

EVALUATION OF RESULTS-BASED MANAGEMENT IN THE COUNCIL OF EUROPE



” Success in management requires learning as fast as the world is changing.
Warren Bennis

January 2021

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List of acronyms and abbreviations

DG	Directorate General
DGI	Directorate General Human Rights and Rule of Law
DGII	Directorate General of Democracy
DIO	Directorate of Internal Oversight
DPB	Directorate of Programme and Budget
GR-PBA	Rapporteur Group of the Committee of Ministers – Programme, Budget and Administration
HR	Human Resources
IT	Information technology
JIU	Joint Inspection Unit of the United Nations
KII	Key informant interview
KPI	Key Performance Indicator
MfDR	Managing for Development Results
MOPAN	Multilateral Organisation Performance Assessment Network
OAC	Oversight Advisory Committee
ODGP	Office of the Directorate General of Programmes
OECD	Organisation for Economic Co-operation and Development
OECD DAC	OECD Development Assistance Committee
OHCHR	United Nations Office of the High Commissioner for Human Rights
PMM	Project Management Methodology
RBB	Results-Based Budgeting
RBM	Results-based management
SG	Secretary General
SMART	Specific, Measurable, Achievable, Relevant, Time-bound
SMG	Senior Management Group
ToR	Terms of Reference
UN	United Nations
UNFPA	The United Nations Population Fund

Executive summary

The purpose of this evaluation is to evaluate the maturity level of results-based management (RBM) in the Council of Europe and identify strengths and any areas where the Organisation's RBM system could be improved. It looks at the current RBM system and how it is used in standard setting, monitoring and co-operation throughout the Organisation, including within institutions, independent mechanisms and partial agreements, and assesses to what extent:

- ▶ the current RBM system provides a management and governance tool with pertinent information for both policy and performance management;
- ▶ this information is used for decision making.

It also benchmarks the Council of Europe's RBM system against the systems of other international organisations.

The users of the conclusions and recommendations will be the Secretary General, the Committee of Ministers, the Senior Management Group (SMG), the Directorate of Programme and Budget (DPB), the Office of the Directorate General of Programmes (ODGP) and senior management of the Council of Europe.

The core assessment of current status and maturity uses the framework developed by the UN Joint Inspection Unit (JIU), as suggested by the Terms of Reference (ToR). The design and methodology were discussed with and approved by the Reference Group. The evaluation builds on evidence from four key sources: document review; interviews and focus groups with a wide range of stakeholders; and a survey of all relevant programme managers within the Organisation. Details of the methodology, documents reviewed, individuals consulted, and the results of the survey are provided in the annexes.

Overall, the design and methodology described in the evaluation's inception report were implemented as planned, based on consistent triangulation of evidence from multiple data sources. One exception was made to the original plan, namely, to offer representatives of all member states the opportunity to be interviewed, rather than collect evidence through a survey. This provided valuable insights and generated useful dialogue on the context of RBM in

the Organisation. This decision was further validated by the response rate to the survey of programme managers, which was low despite the best efforts of the evaluation team.

The evaluation also draws on academic literature on the experience with and overall evolution of RBM, in particular within international organisations. This is then compared with the evolution of RBM in the Council of Europe. A key insight from the RBM literature and experience from peer organisations is that the operationalisation of RBM is not a simple task of introducing a few methods related to the definition and measurement of results. It requires significant change in how the Organisation is managed, its internal culture, staff behaviours and how it relates to external stakeholders. This insight has guided the evaluation and informed its conclusions and recommendations.

Due recognition is made of the Council of Europe's long history of applying results principles in its work, as first articulated in administrative reforms in 2001 and formalised through the introduction of results-based budgeting (RBB) in 2004. The focus on the budget process has remained significant and the RBM system has continued to evolve over time, laying the foundations for its wider use, including training and support of staff. It was, however, only in 2020 that a practical guide and toolkit on RBM, developed in co-operation with programme co-ordinators, was formally launched. Using the JIU metric for assessing the status of RBM as per the ToR, the Council of Europe's RBM approach can be judged overall to be at stage 3 – transitioning to mainstreaming.

A key finding from the benchmarking exercise of the evaluation is that for many international organisations the focus of RBM has increasingly shifted from managing by results (as exemplified by RBB) – see Box 3 – to managing for results (the essence of RBM) – see Box 1 – and that the Council of Europe has also initiated, but not completed, that journey. Benchmarking this against peer organisations and the broader RBM literature shows that the Council of Europe is firmly in the middle of the pack, and that no single agency has a fully functioning system that has reached a stage where RBM is broadly mainstreamed with implications for system-wide operation, partnerships, co-ordination and collaboration.

The evaluation acknowledges the particular context of RBM in the Council of Europe. It finds that the political and process-oriented nature of the mandate, the complex organisational structure and the importance that member states attach – or not – to RBM set the boundaries of what is feasible. Furthermore, the degree of implementation and the perception of the main purpose of RBM vary significantly across the various institutions within the Council of Europe. These often depend on the perceived relevance of, and commitment to, RBM in individual institutions, partly reflecting the fact that there is no formal strategy or incentive to ensure systematic and coherent implementation and practice across the institutions.

Generally, four major purposes are associated with RBM, namely: accountability, communication, decision making and learning. While the Organisation lacks a statement, jointly agreed between management and the Committee of Ministers, that explicitly sets out the agreed intended purpose(s) of RBM and the balance between them, it does have an emergent RBM strategy.¹ It also has most of the elements required for RBM to support good accountability and communication, thus providing a good basis for meeting the first two of the four key purposes.

The use of both RBB and RBM approaches and terminology in the budget process is a good example of how RBM is used for communication and management reporting for accountability; this is generally recognised as a strength of the system and is well appreciated by staff and member states. Significant progress has also been achieved in generating a common understanding of results concepts across the Organisation. However, the evaluation does identify limitations to this, as knowledge of RBM and how to apply it to contribute to the next two purposes of RBM – better informed direction/decision making and enhanced learning – seems mainly to exist at the individual level rather than being mainstreamed and entrenched at the institutional level. This aspect of RBM does not appear to have been discussed in depth across the wider community of senior managers within the Organisation, or within the Committee of Ministers.

The Council of Europe has implemented a significant reform process over an extended period, and leadership shows commitment to establishing a “results culture”. But there is no evidence of a specific change-management strategy that sets out prioritised actions for supporting the development of a results culture

1. The approach to the introduction of RBM has primarily been led from within the Directorate of Programme and Budget, but development of key aspects of the overall RBM approach, such as human resource management, evaluation and change management, have been managed separately. This means that the overall RBM strategy has emerged from the interaction of a range of initiatives.

in the Council of Europe, thus the evaluation found little evidence of sustained leadership of the results agenda with regard to RBM at the organisational level, although there is some evidence at the individual level. There was also only limited evidence of use of results for decision making and little awareness of the link between RBM and learning.

Among current limitations are that the Council of Europe’s results measurement system (at programme/sub-programme level, which is the most relevant for RBM) is under-resourced and clearly places an emphasis on quantified measures at the expense of other measures that are not so easily quantified. Thus, the evaluation concludes that for both RBB and RBM, more could be done to support staff to develop better results statements and identify SMART indicators. However, the added value may be modest in terms of enhancing the Organisation’s ability to provide the needed credible evidence of its actual results. Especially for RBM, there is a methodological limitation in the type of useful evidence an indicator-based RBM system can provide to meet this particular need.

The evaluation finds that the level of ambition for RBM and its future development is uneven. For example, there are individuals across the Organisation and among member state representatives who would like to see results measurement and reporting go beyond short-term output, to outcomes and impact. Other parts of the Organisation resist this trend. And, generally, the role of RBM in supporting learning across the Organisation is not well recognised.

To further contribute to the Secretary General’s results culture reform agenda, which is a priority for several member states, would require rapid transition to stage 4 in the JIU assessment framework.² Attempting this step would have two implications. First, it would mean a rebalancing in terms of what the priority purposes of the RBM approach were, with more emphasis on both the strategic decision-making and learning purposes. Second, the Organisation would need to use a formal RBM strategy and plan that is embedded in an overall, coherently managed reform strategy focused on fostering a results culture. Experience from other organisations suggests that this transition to stage 4 is the hardest step in operationalising RBM and one that all organisations continue to struggle to fully achieve.

A central finding of the evaluation, and a clear gap in the Council of Europe’s current approach to RBM, is indeed that the Council of Europe has no such formal, well-defined, comprehensive and holistic RBM strategy that has been endorsed by the Committee of Ministers and that is used to guide the mainstreaming of RBM

2. At stage 4, RBM is broadly mainstreamed, yet internally focused.

within and across the Organisation. An emergent strategy does exist, and so the Council of Europe now faces a strategic choice about how the RBM approach develops in future. That choice needs to reflect the balance placed on the four organisational purposes that RBM can contribute to. The emergent strategy that has been implemented has, *de facto*, focused on development of an RBM approach that mainly meets two of the four purposes of RBM – accountability and communication – and the evaluation concludes that considerable investment, based on a clearly articulated and formalised RBM strategy, would be a prerequisite for a more ambitious approach to RBM. To be effective, this should be devised and implemented as a high priority change-management project, as an integral part of the current reform programme.

In view of the above, the recommendations for this evaluation have been situated at two levels: 1) the strategic choice that the Organisation needs to make on the level of ambition for, and the purpose of, RBM; and 2) improvements that can be made irrespective of the strategic choice made.

The strategic choice on the future direction of RBM

Recommendation 1: The Secretary General should present her strategic choice, in consultation with member states, on how the Organisation will in future meet accountability needs, communication needs, strategic direction needs and learning needs. The strategic decision that needs to be made is whether to use RBM as the primary approach for meeting all identified needs or focusing RBM on the current accountability and communication needs and consider using other approaches (such as evaluation and adaptive management) to support implementation of her stronger results culture agenda.

Recommendation 2: To support the Secretary General in making a decision on what to propose under recommendation 1 above, the Organisation should develop a management strategy. Development of this strategy would allow consideration of the various alternative options and of which add the most potential value, and which are feasible to implement.

Recommendation 3: The Secretary General's strategic choice, and underlying strategic goals, should be formalised in a publicly available organisational document, and its implementation should be transparently managed through an operational plan.

Recommendation 4: To enhance the strategy's contribution to the development of a stronger results culture within the Council of Europe, its future development and implementation should be managed explicitly to build synergies with other parts of the Secretary General's reform agenda.

Recommendation 5: To meet the needs of communicating credible evidence of achieving results, the Secretary General should build on the approach set out in the 2019 Evaluation Policy and define the required level of coverage to meet this need through implementation of the policy.

Improvements that can be made irrespective of the strategic choice made

Recommendation 6: In future, monitoring of the implementation of the strategy and its road map, and the degree to which it is delivering the anticipated benefits, should lie with a senior management team designated by the Secretary General.

Recommendation 7: The Directorate of Programme and Budget should ensure that adequate resources are invested where most needed, including for communication of the purposes of RBM, the purposes it is intended to meet and the implications for staff within the Organisation of the new strategy. In particular, the difference between RBM and RBB should be more forcefully communicated and its implications in terms of what is expected from the various institutions within the Council of Europe.

Recommendation 8: The guidance on the definition of results statements and identification of indicators is adequate. The Directorate of Programme and Budget should continue to work with the Directorate General of Administration to monitor whether more resources should be invested to ensure that staff develop the capability to use the guidance.



1. Introduction

The Council of Europe is the continent's leading human rights organisation. It promotes human rights, democracy and the rule of law in Europe and beyond. The Organisation's 47 member states have signed up to the European Convention on Human Rights, the implementation of which is overseen by the European Court of Human Rights.

Results-based management (RBM) is one of the key performance areas for determining the organisational effectiveness of multilateral organisations. The financial regulations of the Council of Europe require a governance system including objectives, expected results, performance indicators and evaluation of results (Article 2), which are key elements of a results-based management system. As stated in the terms of reference (ToR) (see Annex 1), the United Nations (UN) Joint Inspection Unit's (JIU) framework covering the differing aspects of an RBM system have been used in this evaluation.

One recommendation of the Organisation's Oversight Advisory Committee (OAC) in its 2018 annual report to the Committee of Ministers was for an evaluation of the status of RBM within the Organisation. This recommendation was again recalled in the OAC's 2019 annual report. In response, the Directorate of Internal Oversight (DIO) commissioned this independent evaluation as part of its work programme for 2020. The primary intended audiences for the conclusions and recommendations of this evaluation are the Secretary General, the Committee of Ministers, the Senior Management Group (SMG), the Directorate of Programme and Budget (DPB) and the Office of the Directorate General of Programmes (ODGP). Most data collection and analysis for the evaluation took

place between June and September 2020. This was followed by discussion with the Organisation on the credibility of the findings, and presentation of the conclusions and recommendations to a Reference Group. The finalised report was submitted in early December 2020.

Section 2 summarises the evaluation purpose, questions, framework and design. Further details are provided in the more comprehensive methodological annex (Annex 2), including identification of any divergences from the plan set out in the inception report.

Section 3 provides important background on what RBM means, including practical experience from the last 20 years of its use in the public sector and international organisations. It then summarises the chronology for the introduction and development of the Council of Europe's approach to RBM.

Findings are provided in Section 4, which lead into a set of conclusions on what the added value of RBM might be for the Organisation, and the strengths and weaknesses of its current approach to RBM, in Section 5. These conclusions underpin a set of strategic recommendations in Section 6 on how the Organisation can further develop its approach to RBM to meet its needs.

To keep the main body of the report short, much of the evidence is provided in Annex 6, which assesses the degree to which the systems and processes expected in an effective RBM approach are in place. Other annexes include the evaluation's original ToR, details on the methodology applied, a list of those interviewed and the documents reviewed or consulted.



2. Summary of the evaluation's purpose, framework and design

Box 1: The Council of Europe's definition of RBM

In its 2020 Results-Based Management – Approach of the Council of Europe, Practical Guide, the United Nations Sustainable Development Group's definition of RBM is used. This states that:

RBM is a management strategy by which all actors, contributing directly or indirectly to achieving a set of results, ensure that their processes, products and services contribute to the achievement of desired results. The actors in turn use information and evidence on actual results to inform decision making on the design, resourcing and delivery of programmes and activities as well as for accountability and reporting. (UNSDG (2012))

The purpose of the evaluation, as stated in the ToR (see Annex 1), is to evaluate the level of maturity of RBM in the Council of Europe, identify strengths and any areas where the Organisation's RBM system could be improved. The evaluation looks at the current RBM system across the whole Organisation, which means how it is used in standard setting, monitoring and co-operation throughout the entire Organisation, as well as in the various institutions,³ independent mechanisms and partial agreements that make up the Council of Europe. As suggested by the ToR, the evaluation design is based on the framework developed by the UN JIU (described below in Section 3.1). Further details of the design and methodology used can be found in Annex 2.

Reflecting this purpose set out above, the following evaluation questions were used to frame the evaluation design.

Evaluation Question 1: What do stakeholders of the Council of Europe see as the main intended benefit of RBM and do differing stakeholder groups have the same view of what that benefit is?

3. The four institutions within the scope of the evaluation are the Parliamentary Assembly of the Council of Europe, the Congress of Local and Regional Authorities, the Commissioner for Human Rights and the European Court of Human Rights. The Secretary General and the Committee of Ministers, which are also institutions within the Council of Europe, are not included in the scope of the evaluation as they are not listed under the three pillars of human rights, rule of law and democracy, which are the pillars relevant for an RBM system and approach.

Evaluation Question 2: To what extent are the different elements of RBM present and well-functioning in the Council of Europe?

Evaluation Question 3: What are the specific strengths and weaknesses of the Council of Europe's RBM system in comparison with other organisations as assessed by relevant evaluations and studies?

Evaluation Question 4: What do Council of Europe stakeholders (permanent representations, managers and staff) see as the current strengths and weaknesses of the RBM system?

Evaluation Question 5: To what extent and in what way is RBM relevant and applicable for the different types of work of the Council of Europe (standard setting, monitoring, co-operation, institutions and independent mechanisms, etc.)?

The design then called for identification of a set of findings to assess:

- (i) to what extent the current RBM system provides a management and governance tool delivering pertinent information to support policy and performance management for standard setting, monitoring and co-operation throughout the entire Organisation. This means covering its operation across all the Organisation's institutions, independent mechanisms and partial agreements. As part of this, the "maturity" of the Council of Europe's RBM system was benchmarked against that of the RBM systems of other comparable international organisations; and
- (ii) to what extent this information is used for decision making.

Key findings for each sub-component in the JIU assessment framework can be found in Annex 6. The basis for the judgment on the current stage of maturity of RBM in the Council of Europe is provided in Annex 7. Based on the findings, the team then developed a set of conclusions on the strengths and weaknesses of the current approach to RBM and the system in operation in terms of meeting the purposes that RBM is intended to contribute to, in the opinion of its senior management and permanent representatives within the Committee of Ministers. These conclusions formed the basis for a set of specific and concrete recommendations for optimising RBM in the Council of Europe.

Data used in the process set out above was drawn from documents, interviews, focus group discussions and a survey of all relevant programme managers within the Organisation. A particular focus, reflecting concern within the Organisation, was a review of the strategic objectives and indicator framework found in the Organisation's biennial Programme and Budget, as well as the operation of the overall programming, planning and reporting processes. Overall, the design and methodology described in the evaluation's inception report was implemented as planned, and there was consistent triangulation of evidence from multiple data sources.

One divergence from what was planned was the decision to drop the survey of representatives of all 47 member states. After consultations, it was decided that it would be more effective and informative to offer representatives of all member states the opportunity to be interviewed, and eight accepted this invitation (see Annex 3). The ToR also called for the inclusion of case studies as illustrations of good practice. As clear when applying evaluation methodology and quality standards well, this means that they need to reflect good practice in terms of achieving the intended purpose and be generalisable to the Organisation as a whole rather than a specific context.⁴ The evaluation's findings clearly show that

neither is the purpose of RBM in the future clear nor is the context the same across the Council of Europe. It would therefore have been methodologically unsound to include such case studies and so they have not been included.

The proposed methodology included the use of evidence from the survey of managers within the Organisation (see Annex 5). Despite following good practice in conducting the survey, including testing it and sending multiple reminders, only 16 per cent of managers completed the survey. This significantly reduced its value as a source of credible evidence of opinions across the whole population of managers on the degree to which systems and processes related to RBM are being effectively implemented. However, replies did show a variety of individual views on the issues raised and quotes from the survey have therefore been used for illustrative purposes throughout the report. We also could not collect sufficient credible evidence to allow us to assess the Council of Europe's current status on leadership for RBM (sub-component 4.2 in the framework we used) against the intended metrics in the framework. Based on the evidence collected, we concluded that a more credible response would be derived from a triangulation of views from interviews and evidence from other evaluations.

4. We draw attention to the article here – www.betterevaluation.org/en/blog/best_practices_arent – by Michael Quinn Patton, one of the foremost evaluation methodologists, who explains this in more detail.

3. RBM in international organisations and in the Council of Europe

3.1. Evolution of RBM in international organisations

Over the past 30 years, the operationalisation of RBM in international organisations has evolved differently from how it is operationalised within governments. This is mainly due to differences in the context within which governments and the international organisations operate and the additional challenges with operationalising RBM. During the early 1990s, many of the Organisation for Economic Co-operation and Development (OECD) countries undertook extensive public-sector reforms in response to economic, social and political pressures. Popular catchphrases such as “reinventing government”, “doing more with less”, “demonstrating value for money”, etc. described this movement towards public-sector reform. Perhaps the most central feature of the reforms was the emphasis on improving performance and ensuring that government activities achieved the desired results (OECD 1997), and RBM was the tool to be used to achieve this. The term “results-based management” was thus first used in this period, although the approach built on concepts such as management by results and management by objectives that had been commonly used in the public sector since the 1960s. It is therefore important to appreciate that RBM is an approach initially developed for use within governments, and not international organisations, and hence in a different context.

RBM was adopted by many international organisations in the second half of the 1990s in response to the same contextual pressures that had sparked reform in the OECD governments. The fundamental idea was that the generation of performance information would support accountability reporting to external stakeholder audiences and be used for internal management learning and decision making. A core idea was delegation as well as participative management, i.e. that RBM would empower staff and teams to come up with their own approaches to achieving results. Flexibility to experiment, innovate, adapt and learn was seen as a core element of the approach (Hummelbrunner and Jones 2013).

From the start, the experience was that the use of RBM was both more complex and costly to use in multilateral organisations when compared with its use within governments (Binnendijk 2000). Complicating factors, reflecting this difference, included the following.

- ▶ International organisations work in many different countries and contexts and often deliver a wide range of differing support across multiple sectors. By contrast, RBM in governments is organised within individual sectors within single countries.
- ▶ International organisations’ main contributions are supporting capacity development and policy reform in member states. Measuring such contributions is harder than measuring the results of direct service delivery activities, which is the focus in most governments when using RBM.
- ▶ Standard indicators on results/outcomes that can be easily aggregated across countries are usually lacking. In addition, multilateral organisations typically rely on outcome data collected by partner country governments, who in addition to often measuring the same outcome using different metrics may also have limited technical capacity with consequent implications for the quality, coverage and timeliness of data reported.
- ▶ International organisations are always only one of many bodies that contribute to changes at outcome level and so attributing impacts to the work of an individual multilateral organisation is impossible. This makes meaningful aggregation of results across countries almost impossible.
- ▶ There are potential conflicts between the performance information demands of some stakeholders in a multilateral organisation (such as legislators, auditors or taxpayers) and the interests and capacities of others to deliver the necessary data (such as country partners).

Significant experience has been accumulated about how to address these challenges to building an effective RBM system within an international organisation, as described in a recent review of experience (Vähämäki and Verger 2019). However, while there is emerging best practice, there is still no single solution that applies across all such organisations.

For international organisations, the focus of RBM has increasingly been on managing for results rather than managing by results. This is what makes RBM increasingly distinct from results-based budgeting (RBB) (see definitions in Boxes 1 and 3). The assumption remains that RBM builds on a functioning RBB system and that RBM focuses on cultural change and management decision making. However, there has been a significant shift in what this means in the past two decades and a move away from managing by results to managing for results when operationalising RBM in international organisations. This shift is partly a response to the increased focus on results in development co-operation in the high-level round tables that led to the 2005 Paris Declaration on Aid Effectiveness, during which related norms and principles were developed.

Box 2: The experience of the United Nations Population Fund (UNFPA) and managing for results

A recent evaluation (UNFPA 2019b) of UNFPA's experience with RBM noted that RBM had first been introduced in 2000 and experience in the first decade focused on addressing the limitations in UNFPA's results frameworks such as the definition of outputs and outcomes, the lack of clarity in the results chain and the effects of these limitations on results reporting. These problems, which within the context of the Council of Europe would be concerned with its RBB system, had been resolved by the time of assessments of RBM from 2014 onwards.

However, the evaluation identifies a creative tension for the Organisation related to the capacity to manage for results (the aspiration identified in the Organisation's 2011 RBM policy and guidelines). Analysis showed a disparity in 2019 between the expected and the actual ability of current RBM procedures to allow effective management for results at all levels of the Organisation. In particular, a tension was identified between (1) tools and procedures setting high normative standards and (2) practical implementation, which seemingly reflected technical, conceptual and attitudinal gaps.

The focus in the Managing for Development Results (MfDR) process was thus on ownership and use of results for learning and decision making by managers within international organisations and country-level stakeholders, and a rebalancing, away from the initial strong focus on accountability found with RBB, to meeting both learning and accountability needs. The MfDR Sourcebook stressed that no negative consequences should apply for missed targets and encouraged a flexible approach to analysing the reasons for failure to inform adaptation. It provided several examples of how adaptation and learning from results had led to the achievement of development results.

Based on the literature and experience of international organisations, effective RBM requires work across many aspects of how an organisation works and a change in its culture. The UN Joint Inspection Unit's 2014 framework for assessing the status of RBM is currently the most comprehensive framework reflecting what has been learned on mainstreaming RBM into the work of international organisations. The Joint Inspection Unit (JIU) assessment framework (see Figure 1 below) identifies five successive maturity levels for the status of RBM within a UN organisation (JIU 2017). Judging maturity looks at evidence across five management areas or pillars and the systems and procedures that need to be in place.

- (a) **Strategic management:** focused on the vision and strategic framework guiding the adoption of RBM as a management strategy in managing for achieving results. This includes having change-management and appropriate accountability frameworks for implementing RBM (pillar 1).
- (b) **Operational management:** focused on what the organisation does, as well as its resourcing – strategic planning, programming and resource management (human resources and financial) (pillar 2).
- (c) **Accountability and learning management:** focused on monitoring, evaluating, reporting and information-management systems (pillar 3).
- (d) **Change management:** focused on a culture of results through internalisation and capacity development, leadership and the use of results as part of the learning organisation (pillar 4).
- (e) **Partnership management:** focused on partnerships for attaining outcomes and creating collective impact, including coherence with partners and the Council of Europe's engagement in building RBM capacity among partners (pillar 5). This dimension will be outside the scope of this evaluation.

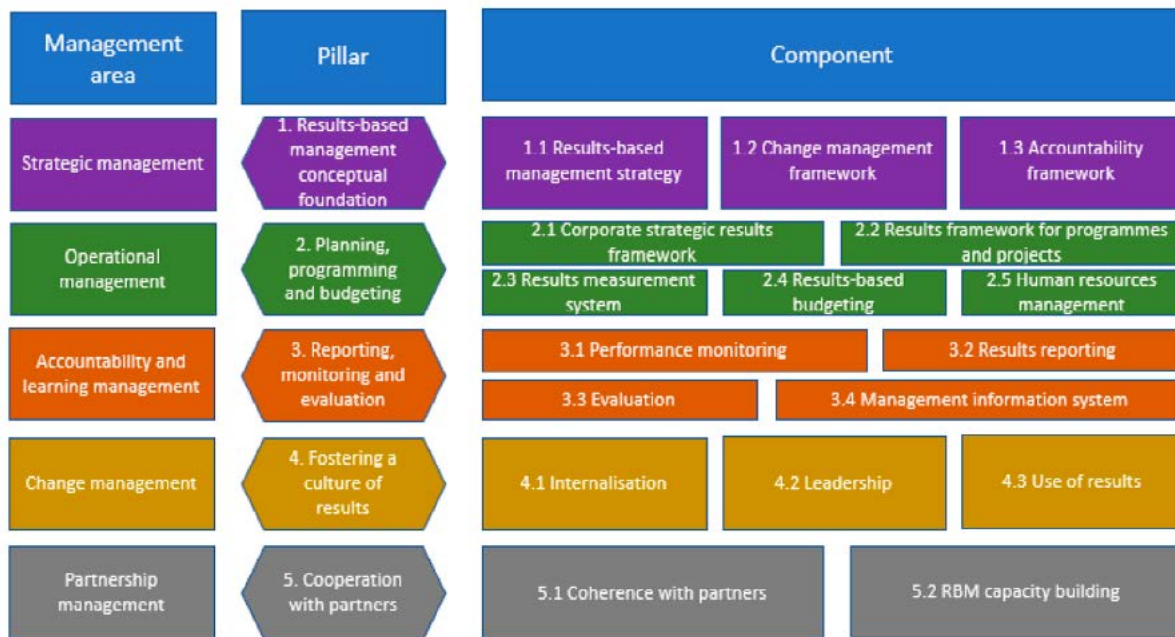


Figure 1: Assessing what needs to be in place for effective RBM

The JIU framework focuses explicitly on whether systems and approaches identified in the broader literature for RBM to effectively operate are in place. A review of literature on RBM since the framework was developed in 2014 suggests that the systems and approaches identified remain relevant and that the framework can be applied with confidence to the case of the Council of Europe.

The most important point to note regarding both the framework and what is reflected in the broader RBM literature is that operationalisation of RBM is not a simple task of introducing a few methods related to the definition and measurement of results. It requires significant change in how the Organisation is managed, its internal culture, staff behaviours and how it relates to external stakeholders.

3.2. The evolution of RBM in the Council of Europe

A results-based approach is not new in the Council of Europe. The approach was initially inspired by a report of the Committee of Wise Persons, the then Secretary General's wish to promote administrative reform and modernisation, the recommendations of the Budget Committee and the support of the Committee of Ministers for administrative modernisation. The shift started in 2001 with the introduction of a formalised project management approach, followed by initial steps to introduce results-based budgeting in 2004.

Box 3: The Council of Europe's definition of RBB

While various documents used within the Council of Europe have discussed RBB, the definition used in the Organisation's first RBB guidance in 2005 appears still to be the accepted definition. This is that RBB is a budget process in which:

- a) budget formulation revolves around a set of predefined objectives and expected results;
- b) expected results justify the resource requirements which are derived from and linked to outputs required to achieve those results; and
- c) actual performance in achieving results is measured by objective performance indicators.

The next step was the merging of the Programme and Budget planning processes. Previously the Organisation's programmes and budgets were developed on an annual basis and reflected in three separate documents that were prepared by two different entities within the Council of Europe using different methodologies and information technology (IT) tools. Key changes in the Organisation's Financial Regulations setting out this shift were as follows.

Article 2: The Secretary General is responsible to the Committee of Ministers for the sound administrative and financial management of the Organisation. He or she shall ensure the efficient administration of the Organisation and the economic use of the resources entrusted to him or her. To this end, he or she will put in place a governance system, including in particular risk management, internal control, internal audit, performance indicators and evaluation of results.

Article 3 (2): The Programme and Budget shall be an integrated document. The Programme shall set the Organisation's objectives for the biennium, along with expected results and performance indicators. The Budget shall authorise the budgetary receipts and budgetary expenditure of the Organisation for

the implementation of the Programme for each of the financial years of the biennium.

Key milestones in the development of the Organisation's RBM approach since the introduction of the first biennial Programme and Budget (2012-13) include:

Year	Step
2012	Introduction of first agreed definitions for results language.
2013	<p>The Directorate of Internal Oversight delivered an evaluation (Council of Europe DIO 2013) of the Council of Europe's results-based budgeting system, which was introduced in 2002. Most recommendations were specific to RBB but relevant to development of RBM. The evaluation included the following recommendation on mainstreaming RBM within the Council of Europe:</p> <p>"Recommendation 9: The Private Office in cooperation with representatives of the Directorate of Programme, Finance and Linguistic Services, Office of the Directorate General of Programmes, Directorate of Internal Oversight and operational Directorates General, should develop a Results Based Management strategy, defining its scope and addressing issues such as:</p> <ul style="list-style-type: none"> a) ensuring consistency between the Programme and Budget document (and the expected results and performance indicators included therein) and the projects to be implemented; b) defining roles and responsibilities of programme co-ordinators and project managers to enhance their accountability for results and clarify the accountability framework. A special attention should be paid to the programmes and the Programme and Budget involving more than one entity, and in these cases, the roles and responsibilities of programme coordinators should be clearly defined; c) developing a results culture in the Organisation and ensuring that the concept or result actually guide the Council of Europe staff when planning or managing projects and programmes; d) defining issues related to management responsibility and authority and addressing the issue of inconsistency between responsibility for projects and programmes (and for achieving their expected results) and authority over the resources allocated to these; e) Introducing relevant information technology tools – or revising the existing ones – to support the application of RBB and RBM principles in the Council of Europe."
2015	<p>With the support of the DIO and an external consultant, an internal RBB seminar was held. It addressed the recommendations made by the DIO and identified all the steps foreseen as part of the Council of Europe strategy toward RBM.⁵</p> <p>During preparation of the Programme and Budget 2016-2017 (3rd Programme and Budget), and actions identified in the 2015 RBB workshop, the methodology was revised (3 level-objectives), in particular the formulation of the intermediate level but also better integration of extra-budgetary resources.</p>
2016	New Project Management Methodology (PMM) launched for the co-operation sector.
2017	<p>New Project Management IT tool launched for PMM business standardisation in the co-operation sector.</p> <p>In the Programme and Budget 2018-2019 (4th Programme and Budget), there was a focus on the formulation of indicators (quantitative and qualitative) and the inclusion of indicators that could give some indication ("evidence") of the achievement of objectives.</p>
2019	During development of the Programme and Budget 2020-2021 (5th Programme and Budget) additional guidance was provided to support programme co-ordinators and others on programme design, on setting harmonised and SMART ⁶ indicators and on integrating evidence of past performance and implications for the next programme of support.
2020	The RBM Practical Guide developed in co-operation with programme co-ordinators was finalised and disseminated. It is accompanied by an RBM toolkit that gives examples of the results chain with SMART indicators for each type of Council of Europe output, also developed with programme co-ordinators.

The key points from the above are that (1) the Organisation's current approach to RBM has been driven by the development of its Programme and Budget process and (2) formal guidance on what RBM is and how it is implemented in the Council of Europe was issued only in 2020.⁷

5. See Council of Europe (2015).

6. SMART is an acronym used in development results planning, reporting and evaluation that means that an indicator is specific, measurable, achievable (or attainable), relevant and time-bound.

7. It should be noted however that the capacity to implement the RBM Roadmap as planned was negatively affected as a consequence of the non-payment of its obligatory contributions by a major contributor and the change of contributory status by another in the period 2017-18.



4. Main findings

4.1. The perceived purpose and benefit of RBM within the Council of Europe

Summary of findings against Evaluation Question 1

Evaluation Question 1: What do stakeholders of the Council of Europe see as the main intended benefit of RBM and do differing stakeholder groups have the same view of what that benefit is?

- ▶ The Organisation lacks a statement agreed between senior management and the Committee of Ministers that explicitly sets out the agreed intended purpose(s) of RBM and the balance between those purposes.
- ▶ Most of those interviewed do not fully understand the difference between RBM and RBB.
- ▶ Overall, both survey data and interviews with representatives from the member states and managers within the Organisation are consistent in that the main perceived purpose of RBM is to enhance the Organisation's ability to communicate intended results and report actual results against what it intended to do.
- ▶ While stakeholders are consistent that the evolving RBM system, as exemplified in the Programme and Budget, has allowed the Organisation to make significant progress towards using RBM for meeting accountability and communication needs, there is significant divergence on the degree to which stakeholders believe that the limitations currently seen can be successfully addressed in future.

- ▶ The role of RBM in supporting better informed direction/decision making is understood and applied to some extent but at the individual rather than institutional level. This aspect of RBM does not appear to have been discussed in depth across the wider community of senior managers within the Organisation, or within the Committee of Ministers.
- ▶ The role of RBM in supporting learning across the Organisation is not recognised by either managers within the Organisation or by the member state representatives interviewed.

The Organisation lacks a statement agreed between senior management and the Committee of Ministers that explicitly sets out the agreed intended purpose(s) of RBM and the balance between those purposes. While definitions for what is meant by RBM and RBB within the Council of Europe can be found in a number of documents, most recently in the March 2020 RBM Practical Guide issued by the DPB, the Organisation lacks an overall RBM policy (or strategy) document formally agreed between senior management and the Committee of Ministers that sets out the agreed purpose(s) of RBM. It can be argued that this has been done *de facto* in the iterations of the Programme and Budget document, which do set out developments in the Programme and Budget process over time. We would argue that, according to the Organisation's own definition, RBM is a management approach that reaches beyond the programming and budgetary process that is the focus of the Programme and Budget document.

Box 4: What are the purposes and benefits of RBM as set out in the literature?

In a 2016 study, the OECD assigned four main purposes for RBM (OECD 2016): accountability; communication; direction/decision making; learning. Accountability and communication are important to gain legitimacy and credibility, both internally and externally, from groups such as domestic stakeholders and development partners. Direction and learning support the Organisation's performance in achieving development results, with results information used for: policy formulation and strategic decision making; quality assurance; and portfolio, thematic, programme and/or project-cycle management.

However, a common finding in RBM research is that different objectives can conflict with each other (Vähämäki 2017). If organisations have for example not defined what type of results information to collect, they can end up collecting a lot of information in vain while overburdening partner organisations with too many requests. Meanwhile, not knowing why information is collected, when it should be collected or who needs results information for decision making can lead to decision makers receiving information they cannot use. It is therefore important to know what type of information serves the different purpose and different audiences. As noted by the OECD, results-based management approaches benefit from a clear purpose and ambition that is aligned to the agency profile (size, modalities used, etc.) and strategy (OECD 2017a).

Box 5: What does the Council of Europe understand as the purpose of RBB?

Performance budgeting takes a wide variety of forms. The OECD (OECD 2019) classifies these forms as presentational, performance-informed, managerial and direct. In this order, each form represents a progressively stronger link between performance measurement and budgetary decision making. The OECD's 2018 survey results showed that countries were more or less equally divided between the first three approaches. None reported using "direct" performance budgeting, which directly links budget allocations to performance measures. This highlights the inherent limitations of such a technocratic approach, given the political nature of the budget, as well as the many conceptual and practical problems in relating resource allocations and outcomes in the public sector. In an informal meeting of the Rapporteur Group on Programme, Budget and Administration (GR-PBA) on RBM (20 September 2019) the Secretariat stated that it

uses a performance-informed form of RBB and that "Budgeting decisions are indirectly related to either past or future proposed performance. The link between performance information and funding is neither mechanical nor automatic".

Most of those interviewed do not fully understand the difference between RBM and RBB. Discussion about the potential benefits of RBM have sometimes been muddled by confusion about the difference between RBM and RBB. It was often necessary to provide prior clarification, and this limited the depth of the ensuing discussion. This experience therefore highlights a gap in the current approach to operationalising RBM within the Organisation. However, we would point out that while agreement on an RBM policy might be necessary for addressing this gap, broader experience from other organisations indicates that this is insufficient as a means of forging a common and sustained understanding across stakeholders. For example, there has been tension within UNFPA around operationalisation of RBM due to the lack of an agreed conceptual understanding of RBM and its purpose, despite the presence of an RBM policy and ongoing assessments of its operationalisation over the past decade (see UNFPA 2019b).

Overall, both survey data and interviews with representatives from the member states and managers within the Organisation are consistent in that the main perceived purpose of RBM is to enhance the Organisation's ability to communicate intended results and report actual results against what it intended to do. A majority of the managers who responded to the survey (see Annex 5) see RBM as primarily intended for meeting external (to the Committee of Ministers) reporting requirements. This view accords strongly with the views and opinions expressed by the interviewed permanent representatives and managers, and in focus group discussions, regarding the main current intended purpose of RBM within the Council of Europe. Furthermore, these views align with the responsibilities for programme co-ordinators identified in the March 2020 RBM Practical Guide, which are to: (1) supervise the Programme implementation; (2) co-ordinate the collection of information to prepare the reporting at Programme level (keeping in mind the indicators set at Programme level (objective)); (3) report at Programme level, including on transversal themes and the contribution of the Programme to the relevant UN Sustainable Development Goals; and (4) answer any questions the Directorate of Programme and Budget or Private Office may have to fine-tune the reports.

"RBM is of no help internally and is seen as a pure bureaucratic exercise. I see it as a paper exercise for reporting to decision bodies."

Interviewees consider that the introduction of RBB/RBM has helped by strengthening use of a common language to discuss results both within the Organisation and with the permanent representatives. Some also noted the usefulness of the Programme and Budget as a way of learning what others are doing and where opportunities for collaboration across different groups contributing to similar outcomes might lie. However, it is also clear from discussions that many staff across the different entities of the Council of Europe use the terms RBB and RBM interchangeably without much consideration of expressing very precisely what they actually mean, so may refer to RBB but actually talk about RBM practices.

Thus, the evidence indicates, as discussed in Box 4 above, that the main purposes that RBM currently addresses are communication and accountability. The other two commonly identified purposes of RBM – contributing to direction/decision making and to learning – do not appear to be intended RBM purposes or priorities for the member state representatives we interviewed or in the documentation we reviewed. However, these purposes are implicit in the priorities set out by senior management in the 2020-2021 Programme and Budget document, which states:

All the reform measures to be implemented in the next biennium are captured in the concept of “Improving the way we work together”. They seek to promote an increasingly agile organisation with confidence in its know-how and expertise, which encourages creativity and greater responsibilities for teams and individuals.

One of the Secretary General’s proposals in his Helsinki report was that the Organisation’s priorities should be set on the basis of a four-year strategic framework which would, *inter alia*, better reflect the long-term mission of the Council of Europe. The former Secretary General considered that such a framework should be developed under the impetus of the new Secretary General who took up office on 18 September 2019. The Committee of Ministers invited the Secretary General, in consultation with member States, to consider and prepare a four-year strategic framework reflecting the priorities for the Council of Europe’s longer-term mission, building on the priorities underlying the Programme and Budget 2020-2021.

We note that implementation of a full RBM approach as set out in the first four pillars in the JIU assessment framework would be required to deliver this aspiration, as discussed in our conclusions.

While stakeholders are consistent that the evolving RBM system, as exemplified in the Programme and Budget, has allowed the Organisation to make

significant progress towards using RBM for meeting accountability and communication needs, there is significant divergence on the degree to which stakeholders believe that the limitations currently seen can be successfully addressed in future. There was strong agreement across interviewees and focus group participants that the Organisation is still struggling with issues identified (see Binnendijk 2000) when first introducing RBM in international organisations and these are still unresolved (see Vähämäki and Verger 2019). These include:

- ▶ International organisations’ main contributions are supporting capacity development and policy reform in member states. Measuring such contributions is harder than measuring the results of direct service delivery activities, which is the focus in most governments when using RBM.
- ▶ Standard indicators on results/outcomes that can be easily aggregated across countries are usually lacking. In addition, multilateral organisations typically rely on outcome data collected by partner country governments, which often use different metrics to measure the same outcome. Moreover, they may also have limited technical capacity with consequent implications for the quality, coverage and timeliness of the reported data.
- ▶ Many actors contribute to changes at outcome level and so attributing impacts to the work of an individual multilateral organisation is impossible. This makes meaningful aggregation of results across countries almost impossible.
- ▶ There are potential conflicts between the performance information demands of some stakeholders within multilateral organisations (legislators, auditors, taxpayers, for example), and the interests and capacities of others to deliver the necessary data (such as country partners).

However, staff views did vary on the degree to which these challenges could be overcome and whether this would be a good investment to make. Views on the relevance of RBM varied significantly among managers within the Organisation and appeared to be shaped by their specific role and depended on how easily they thought that the results of their work could be credibly measured and demonstrated through an indicator-based system. This complexity and diversity were also evident in the views of interviewed member state representatives but appeared to be influenced primarily by the member states’ commitment to the Organisation, and which of the Organisation’s goals the member state prioritised. This in turn affected perceptions of the relevance of the Council of Europe’s contribution to meeting national interests.

The role of RBM in supporting better informed direction/decision making is understood and applied to some extent but at the individual rather than institutional level. This aspect of RBM does not appear to have been discussed in depth across the wider community of senior managers within the Organisation, or within the Committee of Ministers. Aspects of a broader RBM, rather than an RBB, approach is discussed in internal documentation from 2015⁸ and in the 2020 RBM Practical Guide.⁹ Several interviewees demonstrated good understanding of operationalising RBM to meet strategic direction and management purposes, but less so for institutional learning. There appears to be a lack of an explicit and agreed approach to operationalising RBM that is clearly linked with the four purposes that RBM could contribute towards. In addition, while concepts such as contribution and attribution and theories of change are flagged to varying degrees in the 2020 RBM guidance, this knowledge is not widespread within the Organisation. This is a major gap, given the level of attention and focus on these concepts and related tools within many international organisations, and the level of investment in developing staff capacity to use them. This issue is further discussed in the findings in Section 4.3 below.

While the role of RBM in supporting learning across the Organisation is recognised in the RBM manual, it is less so in practice and is not discussed in the practical guide. Instances of managers using other sources of evidence were cited in interviews but the role of RBM in fostering learning is generally not recognised by managers within the Organisation or by the member state representatives. Nor is the role of RBM in fostering learning by managers within the Organisation discussed in the 2020 RBM Practical Guide, which is the most comprehensive description of the Council of Europe's approach to RBM.

4.2. What are seen as the strengths and weaknesses of the current approach?

Summary of findings against Evaluation Questions 3 and 4

Evaluation Question 3: What are specific strengths and weaknesses of the Council of Europe's RBM system in comparison with other organisations as assessed by relevant evaluations and studies?

8. See, for instance, Council of Europe (2015) Review of the Programme and Budget framework (RBM/RBB) – Main theoretical findings & concrete proposals for the next biennium, paper prepared by Nicolas Sayde and Catherine Du Bernard, DPFL, Programme Division, 1 June 2015.
9. See, for example, the use of theories of change and review of evidence as part of the prioritisation process discussed in the Practical Guide.

Evaluation Question 4: What do Council of Europe stakeholders (permanent representations, managers and staff) see as the current strengths and weaknesses of the RBM system?

- ▶ The initial introduction of RBB has led to a clear, common terminology across the Organisation and to getting people to think about results, and RBB is well entrenched in the Organisation.
- ▶ Interviews with key informants find that significant reform of the current RBM approach, to address a perceived major weakness with what is now in place, is currently not a significant priority for the member states as a whole and their priorities lie elsewhere.
- ▶ However, some member state representatives indicated that sustained improvement and delivery of results was a prerequisite for future discussions on maintaining financial commitments to the Council of Europe.
- ▶ Interviewed senior managers concur that the RBM approach has met the Committee of Ministers' needs in terms of accountability, and that the Programme and Budget is adequate in terms of communicating what the Organisation intends to do. This was confirmed by member state representatives interviewed.
- ▶ Senior managers consider that a weakness of the current RBM approach is that it does not provide adequate, credible evidence of longer-term results. This was also highlighted by member state representatives interviewed.
- ▶ Senior managers generally did not see that the intended purpose of RBM was to support learning or strategic decision making.

The initial introduction of RBB has led to a clear, common terminology across the Organisation and to getting people to think about results and RBB is well entrenched in the Organisation. The Organisation's journey towards a more results-focused culture started with RBB and is now moving gradually towards RBM. This may to some extent explain why some staff use the terms interchangeably as noted above.

Interviews with key informants find that significant reform of the current RBM approach, to address a perceived major weakness with what is now in place, is currently not a significant priority for the member states as a whole and their priorities lie elsewhere. However, some member state representatives indicated that sustained improvement and delivery of results was a prerequisite for future discussions on maintaining financial commitments to the Council of Europe. Some, but not all, member states stressed in interviews that delivery of the wider reform agenda is very important and this

includes a focus on strengthening the results culture of the Organisation. However, interviewed member state representatives showed great variation in their knowledge of RBM and its possible uses and this makes it difficult to assess the extent to which this particular element of reform is seen as an important component of any prioritised reform process.

Interviewed senior managers concur that the RBM approach has met the Committee of Ministers' needs in terms of accountability, and that the Programme and Budget is adequate in terms of communicating what the Organisation intends to do. This was confirmed by member state representatives interviewed. We find little disagreement among those interviewed on this finding or evidence in the reviewed documentation that contradicts it. However, some expressed a wish for a reporting system that could go beyond mere short-term outputs and extend to outcome and impact levels.

Senior managers consider that a weakness of the current RBM approach is that it does not provide adequate, credible evidence of longer-term results. This was also highlighted by member state representatives interviewed. Again, there was a consis-

"RBM isn't suited for X [the institution]."

"RBM is of utmost importance for the Council of Europe to provide evidence to member states and donors of the impact of our co-operation programmes."

tency on views about this finding, although views on whether this was an important issue that needed to be addressed varied. Those who thought it important to address were concerned about the implications of the lack of credible evidence in terms of future funding for the Council of Europe, particularly given the probable financial situation in member states following COVID-19.

Senior managers generally did not see that the intended purpose of RBM was to support learning or strategic decision making. It was seen primarily as a reporting and planning system, with the current approach more focused on planning as part of the Programme and Budget process than on reporting through the Progress Reports. Support to RBM as a management approach varied greatly from entity to entity, as evidenced by the statements from the survey in the box above.

4.3. The current status of RBM in the Council of Europe

Evaluation Question 2: To what extent are the different elements of RBM present and well-functioning in the Council of Europe?

To assess the extent to which the different elements of RBM are present and well-functioning in the Council of Europe, we use the JIU framework. Complete details of findings against all standards used in that framework can be found in Annex 6.

Strategic management

Summary of findings against Evaluation Question 2 – Strategic management

- ▶ Contrary to expectations within the JIU assessment framework, the Council of Europe has no formal, well-defined, comprehensive and holistic strategy for mainstreaming RBM that has been endorsed by the governing bodies and used to guide the mainstreaming of RBM within and across the Organisation.
- ▶ Notwithstanding the absence of a formal strategy for mainstreaming RBM, an "emergent" strategy that responds to the main suggestions on RBM in the 2013 evaluation of RBB has been implemented.
- ▶ The emergent strategy that has been implemented has, de facto, focused on the development of an RBM approach that mainly meets two of the four purposes of RBM – accountability and communication. This is similar to what is found in most international organisations when introducing RBM and it builds on the RBB system.
- ▶ This emergent strategy has generally been successful in meeting the accountability and communication needs of the Committee of Ministers.
- ▶ It has also been effective in supporting development of a common language for discussion about results among staff within the Council of Europe.
- ▶ Reflecting an experience that is common in many international organisations, the Council of Europe has never had a high-level discussion on the relative priority of achievement of each of the four purposes of RBM and the implications in terms of achieving each individual purpose. Within the Council of Europe, this gap, and the consequent lack of clarity on the intended purpose(s), is likely to have contributed significantly to the ambivalence on the further value of RBM expressed in interviews with staff.
- ▶ Especially if RBM is intended to contribute to the other two purposes of RBM – strategic direction/management and learning – then the JIU assessment framework highlights the importance of linking the introduction of RBM with broader reform processes. There is no evidence of such transparent linkages being made. This is especially valid for the Organisation's overall change-management strategy and its strategy for enhancing internal accountability (mainly delivered through the People Strategy).

Contrary to expectations within the JIU assessment framework, the Council of Europe has no formal, well-defined, comprehensive and holistic strategy for mainstreaming RBM that has been endorsed by the governing bodies and used to guide the mainstreaming of RBM within and across the Organisation. The JIU assessment criteria expect that a formal strategy for mainstreaming RBM is put in place and that this is reflected in a clear plan that is implemented, monitored, adjusted and endorsed by the governing bodies in a transparent manner. More specifically, the strategy should include: (1) the rationale for mainstreaming RBM in the context of the Organisation; (2) the key principles of the results framework and managing for results; (3) expected outcomes from mainstreaming RBM and the key success factors; (4) indicators of achievement against the plan; (5) identification of the implications and requirements of mainstreaming RBM, emphasising all levels; (6) the required resource allocation and a transparent linking of RBM initiatives with other organisational reform processes; (7) a time-bound road map for implementing an RBM strategy. This should be endorsed by senior managers and governing bodies.

We note that such formal RBM strategies are not always found in OECD governments that have implemented RBM. However, they are commonly expected of international organisations because the RBM agenda was initially an externally driven process where international organisations needed to be seen to respond to external constituencies, including bilateral donors. This in turn influenced their approach to results management and their choice to focus initially on developing RBM approaches that met accountability and communication needs (see Vähämäki and Verger 2019, page 14). Formal RBM strategies and plans were therefore partly used to address this external demand.

The review of documentation, interviews with key informants associated with other reform initiatives within the Organisation and evidence in the recent Council of Europe DIO Evaluation of strategy development and reporting in the Council of Europe (2020) consistently show variability in the degree to which formal strategies are drafted and their implementation is then managed. The lack of a formal RBM strategy can therefore be seen as reflecting broader practice within the Organisation. On the other hand, the use of formal strategies and action plans when introducing reform initiatives is common practice and is a legitimate expectation, as highlighted in Section 4 of the DIO's 2019 Ex-Ante assessment of the human resource (HR) reform logic. That points out that a reform requires: (1) establishing a clear vision and integrated strategic goals; (2) ensuring that strong leadership drives the transformation; and (3) creating a sense of urgency, implementing a timeline and showing progress from day one.

Notwithstanding the absence of a formal strategy for mainstreaming RBM, an “emergent” strategy¹⁰ that responds to the main suggestions on RBM in the 2013 evaluation of RBB has been implemented. Key informant interviews and documentation clearly indicate that an emergent strategy for implementation of RBM is in place within the Organisation, although this is not well documented and has not been consistently communicated. This emergent strategy has responded to the recommendations on implementing RBM in the 2014 evaluation of RBB (see Annex 6, 1.1).

The clearest evidence of this strategy operating is the update on RBM found in successive versions of the biennial Programme and Budget documents, which set out the evolution of the RBM system. The next steps in this evolution can now be found in the RBM Practical Guide issued by DPB in March 2020.

10. The approach to the introduction of RBM has primarily been led from within the DPB, but development of key aspects of the overall RBM approach, such as human resource management, evaluation and change management, has been managed separately. This means that the overall RBM strategy has emerged from the interaction of a range of initiatives.

Table 1: Summary of the current status on strategic management against expectations in the JIU RBM assessment framework

Component	Status against expectations in the JIU framework	Overall finding
1.1 Results-based management strategy	**	The Council of Europe has implemented a strategy to mainstream RBM, that covers all the areas recommended in the 2013 evaluation of RBB within the Organisation. However, it lacks a well-defined, comprehensive and holistic strategy for mainstreaming RBM. Aspects of a strategy are evident, but not a formal, well-defined, comprehensive and holistic strategy endorsed by the governing bodies to guide the mainstreaming of results-based management within and across the Organisation, as expected by the JIU framework.
1.2 Change-management framework	*	The Council of Europe has implemented a significant reform process over an extended period, and leadership shows commitment to establishing a “results culture”. However, there is no evidence of a specific change-management strategy focused on supporting the development of a results culture in the Council of Europe that sets out prioritised actions for supporting the development of a results culture, rather than one ensuring compliance with new tools and procedures that is communicated and implemented and supported by a clear monitoring plan that tracks progress, identifies obstacles or disincentives and adopts corrective measures.
1.3 Accountability framework	**	Current reform of systems and procedures under the People Strategy should potentially meet the expectation set out in the JIU framework, but there are important risks in terms of their operationalisation and addressing the culture change also required for these reforms to effectively contribute to a significant increase in accountability as envisaged here while guarding against the risk that the focus is on compliance rather than use in management decision making.

Against expectations in the JIU framework	
***	Most of what is expected is in place and there is evidence that it is effective
**	Majority of what is expected is in place but limited evidence that it is effective
*	Most of what is expected is not in place and there is little evidence that it is effective

The emergent strategy that has been implemented has, *de facto*, focused on development of an RBM approach that mainly meets two of the four purposes of RBM – accountability and communication. This is similar to what is found in most international organisations when introducing RBM and it builds on the RBB system. The lack of a formal RBM strategy makes it difficult to state when the Organisation started to implement RBM as opposed to just RBB, but can possibly be dated to the response to the recommendation in the 2013 Evaluation of RBB that related to RBM.¹¹ The

review of documentation from 2015 and also the 2020 RBM Practical Guide indicate a clear understanding of the difference between RBM and RBB and the need for a change in the culture and management practice within an organisation to implement RBM. However, the approach developed, and currently reflected in the 2020 guide, is focused on the practical challenge of defining and reporting against results, which strongly suggests an intent to meet accountability and communication purposes. In practical terms, the focus has been on the development of tools and definition of roles and responsibilities that deliver this, rather than on the role of RBM in either strategic direction/ management decision making, or learning.

This emergent strategy has generally been successful in meeting the accountability and communication needs of the Committee of Ministers. For

11. The situation was analysed in 2014 in response to the DIO evaluation of RBB in 2014 and next steps identified Council of Europe (2015), Review of the Programme and Budget framework (RBM/RBB) – Main theoretical findings & concrete proposals for the next biennium, paper prepared by Nicolas Sayde and Catherine Du Bernard, DPFL, Programme Division, 1 June 2015.

an international organisation, the most important audiences in terms of accountability and communication are its Governing Body and possibly other organisations that provide extra-budgetary financing. As shown in the findings in Section 4.2 above, interviews with representatives of a number of member states suggest that the RBM approach, as reflected in the evolving Programme and Budget document and the associated performance reports, currently meets member states' needs in these two areas.

It has also been effective in supporting development of a common language for discussion about results among staff within the Council of Europe. Council of Europe staff generally work either in areas funded through the ordinary budget, partial agreements or through extra-budgetary resources. As identified in interviews, the introduction of first RBB and later RBM has developed, among staff throughout the Organisation, a common terminology and a common understanding of results and how they can be measured. Without the introduction of RBB/RBM, it is likely that there would be differing terminologies and understandings among staff, dependent upon whether they worked with the ordinary budget or with extra-budgetary resources. We have found no evidence that contradicts this.

Reflecting an experience that is common in many international organisations, the Council of Europe has never had a high-level discussion on the relative priority of achievement of each of the four purposes of RBM and the implications in terms of achieving each individual purpose. Within the Council of Europe, this gap, and the consequent lack of clarity on the intended purpose(s), is likely to have contributed significantly to the ambivalence on the further value of RBM expressed in interviews with staff. As discussed in Section 4.2 above, and also illustrated in the focus group discussions and responses to the survey of managers, there is a diversity of views on the purpose of RBM. Staff generally agree on its use for accountability and communication with the Committee of Ministers and other stakeholders regarding the Organisation's intentions.

Concerns arise in two main areas. First, the role of RBM in supporting better priority setting. Failure to adequately prioritise should be seen as a major risk for the Organisation. It is possible that staff see a significant role for RBM in supporting priority setting given that, to many, RBM is synonymous with the Programme and Budget, and the progressive reduction in the number of programme areas in the Programme and Budget is used by the Council of Europe's management in successive Programme and Budget documents as a proxy indicator for increased prioritisation in the Programme and Budget documents. However, in practice, this is not a role for RBM

that is strongly emphasised in other international organisations or broader literature. When prioritisation in this context is discussed, the contribution of RBM is seen as enhancing transparency in an organisation's planning and prioritisation process for programmes and projects.¹² The second area of concern relates to the use of RBM to enhance the Organisation's ability to report credibly on results. This is a common challenge with RBM and is covered below in the discussion of operational management and the limitations of using RBM to report aggregated results across multiple countries.

Especially if RBM is intended to contribute to the other two purposes of RBM – strategic direction/management and learning – then the JIU assessment framework highlights the importance of linking the introduction of RBM with broader reform processes. There is no evidence of such transparent linkages being made. This is especially valid for the Organisation's overall change-management strategy and its strategy for enhancing internal accountability (mainly delivered through the People Strategy). The Council of Europe is implementing a broad-based reform process. As mentioned in the 2020-2021 Programme and Budget document on page 11, that reform:

seeks to promote an increasingly agile organisation with confidence in its know-how and expertise, which encourages creativity and greater responsibilities for teams and individuals. It will contribute to strengthen a results-oriented culture based on a rational and sustainable approach, responding to stakeholders' needs, ensuring timely delivery and performance monitoring.

But the Organisation lacks a formal change-management strategy that transparently ties all of the individual initiatives together in a coherent whole that is managed by a designated group. We find that where other relevant reforms are ongoing, the links between these reform processes and the RBM approach are not made clear and mechanisms for managing such linkages are not found. This means that opportunities to enhance the coherence and synergy of the overall reform processes are, in some instances, being missed. An example can be seen in the 2019 Evaluation Policy and 2020 RBM Practical Guide. Both documents identify that evaluation has a role in a strong RBM system but neither provides detail on what that role should be or what the Organisation intends to do to ensure that the role is fulfilled. Another example is the expected linkage between performance management in the current

12. See, for instance, UN (2017) Results-Based Management in the United Nations Development System – Analysis of Progress and Policy Effectiveness, Full Report, Sukai Prom-Jackson, Joint Inspection Unit of the United Nations, Geneva, page 39.

People Strategy and development of the current RBM, which is focused on the definition and measurement of results. There is no discussion of this link in documentation associated with the People Strategy or in the RBM documentation.

Operational management

Box 8: Summary of findings against Evaluation Question 2 – Operational management

- ▶ The majority of systems that would need to be in place for operational management are now present within the Council of Europe.
- ▶ Introduction of a corporate-level results framework is possibly the area where most remains to be done. A strength is that the current Programme and Budget brings together both ordinary and extra-budgetary supported work, covering the work under the “dynamic triangle” (standard setting, monitoring and co-operation). The Programme and Budget for 2020-21 suggests an organisation in which the operational programmes are moving towards a standard corporate results framework approach. However, while the four institutions are comfortable with implementation of an RBB approach, they are reluctant to transparently

link delivery against their expected results with progress against specific medium-term objectives (intermediate objectives).

- ▶ The current presentation of intended results in the Programme and Budget document, including presentation of programmes related to the four institutions, suggests that the results framework is best suited to meeting communication needs on what is intended by Directorate General of Human Rights and Rule of Law (DGI) and Directorate General of Democracy (DGII), the four institutions and support services.
- ▶ The Council of Europe has made significant progress and now has most of the systems required to support implementation of a performance-informed budget (RBB) process.

The majority of systems that would need to be in place for operational management are now present within the Council of Europe. As summarised in Table 2 below, drawing on evidence in Annex 6, most of the systems that would be expected to be in place for operational management of RBM are now in place in the Council of Europe.

Table 2: Summary of the current status of operational management compared with expectations in the JIU RBM assessment framework

Component	Status against expectations in the JIU framework	Overall finding
2.1 Corporate strategic results framework	**	Progress can be seen, in terms of specification of consistent language and linkage between budget and short-term results (output), in iterations of the Programme and Budget document requirements. This is what we would expect to see in a corporate-level framework with a strong RBB perspective. More strategic aspects of a corporate results framework are missing, namely those focusing on the longer-term priorities (outcome and impact) and contribution and risk management.
2.2 Results frameworks for programmes and projects	***	All of the systems are generally in place. All results frameworks, whether at programme, sub-programme or project level, should be available through the Programme and Budget or Project Management Methodology (PMM) tools launched in 2017. The one notable gap is that programme/sub-programme level monitoring and evaluation plans are not mandatory, although they are within the management of projects, which may indicate a need for better linkages between the various stages in the Programme and Budget cycle.

2.3 Results measurement system	**	Less progress towards establishing a results measurement system. Some aspects are in place, but it is unclear how effectively they work. Budget lines to support measurement of results at the programme/sub-programme level are missing, and evaluation is not well integrated into results measurement. The implication is that the Council of Europe's result measurement system (at programme/sub-programme level, which is the most relevant for RBM) has focused much more on results measurement as part of a planning exercise rather than results measurement as part of implementation, with a focus on output and not outcomes and impact.
2.4 Results-based budgeting	**	The Council of Europe has made significant progress and now has most of the systems required to support implementation of a performance-informed budget process. Divisions remain between information covering the ordinary and extra-budgetary resources. The gap is possibly less to do with systems, and more to do with the level of investment in, and the effectiveness of, change management. If the Organisation moves to using longer-term objectives, it will need to consider the degree to which reliable estimations of extra-budgetary resources can be made.
2.5 Human resource management	**	Within the past few years, the Organisation has put in place an HR system that covers all aspects considered as important for RBM to add value. This system underpins the People Strategy, which will be implemented between 2019 and 2023. The HR systems necessary to support a strong results culture are in place, but assessment of their effectiveness is outside the scope of this evaluation. The challenges in this area are comprehensively set out in the 2019 DIO Ex-Ante Assessment of the HR Reform Logic.

Against expectations in the JIU framework	
***	Most of what is expected is in place and there is evidence that it is effective
**	Majority of what is expected is in place but limited evidence that it is effective
*	Most of what is expected is not in place and there is little evidence that it is effective

Introduction of a corporate-level results framework is possibly the area where most remains to be done. A strength is that the current Programme and Budget brings together both ordinary and extra-budgetary supported work, thus covering the work under the “dynamic triangle” (standard setting, monitoring and co-operation). The Programme and Budget for 2020-21 suggests an organisation in which the operational programmes are moving towards a standard corporate results framework approach. However, while the four institutions are comfortable with implementation of an RBB approach, they are reluctant to transparently link delivery against their expected results with progress against specific medium-term objectives (intermediate objectives). A corporate strategic results framework should identify long- and medium-term (generally four years) objectives that clearly (1) show how the Organisation will contribute to delivery against its strategic goals; (2) demonstrate alignment between the long-term and medium-term objectives and the Organisation's

operations (programmes/projects); and (3) include performance indicators and means for measurement (quantity, quality, time).

The Programme and Budget *de facto* serves as the Organisation's corporate-level results framework. The 2020-2021 Programme and Budget describes on page 15 the structure of what is covered:

The Programme and Budget for 2020-2021 is structured around three thematic pillars: Human Rights, Rule of Law and Democracy, with an additional support pillar covering governing bodies, support services and other common expenditure lines (cf. Fig 2). The three thematic pillars are made of 9 operational programmes and 4 institutions. The support pillar encompasses 2 governing bodies and 4 support services. The introduction of each Pillar gives the context of the intervention, the added value and the intended long-term impact. The three operational pillars (Human Rights, Rule of Law and Democracy) describe the intended institutional, legislative or behavioural changes

which the Organisation seeks to influence. The Programme introduction describes why it is important to intervene in this area and sets the aim of the action undertaken under this Programme. It gives also elements on how the Council of Europe contributes to the achievement of this aim through different sub-programmes. The changes that the Organisation seeks to influence under the Programme are then listed with non-exhaustive indicators such as “evidence of changes”.

Assessing the Programme and Budget for 2020-21 against the expectations for a corporate results framework shows that while the nine operational programmes follow the logic of a results framework, the four institutions – The European Court of Human Rights, the Commissioner for Human Rights, the Parliamentary Assembly and the Congress of Local and Regional Authorities – do not.

What the JIU assessment framework expects in a corporate results framework	What we found in the 2020-21 Programme and Budget
Identifies long- and medium-term (generally four years) objectives that clearly show how the Organisation will contribute to delivery against its strategic goals	Partially in place. The long-term objectives are defined in the Programme and Budget as impact-level statements. Also identifies Sustainable Development Goals that the Organisation will contribute towards. Medium-term objectives that the Council of Europe will contribute to are called the intermediate objectives in the document. There is some explanation of how intermediate-level objectives contribute to change at the impact level.
Shows the alignment between long-term and medium-term objectives and the Organisation's operations (programmes/projects)	Partially in place. Explicit linkages between specific intermediate-level objectives and expected results are not consistently provided within the Programme and Budget. Consistently not done for the four institutions. Linkages are found in the sub-programmes under the nine operational programmes but not always. Note that we would not expect linkages between expected results for support services and intermediate-level objectives as these services generally should support all intermediate-level objectives.
Includes performance indicators and means for measurement (quantity, quality, time)	Partially in place. Indicators at both intermediate objective and expected result levels identified for each of the nine operational programmes. Only identified at expected result level for the four institutions. Expected results are identified for support services, which is what would be expected if the corporate results framework reflects a strong RBB focus.

At the level of individual intermediate objectives and expected results, the results statements found in the Programme and Budget align with the definition of such results found in the 2020 RBM Practical Guide or 2020-21 Programme and Budget document.

The current presentation of intended results in the Programme and Budget document, including presentation of programmes related to the four institutions, suggests that the results framework is best suited to meeting communication needs on what is intended by DGI and DGII the four institutions and support services. The current Programme and Budget is comprehensive in that it covers results delivered through the ordinary budget and using extra-budgetary resources. It is therefore comprehensive as it covers all results of

the Organisation. The decision to present expected results by sub-programme and separate the institutions from sub-programmes of the two operational directorates means that the results framework clearly shows what the four institutions and the two operational directorates are each doing. This also means that the results framework easily translates across to the Organisation's RBB approach, which explicitly links budgets and results. This is understandable if the main purpose of the Programme and Budget is to communicate to the Committee of Ministers on what the Organisation intends to do.

Interviews and review of the last three Programme and Budget documents suggests a need to consider a reduction in the number of sub-programmes that may be affecting the degree of programmatic logic

and coherence within individual sub-programmes. Examples of sub-programmes that are considered to have good internal programmatic logic are: (1) Children's rights (p. 45); (2) Education for democracy (p. 111); and (3) Independence and efficiency of justice (p. 68). A fuller discussion of why we judge a sub-programme to have coherence and strong programmatic logic can be found in Annex 8.

We suggest that strong programmatic logic is not the main criterion used in identification of the sub-programmes. If the number of sub-programmes available is reduced, the most straightforward response for managers is not to reduce the scope of what is done, but instead to focus on which sub-programme each activity best fits within. As such, it is the perception among some interviewees that the Programme and Budget planning process in some cases tends to become a mapping process rather than a prioritisation process.

The Council of Europe has made significant progress and now has most of the systems required to support implementation of a performance-informed budget (RBB) process. RBB takes a wide variety of forms. The OECD, which now calls it performance budgeting rather than RBB, classifies these forms as presentational, performance-informed, managerial and direct. In this order, each form represents a progressively stronger link between performance measurement and budgetary decision making. In the informal GR-PBA meeting on RBM (20 September 2019) the Secretariat stated that it uses a performance-informed form of RBB and that "Budgeting decisions are indirectly related to either past or future proposed performance. The link between performance information and funding is neither mechanical nor automatic".

The systems to support a performance-informed form of RBB are now mainly in place. Divisions between information covering the ordinary and extra-budgetary resources remain and there will always be a challenge in estimating actual extra-budgetary resourcing. It is too early to judge the degree to which the systems and tools now in place will be operationalised, as many have only been introduced in the past two to three years. Interviews identified some managers indeed implementing such an approach to RBB, but we believe that concerns with measure fixation (discussed below under accountability and learning) will probably limit its application by many managers. However, in practice, the effectiveness of a performance-informed budgeting system will ultimately rely on successful implementation of the overall reform process and, in particular, the People Strategy. This is because in a performance-informed approach, as the Secretariat has stated, the link between performance information and funding is neither mechanical nor automatic. This means that

it is difficult for those not directly involved in the budget-making process to verify that budget decisions made by managers are actually informed by performance evidence. Therefore, the best assurance that this has been done is provided by evidence that there is a strong culture for managing for results in the Organisation.

Accountability and learning management

Summary of findings against Evaluation Question 2 – Accountability and learning management

- ▶ The Council of Europe's result measurement system (at programme/sub-programme level, which is the most relevant for RBM) is under-resourced and clearly shows an emphasis on quantified measures at the expense of other measures that are not so easily measured (measure fixation). Interviewees expressed mixed views on whether staff have the skill to apply the guidance available on setting good indicators. These are common challenges when implementing RBM, but managers report that "measure fixation" and a fear of perceived failure are significant barriers to the use of RBM in decision making and reporting.
- ▶ The tendency to favour quantified measures over other measures probably limits the use of results to inform the budget process, as intended in a performance-informed budget (RBB) process.
- ▶ The core reporting system appears to work as planned. The demands on managers to provide the necessary evidence are not considered excessively onerous by most managers. This is a marked contrast with views expressed to the evaluators in other international organisations on the demands imposed by such systems.
- ▶ The major gap relates to learning and building linkages to other sources of evidence, such as the evaluation system and the intergovernmental system, as part of an integrated RBM system.

The Council of Europe's result measurement system (at programme/sub-programme level, which is the most relevant for RBM) is under-resourced and clearly shows an emphasis on quantified measures at the expense of other measures that are not so easily measured (measure fixation). Interviewees expressed mixed views on whether staff have the skill to apply the guidance available on setting good indicators. These are common challenges when implementing RBM, but managers report that "measure fixation" and a fear of perceived failure are significant barriers to the use of RBM in decision making and reporting. Review of the

current guidance on the definition of results and the setting of indicators indicates that the Organisation follows standard practice and there are no major gaps in the guidance available on defining results and identifying indicators. There were mixed views on the capability of staff to effectively use the available guidance, and although interviewees indicated that training in this was provided, there is insufficient evidence to conclude whether or not it is sufficient. However, we note that this is a common finding in evaluations of RBM in other organisations where programme managers define the indicators. Many organisations define a set of standard indicators that programmes/sub-programmes need to select from for use in reporting. This avoids the problem of low quality of indicators, but at the cost of increasing the degree of measure fixation and the extent to which managers rely on the indicators as measures of true performance.

Interviews with staff highlighted two main challenges with the results measurement system. First, there are no dedicated budgets to fund collection of data to allow reporting against indicators, especially for data at the intermediate objective level. Second, and more importantly, RBM tends, in practice, to prioritise what can be measured easily. This means favouring quantitative data over qualitative evidence (even though the latter can better reflect the reality of programme/sub-programme implementation) and short-term

targets (expected results in the Council of Europe) over medium-term outcomes (intermediate objectives and impacts in the Council of Europe). This is the main critique made by almost all interviewed managers of RBM as currently practised within the Council of Europe. This is also a significant factor in why they consider that RBM does not help them use evidence from the RBM system to make more evidence-informed decisions. Concern was frequently expressed during interviews about: (1) the challenge of setting meaningful expected result indicators, as much work is secretariat-type support to ongoing processes and so expected results do not change over time; (2) the difficulty in establishing linkages between expected results and intermediate objectives because the concerned area is highly political – change may only emerge after many years, and this increases the risk that support in the meantime is seen as failing.

“The design and the implementation of the programmes is not geared towards results. Data collection which could evidence some results is not part of the Council of Europe culture, and there are very few instances when data is collected in a meaningful way.”

“In our work it is quite impossible to assess the impact at country level. In any case we do not have resources nor expertise to carry out such types of assessment.”

Table 3: Current status of accountability and learning management compared with expectations in the JIU RBM assessment framework

Component	Status against expectations in the JIU framework	Overall finding
3.1 Performance monitoring	**	Basic aspects of the system are now in place, albeit some operate informally. Key informant interviews do not show that assessing actual results against intended results (based on indicators) is the main source of evidence used by the majority of programme managers/teams when assessing results and learning. This partly reflects reservations many managers hold on the utility of the indicators to provide a credible narrative of what is really happening. Stronger practice is reported in this regard within project management.
3.2 Results reporting	**	The core reporting system is in place and covers what is expected. The main gaps are in the linkages between intermediate and higher-level results, and the lack of formal linkages between the Programme and Budget reporting system/approach and other evidence identification systems that may exist within the Organisation, such as evaluation and audit.

3.3 Evaluation	**	<p>In the main, the expected components of an evaluation system that provides credible evidence that would support RBM are now in place with the 2019 Evaluation Policy and draft 2020 Evaluation Guidelines. As both are recent, it is however too early to judge the effectiveness of their implementation. The 2019 Evaluation Policy and draft 2020 Evaluation Guidelines diverge in two respects from the assumptions in the JIU framework. First, the DIO is less prescriptive than the JIU framework regarding the range of analytical methods and approaches. Second, the DIO focuses on relationships and use within the Council of Europe and does not consider the role of evaluation with partners outside the Council of Europe; principally those working on the same issues at country level.</p> <p>Other gaps include that there is no clear explanation of how evaluation fits within the evolving RBM system, although it should be noted that this is not covered in the JIU questions or how DIO intends that the evaluation system should develop in order to fill identified learning gaps. A traditional approach to fostering the use of evaluation is specified in the recently revised Evaluation Policy and DIO cite examples of evaluations being used to learn lessons. Nevertheless, there is no explanation of how this links into a broader organisational approach to management for results.</p>
3.4 Management information systems	**	<p>With the Information Technology Strategic Action Plan (2018-2022), the Organisation has an approach that meets all of the JIU expectations. The 2019 Ex-Ante Assessment of the IT Reform Logic notes however that different capacity is needed to fully implement the strategy and success is contingent on recognising that digital transformation is not an IT project but an organisational project and that cultural change and flattened hierarchies are required for moving forward with the IT reform. Relations with key stakeholders also need further strengthening and business alignment is key to ensure that users' needs are met.</p>

Against expectations in the JIU framework	
***	Most of what is expected is in place and there is evidence that it is effective
**	Majority of what is expected is in place but limited evidence that it is effective
*	Most of what is expected is not in place and there is little evidence that it is effective

Measure fixation can be defined as an emphasis on some quantified measures at the expense of other parts that are not measured.

The tendency to favour quantified measures over other measures probably limits the use of results to inform the budget process, as intended in a performance-informed budget (RBB) process. As evaluators, we have observed the importance of managers ensuring that allocated budgets are spent on time and efficiently. This is something that all managers in international organisations are expected to accomplish. We therefore do not argue that this is not an important aspect of a budget system. Nevertheless, a performance-informed budget (RBB) process also assumes that results should inform priority setting and decision making on budget allocations during the budget process.

Current practice, highlighted through the survey and confirmed through interviews, seems to be for a stronger focus on whether budgets are spent, rather than on the results achieved through spending the budget. Informants confirmed that generally there is little focus on results when discussing the budget allocations. We would argue that measure fixation, as described above, means that the type of evidence produced through the RBM system does not support rebalancing the focus in decision making, since managers do not believe that it is useful for this purpose. Interviews with senior managers suggest that, if it has a use, the main value of monitoring progress against indicators is that it allows them to identify areas in which performance is lagging behind what was planned, and thus where they need to focus attention.

Notwithstanding this, there are cases reported where a clear result has had a positive effect on the budget, so that the budget was increased as a result.

“We showed that with our limited resources, not only did we meet the targets set, but we passed them. This efficiency and high quality have been supported by member states and demonstrated by a small but important budget increase.”

The core reporting system appears to work as planned. The demands on managers to provide the necessary evidence are not considered excessively onerous by most managers. This is a marked contrast with views expressed to the evaluators in other international organisations on the demands imposed by such systems.¹³ However, there are inconsistencies across programmes financed by the ordinary and extra-budgetary resources regarding the extent to which the results are reported coherently in the Progress Reports. The main gaps in the system relate to the linkages between intermediate and higher-level results.

The major gap relates to learning and building linkages to other sources of evidence, such as the evaluation system and the intergovernmental system, as part of an integrated RBM system. The Organisation lacks an overall policy or strategy on learning. Beyond the Secretariat, there is the intergovernmental system of experts, organised in Steering Committees and Working Groups. These do look at what works and what does not, for example through reviews of recommendations from the Committee of Ministers. One such example is the second review of the Council of Europe Recommendation on measures to combat discrimination on grounds of sexual orientation and gender identity (CM/Rec(2010)5).¹⁴ This system was the subject of a DIO evaluation in 2019 (Evaluation of the Intergovernmental committees), which identified, among other things, a number of shortcomings in the performance measurement framework for the intergovernmental committees.

13. See also Vähämäki and Verger (2019), Box 6.

14. A weakness in the intergovernmental system, beyond the scope of our work but highlighted in interviews, is the uneven support from members to the work of these committees and sometimes a weak link between the substantive experts who come from capitals and the Strasbourg representation that is often small and staffed with diplomats from MOFA. The comparison with the EU was often made, stressing 1) the size of representations, which are much larger in the EU, and 2) that the Council of Europe, because it generally does not engage in legislation, does not have “teeth”, as the EU does.

However, staff do use a number of other sources of information as evidenced in these quotes from responses to a survey question on what other sources of information are used.

“... assessments provided by project partners and participants...”

“Our main source of evidence comes from the feedback from our statutory bodies”

“... websites and direct contacts with colleagues in the department concerned”

There has been active discussion about strengthening the Organisation’s evaluation system over the past two years, and this culminated in the adoption of a new evaluation policy in November 2019. Currently, there is no evidence of linking the RBM and evaluation systems together, beyond acknowledgement of these systems as alternative sources of evidence on performance and results. So overall, they can cover for each other’s limitations. For example, evaluation is seen in the literature as the main way to address measure fixation due to its focus on how and why an organisation/intervention makes a difference rather than just measuring what has changed.

Change management (culture of results)

Summary of findings against Evaluation Question 2 – Change management (culture of results)

- ▶ Developing a results culture is a clear priority in the current reform programme of the Council of Europe. RBM will not drive this change but should support it. However, this would require rebalancing the focus of the current RBM approach, away from mainly accountability and communication, towards delivering against all four purposes.
- ▶ Internalisation seems adequate with respect to staff having the relevant understanding and capacity to perform their role regarding the accountability and communication purposes of RBM. However, there is little evidence that the use of RBM to improve strategic direction and learning has been internalised. Despite the rhetoric about the importance of a results culture in the Programme and Budget documents, we find little evidence of sustained leadership of this agenda with regard to RBM at the organisational level, although there is some evidence at the individual level.
- ▶ We find little evidence of the use of results.

Developing a results culture is a clear priority in the current reform programme of the Council of Europe. RBM will not drive this change but should support it. However, this would require rebalancing the focus of the current RBM approach, away from mainly accountability and communication, towards delivering against all four purposes. The Programme and Budget 2020-2021 (Annex 6) describes the overall purpose of the reform process as one that “seeks to promote an increasingly agile organisation with confidence in its know-how and expertise, which encourages creativity and greater responsibilities for teams and individuals. It will contribute to strengthen a results-oriented culture based on a rational and sustainable approach, responding to stakeholders’ needs, ensuring timely delivery and performance monitoring”. We concur with the view of the Organisation’s senior management, as expressed in the current Programme and Budget document and the conclusions of the DIO’s 2019 Ex-Ante Assessment of the HR Reform Logic, about the success of this reform process being key to achieving internalisation of a results culture. Findings

“Currently, the Council of Europe does not have the tools, nor the policies to motivate staff members to deliver meaningful results.”

on how RBM fits within this overall reform process, and the focus on meeting accountability and communication purposes, are discussed in the strategic management section above. It is clear that for RBM to contribute to the agenda set out for the reform process and maximise its contribution to development of a strong results culture, some rebalancing to meet the strategic direction/management and learning purposes of RBM would be necessary.

Internalisation seems adequate with respect to staff having the relevant understanding and capacity to perform their role regarding the accountability and communication purposes of RBM. However, there is little evidence that the use of RBM to improve strategic direction and learning has been internalised. Evidence supporting this finding is presented above, including in the section on strategic management.

Table 4: Summary of the current status of change management compared with expectations in the JIU RBM assessment framework

Component	Status against expectations in the JIU framework	Overall finding
4.1 Internalisation	**	Overall, we find that programme co-ordinators and reference points are implicitly aware of the role of RBM in meeting accountability and communication purposes through their engagement in the biennial Programme and Budget process. On the other hand, there is little evidence of internalisation of RBM as a tool to support more effective strategic direction and learning, in theory the two main contributions of RBM to the reform process.
4.2 Leadership	*	We have only limited evidence gathered for this evaluation to directly and credibly assess against the JIU framework related to leadership of the RBM agenda since 2014, but have been able to draw on related evidence from OAC/DIO reports to triangulate the evidence we do have based on interviewees’ opinions. Our overall finding is that there has not been consistent and sustained leadership of the RBM agenda.
4.3 Use of results	*	An annual report on performance is discussed with the governing bodies. However, at corporate level, management does not regularly review corporate performance data or make adjustments that are clearly informed by performance data. In terms of corporate-level strategies, a recent DIO evaluation (Evaluation of strategy development and reporting in the Council of Europe (2020)) finds little use of performance data reported through the Programme and Budget and management of strategies. Monitoring and evaluation, as contrasted with reporting, is generally weak in strategic plans.

Against expectations in the JIU framework	
***	Most of what is expected is in place and there is evidence that it is effective
**	Majority of what is expected is in place but limited evidence that it is effective
*	Most of what is expected is not in place and there is little evidence that it is effective

Despite the rhetoric about the importance of a results culture in the Programme and Budget documents, we find little evidence of sustained leadership of this agenda with regard to RBM at the organisational level, although there is some evidence at the individual level. The importance of a results culture has been a longstanding issue in the Programme and Budget documents, which indicate that this is part of the overall reform agenda. However, as indicated in the findings above, leadership in this agenda goes beyond leadership of the implementation of RBM tools and systems. It extends to leadership in changing how the Organisation's managers manage. Feedback from interviews indicates that if managers use evidence to inform decisions, or encourage their teams to do so, this is motivated by the management style of the individual, or a particular institution, and does not reflect an Organisation-wide expectation. We find no evidence of the use of common leadership approaches, such as seen in peer institutions. This could be, for example, the identification of designated change leaders who are responsible for providing a clear and consistent rationale for change, and setting the direction, pace and tone of change towards a results culture. Or it could be a senior management team charged with leading on this agenda. Instead, the DPB leads on the development of the system supported in the Programme and Budget, while the ODGP leads with regard to the project-level portfolio funded through extra-budgetary resources, and the DIO evaluations support learning and decision-making needs.

We find little evidence of the use of results. Findings above explain this conclusion regarding their use internally. Interviews with permanent representatives reveal little systematic use of results evidence in the work of the Rapporteur Group of the Committee of Ministers – Programme, Budget and Administration

(GR-PBA) or the Intergovernmental system of experts, which are organised in working groups and steering committees.

Partnership management (co-operation with partners)

Summary of findings against Evaluation Question 2 – Partnership management (co-operation with partners)

- ▶ In many international organisations, RBM is increasingly seen as part of strengthening partnership management (co-operation with partners) at the country level. This is not a focus within the current approach to RBM within the Council of Europe.
- ▶ It is questionable whether extending RBM to frame partnerships at country level is necessary, or would add significant value, for the Council of Europe.

In many international organisations, RBM is increasingly seen as part of strengthening partnership management (co-operation with partners) at the country level. This is not a focus within the current approach to RBM within the Council of Europe. As shown in Table 5 below, and is clear from the preceding findings, the RBM approach developed in the Council of Europe has been focused internally, mostly to allow the Organisation to meet corporate-level accountability and communication needs. It has not extended to how the Organisation works at the individual country level, or how it relates to partners at that level. To the extent that partnership practice at country level has evolved, this evolution has been driven by different agendas, rather than a corporate-level RBM approach.

Table 5: Summary of the current status of partnership management compared with expectations in the JIU RBM assessment framework

Component	Status against expectations in the JIU framework	Overall finding
5.1 Coherence with partners	*	This focuses on partnership management at country level, and the building of common approaches to managing multiple projects and other interventions that potentially contribute to common sets of outcomes. It is distinct from project management, which focuses on management within a project, rather than how a project contributes to a broader set of agreed outcomes in a country. This issue is not discussed in the 2020 RBM Practical Guide but is addressed in the approach to project management, with moves towards: <ol style="list-style-type: none"> 1. Ensuring that there is consistent and open communication with all actors.

		<p>2. Ensuring that individual agencies formally recognise and endorse the agreement and ensure adequate balance between agency-specific requirements and the requirement for collective impact. 3. Support from Strasbourg as a co-ordinating function for collaboration between entities (guides the strategy, supports the alignment of activities and shared measurement practices, advances policy, mobilises funding and supports advocacy efforts).</p> <p>However, this has not yet been extended to a full RBM approach, with development of mutual accountability between partners.</p>
5.2 RBM capacity building	*	Not a general requirement across the Organisation.

Against expectations in the JIU framework	
***	Most of what is expected is in place and there is evidence that it is effective
**	Majority of what is expected is in place but limited evidence that it is effective
*	Most of what is expected is not in place and there is little evidence that it is effective

It is questionable whether extending RBM to frame partnerships at country level is necessary, or would add significant value, for the Council of Europe.

The JIU assessment framework assumes that the development of RBM follows a similar trajectory in most organisations. Initially, the focus is on RBB and meeting accountability and communication needs. It then evolves to meet strategic direction and learning purposes, with a stronger focus on meeting internal needs. Finally,¹⁵ the focus turns to supporting the use of RBM at country level in managing partner relations. Neither the major drivers for using RBM to frame partner relations at the country level, which are observed with many UN organisations and reflect the overall UN reform agenda, nor the broader country programme focus found in a wider range of organisations working in development with their explicit focus of embedding country programmes with national governments' strategic plans, apply to the Council of Europe.

15. In response to (1) the Managing for Development Results agenda noted in Section 3.1 above, and (2) progressive system-wide reform within the UN system with its focus on coherent support from the UN agencies at the country level.



5. Conclusions

The Council of Europe, like many other international organisations, has never explicitly made clear what the priority purposes of introducing RBM are. The findings suggest that, in practice, it is to meet mainly accountability and communication purposes, which is also the most common perception among interviewees.

Conclusion 1: Using the JIU metric for assessing the status of RBM within an organisation, the Council of Europe’s RBM approach can be judged overall to be at stage 3 – transitioning to mainstreaming. The JIU assessment framework (see JIU (2017), page 20) assumes development of the RBM approach within an organisation evolves over time, moving from a stage of non-use of RBM (stage 1) to a stage of exploration of RBM principles (stage 2), to a transition stage where RBM is mainstreamed extensively in the organisation (stage 3), and then to the stage where RBM is fully mainstreamed and undergoing updates and refinements based on lessons learned and the organisational context (stage 4). RBM is internally focused in stage 4, although beginning to develop ways of engaging in external outreach and co-ordination. We do not consider that stage 5 in the JIU framework is relevant in the context of the Council of Europe, given that the Organisation is not a development agency. The conclusion is that the overall RBM approach in the Council of Europe is at stage 3 based on the evidence in Annex 6 and the summary in Annex 7.

In terms of benchmarking this status against other organisations, the JIU (2017) assessment did not identify the status of individual UN organisations included in the RBM status assessment but the finding was that nine of the 12 UN organisations included had reached stage 4 (RBM was fully mainstreamed internally). However, this finding should be treated with caution. First, the 12 UN organisations covered by the assessment were not selected to be representative of all UN organisations, but were those that co-operated with the JIU and had an RBM approach in place. Second, this JIU finding relied on

self-assessments provided by the 12 UN organisations in development of its overall findings. Review of more recent independent evaluations of RBM within two of the 12 organisations clearly indicates that the two self-assessments were over-positive regarding the status of RBM within their organisation.¹⁶

Review of the broader literature shows that the Council of Europe is firmly in the middle of the pack in terms of the status of its RBM approach. For example, a recent OECD review (OECD 2017a) of experience across a number of international organisations and bilateral donor departments shows that development co-operation providers are at different stages in implementing RBM. Even though RBM has been a preferred management approach in most of these organisations since the early 2000s, some are still at a stage of defining what RBM means for them, while others have a clear perception of RBM and a well-defined plan under implementation. However, none of them has so far reached a stage where RBM is broadly mainstreamed with implications for system-wide operation, partnerships, co-ordination and collaboration.

Furthermore, the JIU (2017) assessment of RBM in 12 UN organisations found that:

Implementation of results-based management has been strongest in the areas of: (a) results-based strategic planning at the macro organisational level; and (b) results based programme development; followed by (c) monitoring; (d) evaluation; and (e) reporting results. These have been the areas of focus in the implementation of results-based management and are tied in particular to their value in reporting on and accountability for results and in providing evaluative evidence.

16. One of the authors of this evaluation was involved in the analysis underpinning the JIU 2017 report and has access to the self-assessments and so has been able to compare them against evidence from later sources, including independent evaluations.

Our findings show a broadly similar story for the Council of Europe. The notable difference observed in the Council of Europe compared with the UN organisations within the JIU assessment is that it has not defined a clear and specific role for evaluation in meeting the accountability and communication needs of the Organisation within either the RBM documentation or revised Evaluation Policy, despite this being the main focus of the RBM system. Common practice elsewhere is for the central evaluation function to provide a separate assessment of an organisation's results to the governing body that draws on evaluative and possibly other evidence collected independent of management. Within the Council of Europe, the main focus of corporate-level evaluation is on contributing to enhancing learning within the Organisation, which is not a purpose of RBM that has been prioritised to date, and it does not produce a separate synthesis report for consideration by the GR-PBA.

Conclusion 2: The findings show that the current RBM system in the Council of Europe mainly addresses accountability and communication purposes. In the opinion of the Committee of Ministers, who represent the member state representatives and are best placed to judge this, the current RBM approach has been effective in meeting these two purposes. This is a strength. The initial focus on developing RBM to meet accountability and communication purposes is common to most international organisations when implementing RBM. For example, the recent evaluation of the status of RBM in OHCHR (Massey and Singleton 2019), observed that:

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 "instrumentalization" of RBM. We see an over-emphasis on the sophistication of planning, monitoring and reporting tools and instruments, with other equally important RBM areas receiving less attention.

The finding is that in broad terms the RBM approach has been effective at meeting the accountability needs of the Committee of Ministers and external communication needs in terms of clearly setting out what the Council of Europe does. This is a strength of the current RBM approach.

Conclusion 3: Many within the Organisation do not distinguish between RBB and RBM and this is causing unneeded confusion in terms of whether

the RBM approach is delivering a credible message. RBB is a relevant management approach for all aspects of the work of the Council of Europe. RBM is not. In terms of the different types of work of the Council of Europe, we would conclude that RBB is applicable in all cases and all should be included in the Programme and Budget process. RBM is fully relevant and applicable for work related to standard setting, monitoring, co-operation and the independent mechanisms. These are all types of work that can be observed in many international organisations and are included in the organisations' RBM approaches without question. We would also conclude that RBM is relevant and applicable in terms of the work of DGs 1 and 2 and the Commissioner for Human Rights because both expected results and their contribution to specific intermediate outcomes can be defined *ex ante*. On the other hand, we would argue that RBM is not applicable in terms of the work of the other three main institutions – the European Court of Human Rights, the Congress of Local and Regional Authorities and the Parliamentary Assembly – as the Secretariats for these institutions are not in the position to define *ex ante* what specific intermediate outcomes their expected results will contribute towards. This means that RBM is not a relevant method for enhancing their effectiveness. This would imply therefore that for these three institutions, and also support services, the understanding should be that the focus should be on RBB only. The failure to clearly make this distinction is a major cause of tension observed in some of our interviews and perceptions from many within the Organisation about the utility of the current RBM approach.

Conclusion 4: For both RBB and RBM, more could be done within the Council of Europe to support staff to develop better results statements and identify SMART indicators. However, the added value may be modest in terms of enhancing the Organisation's ability to provide the needed credible evidence of its actual results. Especially for RBM, there is a methodological limitation in the type of useful evidence an indicator-based RBM system can provide to meet this need. We found that the Council of Europe's definitions of an expected result and an intermediate objective clearly align with how these levels of results are normally understood. We also found that the guidance within the RBM Practical Guide and Project Management Methodology guidance is robust. Views on the capability of staff to use the guidance effectively (mainly for staff working on the ordinary budget) are mixed. It also needs to be recognised that reading of evaluations that consider the setting of credible results statements and definition of indicators clearly shows that all continue to struggle with this challenge. This suggests that while guidance and training may be necessary, it is not sufficient to ensure all concerned staff will be

capable of setting credible results statements and definition of indicators.

However, we conclude that the main problem is not staff capability, but rather in the limitations inherent in an indicator-based approach applied at corporate level to demonstrate (communicate) an organisation's results. This is explained in more detail in the findings related to Evaluation Question 1 in Section 4.1, but challenges such as the reality that the cost of collecting reliable evidence to report against indicators at intermediate outcome level will in some instances be prohibitive, while in other instances change will be unrealistic within the two- to four-year time horizon normally found when reporting corporate-level results. The RBM approaches of international organisations usually respond in one of two ways to this need. Either they:

- ▶ opt to use a list of centrally defined standard indicators (identified at both what the Council of Europe calls expected result and intermediate objective levels), with those working at programme/sub-programme level then expected to select the most appropriate indicators from this list and report against them. The organisation then claims that movement at intermediate objective level is due to change reported at the expected result level; or
- ▶ develop and use a corporate-level theory of change and then provide a contribution analysis-based narrative for why delivery at the expected result level contributes to change at the intermediate objective level.

We find neither of these approaches¹⁷ is currently adopted within the Council of Europe.

Evaluations of organisations using either of these options highlight the significant methodological limitations of these approaches in providing credible evidence. These evaluations are discussed in Vähämäki and Verger (2019) who highlight that both approaches tend to foster a greater focus at the expected results level than at the intermediate outcome level. This makes it harder to use RBM to support other needs such as learning and strategic management. The use of standard indicators, in particular, accentuates the problem of measure

fixation and reporting against indicators that are not SMART within the context of individual programmes and sub-programmes. On the other hand, empirical experience suggests that methodological credibility is actually not the major criterion that determines the value of such information for demonstrating results. A more important consideration appears to be the type of evidence that is important for those who need to see evidence of actual results.

Conclusion 5: To further contribute to the Secretary General's results culture reform agenda, which is a priority for several member states, would require rapid transition to stage 4 in the JIU assessment framework. Attempting this step would have two implications. First, it would mean a rebalancing in terms of what the priority purposes of the RBM approach were, with more emphasis on both the strategic decision-making and learning purposes. Second, experience of other international organisations suggests that the Organisation would need to move away from its current emergent strategy for implementing RBM and use a formal RBM strategy and plan that is embedded in an overall, coherently managed reform strategy focused on fostering a results culture. Experience from other organisations suggests that this transition to stage 4 is the hardest step in operationalising RBM and one that all organisations continue to struggle fully to achieve. As discussed under the findings above, the Council of Europe has made progress in developing a results culture, but in the literature RBM's main contribution to strengthening an organisation's results culture is through supporting managers to learn and make better informed management decisions.

Experience clearly shows that trying to develop an RBM approach that focuses on these two purposes, while also meeting communication and accountability purposes, is not easy. This is clearly shown in a recent evaluation of RBM in UNFPA (2019b), which observed that:

... situational analysis of the issues, gaps, and bottlenecks that prevented and undermined the existing RBM system from optimizing its performance was the first primary finding of the evaluation. The situational, systemic analysis is explained through a system of five interrelated creative tensions preventing and undermining the current RBM system from fully optimizing its performance... A creative tension designates a gap between a desired goal or idea (the way it should be) and a current state of reality (the way it is). A creative tension, which may also show gaps between different perspectives, always focuses on a gap that seeks to be resolved – that is why it is "creative". These five creative tensions are: confusion in the RBM conceptual framework (creative

17. The Programme and Budget 2020-2021 includes a Theory of Change on page 13 but this is not the type of theory of change that is needed for a contribution analysis-based narrative as being discussed here. It is important to underline that as much as theories of change often use diagrams (as in Programme and Budget 2020-2021), which can show an immediate and visual representation of the theory, this is not the same as a full theory of change. A theory of change may use a diagram to help visualise and articulate the key points along the causal chain, but the narrative is the essential piece, as it can unpack and explain the links, assumptions and evidence in detail.

tension 1: RBM conceptual framework); unbalanced integration of multiple accountabilities (creative tension 2: collective versus individual accountability); a limited culture of using results information for decision making (creative tension 3: organizational culture and use of results information); capacity constraints to manage for results (creative tension 4: capacity to manage for results); and information systems not fulfilling current demands (creative tension 5: RBM information systems). The five creative tensions are all interrelated, influencing and affecting each other either directly or indirectly, thereby reflecting a systemic nature.

The Council of Europe would also encounter the same tensions were it to invest in moving to stage 4, and it needs to be understood that moving the focus of RBM to also address the learning and management decision-making purposes may lessen its effectiveness in terms of meeting the communication and accountability purposes.

Making such an investment would also require changes in how further development of the RBM approach was managed. As illustrated in the JIU framework assessment, the Council of Europe has all of the main sub-components for an effective RBM system in place, although there is variability in the degree to which they function as intended. The Council of Europe is also engaged in a broader reform process that focuses on the relevant areas of change management commonly identified as necessary to further develop RBM as an approach to results-informed management. The development of an RBM strategy/plan that adds significant value requires that knowledge gaps be addressed among the key stakeholders regarding how RBM might meet their needs. Filling this gap should be a major aim of the process of developing the strategy.

A strength within the Council of Europe is that strategies addressing the commonly identified individual aspects of an overall strategy to develop a results culture are in place, although some are informal rather than formal. However, the Organisation does not have a common understanding of what a strategy is, or a common approach to implementation. Concerns were raised in interviews, and have also been raised in some evaluations (see, for instance, DIO's 2020 Evaluation of strategy development and reporting in the Council of Europe), as to whether there is sufficient capacity to implement individual strategies effectively. However, we suggest that a more important issue is the lack of an overarching formal reform strategy that ensures that the individual reforms are managed as a coherent whole, with linkages made between them. Putting this in place will take time and will be challenging, as indicated by the experience set out in the evaluations of RBM in UNFPA (2019b) and OHCHR (Massey and Singleton 2019).

"RBM's role is limited in a political organisation."

Furthermore, it has to be recognised that the Organisation works in areas where achieving higher-level results relies on political consensus across the member states on priorities. However, these priorities are often driven by individual member states' political agenda and interests rather than what results can be demonstrated by the Council of Europe. This issue was also highlighted in the peer review of the Evaluation Function carried out in 2017. Internally, the process-oriented nature of the Organisation's work also favours a focus on efficiency rather than effectiveness, as exemplified by the priority given to administrative reforms in the Secretary General's reform agenda – it is easier to get political consensus on improving efficiency of processes and working methods than on a strategic result that requires political assessment and touches on internal political issues in member states, such as civil rights or justice reform.

Conclusion 6: The lack of a formal and clearly articulated and managed change process to introduce and implement RBM beyond use for budgeting purposes, and with incentives adapted to the context and needs of each entity (programme/institution, etc.), could lead to a lack of cohesion. This is further complicated by the fact that the four institutions do have a certain autonomy.

A window of opportunity may be opening with the planned development of a four-year strategic outlook alongside the further strengthening of the Secretary General's reform, emphasising improvement of the working methods of the Organisation. Important administrative reforms have already been implemented and are still under way. The Secretary General in her 2020 annual report announced her intention to "examine options for modifying and streamlining our organisational structures and operations in order to become more agile and responsive to changing needs. This will involve a more task-force-oriented approach with greater flexibility in the assignment of our human resources to different ongoing activities." Such change will provide a number of opportunities for examining and improving the results focus of current working methods and could be a strong platform for effecting change.

"In an ideal world the different parts of the Organisation would benefit from a four or six-year Secretary General's strategy in order to make sure that the different parts stay within this strategy for the preparation of their Programme and Budget. This strategy not existing causes a potential serious problem of parts straying from the Organisation's mission."

Conclusion 7: The RBM literature assumes that a single RBM system can be used to meet all four purposes but there is little evidence of any international organisation fully achieving this. In many organisations, approaches to supporting evidence-informed strategic management and learning are not addressed as part of the formal RBM system, but through adoption of adaptive management as a parallel but separate approach. In practice, while not well documented, many organisations have actually adopted a “dual-track” system

that separates accountability and communication at corporate level from learning and strategic management at project and programme level (OECD 2017a). RBM is used to meet accountability and communication needs. Evaluation and adaptive management¹⁸ are used to meet learning and strategic management needs. Documented evidence on how international organisations actually learn in practice is scarce, but some can be found in evaluations of learning in the World Bank¹⁹ and ILO.²⁰

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18. For those unfamiliar with adaptive management approaches, it is suggested that they review the material at the following site: www.odi.org/projects/2918-global-learning-adaptive-management-initiative-glam. It is suggested you start with the paper by Hernandez K., Ramalingam B. and Wildfound L. (2019), “Towards evidence-informed adaptive management – A roadmap for development and humanitarian organisations”, found at www.odi.org/sites/odi.org.uk/files/resource-documents/12985.pdf.
19. <https://ieg.worldbankgroup.org/evaluations/learning-and-results>.
20. www.ilo.org/wcmsp5/groups/public/---ed_mas/---eval/documents/publication/wcms_757214.pdf.



6. Recommendations

While the evaluators are confident about the rigour and pertinence of the findings and conclusions set out above, any recommendations must reflect the fact that there is no one form of RBM that is applicable in all international organisations. Whatever RBM approach is further developed within the Council of Europe needs to be adapted to the specific context and needs of the Organisation and the management's priorities. These are decisions for senior management and the Committee of Ministers, not the evaluation team.

The Council of Europe currently faces a strategic choice about how the RBM approach develops in future. That choice needs to reflect the balance placed on the four organisational purposes that RBM can contribute to. In making this choice, it is important to bear in mind the following points.

1. Member state interests and priorities will always differ and therefore strategic prioritisation will always be a challenge. The Secretary General's current work to develop a strategic outlook for consideration by the Committee of Ministers, if successful, will address this challenge. RBM cannot ensure that what is then done meets these priorities, but it can contribute evidence that prioritisation has occurred since with some effort it should be possible to analyse the change in areas of work over successive versions of the Programme and Budget document.
2. The Council of Europe's experience, and the challenges observed with RBM, are shared with many international organisations.
3. Not all challenges observed reflect poor implementation or lack of maturity of the RBM approach in an organisation. Once the basic RBM system is in place, some of the remaining challenges highlighted both in the literature and in the Council of Europe's specific experience reflect limitations in what RBM can contribute, rather than limitations in how it is applied. Other challenges reflect the fact that using RBM to meet one need will have consequences,

sometimes negative, for its usefulness in meeting other needs.

4. Most of the systems and approaches commonly identified as necessary to address all four purposes within a strong results-focused culture are now in place within the Council of Europe. The necessary broader reform process is already underway and key stakeholders have identified important unmet needs that RBM can potentially help to meet. Within the Organisation much of the required technical knowledge to move forward, drawing on evidence of good practice and experience elsewhere, already exists. The transactional costs associated with reporting appear proportionate compared with experience in many international organisations. There are now important questions about the degree to which these strengths are built upon, for what purpose, and how they are focused and managed.
5. Although the literature states that RBM can or should be used to meet all four purposes, in practice organisations increasingly adopt a "dual-track" approach that separates accountability and communication at corporate level (RBM is used mainly to meet these purposes) from learning and strategic management (evaluation and adaptive management are used to meet these purposes).

We have therefore structured our recommendations at two levels:

1. The strategic choice that the Organisation's senior management and the Committee of Members need to make in terms of RBM.
2. Improvements that can be pursued irrespective of the strategic choice made.

We recognise that there will be other improvements that will need to reflect the strategic choice but, in our view, these should be identified by management as part of its response to recommendations below and in particular Recommendation 2.

6.1. The strategic choice on the future direction of RBM

Recommendation 1: The Secretary General should present her strategic choice, in consultation with member states, on how the Organisation will in future meet accountability needs, communication needs, strategic direction needs and learning needs. The strategic decision that needs to be made is whether to use RBM as the primary approach for meeting all identified needs or focusing RBM on the current accountability and communication needs and consider using other approaches (such as evaluation and adaptive management) to support implementation of her stronger results culture agenda.

The usefulness of a clear articulation of the purposes that RBM is intended to contribute towards is a clear lesson learned and a clear gap in the Council of Europe's current approach to RBM.

Recommendation 2: To support the Secretary General in making a decision on what to propose under Recommendation 1 above, the Organisation should develop a management strategy. Development of this strategy would allow consideration of the various alternative options and of which adds most potential value and is feasible to implement.

The JIU assessment framework, reflecting the view in the broader management literature that introduction of new ways of working and cultural change are best systematically and transparently managed, calls for development of an RBM strategy. Such a strategy provides a convenient framework for deciding between the two options facing the Organisation regarding the main intended contributions of RBM. Building on what is identified by the JIU, the strategy should specify the following.

1. The rationale for mainstreaming results-based management in the context of the Organisation – the balance between the four purposes and their relative priority.
2. Expected outcomes by purpose from mainstreaming results-based management and/or a parallel system for evaluation/adaptive management.
3. A clear explanation of which institutions within the Council of Europe will be covered by the RBB system and which by the RBM system.
4. A time-bound road map for implementing the strategy.
5. Key success factors, indicators for tracking progress in terms of the road map and success factors and description for monitoring and reporting progress and how implementation oversight will be managed.

6. Required resource allocation according to implications and requirements.
7. A clear explanation of how the further development would, if needed, be linked with broader reform initiatives.

Good practice would be for the responsibility for the preparation and implementation of the strategy to be clearly assigned to a lead entity and reflected in the annual objectives of relevant staff members. Our view is that lead responsibility should lie with the Private Office, with technical expertise being drawn from DIO, DPB, ODGP and DG Administration. Our interviews indicate that much of the technical knowledge, in addition to the required deep understanding of the Organisation, exists across these directorates although there would be gaps; the key likely gaps are in terms of: (1) adequate oversight of experience across international organisations in the past five years; and (2) the empirical evidence on introducing and fostering the use of adaptive management and learning approaches in strategic management within international organisations. The ideal solution would be for the designated staff to work to fill any knowledge gaps and only if this proves infeasible should external expertise be contracted in.

Recommendation 3: The Secretary General's strategic choice and underlying strategic goals should be formalised in a publicly available organisational document, and its implementation should be transparently managed through an operational plan.

Given the findings of this evaluation our assumption is that RBM will continue to be used by the Council of Europe in addressing accountability and communication of planned results with the Committee of Ministers and member state capitals. Experience shows that meeting these needs has been the major driving force for the introduction and operationalisation of RBM in most international organisations where it is used. To what extent there is agreement to also use it for decision making and setting priorities is less clear. It is therefore logical to raise this issue with member state representatives to ensure consensus on the future development of the approach and what needs it should address. This will help to ensure their commitment.

Agreement on a formal strategy would then open up the possibility of RBM as a regular agenda item for the meetings of the GR-PBA, thus ensuring visibility and regular reporting on progress, as well as providing an opportunity to regularly review whether the chosen approach is still fit for purpose.

Recommendation 4: To enhance the strategy's contribution to the development of a stronger results culture within the Council of Europe, its future development and implementation should be managed explicitly to build synergies with other parts of the Secretary General's reform agenda.

Development of a results culture requires change and initiatives in multiple areas of the way an organisation works. Such changes are necessary and experience shows that the overall approach is likely to be more successful if implementation of these change initiatives is managed and co-ordinated through an overall reform strategy that links the various initiatives together. This can help ensure the overall coherence and synergy and guard against unintended consequences from one reform spilling into another important area.

Recommendation 5: To meet the needs of communicating credible evidence of achieving results, the Secretary General should build on the approach set out in the 2019 Evaluation Policy and define the required level of coverage to meet this need through implementation of the policy.

In general, where international organisations need to demonstrate results, this is usually done through the use of independent evaluation; what varies is the degree to which independent evaluation depends on evidence drawn from the decentralised evaluation system. The 2019 Evaluation Policy sets out the broad parameters for the DIO to fulfil this role. However, we suggest that there are a number of key unanswered questions around operationalisation of the policy, and what is prioritised. Determining the required level of coverage of the programmes and sub-programmes of the Programme and Budget, as well as country action plans and thematic strategies, and the necessary resourcing, is particularly important.

6.2. Improvements that can be made irrespective of the strategic choice made

Irrespective of the decisions taken in response to the strategic recommendations made above, we make three operational recommendations.

Recommendation 6: In future, monitoring of the implementation of the strategy and its road map, and the degree to which it is delivering the anticipated benefits, should lie with a senior management team designated by the Secretary General.

This recommendation reflects broader concerns and findings over how the Council of Europe manages both strategy implementation (see DIO (2020)

Evaluation of strategy development and reporting in the Council of Europe) and the current IT and HR reforms (see DIO (2019a) Ex-Ante Assessment of the HR Reform Logic).

Recommendation 7: The Directorate of Programme and Budget should ensure that adequate resources are invested where most needed, including for communication of the purposes of RBM, the purposes it is intended to meet and the implications for staff within the Organisation of the new strategy. In particular the difference between RBM and RBB should be more forcefully communicated and its implications in terms of what is expected from the various institutions within the Council of Europe.

A consistent lesson learned when operationalising RBM is the need to ensure good communication of intentions with managers within the Organisation. Interview feedback suggest that this is not sufficiently addressed to date.

Recommendation 8: The guidance on the definition of results statements and identification of indicators is adequate. The Directorate of Programme and Budget should continue to work with the Directorate General of Administration to monitor whether more resources should be invested to ensure that staff develop the capability to use the guidance.

There was, compared with what was found by the evaluators when working with managers in other organisations, little concern about the transactional costs of reporting, which is rare in an international organisation applying RBM. Generally, there was appreciation for the support provided to staff in developing indicators and results statements, which is a strong basis to build on, but we were unable to verify whether the level of training has been adequate or whether it was effective. This needs to be monitored and, if a deficiency is identified, addressed. However, we acknowledge that training in itself is not sufficient to ensure all managers develop good results statements and credible indicators for reporting purposes, not least because the Organisation shares the challenge of many organisations that collecting evidence to report against credible indicators at intermediate outcome level would cost too much or change will take a long time.

Annex 1: Original Terms of Reference for the evaluation²¹

Annexes to the original terms of reference are not included in this annex due to considerations of document length.

1. Introduction

This concept note sets out the concept and approach of an evaluation of the Council of Europe's RBM system. Results-based management (RBM) is one of the key performance areas to determine organisational effectiveness of multilateral organisations. It describes the evaluation's objective and outlines its rationale and purpose. Furthermore, it proposes draft evaluation questions, a scope, draft methodology and a work plan that should be refined in the inception phase. The concept note also highlights the expectations towards the external consultant(s) who will be engaged to conduct the evaluation.

The users of the evaluation findings will be the Secretary General, the Committee of Ministers, the Senior Management Group (SMG), the Directorate of Programme and Budget (DPB), the Office of the Directorate General of Programmes (ODGP) and senior management of the Council of Europe.

This evaluation will be one component of a joint audit/evaluation assignment that the Directorate of Internal Oversight has included in its work programme for 2020. This is the first such joint audit/evaluation. The audit part will be scoped after the finalisation of the inception report for the evaluation part.

2. Object of the evaluation

2.1. The Council of Europe

The Council of Europe is the continent's leading human rights organisation. It promotes human rights, democracy and the rule of law in Europe and beyond. The Organisation's 47 member states have signed up to the European Convention on Human Rights, the implementation of which is overseen by the European Court of Human Rights.

As explained in the Programme and Budget, the action of the Council of Europe is structured around three dimensions constituting a "dynamic triangle" (standard setting, monitoring and co-operation). These three dimensions are integrated into the functioning and operation of the Organisation (Figure A1.1)

and form one of its key strengths and comparative advantages. The Programme and Budget defines the three elements of the dynamic triangle as follows.

- ▶ **Standard setting** includes activities aimed at the creation and adoption of norms – whether legally binding or not – and the identification of best practices, such as conventions, protocols, recommendations, conclusions, guidelines or policy recommendations.
- ▶ **Monitoring** includes activities aimed at assessing compliance by states with the above-mentioned standards, whether in pursuance of legal undertakings or on a voluntary basis, or whether following a legal procedure or not; for example, to assess compliance with a convention, recommendation or undertaking by a state party.
- ▶ **Co-operation** includes activities conducted mostly in the field (in member states and other states), aimed at raising awareness about standards and policies agreed by the Organisation, supporting states in reviewing their laws and practices in the light of those standards, and enhancing their capacity; including when the monitoring procedures reveal areas where measures need to be taken to comply with the standards of the Organisation.

This dynamic triangle is supported by different types of structures:

- ▶ **Institutions** are the statutory organs provided for in the Statute of the Council of Europe – the Committee of Ministers, the Parliamentary Assembly and the Secretary General, the Congress of Local and Regional Authorities, the Commissioner for Human Rights, and the European Court of Human Rights. All institutions have specific prerogatives established in the respective legal texts.
- ▶ **Intergovernmental structures** are committees, bringing together representatives of member states and possibly non-member and observer states or organisations, and operating in accordance with specific rules. Their terms of reference are decided by the Committee of Ministers and all member states of the Organisation are entitled to take part in those activities.

²¹ Terms of Reference Evaluation of Results Based Management in the Council of Europe (10 February 2020).

- ▶ **Independent mechanisms** are committees or bodies made up of experts appointed following specific procedures and are responsible for overseeing the functioning, operation and application of international instruments, or implementing specific activities. They are set up either by resolution or decision of the Committee of Ministers or provided for directly in the international instruments. It should be noted that in some cases the independent mechanism operates in the framework of a partial agreement – the Venice Commission, for example.
- ▶ **Partial agreements** are a particular form of co-operation within the Organisation. They allow member states among themselves (partial agreements) and together with other states (enlarged partial agreements or enlarged agreements) to carry out specific activities. From a statutory point of view, a partial agreement remains an activity of the Organisation in the same way as other intergovernmental activities, except that partial agreements have their own budget and working methods that are determined solely by the members of the partial agreement. Partial agreements are formally created by a resolution of the Committee of Ministers, which contains the agreement's statute and is adopted only by those states that wish to do so (Council of Europe 2019).
- ▶ it includes financial, human resources and risk management;
- ▶ it aims at ensuring the effective, efficient and transparent delivery of services;
- ▶ it is used to inform decision making on the design, resourcing and delivery of programmes as well as on policy;
- ▶ it requires strategic planning, monitoring and self-assessment of progress towards results, including reporting on performance, as well as evaluation;
- ▶ it serves the integration of lessons learned from past performance into decision making as well as accountability.

The above elements will be considered as the defining characteristics of RBM for this evaluation.

2.3. Historical overview

The Financial regulations of the Council of Europe require a governance system including objectives, expected results, performance indicators and evaluation of results (Article 2), which are key elements of a results-based management system (Council of Europe CM (2019).

Figure A1.1 below illustrates the historical development of RBM in the Council of Europe. The process began with the introduction of PMM for co-operation projects in 2001. Further reforms followed in the form of the introduction of results-based budgeting (RBB) for all Ordinary Budget and Partial Agreement programmes, the establishment of the Office of the Directorate General for Programmes (ODGP) in 2011 and field offices tasked with implementing co-operation projects, an evolving biennial Programme and Budget document, and new and improved IT tools.

The DPB self-assessed the RBB approach currently applied in the Council of Europe as “performance-informed budgeting”, which the OECD defines as “present[ing] performance information in a systematic manner alongside the financial allocations, in order to facilitate policy-makers in taking account of this information, to the extent that they may deem appropriate, when deciding upon with the budget allocations” (OECD 2017c). This equates to step two out of three in the OECD classification. The classification is as follows: (i) Presentational performance budgeting, (ii) Performance-informed budgeting, and (iii) Direct performance budgeting/Performance-based budgeting (OECD 2017a).

2.2. Definition of RBM

The Council of Europe’s Programme and Budget (ibid.), which mostly concerns the Ordinary Budget and Partial Agreements, contains a chapter on RBM in the Organisation without explicitly defining RBM. The Organisation’s Project Management Methodology (PMM), which mostly concerns extra-budgetary resources (joint programmes with the European Union and voluntary contributions from other donors) defines results-based project management. It states that: “Results-based project management focuses on results (outcomes and impact) and good financial, human resource and risk management emphasising outcomes rather than inputs and outputs” (Council of Europe 2016).

Other organisations define RBM without specific reference to projects. Annex 1 provides the RBM definitions of several organisations.²² These definitions provide some main ideas about RBM:

- ▶ RBM is a management strategy;
- ▶ it focuses on results (outcomes and impact) and performance;
- ▶ it has an underlying results theory/philosophy;

²² The definitions analysed for this concept note are from the JIU, UNDG, UNFPA, NORAD and SDC.

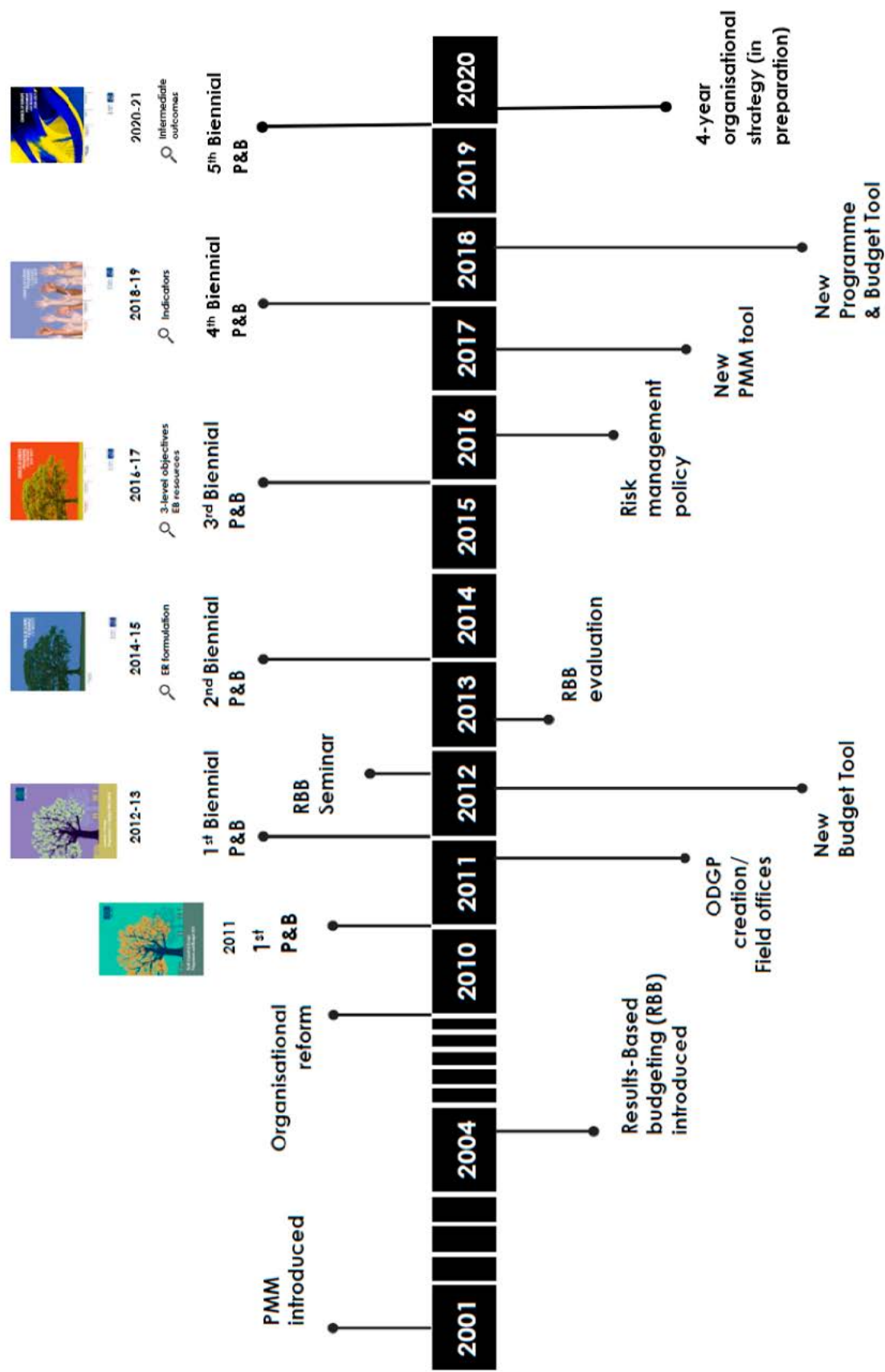


Figure A1.1: Historical development of different elements of RBM (Source: Directorate of Programme and Budget (slightly amended))

3. Rationale

RBM is one of the key performance areas for determining organisational effectiveness of multilateral organisations and is a cornerstone of programming activities.

The evaluation was a part of the recommendations of the Oversight Advisory Committee (OAC) in their 2018 annual report to the Committee of Ministers and was again recalled in the OAC's 2019 annual report.

An evaluation of the RBB system was issued in 2013 (Council of Europe DIO 2013). Since then, several changes have been introduced in this area, making a new assessment worthwhile. In this exercise, RBB will be assessed as an element of RBM.

4. Purpose and objectives

The purpose of the evaluation is to evaluate the maturity level of RBM in the Council of Europe, to identify strengths and any areas where the Organisation's RBM system could be improved.

The evaluation will assess to what extent (1) the current RBM system provides a management and governance tool with pertinent information for

both policy and performance management, and (2) this information is used for decision making. It will also benchmark the Council of Europe's RBM system against the systems of other international organisations. It will particularly look at the strategic objectives and indicator framework, as well as the operation of the overall programming, planning and reporting processes. The evaluation will make specific and concrete recommendations for optimising RBM in the Council of Europe.

5. Scope

The evaluation will look at the current RBM system and how it is used in standard setting, monitoring and co-operation throughout the entire Organisation, including by institutions, independent mechanisms and partial agreements.

The evaluation will focus on the RBM system and the maturity level of its individual components (see Section 7.1 and in particular the assessment framework in Figure A1.2). It is proposed to prioritise several elements for in-depth assessment (to be confirmed and refined during the inception phase) based on considerations of perceived importance and feasibility of evaluation taking account of the timetable proposed (see Table A1.1):

Table A1.1: Suggested prioritisation of components for in-depth assessment (see also Figure A1.2 below)

Management area	Pillar	Component
Strategic management	1. Results-based management conceptual foundation	1.1 Results-based management strategy 1.3 Accountability framework
Operational management	2. Planning, programming and budgeting	2.1 Corporate strategic results framework 2.2 Results framework for programmes and projects 2.3 Results measurement system 2.4 Results-based budgeting
Accountability and learning management	3. Reporting, monitoring and evaluation	3.1 Performance monitoring 3.2 Results reporting 3.3 Evaluation 3.4 Management information system
Change management	4. Foster a culture of results	4.1 Internalisation 4.2 Leadership 4.3 Use of results

This evaluation will focus on assessing the different components of the RBM system in terms of their alignment with internationally applied practices.

6. Evaluation questions

The following question is proposed as the draft overall evaluation question:

To what extent is the Council of Europe's RBM system in line with best practice in other international organisations?

Proposed draft sub-questions include:

- ▶ To what extent are the different elements of RBM (see Figure A1.2 below) present and well-functioning in the Council of Europe?
- ▶ What are the specific strengths and weaknesses of the Council of Europe's RBM system in comparison with other organisations as assessed by relevant evaluations and studies? (MOPAN 2019)
- ▶ What do Council of Europe stakeholders (permanent representations, managers and staff) see as the current strengths and weaknesses of the RBM system?
- ▶ To what extent and in what way is RBM relevant and applicable for the different types of work of the Council of Europe (standard setting, monitoring, co-operation, institutions and independent mechanisms, etc.)?

These proposed draft questions will be refined during the inception phase of the evaluation and an evaluation matrix will specify how they will be answered.

7. Approach and methodology

7.1. Assessment framework

The evaluation will make use of a benchmarking framework for RBM systems that was developed for the UN system. In its evaluation report *Results-Based Management in the United Nations Development System – Analysis of Progress and Policy Effectiveness* (JIU 2017), the United Nations Joint Inspection Unit assessed the RBM system of 12 UN organisations of various types and produced policy recommendations that are of relevance for all UN organisations.

While the Council of Europe is neither a UN nor a development organisation, the JIU's assessment framework seems very appropriate and comprehensive for evaluating RBM in any international organisation. The different elements of which the benchmarking framework consists can also be found in other literature on RBM that was reviewed for the preparation of this concept note. This evaluation of RBM in the Council of Europe will, thus, make use of a slightly adapted version of the JIU's benchmarking framework as well as the method for assessing an organisation's RBM maturity level.

In the assessment framework (see Figure A1.2 below), progressive development is assessed against five management areas or pillars:

- 1) **Strategic management:** focused on the vision and strategic framework guiding the adoption of RBM as a management strategy in managing for achieving results. This includes having a change-management as well as an appropriate accountability framework for implementing RBM (pillar 1).
- 2) **Operational management:** focused on what the Council of Europe does, as well as its resourcing – strategic planning, programming and resource management (human resources and financial) (pillar 2).
- 3) **Accountability and learning management:** focused on monitoring, evaluating, reporting and information-management systems (pillar 3).
- 4) **Change management:** focused on a culture of results through internalisation and capacity development, leadership and the use of results as part of the learning organisation (pillar 4).
- 5) **Partnership management:** focused on partnerships for attaining outcomes and creating collective impact, including with regard to coherence with partners and the Council of Europe's engagement in building RBM capacity among partners (pillar 5). This dimension will be outside the scope of this evaluation.

The JIU conceptualises the progressive development in mainstreaming RBM in the management areas and the associated components in five stages of growth and development (see Annex 2 for further information):

- ▶ stage 1 is non-adoption;
- ▶ stage 2 is exploratory;
- ▶ stage 3 is ad hoc;
- ▶ stage 4 is one in which RBM is broadly mainstreamed, yet internally focused;
- ▶ stage 5 reflects a comprehensive focus on outcomes, with implications for organisation-wide operation, partnerships, co-ordination and collaboration.

Performance indicators for operationalising the assessment framework for the evaluation (see Table A1.1) will be developed during the inception phase. They will be based on:

- ▶ The indicators used in the JIU evaluation available in Joint Inspection Unit (2017): [Results-Based Management in the United Nations Development System – Analysis of Progress and Policy Effectiveness](#) and Joint Inspection Unit (2017): [Results-Based Management in the United Nations System – High Impact Model for Results-Based Management – Benchmarking framework, stages of development and outcomes](#), JIU/NOTE/2017/1.

- ▶ The indicator framework used in MOPAN (2019).
- ▶ Indicators identified in UNFPA (2019a).
- ▶ Other relevant literature.
- ▶ The subject matter expertise of the external evaluation consultant(s).

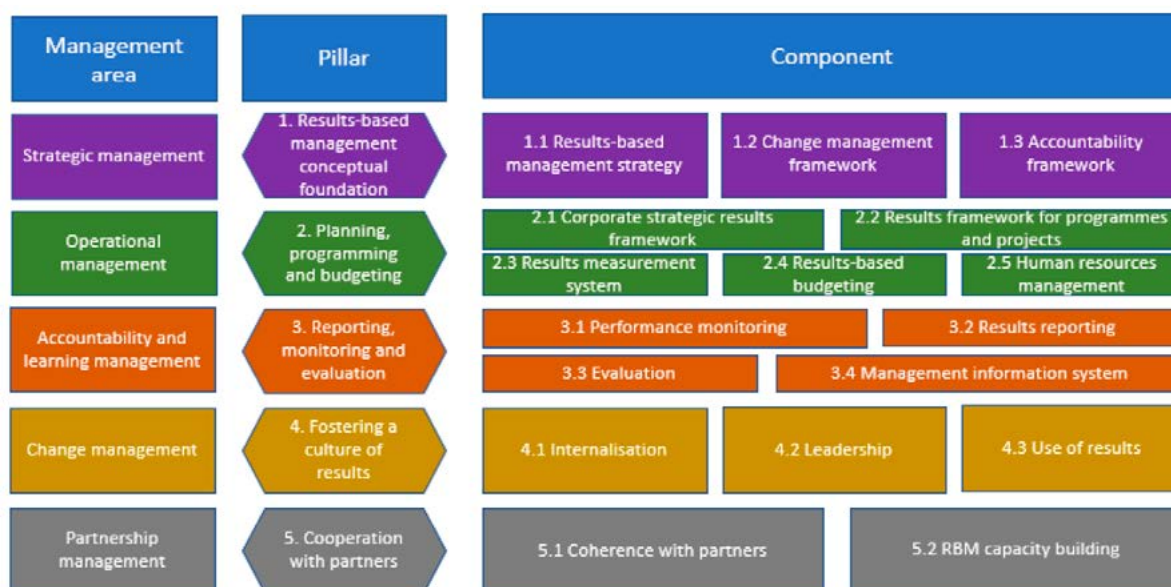


Figure A1.2: Framework for assessing RBM in the Council of Europe (Source: Adapted from Joint Inspection Unit (2017) – Benchmarking framework, stages of development and outcomes)

7.2. Data collection methods

The evaluation will use a mixed-methods approach for data collection and analysis. The proposed methodology includes the following methods.

- ▶ **Document review:** The external evaluation consultant(s) could review relevant documents, such as the 2012 Evaluation of the Council of Europe’s Results-Based Budgeting System, the Programme and Budget documents, the Progress Review Reports, the Project Management Methodology Handbook, the Evaluation Policy and Guidelines, the People Strategy, etc. The document review would provide insights into the maturity level of RBM in the Council of Europe as well as into the strengths and weaknesses of the system. Furthermore, the evaluation consultants could review relevant evaluations and studies about RBM in other international organisations, such as the JIU report, MOPAN reports, etc., to be able to compare the level of development of RBM in the Council of Europe with that in other organisations.
- ▶ **Stakeholder consultations:** With a view to better understanding the results and leadership culture in the Council of Europe, as well as the strengths and weaknesses of the RBM system, various stakeholders could be consulted through semi-structured individual and

group interviews and possibly also a survey. Relevant stakeholders could include Council of Europe management and staff, as well as permanent representations.

- ▶ **Case studies:** The external evaluation consultant(s) could assess the application of RBM in a number of programmes in detail in order to identify good practices. The sampling of the programmes to be included as case studies could be purposive and aim at maximising diversity with regard to the Directorate General responsible for them and element of the dynamic triangle they represent, as well as include institutions and independent mechanisms. Data collection for case studies could include a review of their results framework and semi-structured interviews with staff working in that area. The case study sample should be proposed in the inception report.

This proposed methodology will also be gender-sensitive and be further refined during the inception phase of the evaluation.

7.3. Evaluation process

The evaluation includes three phases: inception, data collection, and data analysis and report preparation. A reference group will be established to be consulted on the draft inception report, including evaluation questions and proposed methodology, and on the

draft evaluation report, including evaluation findings and conclusions to ensure their factual accuracy, relevance and feasibility. The reference group will include representatives of the:

- ▶ Private Office
- ▶ Directorate of Programme and Budget (DPB)
- ▶ Secretariat of the Committee of Ministers (SecCM)
- ▶ Office of the Director General of Programmes (ODGP)
- ▶ Directorate General of Human Rights and Rule of Law (DGI)
- ▶ Directorate General of Democracy (DGII)
- ▶ Office of the Human Rights Commissioner (CommHR)
- ▶ Registry of the European Court of Human Rights (Court)
- ▶ Secretariat of the Parliamentary Assembly of the Council of Europe (PACE Secretariat)
- ▶ Secretariat of the Congress of Local and Regional Authorities (Congress Secretariat)
- ▶ Directorate of Legal Advice and Public International Law (DLAPIL)

- ▶ Secretariat of the INGO Conference (INGO Secretariat)
- ▶ Directorate General of Administration (DGA)
- ▶ Directorate of Communication (DC)
- ▶ Directorate of External Relations (DER)
- ▶ Directorate of Political Advice (DPA)
- ▶ Protocol
- ▶ Directorate of Internal Oversight (DIO)
- ▶ and other internal stakeholders, as relevant.

The reference group will also include one or more RBM and/or evaluation specialists as external evaluation advisers and quality assurers.

8. Managerial arrangements

The evaluation will be conducted by (an) external consultant(s) who will be supported by the DIO. Given the fact that the Council of Europe's central evaluation function in DIO is an integral part of RBM, DIO's involvement in this evaluation will be limited. The external evaluation consultant(s) will work autonomously and independently in order to ensure that any potential conflict of interest can be avoided.

Table A1.2 outlines the distribution of tasks between the DIO and the external evaluation consultant(s).

Task	DIO	External consultant(s)
Finalisation of the Concept Note	X	
Drafting of the Terms of Reference for recruitment of (an) external consultant(s)	X	
Recruitment and contracting of the consultant(s) and management of the contract(s)	X	
Organisation of interviews with stakeholders for inception phase		X
Conducting inception interviews and document review during the inception phase		X
Drafting of draft and final inception reports		X
Quality assurance of the draft inception report		X
Participation in reference group meeting on inception report	X	X
Organisation of reference group meeting	X	
Collection of comments from stakeholders on draft inception report		X
Organisation of interviews with stakeholders for data collection		X
Data collection for the evaluation in accordance with the methodology specified in the inception report		X
Data analysis		X
Drafting of the evaluation report		X
Quality assurance of the draft evaluation report	X	X
Participation in reference group meeting on evaluation report	X	X
Organisation of reference group meeting	X	
Collection of comments from stakeholders on draft evaluation report		X
Drafting of draft and final evaluation reports		X

The consultants are expected to visit Strasbourg on at least four occasions: for data collection during the inception and data collection phases, for the discussions on the draft inception and for the draft evaluation reports with the reference group.

9. Qualifications of the external consultant(s)

The external consultant(s) will provide the following competences and expertise.

- ▶ thematic knowledge and experience in (evaluation of) RBM and organisational development;
- ▶ knowledge of evaluation principles, methodology and best practices, including qualitative and quantitative methods;
- ▶ a proven record of at least 15 years' experience in designing, managing and leading evaluations in the context of international co-operation;
- ▶ professional fluency in oral and written English.

10. Work plan and key deliverables

The evaluation process will include three phases:

- ▶ **Inception phase:** During the evaluation inception phase, the external evaluation consultant(s) will review documentation and hold interviews with key stakeholders that serve to obtain a better understanding of pertinent issues regarding RBM in the Council of Europe. The external evaluation consultant(s) will use this information to refine the evaluation objectives, questions and scope and to develop a complete methodology, including data collection tools. These will be presented in a draft inception report that will be discussed by the reference group.
- ▶ **Data collection phase:** During the data collection phase, the external evaluation consultant(s) will collect data using the methods described in the inception report.
- ▶ **Analysis and reporting phase:** During the reporting phase, the external evaluation consultant(s) will analyse collected data and produce a draft evaluation report that will be submitted to the reference group for comments. The reference group will provide comments on any factual errors contained in the

report as well as the feasibility of the implementation of proposed recommendations. These comments will be taken into consideration for finalising the report.

After the finalisation of the evaluation report, the management of the entities concerned will be requested to provide a management response to the evaluation, in which they will specify whether or not they accept the recommendations and how they intend to implement them. In accordance with the Evaluation Policy the DIO will regularly request updates on the implementation of evaluation recommendations as part of the follow-up procedure for all evaluations and report on it to the Secretary General and the Committee of Ministers.

The following key deliverables are foreseen for this evaluation with the corresponding deadlines (see detailed time plan in Annex 3):

Deliverable	Proposed date
Final concept note	10 February 2020
First draft inception report	24 April 2020
Second draft inception report	7 May 2020
Reference group meeting	Week of 25 May 2020
Final inception report	12 June 2020
First draft evaluation report	25 September 2020
Second draft evaluation report	12 October 2020
Reference group meeting	Week of 2 November 2020
Final evaluation report	15 December 2020

After the completion of the evaluation, an event may be organised for Council of Europe staff and/or permanent representations to present and discuss the evaluation findings and recommendations as well as the management response. The external evaluation consultant(s) should be available to present the report at that event. The contribution of the consultant(s) to such an event would be covered through a separate contract.

Annex 2: Methodology

The objective of this evaluation is that, based on the findings and conclusions reached, we make specific and concrete recommendations for optimising RBM in the Council of Europe. Our approach to meeting this objective started from the important point that optimising the value of RBM, and what can be considered best practice, is context-specific. It depends upon where the balance lies for the Organisation between using RBM to enhance the availability of information and evidence on actual results to inform decision making on the design, resourcing and delivery of programmes and using RBM as a significant source of evidence to meet accountability and learning needs. In practice, our experience and the literature clearly show that where the priority lies between these two purposes varies

significantly between organisations, depending upon their context, and this in turn affects what should be considered best practice.

Bearing this in mind, our basic evaluation approach was to develop a set of evidence-based findings around each of the five evaluation questions. As shown in Fig A2.1 below, we used iteration and triangulation between findings under Evaluation Questions 1 and 2 and the findings under Evaluation Questions 3, 4 and 5. Thereafter, development of the conclusions on the overall strengths and weaknesses of the current approach built mainly on the findings for Evaluation Questions 1 and 2, contextualised using the evidence from the broader literature and the findings for Evaluation Questions 3, 4 and 5.

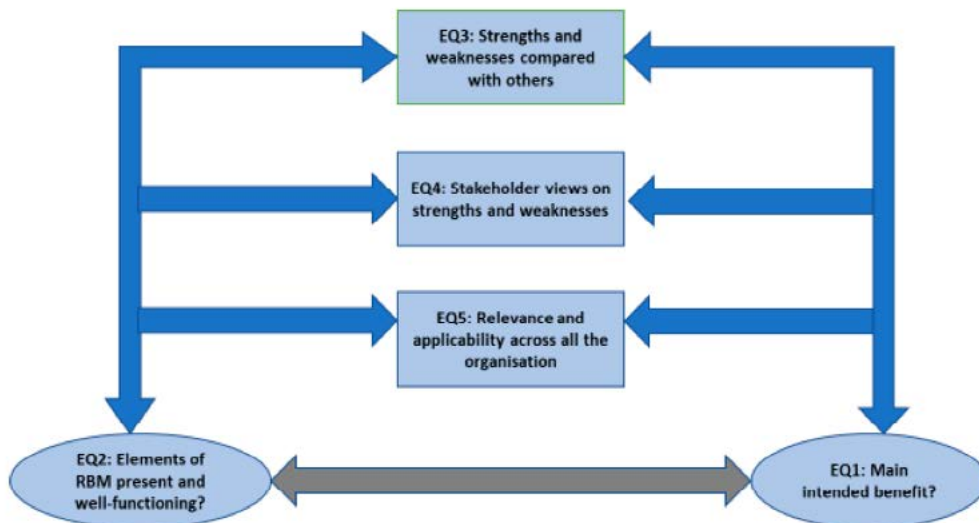


Figure A2.1: Summary of our overall evaluation approach

Development of recommendations then focused on how to build on the strengths and address the weaknesses in the current RBM system within the Council of Europe, bearing in mind: (1) what the balance was in terms of using RBM to enhance internal management decision making relative to meeting reporting demands; and (2) what would add significant value. When developing these recommendations, considering the implications of the specific contextual issues was very important, as they directly affect the degree to which the recommendations made are feasible to implement.

Given the focus of the evaluation, we did not consider it necessary to explicitly address human rights and gender equality within the evaluation approach or methods used.

Methods used

Specific methods by evaluation question used in analysis and sources of data are summarised in the evaluation matrix set out in Table A2.1 below.

Table A2.1: Evaluation Matrix

DAC Evaluation criterion	Evaluation sub-question	Data analysis method used	Data source(s) used
Relevance	1. What is the main intended benefit from implementing RBM as seen by stakeholders of the Council of Europe and do differing stakeholder groups have the same view of what that benefit is?	Triangulation of views between stakeholder groups and within documentation	Semi-structured interviews with key informants within the Organisation Documentary reviews Interviews with member state representatives Survey (of Council of Europe managers)
Effectiveness	2. To what extent are the different elements of RBM present and well-functioning in the Council of Europe?	Status of elements against framework at Annex 4	Semi-structured interviews with key informants within the Organisation Documentary reviews Survey (of Council of Europe managers)
Effectiveness	3. What are specific strengths and weaknesses of the Council of Europe's RBM system in comparison to other organisations as assessed by relevant evaluations and studies?	Benchmark against JIU metric for status of RBM system	Assessment completed against Evaluation Question 2
		Benchmark against literature on RBM experience in international organisations	Latest literature reviews and meta-syntheses
Effectiveness	4. What do Council of Europe stakeholders (permanent representations, managers and staff) see as the current strengths and weaknesses of the RBM system?	Triangulation of views between stakeholder groups	Semi-structured interviews with member state representatives and key informants within the Organisation Survey (of Council of Europe managers)
Relevance	5. To what extent and in what way is RBM relevant and applicable for the different types of work of the Council of Europe (standard setting, monitoring, co-operation, institutions and independent mechanisms, etc.)?	Triangulation of views between stakeholder groups	Semi-structured interviews with member state representatives and key informants within the Organisation Focus group discussions Documentary reviews Survey

Fuller details on the methods applied can be found in the inception report and there were only minor divergences between the methods set out in the inception report and those actually used.

Sources of data

In total, semi-structured interviews were carried out with 42 members of staff within the Council of Europe (see Annex 3). These interviews aimed to cover key

informants best placed to discuss the purpose of RBM, the use of evidence in management decision making and meeting the needs of the Committee of Ministers. All such key informants identified were successfully interviewed, and notes were drafted immediately after interviews were completed and shared within the team. Hence the data assembled is considered comprehensive. In addition, three focus group discussions on the value of RBM were

also held, which covered the views of managers respectively: (1) involved in partial agreements; (2) DGI and DGII; and (3) institutions other than DGs 1 and 2. In all cases, participants were identified in consultation with both Council of Europe senior management and the DIO. Reflecting the impact of Covid-19, all interviews were held remotely, but this is not considered to have adversely affected the team's ability to effectively carry out the interviews and focus group discussions.

To obtain a more comprehensive view of the opinions of managers within the Council of Europe, we also used a survey (results summarised in Annex 5) for all managers within the Organisation at A4 to A6 grade. The response rate was 16 per cent, so severely reducing its value as a source of credible evidence of opinions across the whole population of managers. We have hence not used the survey data to infer representation of the totality of managers' views across the whole Organisation but rather as a source of evidence to be used in triangulation.

Table A2.2: Survey response rate by Council of Europe body/institution

Council of Europe body/institution	Number of managers invited	Number of managers who completed a response
Commissioner for Human Rights	4	0
European Court of Human Rights	42	5
DGI	39	9
DGII	54	10
Office of the Directorate General of Programmes	11	4
Parliamentary Assembly Secretariat	18	0
Congress of Local and Regional Authorities	3	0
Total number	171	28

The original intention was to interview the Chair of the Rapporteur Group on Programme, Budget and Administration and then survey the opinions of representatives of the 47 member states on their views of the purpose of RBM and the degree to which it meets the needs of the member states in terms of their fulfilling their governance role. After consideration, we changed the approach and offered representatives of all 47 member states the opportunity to be interviewed. Eight accepted our offer and were interviewed.

In terms of documents reviewed, the DIO provided an initial selection of relevant internal Council of Europe documentation. We then supplemented those documents through: (1) additional documents identified by key informants when being interviewed; and (2) a search for documents available on the Organisation's intranet. In most cases, the search for documents was informed by information required to address Evaluation Question 2 and the current status of the RBM system against the JIU framework. A list of the documents reviewed or consulted is in Annex 4.

Deviations from what was set out in the inception report

Other than the decision to interview rather than survey representatives of the 47 member states there were no deviations from what was described in our inception report.

For sub-component 4.2 (leadership) in the JIU framework, we did not explicitly provide findings against each of the sub-questions identified in the matrix. This was because there were challenges with what RBM is understood to deliver by staff within the Organisation, especially in terms of management decision making, and also variations in management practice and leadership across the institutions within the Council of Europe. In addition, the Organisation has been attempting more broadly to change its management culture as part of ongoing reform initiatives. These realities make it almost impossible to differentiate RBM from this broader reform process. Based on the evidence collected, we concluded that a more credible response would be delivered through a triangulation of views from the interviews conducted.

Limitations to meeting the evaluation's purpose and objectives

There are no significant limitations in terms of the analytical methods used.

Ideally, we would have implemented a snowball approach to the semi-structured interviews, i.e. we would only stop undertaking additional interviews

once we reached the point of analytical saturation. However, we did not have sufficient resources to use such an approach for the present evaluation. We have therefore used a strong approach to the triangulation of evidence underpinning findings both within and between evaluation questions to address this. Where we think the evidence base for a finding is weak, we make this clear.

Annex 3: List of those consulted

	Family name	First name	Function
Within the member states			
1.	Walaas	Elisabeth	Ambassador Extraordinary and Plenipotentiary, Norway, Permanent Representatives of the member states of the Council of Europe
2.	Rusu	Razvan	Ambassador Extraordinary and Plenipotentiary, Romania, Permanent Representatives of the member states of the Council of Europe
3.	Laursen	Erik	Ambassador Extraordinary and Plenipotentiary, Denmark, Permanent Representatives of the member states of the Council of Europe
4.	Fester	Hélène	Deputy Permanent Representative of Denmark to the Council of Europe
5.	Lumiste	Taavo	Deputy Permanent Representative of Estonia to the Council of Europe
6.	Lorentz	Jens Matthias	Deputy Permanent Representative of Germany to the Council of Europe
7.	Călugăru	Corina	Ambassador, Moldova, Permanent Representatives of the member states of the Council of Europe
8.	Böcker	Roeland	Ambassador Extraordinary and Plenipotentiary, Netherlands, Permanent Representatives of the member states of the Council of Europe
Other			
9.	Andreasen	Claus	Chair of the Council of Europe Oversight Advisory Committee (OAC)
10.	Martin-Rico	Cristobal	Member of the Council of Europe OAC
11.	De Goys	Margareta	Member of the Council of Europe OAC
12.	Banaś	Paweł	Former External Auditor
Within the Council of Europe			
13.	Lobov	Mikhail	Head of Department, Effectiveness of the ECHR system at national and European level (DGI)
14.	Schokkenbroek	Jeroen	Director, Directorate of Anti-discrimination (DGII)
15.	Moreno	Elda	Head of Department, Children's Rights and Sport Values (DGII)
16.	Termacic	Tatiana	Head of Division Co-ordination and international co-operation, (DGI)
17.	Polakiewicz	Jorg	Director, Directorate of Legal Advice and Public International Law (DLAPIL)
18.	Berge	Bjorn	Secretary to the Committee of Ministers, Committee of Ministers
19.	Varinot	Catherine	Programme and Budget Secretariat, Committee of Ministers
20.	Taylor	Verena	Director, Office of the Directorate General of Programmes
21.	Sidebottom	Alison	Director, Directorate of Programme and Budget
22.	Du Bernard Rochy	Catherine	Head of Division, Directorate of Programme and Budget

	Family name	First name	Function
23.	Kleijssen	Jan	Director, Information Society and Action against Crime Directorate (DGI)
24.	Killian	Benno	Adviser, Private Office of the Secretary General and the Deputy Secretary General
25.	Goldman	Maria	Evaluation Division, Directorate of Internal Oversight
26.	Becquart	Aygen	Head of Evaluation Division, Directorate of Internal Oversight
27.	Giakoumopoulos	Christos	Director General, Directorate General Human Rights and Rule of Law
28.	Samardžić-Marković	Snežana	Director General, Directorate General of Democracy
29.	Holm	Fredrik	Head of Division, Central Co-ordination and Risk Management Division
30.	Cox	Malcolm	Special Co-ordinator, Directorate General Democracy
31.	Sayde	Nicolas	Partial Agreement – Eurimages
32.	Barton	Louise	Director, Human Resources (DGA)
33.	Dangel	Francis	Director General, Directorate General of Administration
34.	Hunter	John	CIO, Directorate of Information Technology
35.	Wall	Colin	Director, Directorate of Internal Oversight
36.	Ulrich	Marc	Deputy CIO, Directorate of Information Technology
37.	Papa	Miroslav	Director, Secretary General, Deputy Secretary General and Private Office
38.	Gangloff	Camille	Staff member, Directorate of Programme and Budget
39.	Chisca	Artemiza-Tatiana	Head of Media and Internet Governance (DGI)
40.	Juncher	Hanne	Head of Department, Independence and Efficiency of Justice (DGI)
41.	Guidikova	Irena	Head of Inclusion and Anti-Discrimination Programmes (DGII)
42.	Valenti	Stefano	Administrator, Secretariat of ECRI (DGII)
43.	Dolgova-Dreyer	Katia	Head of Education Department (DGII)
44.	Vannucci	Enrico	Partial Agreement – Eurimages (DGII)
45.	Granata-Menghini	Simona	Deputy Secretary, Venice Commission (DGI)
46.	Hugot	Thierry	Financial Analyst, Eurimages
47.	Keitel	Susanne	Director, European Directorate for the Quality of Medicines (EDQM, Pharmacopoeia) (DGII)
48.	Esposito	Gianluca	Ethics Officer/Executive Secretary of the Group of States against Corruption
49.	Bergou	Gyorgy	Head of the Secretariat, Partial Agreement of the Council of Europe Development Bank (CEB) (DGII)
50.	Wischuf	Michael	Deputy to the Registrar, Registry of the European Court of Human Rights
51.	Lam	Claudia	Financial Officer a.i., Commissioner for Human Rights
52.	De Buyer	Yann	Central Division (Administration, Human Resources, Finance, Research and Documentation) Head of Division, Secretariat of the Parliamentary Assembly
53.	Larsen	Michael	Financial Officer, Congress of Regional and Local Authorities

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Annex 5: Summary of responses to the survey of managers within the Council of Europe

Q1. Which body are you currently working in?

Body of the Council of Europe	Number of managers invited	Number of managers by Council of Europe body who started a response	Number of managers by Council of Europe body who completed all questions
Commissioner for Human Rights	4	0	0
European Court of Human Rights	42	8	5
Directorate General of Human Rights and Rule of Law	39	12	9
Directorate General of Democracy	54	18	10
Office of the Directorate General of Programmes	11	4	4
Parliamentary Assembly Secretariat	18	2	0
Congress of Local and Regional Authorities	3	1	0
Total number	171	45	28

Q2. What grade are you within the Organisation?

Choices	Percentage	Number
A4	64	18
A5	28	8
A6	4	1
1MAD	4	1
Total number		28

Q3. In your opinion, which of these two purposes is the main purpose of RBM within the Council of Europe?

Choice	% of responses
To support reporting of results set out in the Programme and Budget to the Committee of Ministers and supporting bodies	71
To support management decision making within the Organisation	29
Total number responses	28

Q4. As a manager within the Council of Europe, to what extent do you think indicator-based measurement of results is potentially useful for informing decision making within the Organisation's programmes, as distinct from for managing projects and following the PMM guidance?

Choices	Percentage	Number
Highly useful	7	2
Somewhat useful	71	20
Rarely useful	14	4
Not at all	7	2
Total number		28

Q5. As a manager, how important are the statements below when your performance is being assessed?

	Very important (in %)	Somewhat important (in %)	Unimportant but discussed (in %)	Not considered (in %)	Total responses
Spending my budget and delivering the agreed planned activities	81	11	3	3	27
Ensuring that I and my team have implemented all of the financial requirements prescribed for managing fiduciary risk	52	41	0	7	27
Showing that I and my team have looked for and at evidence of what works and used this to inform plans on what we commit to deliver	33	59	7	0	27
Being able to demonstrate how and what we have done at country level will contribute to significant change at country level	48	33	11	7	27

Q6. Based on your experience, which of the below statements best describes the degree to which there are incentives in the Council of Europe for managers to use information and evidence on actual results to inform decision making on the design, resourcing and delivery of programmes and activities as well as for accountability and reporting?

Choices	% of responses	Number of responses
Several incentives are in place and are being used	11	3
There are some incentives in place that are being used	57	16
There are few incentives in place that are being used	14	4
There are no incentives in place	18	5
Total		28

Q7. Based on your experience, to what extent does the senior leadership (the Director General level) of the Council of Europe provide leadership on the importance of RBM?

Choices	% of responses	Number of responses
Leadership demonstrates ongoing commitment to RBM and “walks the talk”	67	18
Leadership expresses verbal commitment to RBM but no clear active support	22	6
Leadership shows little interest in RBM	11	3
Total		27

Q8. The Programme and Budget planning process starts with managers defining priorities drawing on those identified in the Priorities of the Secretary General that should then be reflected in the agreed Programme and Budget. Based on your experience, how often do the priorities identified substantially influence the actual Programme and Budget agreed?

Choices	% of responses	Number of responses
Always	7	2
Often	43	12
Occasionally	18	5
Rarely	3,5	1
Never	3,5	1
Don't know	25	7
Total		28

Q9. Having a good overview of what others within the Council of Europe plan to do or have done would allow me to make better decisions on what I and my team should do.

Choices	% of responses	Number of responses
Yes	64	18
No	36	10
Total		28

Q10. As a manager, is the Programme and Budget is useful to you for finding out what others in the Organisation plan to do or have done?

Choices	% of responses	Number of responses
Yes	29	8
To a limited degree	50	14
No	21	6
Total		28

Q11. As a manager, do you use systems other than the results reported against the Programme and Budget to find out what works and what the Council of Europe's results, and those directly of interest to you, are at country level?

Choices	% of responses	Number of responses
Yes	44	12
To a limited degree	22	6
No	33	9
Total		27

Q12. Are these other systems adequate to meet your needs?

Choices	% of responses	Number of responses
Yes	33	9
To a limited degree	41	11
No	26	7
Total		27

Annex 6: Summary of assessment of the current status of RBM within the Council of Europe based on the JIU framework

Component	Finding
1. Management area: Strategic management (results-based management conceptual foundation)	
1.1 Results-based management strategy	<p>What is expected?</p> <p>The expectation is that the Organisation develops a well-defined, comprehensive and holistic strategy to guide the mainstreaming of results-based management within and across the Organisation that is based on an assessment of the Organisation and is endorsed by the Governing Body. There should also be a defined budget and time-bound plan for mainstreaming and a way of tracking the effectiveness of the approach implemented, and the degree to which delivering against the clearly identified purposes of RBM is met. Finally, based on assessment of progress, and lessons learned, the plan/strategy should be revised at regular intervals.</p> <p>What did we find?</p> <p>The Council of Europe has implemented a strategy to mainstream RBM that covers all the areas recommended in the 2013 evaluation of RBB within the Organisation. However, it lacks the well-defined, comprehensive and holistic strategy for mainstreaming RBM that is translated into a plan that has been subject to regular review and adjustment and endorsed by the Governing Body and senior management that the JIU assessment framework expects should guide the mainstreaming of results-based management within and across the Council of Europe. Aspects of a strategy are seen, but not a formal well-defined, comprehensive and holistic strategy endorsed by the SG and governing bodies to guide the mainstreaming of results-based management within and across the Organisation.</p> <p>DIO RBM evaluation of RBB (Council of Europe DIO (2013)) in recommendation 9 states that: “The PO, in cooperation with representatives of DPFL, ODGPROG, DIO and operational DGs, should develop a Results Based Management strategy, defining its scope and addressing issues such as: a) ensuring consistency between the Programme and Budget document (and the expected results and performance indicators included therein) and the projects to be implemented; b) defining roles and responsibilities of programme co-ordinators and project managers to enhance their accountability for results and clarify the accountability framework. A special attention should be paid to the programmes and the Programme and Budget involving more than one entity, and in these cases, the roles and responsibilities of programme coordinators should be clearly defined; c) developing a results culture in the Organisation and ensuring that the concept or result actually guide the [Council of Europe] staff when planning or managing projects and programmes; d) defining issues related to management responsibility and authority and addressing the issue of inconsistency between responsibility for projects and programmes (and for achieving their expected results) and authority over the resources allocated to these; e) Introducing relevant IT tools – or revising the existing ones – to support the application of RBB and RBM principles in the [Council of Europe].”</p> <p>The situation was analysed in 2014 in response to the DIO evaluation of RBB in 2014 and the next steps identified in Council of Europe (2015), Review of the Programme and Budget framework (RBM/RBB) – Main theoretical findings & concrete proposals for the next biennium, paper prepared by Nicolas Sayde and Catherine Du Bernard, DPFL, Programme Division, 1 June 2015. That analysis was comprehensive and showed a clear understanding of the differences between RBM and RBB (RBB within the Programme and Budget process is a necessary but not sufficient condition for effective RBM) and implications in terms of what needs to change in an RBM mainstreaming strategy. The salient section in terms of strategy details the proposals for the preparation of the next Programme and Budget document. The paper notes that it directly contributes to the development of an RBM strategy within the Organisation. However, some issues still need to be addressed at a later stage, such as IT development (link with PMM), the roles/responsibilities of programme co-ordinators and the link with the risk management policy.</p> <p>As shown below, while no formal response and strategy/comprehensive plan has been developed in response to this recommendation, the Organisation has responded to all of the sub-recommendations.</p>

Component	Finding												
	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%; text-align: center;">Sub-recommendation</th> <th style="width: 50%; text-align: center;">Action identified by the Organisation that covers the sub-recommendation</th> </tr> </thead> <tbody> <tr> <td>a) Ensuring consistency between the Programme and Budget document (and the expected results and performance indicators included therein) and the projects to be implemented.</td> <td>The same approach to defining results now is used for projects financed by extra-budgetary resources (PMM) and in the Programme and Budget process. This can be seen in the PMM handbook and RBM Practical Guide (in particular the “three levels of results” approach across both).</td> </tr> <tr> <td>b) Defining the roles and responsibilities of programme co-ordinators and project managers to enhance their accountability for results and clarify the accountability framework. Special attention should be paid to the programmes and the Programme and Budget involving more than one entity, and in these cases, the roles and responsibilities of programme co-ordinators should be clearly defined.</td> <td>The role of the programme co-ordinators in the Programme and Budget process has been reinforced as they are the entry/contact point for DPB (who manage the overall process) concerning programme planning, budget implementation and reporting. Their role has been made more explicit and clarified in the 2020 RBM Practical Guide.</td> </tr> <tr> <td>c) Developing a results culture in the Organisation and ensuring that the concept or result actually guides Council of Europe staff when planning or managing projects and programmes.</td> <td>The Organisation’s People Strategy (CM(2019)58-final) supports a results-oriented approach at a strategic level (the Organisation must respond to these challenges while delivering focused and tangible results, with maximum efficiency and from a clear “value for money” perspective) and an operational management level (managing performance and the managerial culture). It is a strategic framework to ensure change management.</td> </tr> <tr> <td>d) Defining issues related to management responsibility and authority and addressing the issue of inconsistency between responsibility for projects and programmes (and for achieving their expected results) and authority over the resources allocated to these.</td> <td>Particular attention is paid to giving the management of resources to the person in charge of the programme (programme co-ordinators are CCMs – cost centre managers) or project implementation.</td> </tr> <tr> <td>e) Introducing relevant IT tools – or revising the existing ones – to support the application of RBB and RBM principles in the Council of Europe.</td> <td> <p>A new project management manual tool launched, integrating a results-based approach and a log-frame module, consistent with the methodological approach developed for use in the Programme and Budget.</p> <p>A new Programme and Budget tool (IT) was developed in order to better integrate the programming part with the budgeting part.</p> </td> </tr> </tbody> </table>	Sub-recommendation	Action identified by the Organisation that covers the sub-recommendation	a) Ensuring consistency between the Programme and Budget document (and the expected results and performance indicators included therein) and the projects to be implemented.	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	<p>Progressive development of the RBB, as contrasted with the RBM, is described in the Programme and Budget documents post-2015 and summarised in the March 2020 Practical Guide.</p> <p>A formal strategy for mainstreaming RBM that results in a clear plan that is implemented, monitored, adjusted and endorsed by the governing bodies in a transparent manner is not in place in the Council of Europe. Contrary to the expectations outlined in the JIU assessment framework, there is no plan that:</p> <ol style="list-style-type: none"> 1. specifies the rationale for mainstreaming results-based management in the context of the Organisation; 2. specifies the key principles of the results framework and of managing for results; 3. specifies expected outcomes from mainstreaming results-based management and the key success factors; 4. defines the indicators of achievement in terms of the plan; 5. identifies the implications and requirements of mainstreaming results-based management, emphasising all levels; 6. specifies the required resource allocation according to implications and requirements; 7. transparently links results-based management initiatives with other organisational reform processes; 8. provides a time-bound road map for implementing a results-based management strategy; 9. is endorsed by senior managers and governing bodies. 												

Component	Finding
<p>1.2 Change-management framework</p>	<p>What is expected?</p> <p>A framework with a strategy and set of prioritised actions for supporting the development of a results culture rather than one ensuring compliance with new tools and procedures that are communicated, implemented and supported by a clear monitoring plan that tracks progress, identifies obstacles or disincentives and adopts corrective measures.</p> <p>What did we find?</p> <p>The Council of Europe has implemented a significant reform process over an extended period, and leadership shows commitment to establishing a “results culture”. But there is no evidence of a specific change-management strategy focused on supporting the development of a results culture in the Council of Europe that sets out prioritised actions for supporting the development of a results culture rather than one ensuring compliance with new tools and procedures that is communicated, implemented and supported by a clear monitoring plan that tracks progress, identifies obstacles or disincentives and adopts corrective measures.</p> <p>The Council of Europe is continuing the implementation of a reform process, mentioned in the 2020-2021 Programme and Budget document on page 11, which states that reform “seeks to promote an increasingly agile organisation with confidence in its know-how and expertise, which encourages creativity and greater responsibilities for teams and individuals. It will contribute to strengthening a results-oriented culture based on a rational and sustainable approach, responding to stakeholders’ needs, ensuring timely delivery and performance monitoring” (see Appendix 6).</p>
	
	<p>The People Strategy (CM(2019)58-final) supports our results-oriented approach at strategic level (the Organisation must respond to these challenges while delivering focused and tangible results, with maximum efficiency and from a clear “value for money” perspective) and an operational management level (managing performance and managerial culture). It is a strategic framework to ensure change management.</p> <p>However, a review of documentation (see, for instance, Council of Europe DIO (2019a) Ex-Ante Assessment of the HR Reform Logic, which finds that “the Council of Europe should now focus on developing a change-management strategy and implementation plan”) and interviews with key informants does not identify a specific change-management strategy focused on supporting the development of a results culture in the Council of Europe that defines prioritised actions for supporting the development of a results culture rather than one ensuring compliance with new tools and procedures that are communicated, implemented and supported by a clear monitoring plan that tracks progress, identifies obstacles or disincentives and adopts corrective measures. There is no evidence that this has been achieved as part of development, implementation and monitoring of the overall organisational reform process within the Council of Europe. Furthermore, interviews showed the absence of clear responsibility for the reform effort, which does not seem to be formally driven by a dedicated team in a transparent manner.</p>

Component	Finding
<p>1.3 Accountability framework</p>	<p>What is expected?</p> <p>The accountability framework within the Organisation should reflect the need for managers to: demonstrate that interventions are influencing outcomes, and not only achieving outputs; implement good RBM practice; show that learning has occurred; and show that lessons learned are implemented.</p> <p>What did we find?</p> <p>Current reforms in terms of systems and procedures under the People Strategy potentially should meet the expectation set out in this JIU framework, but there are important risks in terms of their operationalisation and addressing the culture change also required for these reforms to effectively contribute to a significant increase in accountability, as envisaged here, while guarding against the risk that the focus is on compliance rather than use in management decision making.</p> <p>The opinion of key informants is that this is mainly being addressed through implementation of the current People Strategy. KIs and review of documentation confirms the findings in the 2019 DIO Ex-Ante Assessment of the HR Reform Logic that the reforms in terms of systems and procedures should meet the expectation set out in this JIU framework, but there are significant risks in terms of their operationalisation and addressing the culture change also required to effectively contribute to a significant increase in accountability, as required, while guarding against the risk that the focus is on compliance rather than use in management decision making.</p>
<p>2. Management area: Operational management (planning, programming and budgeting)</p>	
<p>2.1 Corporate strategic results framework</p>	<p>What is expected?</p> <p>A corporate strategic results framework that identifies long- and medium-term (four years generally) objectives that clearly show how the Organisation will contribute to delivery against its strategic goals, alignment between the long-term and medium-term objectives and the Organisation's operations (programmes/projects), and includes performance indicators and means for measurement (quantity, quality, time).</p> <p>What did we find?</p> <p>Progress can be seen in terms of specification of consistent language and linkage between budget and short-term results in iterations of the Programme and Budget document requirements. This reflects what we would expect to see in a corporate-level framework reflecting a strong RBB perspective. More strategic aspects of a corporate results framework focusing on the longer-term priorities and contribution and risk management at this level are missing. There will possibly be an opportunity to address this based on the outcome of a review of the current process lead by the Secretary General to propose strategic objectives for consideration by the Committee of Ministers.</p> <p>The concept of long-, medium- and short-term objectives established explicitly in one place with introduction of the three-level outcomes approach in the 2016-17 Programme and Budget development process.</p> <ul style="list-style-type: none"> ▶ The first level is the immediate outcome level. It usually specifies changes in knowledge, awareness and access to resources on the part of the intervention's beneficiaries. This level is described in the sub-programme template as the expected results. ▶ The second level is the intermediate outcome level described in the sub-programme template as the objective. It usually specifies changes expected of the target groups. It may be defined not only as a change but also as the prevention of a negative change, when for example the Organisation operates to prevent the deterioration of compliance with human rights standards. The Organisation has considerable control over the immediate outcomes and reasonable influence over the intermediate outcomes. ▶ The third level is the impact level described in the programme template. Impact is recognised as the outcome of a combination of factors and of the work of many diverse actors. It represents the intended longer-term change to which the Organisation contributes bearing in mind the principle of subsidiarity. The Organisation may need to continue actions in areas where it is understood that intended impact could be difficult to achieve and extremely difficult to measure. Impact assessment is subject to evaluation that is outside the scope of the biennial programming cycle.

Component	Finding
	<p>The nearest the Organisation has to a corporate strategic framework is what was set out in the biennial Programme and Budget. The current structure for what was covered in the 2020-2021 Programme and Budget is described on page 15 of the 2020-2021 document, where it states that:</p> <p>The Programme and Budget for 2020-2021 is structured around three thematic pillars: Human Rights, Rule of Law and Democracy, with an additional support pillar covering governing bodies, support services and other common expenditure lines... . The three thematic pillars are made of 9 operational programmes and 4 institutions. The support pillar encompasses 2 governing bodies and 4 support services. The introduction of each Pillar gives the context of the intervention, the added value and the intended long-term impact. The three operational pillars (Human Rights, Rule of Law and Democracy) describe the intended institutional, legislative or behavioural changes which the Organisation seeks to influence. The Programme introduction describes why it is important to intervene in this area and sets the aim of the action undertaken under this Programme. It gives also elements on how the Council of Europe contributes to the achievement of this aim through different sub-programmes. The changes that the Organisation seeks to influence under the Programme are then listed with non-exhaustive indicators such as “evidence of changes”. The assessment of these indicators at the end of the biennium will give an indication of the achievement of the objective (intermediate outcomes) at programme level. For each programme, information is provided on the contribution to the UN 2030 Agenda for Sustainable Development detailing which goals the programme contributes to. Lastly the resources available for the Programme are detailed. Each of the operational programmes contains a coherent set of sub-programmes. The programming is made at this level addressing three main questions: why, what and how. The objective (intermediate outcome) and the expected results (immediate outcomes) are presented at sub-programme level.</p> <p>Judging the Programme and Budget as described above against the expectations for a corporate strategic framework as set out in the JIU framework reveals the following findings.</p> <ol style="list-style-type: none"> 1. Sets strategic goals for the Organisation based on a strong analysis of contributions to human rights, democracy and the rule of law, the comparative added value to the Organisation and the roles of all other partners and actors: Finding: Not addressed in the current Programme and Budget. The Organisation still lacks an agreed set of prioritised long- and medium-term (four years plus) objectives that set out where it will focus its intended contribution, although the current process led by the Secretary General to propose strategic objectives for consideration by the Committee of Ministers may address this gap. 2. Provides a transparent and aggregated overview of both human rights objectives and the institutional objectives of the Organisation: Finding: Not fully addressed in the current Programme and Budget, as it lacks an aggregated overview of both human rights objectives and the institutional objectives. 3. Defines the long-term and medium-term objectives to support the strategic goals and establish the performance indicators and means for measurement (quantity, quality, time): Finding: Not addressed. Would require translation of the intended long-term impact (third-level impacts) flagged in the introduction for each pillar into a set of measurable objectives and then a definition of the means for measurement (quantity, quality, time) and monitoring. 4. Shows the logical linkage and alignment between the long-term and medium-term objectives and the Organisation's operations (programmes/projects) and institutional corporate/Organisation-wide set-up: Finding: Partly addressed. Logic of linkage between the first- and second-level results within the hierarchy currently used would be addressed in the programme introductions, which describe why it is important to intervene in this area and sets the aim of the action undertaken under this Programme. The link between the second and third levels is not described. 5. Is supported by a theory of change which identifies assumptions and risks, including mitigation plans, to facilitate the achievement of the organisational strategy: Finding: Not addressed. Assumptions and risks drawing on a strong set of ToCs, and supported by mitigation plans, are not found in the document and do not seem to be covered elsewhere. 6. Shows linkages among strategy, priorities and resources required, and identifies the sources of financing (results-based budget) in a given period of time (regular and extra-budgetary resources): Finding: Addressed

Component	Finding
2.2 Results frameworks for programmes and projects	<p>What is expected?</p> <p>All programmes and projects are required to have a credible and robust results framework. The analysis of results information is always undertaken or undertaken as needed, including the contribution of the Council of Europe, and findings are documented and accessible.</p> <p>What did we find?</p> <p>Against the JIU expectations of what systems should be in place in terms of results frameworks for programmes and projects, the Organisation has made significant progress in the past five years and, in the main, all of the systems are in place. All results frameworks, whether at programme, sub-programme or project level, should be available through the Programme and Budget or PM tools launched since 2017. The one notable gap is in terms of programme/sub-programme-level monitoring and evaluation plans being mandatory, which may indicate a need for better linking the various stages in the Programme and Budget cycle.</p> <p>1. All programmes and projects are required to have a results framework. Finding: Now in place. For programmes/sub-programmes the 2020 Practical Guide (page 42) states that “The draft and final P and B, including the logframes of all sub-programmes and the presentation of all programmes and pillars: for 2020-2021, see documents CM(2019)130 and CM(2020)1”. For projects (Project management methodology, Handbook, 2016), see page 22. Basically, logframes are one of the seven main management processes identified in the handbook.</p> <p>2. The results hierarchy is developed highlighting the logical causal linkages for achieving the desired outcome and impacts. Finding: Now in place. For programmes/sub-programmes, see page 39 of the 2020 Practical Guide. For projects (Project management methodology, Handbook, 2016), see page 22. Also found on the PMM website and in the RBM toolkit.</p> <p>3. Shows the logical linkage and alignment between the long-term and medium-term objectives in the corporate results framework and intended results of the programme/project. Finding: Now in place. For programmes/sub-programmes 2020, see page 39 of the RBM Practical Guide, and also page 44 on the use of standard indicators. For projects (Project management methodology, Handbook, 2016), see page 23. All outcomes should be aligned with the objectives of the programme governing the project. Also found in the PMM and RBM toolkits.</p> <p>4. The results of the programmes and projects are defined in operational terms and are SMART (specific, measurable, attainable, realistic, time-bound). Finding: Now in place. For both programmes/projects covered in adequate detail in the toolkits, such as the PMM guidance and the recently issued RBM toolkit. See page 45 of the 2020 RBM Practical Guide, which says indicators should be SMART, although it does not provide guidance on how to set such indicators. For projects (Project management methodology, Handbook, 2016) it is not directly specified that indicators be SMART.</p> <p>5. Development of baselines are mandatory for new Interventions. Finding: Partially in place, advised but not mandatory. The 2020 RBM Practical Guide flags the baselines (see page 42) when it says that when developing logframes for sub-programmes “results and indicators, with baselines and targets for the biennium” are expected. For projects (Project management methodology, Handbook, 2016), page 30 specifies that baselines should be established, but does not directly say that they are mandatory.</p> <p>6. Results targets should be regularly reviewed and adjusted when needed. Finding: In place. Flagged as required by both the 2020 RBM Practical Guide and the Project management methodology in the Handbook 2016.</p> <p>7. Results frameworks should address human rights and gender. Finding: In place. Flagged as required by both the 2020 RBM Practical Guide and the Project management methodology in the Handbook 2016.</p> <p>8. Conditions for success and the risk factors in achieving the intended outcomes are to be identified and monitored during implementation. Finding: In place. A new system for risk management has been in place since 2017. Use of risk registers is supposed to support the ability of managers to identify and mitigate risks that may affect the achievement of objectives.</p>

Component	Finding
	<p>9. A plan for monitoring and evaluating the programmes and projects is required. Finding: Partly in place. See the results measurement sub-component directly below. For projects, which are mainly funded from EB resources, Monitoring and evaluation are normal practice but responsibility for those depends on what is specified in the contract with the funder [Evaluator: This is true in all such situations from our experience]. The 2020 RBM Practical Guide does not directly specify that a monitoring and evaluation plan should be developed for programmes/sub-programmes, albeit that the role of evaluation and monitoring is to be discussed.</p> <p>10. A system for ensuring data quality is in place. Finding: Yes, in place.</p>
<p>2.3 Results measurement system</p>	<p>What is expected? Credible and co-ordinated costed monitoring and evaluation plans are in place and implemented.</p> <p>What did we find? Less progress in terms of establishing a results measurement system. Some aspects are in place and the question is the effectiveness with which they work. What is notable is the absence of budget lines to support measurement of results at the programme/sub-programme level and the lack of integration of evaluation into results measurement. The implication is that the Council of Europe's result measurement system (at programme/sub-programme level, which is the most relevant for RBM) has focused much more on results measurement as part of a planning exercise than results measurement as part of implementation.</p> <p>1. Has a clearly defined purpose: it measures results indicators as demanded by the results frameworks (at strategic and operational levels) and key stakeholders, while adopting a balanced approach to varying demands for accountability, learning and improvement, and policy development. Finding: Partial. At programme/sub-programme and project level, this is attempted. The challenges in terms of setting realistic, significant indicators, the multiple purposes of accountability, learning and improvement, and policy development are discussed in the main report and not here.</p> <p>2. Tools and methods for measuring and managing results are available and accessible to all staff. Finding: Partial. At programme/sub-programme and project level, with implementation of the two new IT systems and the toolkits, then, yes, systems are in place that attempt this. The reported challenge from KIs is more with use of these tools than their availability.</p> <p>3. Requires multi-year costed monitoring plans covering all programmes and projects with a manageable set of performance indicators. Finding: Partial. At programme level, not explicitly funded and focused on reporting needs rather than informing management decision making. At project level, depends upon what is agreed with the funder. At the programme/sub-programme level, it would be more accurate to say that there are expectations in the 2020 RBM Practical Guide in terms of programme co-ordinators providing reports on performance against indicators set to use in the (Interim) Progress Review Report. Meeting this need is not formalised in the requirement for a monitoring plan and there is no specific budget allocated within the operational DGs for supporting reporting under the Programme and Budget. There is a gap in the 2020 RBM Practical Guide on the use of evidence against indicators in management decision making rather than reporting (see pages 44-48). At project level, this is something that is not mandatory, but reflects what is agreed between the Council of Europe and the funder [this is just standard practice in such contexts given that funders will decide what funding is allowed for monitoring and so is not considered poor practice].</p> <p>4. Seeks to capitalise on the availability of other measurement systems (national systems, co-ordination and participative mechanisms) in order to provide comparability. Finding: In place. At programme/sub-programme/project levels this is the aspiration.</p> <p>5. Addresses demands for results reporting, monitoring and evaluation to support decision making. Finding: Partial. The 2020 RBM Practical Guide (see pages 44-48) focused on demands for reporting and not monitoring and evaluation to support decision making. Confirmed in KIs and survey. PMM guidance tries to guide to meet all of these demands.</p> <p>6. Has close linkages with the statistical and evaluation functions of the Organisation in the development of a measurement strategy. Finding: Not in place. Review of the November 2019 Evaluation Policy indicates there is no role for the DIO evaluation function in the development of the measurement system. It is responsible for the related, but separate, assurance of the quality of decentralised evaluation.</p>

Component	Finding
	<p>7. Is aligned with multi-year costed evaluation plan. Finding: Not in place. Appendix 2 of the 2019 Evaluation Policy (Selection Criteria for Evaluation Topics) does not flag this as a need. Nor does the 2020 RBM Practical Guide.</p> <p>8. Evaluation plans developed partly to complement monitoring data and fill gaps. Finding: Not in place. Not identified as the purpose of evaluations commissioned directly by DIO. Not identified as a use of decentralised evaluation in the 2020 RBM Practical Guide.</p>
2.4 Results-based budgeting	<p>What is expected?</p> <p>Relevant results information should always be used to inform resource allocation decisions within and among programmes and projects.</p> <p>What did we find?</p> <p>The Council of Europe has made significant progress and now has most of the systems required to support implementation of a performance-informed budget process. In terms of systems, divisions between information covering the ordinary and extra-budgetary resources remain. The gap is possibly less in terms of systems, but rather in terms of the degree to which the also necessary change-management investment is made and then successful. Looking forward, a risk that the Organisation will need to manage, if the Organisation moves to using longer-term objectives, is that questions will arise about the degree to which reliable and realistic estimations of extra-budgetary resources can be made.</p> <p>Performance budgeting takes a wide variety of forms. The OECD classifies these forms as presentational, performance-informed, managerial and direct. In this order, each form represents a progressively stronger link between performance measurement and budgetary decision making. The 2018 survey results showed that countries were more or less equally divided between the first three approaches. None reported using “direct” performance budgeting, which directly links budget allocations to performance measures. This highlights the inherent limitations of such a technocratic approach, given the political nature of the budget, as well as the many conceptual and practical problems in relating resource allocations and outcomes in the public sector. In the informal GR-PBA meeting on 20 September 2019 on RBM, the Secretariat stated that it uses a performance-informed form of RBB and that “Budgeting decisions are indirectly related to either past or future proposed performance. The link between performance information and funding is neither mechanical nor automatic”.</p> <p>Systems in place?</p> <p>1. The rationale, objectives and approach to performance budgeting are set out in a strategic document such as an internal control framework or financial management reform programme. Finding: Yes. Page 31 of the Practical Guide has the latest version.</p> <p>2. The interests and priorities of multiple stakeholders in the budget cycle are reflected in the objectives and design of the performance budgeting system. Finding: Yes. Consultation with both managers, individual member countries or groups of member countries, and the GR-PBA during successive iterations of the Programme and Budget.</p> <p>3. Performance budgeting is championed by leaders, with support from senior officials. Finding: Yes/partial. In terms of compliance with the requirements of the Programme and Budget process, KIs are consistent that the answer would be yes. Evidence from KIs that performance-informed budgeting is being championed is less strong.</p> <p>4. The introduction of performance budgeting is supported by regulations and guidelines. Finding: Partial/uncertain. To date, the adjustments in successive iterations of the Programme and Budget planning process appear to have been adequately supported by the Organisation’s regulations and guidelines. Stronger evidence that regulations and guidelines are not a constraint in support of a performance-informed RBB approach will only be available when the approach to performance-informed budgeting set out in the 2020 RBM Practical Guide is operationalised in the 2022-2023 Programme and Budget process.</p> <p>5. Budget proposals are systematically linked to relevant objectives and other statements of strategic direction and priority. Finding: Partial. To the extent feasible, this is what the system attempts to do. Constraints due to the nature of objectives found in the Programme and Budget are discussed elsewhere in this framework. By definition, as the link between performance information and funding is neither mechanical nor automatic in a performance-informed RBB approach, judging the degree to which priorities actually inform decision making is challenging and the views of KIs on the degree to which prioritisation is feasible is mixed with a frequently asserted claim that it is political.</p>

Component	Finding
	<p>6. Multi-year budget frameworks provide realistic and reliable fiscal parameters for the preparation of performance budgets. Finding: In place. The performance budgets are structured around three sources of funds – Ordinary budget, European Union Joint Programme (secured) and voluntary contributions (secured). Realistic and reliable fiscal parameters are therefore used for the biennium. This will become more challenging if the budget period is extended to four years, at which point estimates of secured voluntary contributions may become less reliable. There are also risks related to delayed payments.</p> <p>7. The achievement of complex objectives, requiring collaboration, is supported. Finding: Not in place. Current approach to RBB does not explicitly address such scenarios.</p> <p>8. The performance budgeting system incorporates flexibility to handle the varied nature of activities and the complex relationships between spending and outcomes. So, the type and volume of performance information required varies based on the nature of the programme. Finding: In place. Contrast approach used in DGs 1 and 2 with that used in the European Court of Human Rights, the Commissioner for Human Rights, Parliamentary Assembly and Congress of Local and Regional Authorities and how the relationship between activities and outcomes is approached.</p> <p>9. Expenditure classification and control frameworks are revised to facilitate programme management and promote accountability for results. Finding: In place. Separate IT systems in operation for ordinary budget and Programme and Budget and for projects delivered using EB resources.</p> <p>10. Capacity to manage and operate the performance budgeting system is developed. Finding: In place. No key informants identify this as a problem.</p> <p>11. The Organisation regularly reviews and adjusts the operation of the performance budgeting system to improve its performance. Finding: In place. See developments described in successive Programme and Budget documents.</p> <p>12. Performance measurement systems are progressively improved to provide quality data on a reliable basis Finding: In place. See developments described in successive Programme and Budget documents.</p> <p>13. Performance data is governed and managed as a strategic asset, with the objective of ensuring that the data is discoverable, interoperable, standardised and accessible in timely manner. Finding: Not in place. See Council of Europe DIO (2019b), pages 3-5: Both experts agree that the reform initiatives planned under this strategic direction cover the most important aspects (budgeting, programming, and management) and resources (human, financial and project related). The financial management system (FIMS), the human resources and payroll management system (PeopleSoft) and the related line-of-business applications contain much of the operational data that allows the Council of Europe to effectively manage budgets, activities and resources. Examples of line-of-business applications include systems such as the travel management system (GDD), the appraisal system, the leave system, the translator database (GESTRAD) and the budget preparation tool. The project management methodology system (PMM) makes it possible to manage efficiently the financial and human resources. As a group, these systems firmly hold together and create a clear execution path from planned initiatives, via direct outputs and indirect results of these initiatives towards achieving the declared aims. It will be important to continue to better connect and streamline the Enterprise Data Management (EDM) systems to enhance overall functionality and provide a solid foundation for the Council of Europe’s core data.</p> <p>Confirmed through KIs.</p> <p>14. The annual budget and expenditure reports presented to the Governing Body contain information about performance targets and the level of achievement. Finding: In place. See (Interim) Progress Review Reports. In the 2020 Practical Guide these are defined as follows. Interim Progress Review Reports (IPRR) after the first six months of each year of the biennium: these reports are exception reports focusing on overachievements of targets set or on delays experienced and do not give information on programme or sub-programmes, which are considered as performing according to plan (“on track”). On the budget implementation, they provide explanations of significant variances. For 2018, see document CM/Inf(2018)19; for 2019, see document CM/Inf(2019)19. Progress Review Reports (PRR) at the end of each year of the biennium: in 2018 and 2019, these reports included both an exception report and a detailed assessment of expected results and indicators. For 2018, see CM/Inf(2019)7 and DD(2019)316. Following a recommendation of the Budget Committee, only the Progress Review Report, i.e. exception reporting on major delays, will be presented at the end of the first year of the biennium, with a more detailed assessment presented at the end of the biennium.</p>

Component	Finding
	<p>15. The external auditor carries out performance audits, including tests of the accuracy and reliability of reported performance. Finding: In place. See external auditor reviews of Organisation's KPIs.</p> <p>16. The Governing Body scrutinises performance-based budgets and financial reports, holding senior management accountable in the event of poor performance or misrepresentation. Finding: In place.</p> <p>17. Budget and expenditure data are published in machine-readable and accessible formats. Finding: In place.</p> <p>18. <i>Ex ante</i> appraisal of new spending programmes is used to strengthen programme design including key performance indicators, and to facilitate processes of monitoring and <i>ex post</i> evaluation. Finding: Partly in place. Done, but not formalised as yet.</p> <p>19. <i>Ex post</i> evaluations of major spending programmes are carried out on a rolling basis and the findings are systematically fed back into the budget preparation process. Finding: Partly in place. Done, but not formalised as yet.</p> <p>20. Spending reviews are used in conjunction with performance budgeting to review the justification for spending and to identify budgetary savings that can be redirected to support priority goals. Finding: In place.</p> <p>21. The senior management promotes a management culture that focuses on performance. Finding: Partly in place. See broader discussion across the evaluation on this issue.</p> <p>22. Identified individuals and teams are responsible and accountable for the achievement of performance goals. Finding: Partly in place. The HR system now in place does this for individuals but not teams.</p> <p>23. Managers organise structured internal discussions to review financial and operational performance regularly through the year. Finding: In place.</p> <p>24. Responses to programme underperformance emphasise learning and problem-solving, rather than individual financial rewards and penalties. Finding: In place in terms of being requirement within the system.</p>
2.5 Human resource management	<p>What is expected?</p> <p>Staff have adequate knowledge, skills and appreciation of RBM principles and practices and HR systems and practices support a strong results-focused culture and practice within the Organisation.</p> <p>What did we find?</p> <p>Within the past few years, the Organisation has put in place an HR system that covers all aspects considered as important for RBM to add value. This system underpins the People Strategy that is being implemented between 2019 and 2023. The HR systems necessary to support a strong results culture are in place, but it was beyond the scope of this evaluation to assess the degree to which these operate effectively as intended. The challenges in this area are comprehensively set out in the 2019 DIO Ex-Ante Assessment of the HR Reform Logic.</p> <p>Relevant observations in the 2019 DIO Ex-Ante Assessment of the HR Reform Logic include the following.</p> <ul style="list-style-type: none"> ▶ The experts highlighted three key findings about the Council of Europe's current state: 1) a hierarchical organisational structure, which developed organically over time and now inhibits decision making and creates informational siloes within the Council; 2) a performance evaluation system that does not effectively reward, motivate and develop ▶ Council of Europe staff; 3) an outdated and expensive recruiting and hiring process. ▶ Improving performance management [in the Secretariat] requires changing the related culture and behaviours in the Organisation ... encompassing not just how staff members are evaluated at the end of the cycle but the broader issue of how staff members are supervised and managed on a daily basis. ▶ Cultural change is difficult to achieve and requires significant effort by an organisation. The Working Environment and Culture reform initiatives are crucial for fostering a modern organisational culture. A flatter organisational hierarchy seems as much a matter of cultural change as it is of organisational structure. Therefore, reform initiatives aiming to change the managerial culture are extremely important.

Component	Finding
	<p>► Achieving a flatter organisational hierarchy seems as much a matter of culture as of regulations. Reform initiatives to change the managerial culture are key in this regard. Resistance to reform among middle to senior managers is typically based on struggling with a lack of role clarity and concern for role security. That is, with a strong sense of accountability and requirements for signatures across multiple vertical layers, managers engage these responsibilities passionately, being reluctant to delegate and work with fewer levels of sign-off. Their focus is on “transactional” management rather than leading and coaching others to manage their own work (“transformational”). With moving towards decentralised structures and project management, integrating IT systems, shifting working methods to be more inclusive overall and attractive to younger professionals and a modern workplace culture, leadership training and coaching is critical. This is common across all organisations though, so staff in the Council of Europe should experience it as a normal component of reform and not a corrective action for them in particular.</p> <p>Are systems in place?</p> <p>1. Human resources needs are established and updated based on a periodic capabilities assessment guided by the need to enhance the achievement of the Organisation’s strategic objectives. Finding: System in place. Workforce plan established by DHR in consultation with management and on the basis of Programme and Budget priorities – two-yearly cycle.</p> <p>2. Competence frameworks, job categories and profiles are established, aligned with accountability frameworks and harmonised across the Organisation. Finding: System in place. Reference jobs harmonised and checked regularly, matched to levels of responsibility/accountability as established in the Organisation’s systems.</p> <p>3. Capacity development initiatives support the internalisation of competences according to job profiles. Finding: Initiatives identified. Training in key areas – spending allocated after consultation with management, training paths for particular types of job, etc.</p> <p>4. Staff are recruited/mobilised based on competences identified as key to the delivery of strategic results. Finding: System in place. Competence framework used in all recruitment and post-filling stages, workforce planning.</p> <p>5. Mobility policies support career development for staff, and are guided by the need to enhance contribution to strategic results. Finding: System in place. Cross-sector skill development, c.f. People Strategy.</p> <p>6. Policies include risk management (for example, codes of conduct, back-up trainees, succession plans, etc.). Finding: To the extent allowed under current rules and regulations. For example, no succession plans because of regulations on open competition.</p> <p>7. Individual performance expectations are aligned with organisational goals; performance is assessed based on respective unit/department results frameworks and the organisational strategic results. Finding: System in place. Cascade objectives.</p> <p>8. Performance management systems cover all staff within the Organisation, including senior leadership. Finding: Yes, with exception of the three staff who are “hors cadre” – the Secretary General, Deputy Secretary General and the Secretary General of the PACE – and some senior officials (Registrar of the European Court of Human Rights, the Secretary General of the Congress, Registrar Administrative Tribunal; see Rule 1340 on appraisal and performance enhancement).</p> <p>9. Performance management systems use appropriate and balanced measures of achievement of goals and of performance against the Organisation’s competences framework. Finding: Yes. SMART objectives and competences evaluated in the system, linked to reference jobs and to the specific role and needs of post/postholder.</p> <p>10. Performance management systems ensure consistency and transparency in assessment throughout a given organisation. Finding: Yes. Currently under experimentation with a view to renewing the system but otherwise harmonised, training for all, adherence to principle of normal distribution of performance results across a population.</p>

Component	Finding
	<p>11. Incentives are established at individual and organisational unit/department levels, as appropriate. Finding: Yes. No bonus system, incentives are rather of the soft kind (emphasis on management feedback and recognition in training) and overall career development opportunities linked to good performance.</p> <p>12. Performance management systems identify and address staff developmental needs, and also identify and address chronic underperformance. Finding: Yes. Training linked to evaluation and underperformance system is integral (though as usual difficult to enforce).</p> <p>13. All relevant staff are trained in RBM approaches and methods. Finding: Yes. By Council of Europe standards, significant allocation of training budget made for this.</p>
3. Management area: Accountability and learning management (Reporting, monitoring and evaluation)	
3.1 Performance monitoring	<p>What is expected? Relevant results information on the current state of implementation of programmes and projects is always used to manage adaptively for continuous learning.</p> <p>What did we find? Basic aspects of the system are now in place, albeit with some operating informally. KIs do not show that assessing actual results against intended results (based on indicators) is the main source of evidence used by the majority of programme managers/teams in terms of assessing results and learning. Partly reflects reservations many managers hold on the utility of the indicators in terms of telling a credible story of what is really happening. Stronger practice reported for this within PPM for project-cycle management (but that is not RBM).</p> <p>1. Assess actual results against intended results (against baseline and target measures) and their evolution in the context in which results are expected to occur. Finding: Partly in place. Results are assessed against indicators, collated and will be reported in the Progress Review Reports. KIs do not show that assessing actual results against intended results (based on indicators) is the main source of evidence used by the majority of programme managers/teams in terms of assessing results. Partly reflects the reservations many managers hold on the utility of the indicators in terms of telling a credible story of what is really happening. Stronger practice reported for this within PPM for project-cycle management (but that is not RBM).</p> <p>2. Identify the proxy indicators that are significant for tracking progress towards the achievement of outcomes. Finding: Not in place. Practice not used at Programme and Budget level. Some such practice reported as part of PPM.</p> <p>3. Capture information on the successes and failures/challenges of the implementation strategy. Finding: Partly done, but informal. KIs suggest that this is an area in which more could be done to do this systematically. See sub-component 3.3 – Evaluation below.</p> <p>4. Be fully integrated and costed as part of implementation activities. Finding: Not in place. At project level, a requirement but a challenge is that it is not sufficiently resourced in practice. The 2020 RBM Practical Guide does not discuss this issue and no other regulation requiring that managers budget for performance monitoring has been observed. The implication is that performance monitoring is treated as something managers do, but is up to them if they need additional budget to fulfil this function.</p> <p>5. Be based on a clearly defined framework with a solid technical basis for data collection and the assessment of indicators (baselines, valid and reliable measurement methods, analytical tools) to explain factors affecting intervention. Finding: Partly in place/uncertain. Clearly a major intent in both the 2020 RBM Practical Guide and current PMM guidelines. Questions remain over clarity on how far these principles can be operationalised within the Organisation's context.</p> <p>6. Assign clear responsibilities for the collection and analysis of performance data and competences required. Finding: In place. See the Practical Guide and PPM guidelines.</p> <p>7. Adopt a balanced and complementary approach to the identification of both quantitative and qualitative indicators in order to include information on perception/opinions/judgments of change among stakeholders. Finding: In place. Clearly recognised in both the 2020 RBM Practical Guidelines and also flagged in the 2020-2021 Programme and Budget document.</p>

Component	Finding
3.2 Results reporting	<p>What is expected? Relevant results information is always used to influence operational plans.</p> <p>What did we find? A core reporting system is in place and covers what is expected. The main gaps are in terms of the linkages between intermediate and higher-level results and the lack of formal linkages between the Programme and Budget reporting system/approach and other evidence identification systems that may exist within the Organisation, such as evaluation and audit.</p> <p>1. Demonstrate progress in achieving strategic/corporate-level priorities and/or internationally agreed goals. Finding: Partial. The Organisation still lacks an agreed set of prioritised long- and medium-term (four years plus generally) objectives that set out where it will focus its intended contribution, although the current process led by the Secretary General to propose strategic objectives for consideration by the Committee of Ministers may address this gap. Currently using a traffic light system in the Progress Review Reports to demonstrate intended against actual performance against intended targets. Targets reflected in quantitative and qualitative indicators set at the immediate outcome level (i.e. for each expected result) which is the the level at which the control is effective. Nevertheless, in order to enhance the results-based approach, non-exhaustive indicators such as “evidence of” changes have been included to give an indication of the achievement of the objective (intermediate outcomes) at programme level. Seeing consistent reporting at this level and also the goal level above is what is required to meet this criterion.</p> <p>2. Provide an analysis of consistency or discrepancy between planned (expected results) and actual results (against baselines and targets). Finding: In place. See Progress Review Reports.</p> <p>3. Report results that cover the different levels of the results chain and their logical linkages (activities, outputs, outcomes, impact). Finding: Partial. See 1 above.</p> <p>4. Ensure there is sufficient data to describe/demonstrate linkages between activities undertaken, their outputs and their observed or hypothesised effects. Finding: In place. Evidence presented in Progress Review Reports is consistent with what is generally reported in good reporting systems.</p> <p>5. Explain the reasons for overachievement and/or underachievement, and provide an analysis of performance (where strong, weak, reasons, etc.) and recommendations or reflections on alternatives or other lessons learned. Finding: In place. Progress Review Reports include exception reporting.</p> <p>6. Highlight any unforeseen problems or opportunities that may require new strategies or a redesign of the initiative. Finding: In place.</p> <p>7. Identify key success factors or obstacles in achieving results and highlight where there is potential for wider lessons learned. Finding: In place. Progress Review Reports include exception reporting.</p> <p>8. Recognise fully the involvement of others (partners, stakeholders, rights holders) and their contribution to the observed results and progress towards the outcomes. Finding: In place.</p> <p>9. Sets out actions needed to improve performance or make adjustments to achieve results and outcomes. Finding: Not in place. Recognised as a gap that needs to be addressed by the Directorate of Programme and Budget (DPB).</p> <p>10. The production of comprehensive and credible results reports requires a results reporting system that is based on a clear indication of demand and intention to use the information, and that identifies and targets its audience/stakeholders. Finding: In place.</p> <p>11. Provides clear guidance on reporting expectations and standards; is aligned with decision-making cycles; and is aligned with the cycles of other knowledge-generative functions. Finding: Not done explicitly and linkages into evidence generation from evaluations, for example, are not made.</p>

Component	Finding
3.3 Evaluation	<p>What is expected?</p> <p>Evaluation plans implemented always aim to fill identified learning gaps in support of attainment of management for results.</p> <p>What did we find?</p> <p>In the main, the expected components of an evaluation system that provides credible evidence that would support RBM are now in place with the 2019 Evaluation Policy and draft 2020 Evaluation Guidelines. The documents represent significant revisions of evaluation practice as compared to what was set out in earlier versions of the Evaluation Policy and Guidelines. It is too early to judge the effectiveness of the implementation of the new approaches set out in the 2019 Evaluation Policy and draft 2020 Evaluation Guidelines. Two divergences exist between what is assumed in the JIU framework and what is set out in the 2019 Evaluation Policy and draft 2020 Evaluation Guidelines. First, DIO is less prescriptive in terms of the range of analytical methods and approaches relative to what is expected in the JIU framework. Second, DIO focuses on relationships and use of evaluations within the Council of Europe and does not consider the role of evaluation with partners outside of the Council of Europe, as is increasingly seen as part of the mandate of most international organisations working in development. While not covered in the JIU questions, a clear and explicit explanation of how evaluation fits within the evolving RBM system is absent. As such, it is clear how the DIO expects the evaluation system to develop in order to fill identified learning gaps, but while a traditional approach to fostering the use of evaluation is specified, how this links into a broader organisational approach to management for results is unclear.</p> <p>A results-oriented evaluation function should do the following.</p> <ol style="list-style-type: none"> 1. Examine the relevance of interventions to outcomes and longer-term goals. Finding: Partial. Not explicitly discussed in the 2019 Evaluation Policy or draft 2020 Evaluation Guidelines, but the DAC evaluation criterion of impact is included in the scope of what evaluated, so this issue should be addressed where relevant to the purpose of an evaluation. KIs suggest there is a practical challenge for evaluating this, since intended higher-level results are not well defined at programme/sub-programme level and this makes evaluation of the relevance of interventions to outcomes and longer-term goals challenging. 2. Examine the hypothesised causal linkages (attribution and contribution) in results logic. Finding: Not explicit. The draft 2020 Evaluation Guidelines state that evaluation methodology must be sufficiently rigorous to ensure a complete, fair and unbiased assessment. Beyond identification of triangulation, other expectations in terms of analytical methods are not identified. The 2019 Evaluation Policy states that the DIO has the authority to decide which approach to employ for each evaluation based on consultations with stakeholders, an analysis of available resources, the urgency of providing information and the questions that need to be answered. So, this could be done in an evaluation but is not mandatory. 3. Examine contextual factors of causality to understand and explain achievement or the lack thereof. Finding: See 2 above. 4. Examine the added value or difference made by the Organisation, which guides strategic decision making. Finding: In place. The 2019 Evaluation Policy and draft 2020 Evaluation Guidelines include a DAC evaluation criterion of "Value Added", so where considered necessary it should be done. The 2019 Evaluation Policy sets out a requirement for a management response. 5. Examine the comparative added value in a systems context, with due regard to the multiple actors involved in the intervention. Finding: Not explicit. See 2., above. 6. Evaluate the achievement of intended and unintended outcomes and implications. Finding: In place. For evaluations where the scope includes evaluation against the evaluation criterion "impact", assuming that the design reflects the definition of this criterion, then both intended or unintended outcomes would be looked at. 7. Provide an assessment of implications of evaluative evidence for direction setting and future action. Finding: In place. The 2019 Evaluation Policy states that for DIO-managed evaluations, it is the managers' responsibility to consider the strategic and operational implications of evaluation findings, to ensure the implementation and use for decision making of accepted recommendations, and to provide assurance to the Secretary General that appropriate actions have been taken to implement them.

Component	Finding
	<p>8. Align the evaluation plans with organisational strategic priorities and principles to enhance utility of the evaluation function in supporting the attainment of management for results. Finding: In place. See Annex 2 – Selection criteria for evaluation topics in the 2019 Evaluation Policy. Also, see Section 4.1.2 in the draft Evaluation Guidelines.</p> <p>9. Carry out <i>ex ante</i> evaluations and appraisal evaluations to guide the design of interventions. Finding: In place. Not explicitly identified in the 2019 Policy or draft Evaluation Guidelines, but instances of such practice are available; see recent <i>ex ante</i> evaluations for HR and MIS reform.</p> <p>10. Prioritise formative evaluation and make use of methodologies conducive to learning (meta evaluations and synthesis, participatory approaches, etc.). Finding: Not explicit. Similar to what was found under 2., above. The policy and guidelines do not specifically flag these issues, but on the other hand, the option to use such methods is there.</p> <p>11. Seek to stimulate demand for evaluation evidence and the use of its findings, notably through investments in a communication capacity. Finding: In place. See paragraphs 38 and 43 in the 2019 Evaluation Policy.</p> <p>12. Support efforts to enhance the development of national capacities for results-based management and evaluation. Finding: Not in place. Neither the 2019 Evaluation Policy nor the draft 2020 Evaluation Guidelines consider the role of partners outside of the Organisation and the Committee of Ministers.</p> <p>13. Support the evaluability of interventions and provide clear guidance for enhancing the measurement and monitoring systems. Finding: Partly in place. The roles of the DIO and managers in ensuring the evaluability of interventions are described in the Evaluation Policy. There is no role for the DIO in providing clear guidance for enhancing the measurement and monitoring systems.</p> <p>14. Seek to balance the need for evidence to inform accountability and the need for evidence of transformative learning to enhance the achievement of outcomes and impacts. Finding: In place. The need to do this is identified in the 2019 Evaluation Policy.</p> <p>15. Seek to align its evaluation plans with plans of other relevant stakeholders to enhance efficiencies and economies as well as complementarities with other knowledge-generating functions. Finding: Not in place. Not explicitly discussed in either the Evaluation Policy or the draft Evaluation Guidelines.</p>
3.4 Management information systems	<p>What is expected?</p> <p>The MIS strategy focuses on ensuring that all relevant MIS adequately support the timely availability of evidence required for reporting and management decision making.</p> <p>What did we find?</p> <p>With the Information Technology Strategic Action Plan (2018-2022), the Organisation has an approach that meets all of the JIU expectations. The 2019 Ex-Ante Assessment of the IT Reform Logic notes however that different capacity is needed to fully implement the strategy and success is contingent on recognising that digital transformation is not an IT project but an organisational project and that cultural change and flattened hierarchies are required for moving forward with the IT reform. Relations to key stakeholders also need further strengthening and business alignment is key to ensure that users' needs are met.</p> <p>We reviewed the current Information Technology Strategic Action Plan (2018-2022) (GR-PBA(2018)9) findings from the 2019 Ex-Ante Assessment of the IT Reform Logic (Council of Europe DIO (2019b)), triangulated with KIs' opinions.</p> <p>1. Continuously seeks to enhance the integration of strategic and operational (programme/project) performance data available within the Organisation.</p> <p>Finding: In place. The <i>ex ante</i> assessment concludes that "The IT reform is relevant, well planned and in line with good practices. The reform logic is comprehensive, and the reform initiatives can be expected to result in achieving the objectives. The IT reform has the potential to help the Organisation optimise the digital environment, mainstream processes and increase efficiency to improve the Council of Europe's performance".</p>

Component	Finding
	<p>2. Recognises the cause-and-effect relationships between use behaviours and the Organisation's requirements, the technological architecture and infrastructure, and the governance model of the information management.</p> <p>Finding: In place. The IT Strategy defines the main factors for success: (1) top-level management support; (2) business buy-in; (3) effective and permanent dialogue with users; and (4) common working methods and standardised processes. The IT Strategy includes 25 reform initiatives classified under five strategic directions: (1) Enterprise Data Management (EDM); (2) Enterprise Content Management (ECM); (3) Security and Data Integrity; (4) the renewal of the IT Infrastructure; and (5) Main Key Digital Drivers. The Strategic Action Plan prioritises these factors, with significant investment in assessing the effectiveness of implementation through regular monitoring of set of KPIs.</p> <p>3. Ensures alignment with the corporate strategy of the Organisation.</p> <p>Finding: Partly in place. Not done explicitly, as there is no single corporate strategy document or set of overarching KPIs within that could embed and show explicit alignment. Following more general management practice within the Council of Europe, a management committee regularly looks at the implementation experience and adjustments made.</p> <p>4. Establishes and determines priorities for information-management value initiatives for the Organisation.</p> <p>Finding: In place. See strategy and use of KPIs.</p> <p>5. Has an organised growth path for the information-management platforms and detects synergies between the different information systems.</p> <p>Finding: In place. Yes, in terms of a strategy.</p> <p>6. Leverages and exploits the investments already made in technology.</p> <p>Finding: In place. Yes, in terms of a strategy.</p> <p>7. Takes stock of best practices, lessons learned and regular users' feedback on information-management practices.</p> <p>Finding: In place. Yes, in terms of a strategy and use of KPIs.</p> <p>8. Is implemented by a dedicated unit</p> <p>Finding: Yes.</p>
4. Management area: Change management (fostering a culture of results)	
4.1 Internationalisation	<p>What is expected?</p> <p>Staff members understand their role in applying results-based management in their work at all levels, as set out in the Organisation's results-based management strategy/guidance. Investment in internalising RBM within managers' practice is periodically reviewed, seeking to identify areas for improvement and potential obstacles/disincentives that constrain progress. There are strong incentives operating to encourage managers to use results evidence in informing decision making.</p> <p>What did we find?</p> <p>If understood in terms of RBM meeting accountability and communication purposes, through engagement in the biennial Programme and Budget process, evidence would suggest that the programme co-ordinators and reference points are implicitly aware of these two purposes. The Directorate of Programme and Budget and also investment by the Directorate General of Programmes means that staff are aware of both their roles and the basics of results thinking. In terms of internationalisation of RBM as a tool to contribute to more effectively meeting RBM's role in better strategic direction and learning, then progress in terms of internalisation is not found. Yet these would be the two main purposes in terms of contributing to the reform process which "seeks to promote an increasingly agile organisation with confidence in its know-how and expertise, which encourages creativity and greater responsibilities for teams and individuals. It will contribute to strengthening a results-oriented culture based on a rational and sustainable approach, responding to stakeholders' needs, ensuring timely delivery and performance monitoring" (Programme and Budget 2020-2021, Annex 6). We concur with the conclusions drawn in the DIO's 2019 Ex-Ante Assessment of the HR Reform Logic about the success of this reform process being key to achieving internalisation of a culture of results.</p>

Component	Finding
	<p>1. Staff within the Organisation understand both the rationale for results-based management for the Organisation as well as the philosophy, guiding principles, requirements and approaches. Finding: Partial. If understood in terms of RBM meeting accountability and communication purposes, through engagement in the biennial Programme and Budget process, it can be assumed that the programme co-ordinators and reference points are implicitly aware of the purpose. The RBM Practical Guide was only issued in March 2020 and at the point when the evaluation evidence was being collected, there had been no investment in ensuring that all relevant staff had been briefed on its contents. On the other hand, in the logic of how such things are approached by the Directorate of Programme and Budget, this will be covered in the process of preparation for the 2022-23 Programme and Budget. In terms of RBM meeting strategic direction and learning purposes, documentation setting out how RBM would address these purposes is absent (not explicitly covered in the March 2020 RBM Guide). Yet these would be the two main purposes in terms of contributing to the reform process which “seeks to promote an increasingly agile organisation with confidence in its know-how and expertise, which encourages creativity and greater responsibilities for teams and individuals. It will contribute to strengthen a results-oriented culture based on a rational and sustainable approach, responding to stakeholders’ needs, ensuring timely delivery and performance monitoring” (Programme and Budget 2020-2021, Annex 6).</p> <p>2. There are visible efforts and investment by the Organisation to develop the capacity of staff to understand both the approach to results-based management and their role in its operationalisation through training and guidance. Finding: In place. If leaving aside the limitation identified in 1., above, then RBM meets the accountability and communication purposes through investment in training aligned to the Programme and Budget development process and also for the PMM (project management practice, but focused on the work of only a sub-set of managers).</p> <p>3. Staff members understand their role in applying results-based management in their work at all levels, as set out in the Organisation’s results-based management strategy/guidance. Finding: In place. If leaving aside the limitation identified in 1., above, then interview evidence shows that this is in place.</p> <p>4. Accountability and incentive systems for transformative learning and action are in place. Finding: Partially in place. In terms of accountability, then this is covered under the developing HR management reform process. We find no evidence of incentive systems that explicitly focused on encouraging transformative learning and action.</p> <p>5. Efforts are directed in performance assessments to allow for innovation and corrective action and reduce risk aversion. Finding: Not in place. The DIO’s 2019 <i>ex ante</i> evaluation of HR reform would suggest that this is not in place and is unlikely to be delivered by the current approach to HR reform. We have seen no evidence that would indicate this finding has changed.</p> <p>6. Learning groups and networks are established with a high level of staff participation. Finding: Not in place. We find no evidence of such approaches being used as an Organisation-wide practice.</p> <p>7. Performance assessment is based on results achievement, the identification of lessons learned and significant results to be shared. Finding: Partially in place. A focus of the performance assessment system recently put in place is on results achievement, however the other two are not addressed.</p> <p>8. Staff receive adequate training and professional development to enhance the understanding and development of the relevant competences of results-based management. Finding: In place. See 1., above. Within this limitation, the Organisation has reportedly allocated a significant proportion of its training budget to this area. We have insufficient evidence to judge whether it is adequate, but a lack of training was not highlighted as a major constraint by those managers who responded to the survey.</p> <p>9. The effectiveness of internalisation efforts is periodically reviewed, seeking to identify areas for improvement and potential obstacles/disincentives that constrain progress. Finding: Not in place. We have no evidence that this is currently in place. It should be addressed logically within the learning and development reform initiatives presented in the HR reform logic, but it is too early to judge whether it will be done and whether it will be effective.</p>

Component	Finding
4.2 Leadership	<p>What is expected?</p> <p>Leadership demonstrates ongoing commitment to RBM and manages expectations for RBM. All managers (executive heads, senior and line managers) then give consistent and visible support for results-based management. They create an enabling environment to report on and learn from both poor and good performance and regularly and consistently communicate and discuss results-based management with all staff.</p> <p>What did we find?</p> <p>There are challenges with what RBM is understood to deliver by staff within the Organisation, especially in terms of management decision making, and also variations in management practice and leadership across the institutions within the Council of Europe. In addition, the Organisation has been attempting more broadly to change its management culture as part of ongoing reform initiatives. These realities make it almost impossible to differentiate RBM from this broader reform process, which means that several of the metrics in this sub-component have not been answered.</p> <p>Finding:</p> <p>1. Visibly lead and demonstrate the benefits of using results-based evidence for decision making. Finding:</p> <p>2. Clarify how staff are contributing to this vision and how results are part of their daily work. Finding:</p> <p>3. Challenge theories of change behind programmes and evidence gathered on performance. Finding:</p> <p>4. Consistently ask for results information and use it to take decisions on adjustments to programmes and to hold managers accountable. Finding:</p> <p>5. Establish realistic yet challenging performance expectations. Finding:</p> <p>6. Ensure balance between accountability and learning in the results management regime. Finding:</p> <p>7. Identify and support champions within the Organisation. Finding:</p> <p>8. Highlight the culture of double-loop learning and the autonomous quality or self-regulated process of learning, reflection and action. Finding:</p> <p>9. Create an enabling environment to report on and learn from both poor and good performance. Finding:</p> <p>10. Encourage experimentation and the use of lessons learned from it. Finding:</p> <p>11. Engage their staff in joint problem-solving driven by the need to use all skill sets, and allow sufficient time and resources for implementation. Finding:</p> <p>12. Regularly and consistently communicate and discuss results-based management with all staff. Finding:</p> <p>13. Provide central support for results-based management. Finding:</p> <p>14. Leverage political and other external support for the results management regime. Finding:</p>
4.3 Use of results	<p>What is expected?</p> <p>An annual report on performance is discussed with the governing bodies and, at corporate level, management regularly reviews corporate performance data and makes adjustments that are clearly informed by performance data. Relevant results information is always used to influence strategic plans.</p> <p>What did we find?</p> <p>An annual report on performance is discussed with the governing bodies but, at corporate level, management does not regularly review corporate performance data and makes adjustments</p>




Component	Finding
	<p>that are clearly informed by performance data. A recent evaluation (Council of Europe DIO 2020) finds little relationship between strategic plans (monitoring and evaluation are generally weak in these) and performance data reported through the Programme and Budget.</p> <p>1. An annual report on performance is discussed with the governing bodies. Finding: In place.</p> <p>2. Corporate strategies are updated regularly. Finding: Not in place. The Council of Europe DIO's (2020) Evaluation of strategy development and reporting in the Council of Europe (report number 2020(31) June 2020) finds that "a reflection has to be made whether and when (i.e. different phases of strategy development, reporting, monitoring and revision) existing platforms such as the meeting of the chairs of intergovernmental committees, presidents of monitoring bodies, meeting of chairs of Rapporteur Groups, PACE and other independent bodies of the Organisation should or could be involved". By implication, given the non-standardisation of the approach to development and use of strategies within the Organisation, they are not regularly updated.</p> <p>3. Planning documents are clearly based on performance data. Finding: In place. For RBM, the salient planning document is the Programme and Budget. See findings in sub-component 2.4 (RBB) – The Council of Europe has made significant progress and now has most of the systems required to support implementation of a performance-informed budget process.</p> <p>4. Proposed adjustments to interventions are clearly informed by performance data. Finding: Partly in place. Interviews suggest variable evidence of use of performance data to inform adjustment in interventions. There is a need to acknowledge that in what is effectively a performance-informed budget process other factors may be more important in informing adjustments made, such as resources (finance/right staff), appetite to use evidence and the degree to which an indicator-based approach to tracking performance provides useful evidence. Use of performance data should be the practice in the project portfolio.</p> <p>5. At corporate level, management regularly reviews corporate performance data and makes adjustments as appropriate. Finding: Not in place. There is no evidence of this being done across all the institutions within the Council of Europe at a corporate level.</p> <p>6. Performance data support dialogue in partnerships at global, regional and country level. Finding: Not in place. The Council of Europe does not have a strong and explicit partnership model, as assumed under this question. See Section 5 below.</p>
5. Management area: Partnership management (co-operation with partners)	
5.1 Coherence with partners	<p>What is expected?</p> <p>The Council of Europe actively works towards an RBM focus through coherence with partners, including a multi-stakeholder governance system at country level, enabling appropriate representation of all stakeholders involved and mutual accountability frameworks based on common outcomes that support national priorities.</p> <p>What did we find?</p> <p>This focuses on partnership management at country level, with building of common approaches to managing multiple projects and other interventions that potentially contribute to common sets of outcomes. As such, it is distinct and different from project management, which focuses on management within a project, rather than how a project's results fit within a broader portfolio of contributions towards a set of agreed outcomes in a country. This issue is not discussed in the 2020 RBM Practical Guide but is addressed in the approach to project management, with moves towards:</p> <ol style="list-style-type: none"> 1. ensuring that there is consistent and open communication to and across all players; 2. ensuring that individual agencies formally recognise and endorse the agreement and ensure adequate balance between agency-specific requirements and the requirement for collective impact; 3. support from Strasbourg as a co-ordinating function for collaboration between entities (guides the strategy, supports the alignment of activities and shared measurement practices, advances policy, mobilises funding, supports advocacy efforts). <p>However, this has not as yet been extended to a full RBM approach, with development of mutual accountability between partners.</p>

Component	Finding
5.2 RBM capacity building	<p>What is expected?</p> <p>The Council of Europe always actively supports building the capacity of its implementing partners at country level.</p> <p>What did we find?</p> <p>Finding: Not a general requirement across the Organisation.</p> <p>Capacity development of partners is not a priority objective for the Office of the Directorate General of Programmes (ODGP), which co-ordinates Council of Europe co-operation activities in member states and non-member states in its neighbourhood. The ODGP ensures the strategic programming of these activities and mobilises resources for their implementation, while co-ordinating the Council of Europe's action with other organisations and agencies.</p>

Annex 7: Assessing the stage reached by the Council of Europe

The relevant sub-components used are set out below.

Stage	Continuous learning and adaptation for added value	Scope of involvement of staff and managers	How comprehensive is the coverage?	Alignment	Results linkage and management for outcome contribution
Components showing the driver in the stages (see Annex 6)	1.1 1.2 1.3 2.1 2.2 2.3 2.4 2.5 3.1 3.2 3.3 3. 4.1 4.3 5.1 5.2	1.1 1.2 1.3 2.1 2.2 3.2 4.2 4.3 5.1 5.2	1.1 1.2 1.3 2.1 2.2 2.4 5.1 5.2	2.2 2.3 3.1 3.2 3.3 5.1 5.2	1.2 2.2 2.4 2.5 3.1 3.2 3.3 4.2 4.3 5.1 5.2

Sub-component in place	
Sub-component partly in place	
Sub-component not in place	

Based on assessment of status by sub-component, the current status of RBM against the criteria is indicated in green in the table below.

Stage	Continuous learning and adaptation for added value	Scope of involvement of staff and managers	How comprehensive is the coverage?	Alignment	Results linkage and management for outcome contribution
Stage 1 Not started	The Organisation does not require a results focus for this component.	None.	Conducted none of the actions outlined in the description of the component.	No external or internal pressure to start.	Not bound to results levels or hierarchy of results.
Stage 2 Exploration for mainstreaming	The Organisation is planning, evaluating, scouting, exploring, prototyping and/or drafting how to mainstream a results focus into the component.	There is an indication that none or few decision makers/staff/senior management use management mainstreamed component.	Conducted none or few of the actions outlined in the description of the component.	Has only mainstreamed when an external party makes it a condition, at their request.	Not fully bound to results levels or hierarchy of results.
Stage 3 Transition to mainstreaming	The Organisation is executing actions towards full implementation of the results focus. Component is currently in the process of being fully adapted for the first time to highlight results as a management strategy.	There is an indication that some or several decision makers/staff/senior management occasionally use or refer to the results-based management mainstreamed component.	Conducted several or many of the actions outlined in the description of the component.	The Organisation has mainstreamed results-based management at its own determination.	Bound to results levels or hierarchy of results (input, output, outcome).
Stage 4 Fully mainstreamed	The Organisation is experienced now that it has already mainstreamed the results focus and it is refining it by studying the features of the component, and broadening its scope and spread within the Organisation and beyond it (if applicable).	There is an indication that some or many decision makers/staff/senior management systematically use or refer to the results-based management mainstreamed component.	Conducted many or most actions outlined in the description of the component.	The Organisation continued mainstreaming due to changes in the wider external context and what was done by partners.	Particularly tied to higher levels or top hierarchy of results: outcome level.
Stage 5 Continuous learning for renewal	The Organisation reviews and reflects on results reaped from completing the mainstreaming and is improving where gaps are spotted (renewing). The component is currently in the process of being changed to match the needs of the Organisation and stakeholders.	There is an indication that many or all decision makers/staff/senior management continuously use or refer to the results-based management mainstreamed component.	Conducted all or most of the actions outlined in the description of the component.	The Organisation adjusted mainstreaming to improve harmonisation with countries, donors and partners.	Principally focused on higher levels or top hierarchy of results: outcome level.

Annex 8: An example of clear programmatic logic – The independence and efficiency of the justice sub-programme

The independence and efficiency of the justice sub-programme contributes to the following intermediate outcome, which is intended to be achieved in the medium term:

- ▶ member states change their policy, legislation and practice to strengthen the role, status and function of judges and prosecutors, and address any dysfunctions in the delivery of justice

The sub-programme contributes to achieving this intermediate outcome through, in turn, contributing to three expected results:

1. member states have identified actions on the basis of the analysis and findings of the Commission for the Efficiency of Justice (CEPEJ) evaluations and tools in order to improve the efficiency and quality of their public justice;
2. member states have identified measures to improve laws, regulations, institutions, practices or funding related to the status and functioning of the professions of judges and prosecutors;
3. member states and, where appropriate, neighbourhood countries, have increased their capacity to strengthen their judicial systems.

The logic for how these expected results contribute to changes at intermediate outcome can clearly be seen. First, through application of the Commission for the Efficiency of Justice (CEPEJ) evaluations, policy makers and justice professionals in the member states can identify the status of the system for delivery of justice in their country (expected result 1) and options for how to address weaknesses in the system related specifically to judges and prosecutors (expected result 2). Expected result 3 then identifies a result found across most intergovernmental organisations, which is the need for some of the member states to strengthen their capacity to efficiently and effectively implement the selected options identified under Expected Results 1 and 2. The linkages between the three expected results and their assumed contribution to the intermediate outcome can therefore be clearly seen by reviewing

the intermediate outcome and expected results statements, and this broadly reflects the programmatic logic set out in Figure 14 in the 2020 RBM Practical Guide. As such, the sub-programme is a good example of the presentation of programme logic, as required within the Programme and Budget and for supporting both the current accountability and communication purposes of RBM within the Council of Europe.

The logic for how the outputs (see Figure 12 in the 2020 RBM Practical Guide) delivered through use of ordinary (staff and non-staff) and extra-budgetary resources managed under the independence and efficiency of the justice sub-programme are intended to contribute to the expected results is not set out in the 2020-2021 Programme and Budget document. We note that outputs are rarely identified in organisation-level results frameworks. However, transparently establishing the robustness of the linkage between outputs and expected results is important if a major purpose is to use RBM for programme management purposes. When interviewed, the programme co-ordinator for the independence and efficiency of justice sub-programme demonstrated that, in managing the sub-programme, the team periodically diagnosed the challenges and whether, and where, the Council of Europe had legitimacy to intervene or offer to do so. Diagnosis was based on feedback from the relevant monitoring findings, intergovernmental stakeholders, views of stakeholders at country level and the team's oversight of the implementation of projects contributing to expected result 3.

This in turn influenced decisions on what staff within the team should focus upon and where extra-budgetary resources needed to focus, and on the resource mobilisation strategy. The team reflected on the degree to which the sub-programme achieved what it was intended to achieve and identified what needed to change, based on experience. This was both in terms of information provided to the intergovernmental bodies supported through the sub-programme when deciding the focus of their work and in terms of the design of projects contributing to expected result 3.

The programme co-ordinator could easily explain how what was done by team members and how the outputs of the projects were expected to contribute to the expected results and how the team ensured that what was done reflected previous experience of what was seen to work and what was seen to be ineffective, even if this was not documented.

Therefore, the programme co-ordinator was able to demonstrate that the team had a clear and evidence-based programme logic linking what was done by the Council of Europe (outputs) with the

expected results. But this was not documented and had not been developed using tools found within the Organisation's RBM approach, albeit it addresses what would generally be expected in terms of developing and using a clear and credible understanding of a programme's logic. The fact that the linkage between outputs and expected results was not done explicitly using RBM reflects the current situation, where RBM has mainly been used to meet accountability and communication, rather than evidence-informed management decision-making needs.

Results-based management is one of the key performance areas for determining the organisational effectiveness of multilateral organisations. The Directorate of Internal Oversight commissioned this independent evaluation with the purpose to assess the maturity level of results-based management in the Council of Europe, identify current strengths and highlight any areas where the Organisation's results-based management system could be improved.

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The Council of Europe is the continent's leading human rights organisation. It comprises 47 member states, including all members of the European Union. All Council of Europe member states have signed up to the European Convention on Human Rights, a treaty designed to protect human rights, democracy and the rule of law. The European Court of Human Rights oversees the implementation of the Convention in the member states.