)

In addition to the consideration of gender integration as one of the six set of evaluation questions, the evaluation should follow the UNEG Guidance “Integrating Human Rights and Gender Equality in Evaluations”⁶⁹:

- Adequately answer Human Rights and Gender Equality issues by detecting meaningful changes and the contribution of the intervention to them in terms of enjoyment of rights, empowerment of rights holders and capacity of duty bearers;
- Be suitable for the populations and individuals that will be involved (in particular, if cultural and security issues are taken into account); and
- Be appropriate to involve all the key stakeholders, without discriminating against some groups or individuals, and allow for guaranteeing the meaningful participation of all stakeholders.

The methodology section of the inception, draft and final reports should clearly explain how the evaluation was specifically designed to integrate HR & GE issues, including data collection methods, data sources and processes, sampling frame, participatory tools, evaluation questions and validation processes.

The evaluation findings, conclusions and recommendations should describe the analysis and interpretation of data on HR & GE, specific findings on HR & GE-related criteria and questions, strengths and weaknesses of the intervention regarding HR & GE, and specific recommendations addressing HR & GE issues.

This integration of HR & GE could be assessed using the “UN SWAP Evaluation Performance Indicator Scorecard”⁷⁰ which the evaluation team is invited to consult.

5. Management and Governance Arrangements

The Policy, Planning, Monitoring and Evaluation Section (PPMES) is in charge of managing the evaluation through an Evaluation Officer, who will act as the **Evaluation Manager**. This will include recruiting the evaluators; serving as the main port-of-call for evaluators, as well as for internal and external stakeholders; recording the feedback of the reference group and effectively

⁶⁹ <http://www.uneval.org/document/detail/1616>

⁷⁰ <http://www.uneval.org/document/detail/1452>

integrating it into the evaluation exercise; monitoring the budget and the correct implementation of the work-plan; organising missions; participating in them on an ad hoc basis to ensure quality assurance; etc.

A **Reference Group** will be constituted for this evaluation and it will serve in an advisory capacity to help strengthen the evaluation's substantive grounding and its relevance to the Office. The Reference Group shall be chaired by PPMES, and include representatives of EDM, PSMS, FOTCD, CTMD and TESP RDD.

The Reference Group is responsible for advising the Evaluation Management on the following:

- The Terms of Reference;
- Oversight of the consultants short-listing and selection processes;
- Approval of key aspects of Evaluation design and processes and any adjustments to TOR;
- Ensuring the evaluation process (internal and external phases) involves key stakeholders adequately, to ensure ownership of analysis and recommendations;
- Approval of Evaluation products;
- Decision on a post-Evaluation dissemination strategy;

6. Deliverables and Timeframe

The evaluation will produce the following outputs, all of which will be grounded in UNEG Norms and Standards and good evaluation practice, to be disseminated to the appropriate audiences:

- An **Inception Report** (maximum 15 pages), that outlines the selected evaluation team's understanding of the evaluation and expectations, along with a concrete action plan for undertaking the evaluation. It will spell out the specific methods and data sources from which it will garner evidence to answer each evaluation question and to assess attribution/contribution of results to OHCHR's efforts (i.e., an analytical framework); a validated theory of change, logic model and performance indicators against which the interventions will be assessed; a more thorough internal and external stakeholder analysis and sampling strategies; any proposed modifications to the evaluation questions; and further thoughts on any other areas. The Inception Report should include a comprehensive **Data Collection Toolkit** that translates all of the methods agreed in the Inception report into specific data collection instruments to be used during the field trips (questionnaires for interviews, surveys, etc.). The Inception Report will be reviewed by the Evaluation Manager and the Reference Group for feedback before finalisation.
- A **Draft Report** (maximum 40 pages) generating key findings, useful lessons learned and good practices, and clear and actionable recommendations for concrete action, underpinned by clear evidence (for review by the Evaluation Manager and the Reference Group for factual comments), and an Executive Summary of no more than 4 pages that weaves together the evaluation findings and recommendations into a crisp, clear, compelling storyline.

- A **presentation during a workshop**, to be organised to discuss the conclusions and recommendations of the draft report with the main evaluation stakeholders.
- A **second Draft Report** that incorporates the first round comments and feedback from the Evaluation Manager and the Reference Group.
- A **Final Report** that incorporates final comments from the Evaluation Manager and the Reference Group on the second draft report.

The timeline proposed for the conduct of the evaluation is the following:

ACTION	TIMELINE
Constitute Reference Group and finalise Terms of Reference	December 2019
Select consulting team	January 2019
Recruit consulting team	February 2019
Kick off evaluation	1 March 2019
Desk review and preparation of inception report	March 2019
Deliver inception report, including data collection toolkit	15 March 2019
Mission to Geneva	March 2019
Finalisation of inception report and data collection toolkit	April 2019
Field trips	April - May 2019
Undertake data analysis and draft report	May 2019
Deliver first Draft Report	7 June 2019
Circulate first Draft Report	June 2019
Workshop for discussion of Draft Report	June 2019
Finalise second Draft Report	July 2019
Deliver second Draft Report	12 July 2019
Circulate and finalise Final Report	July 2019
Deliver Final Report	31 July 2019

7. Evaluation Team Profile

A two-person team will be recruited to conduct the evaluation, including:

- One Team Leader with experience conducting evaluations for United Nations agencies or other international organisations, including evaluations on implementation of Results Based Management strategies, responsible for undertaking the evaluation from start to finish in accordance with the timelines agreed upon and in a high-quality manner.

- One Team Member with experience conducting evaluations for United Nations agencies or other international organisations, including evaluations on implementation of Results Based Management strategies, responsible for supporting the Team Leader, particularly in the phases of data collection, review and report writing.

8. Budget

The budget for this evaluation comes from PPMES.

Annex Two: List of people interviewed

OHCHR Headquarters, Geneva and New York

1. Abdelmoula Adam
2. Albero Teresa
3. Aranaz Jose-Maria
4. Arvidsson Linnea
5. Balbin Beatriz
6. Beloin Laure
7. Bhagwandin Dutima
8. Bholu Aditi
9. Birga Veronica
10. Boychenko Yury
11. Buhren Karin
12. Cataldo Camilo
13. Cisse-Gouro Mahamane
14. Clotteau Nils
15. Donati Federica
16. Duchatelier Moetsi
17. Espiniella Pablo
18. Foucard Natalie
19. Gagnon Georgette
20. Georgiadis Sylta
21. Gilmore Kate
22. Girard Alexandre
23. Glebova Ksenia
24. Hattori Asako
25. Hicks Peggy
26. Hirano Tetsuya
27. Howland Todd
28. Jean-Philippe Beatrice
29. Kallas Hala
30. Konstad Line
31. Magazzeni Gianni
32. McCarthy Mark
33. Meinecke Christina
34. Meldova Katarina
35. Moeller Cecilia
36. Monroy Sabas
37. Morales Mercedes
38. Motta Francesco
39. Muninga Dieudonné
40. Nazarali Laila

41. Nascimento da Silva Monica
42. Nyanda Francoise
43. Olhagen johan
44. Ota Tiyaki
45. Pearce Eldon
46. Perez Mena Beatrice
47. Redigolo Theresia
48. Richards Colin
49. Rishmawi Mona
50. Salama Ibrahim
51. Sangha Gurdip
52. Sauveur Laurent
53. Schmitz-Meiners Doris
54. Tay Roanna
55. Terada Sarori
56. Tristounet Eric
57. Ventre Lydie
58. Worrell Jennifer
59. Zabula Aylwin

Field presences

60. Acosta Patricia
61. Alejos Marlene
62. Aloiu Achmed
63. Ben Aissa Rim
64. Ben Khalifa Issaaf
65. Ben Yettou Wissam
66. Bjerler Nicole
67. Bouyahia Hajer
68. Cepeda Natalia
69. Chaabani Insaf
70. Dantas Reinaldo
71. Dia Seynadou
72. Diaz Ana Maria
73. Fartache Azadeh
74. Fassatoui Omar
75. Favretto Marcella
76. Grueco Libia
77. Kammoun Samia
78. Knani Meriam
79. Lanting Anjet
80. Liao Katherine
81. Losada Diana

82. Maldonado Guillermo-Fernandez
83. Medina David
84. Mohammed Narmeen
85. Molina Angela
86. Monge Juan-Carlos
87. Moreau Benjamin
88. Muachi Samira
89. Novoa Luis
90. Onofa Paola
91. Rodriguez John
92. Rodriguez Maria Teresa
93. Sailama Nahedh
94. Sánchez Felipe
95. Simon Vincent
96. Shkolnikov Vladimir
97. Turner Kevin

Donor representatives

98. Hubert Claire
99. McDonald, Ms.
100. Molin Clara

Annex Three: List of documents used

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Annex 4 Glossary

This glossary includes terms typically used in the area of evaluation and provides the basis for facilitating a common understanding of evaluation. It references terms from glossaries of OECD-DAC and Evaluation Cooperation Group (ECG) as well as the OHCHR RBM Terms of Reference.

Accountability

Obligation to demonstrate that work has been conducted in compliance with agreed rules and standards or to report fairly and accurately on performance results vis-à-vis mandated roles and/or plans. This may require a careful, even legally defensible, demonstration that the work is consistent with the contract terms.

Analytical tools

Methods used to process and interpret information during an evaluation.

Appraisal

An overall assessment of the relevance, feasibility and potential sustainability of a development intervention prior to a decision of funding.

Assumptions

Hypotheses about factors or risks which could affect the progress or success of a development intervention.

Attribution

The ascription of a causal link between observed (or expected to be observed) changes and a specific intervention. Attribution refers to that which is to be credited for the observed changes or results achieved.

Baseline study

An analysis describing the situation prior to a development intervention, against which progress can be assessed or comparisons made.

Coherence

Examined at the cross-pillar/ reform level, to test whether key dependencies between reforms are understood and risks managed across units.

Conclusions

Conclusions point out the factors of success and failure of the evaluated intervention, with special attention paid to the intended and unintended results and impacts, and more generally to any other strength or weakness. A conclusion draws on data collection and analyses undertaken, through a transparent chain of arguments.

Data Collection Tools

Methodologies used to identify information sources and collect information during an evaluation.

Development Intervention

An instrument for partner (donor and non-donor) support aimed to promote development.

Note: Examples are policy advice, projects, programs.

Development objective

Intended impact contributing to physical, financial, institutional, social, environmental, or other benefits to a society, community, or group of people via one or more development interventions.

Effect

Intended or unintended change due directly or indirectly to an intervention.

Effectiveness

The extent to which the development intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance.

Efficiency

A measure of how economically resources/ inputs (funds, expertise, time, etc.) are converted to results.

Evaluability

Extent to which an activity or a program can be evaluated in a reliable and credible fashion.

Evaluability assessment calls for the early review of a proposed activity in order to ascertain whether its objectives are adequately defined and its results verifiable.

Evaluation

The systematic and objective assessment of an on-going or completed project, programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, development 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 recipients and donors.

External evaluation

The evaluation of a development intervention conducted by entities and/or individuals outside the donor and implementing organisations.

Feedback

The transmission of findings generated through the evaluation process to parties for whom it is relevant and useful so as to facilitate learning. This may involve the collection and dissemination of findings, conclusions, recommendations and lessons from experience.

Finding

A finding uses evidence from one or more evaluations to allow for a factual statement.

Formative evaluation

Evaluation intended to improve performance, most often conducted during the implementation phase of projects or programs.

Impacts

Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended.

Independent evaluation

An evaluation carried out by entities and persons free of the control of those responsible for the design and implementation of the development intervention. It is characterised by full access to information and by full autonomy in carrying out investigations and reporting findings.

Indicator

Quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, to reflect the changes connected to an intervention, or to help assess the performance of a development actor.

Institutional Development Impact

The extent to which an intervention improves or weakens the ability of a country or region to make more efficient, equitable, and sustainable use of its human, financial, and natural resources, for example through: (a) better definition, stability, transparency, enforceability and predictability of institutional arrangements and/or (b) better alignment of the mission and capacity of an organisation with its mandate, which derives from these institutional arrangements. Such impacts can include intended and unintended effects of an action.

Lessons learned

Generalisations based on evaluation experiences with projects, programs, or policies that abstract from the specific circumstances to broader situations. Frequently, lessons highlight strengths or weaknesses in preparation, design, and implementation that affect performance, outcome, and impact.

Monitoring

A continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds.

Outcome

The likely or achieved short-term and medium-term effects of an intervention's outputs.

Outputs

The products, capital goods and services which result from a development intervention; may also include changes resulting from the intervention which are relevant to the achievement of outcomes.

Partners

The individuals and/ or organisations that collaborate to achieve mutually agreed upon objectives.

Performance

The degree to which a development intervention or a development partner operates according to specific criteria/standards/guidelines or achieves results in accordance with stated goals or plans.

Performance indicator

A variable that allows the verification of changes in the development intervention or shows results relative to what was planned.

Performance measurement

A system for assessing performance of development interventions against stated goals.

Performance monitoring

A continuous process of collecting and analysing data to compare how well a project, program, or policy is being implemented against expected results.

Purpose

The publicly stated objectives of the development program or project.

Quality Assurance

Quality assurance encompasses any activity that is concerned with assessing and improving the merit or the worth of a development intervention or its compliance with given standards.

Recommendations

Proposals aimed at enhancing the effectiveness, quality, or efficiency of a development intervention; at redesigning the objectives; and/or at the reallocation of resources. Recommendations should be linked to conclusions.

Relevance

The extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies.

Reliability

Consistency or dependability of data and evaluation judgements, with reference to the quality of the instruments, procedures and analyses used to collect and interpret evaluation data. Evaluation

information is reliable when repeated observations using similar instruments under similar conditions produce similar results.

Results

The output, outcome or impact (intended or unintended, positive and/or negative) of a development intervention.

Results framework

The program logic that explains how the development objective is to be achieved, including causal relationships and underlying assumptions.

Results-Based Management (RBM)

A management strategy focusing on performance and achievement of outputs, outcomes and impacts.