GIZ’s Results-Based Monitoring System
Framework of reference

This framework of reference sets out what we at GIZ mean when we talk about results-based monitoring. It describes the underlying concept of results-based monitoring and defines the criteria and principles. The framework is designed to enhance the effectiveness of GIZ development measures by mainstreaming results-based monitoring in commission management. It is aimed at all GIZ staff members, development advisors and integrated experts, and serves as information for partners, commissioning parties and clients.

1. Results orientation
GIZ’s understanding of results
Results are intended or unintended, positive or negative changes in a situation or in behaviour that occur as the direct or indirect consequence of an intervention. The observed change is considered a result of the development measure only if a causal or at least plausible connection can be demonstrated. Results may occur from the start of the measure and throughout its entire duration, and continue to evolve after its conclusion.

The GIZ results model
The results-based monitoring system is founded on the results model. It is compatible with other results logics (e.g. that of OECD-DAC) and is sufficiently flexible to be used in all of GIZ’s business areas and for all GIZ instruments.

The results model presents an intended change process (e.g. in a sector). It describes the causally related changes that occur. This leads to a complex, non-linear results model that opens up a systemic view, as it maps the entire change process influenced by the development measure.
The **objective** represents the result that can be achieved - realistically and on the basis of a binding commitment - within the time frame and financial scope of a measure and should usually be located at the outcome level. The level to which **objectives** are to be achieved may differ, depending on the requirements of the commissioning party/client and partners. Alternative strategy options within the change process are examined, negotiated and agreed in dialogue with partners, commissioning parties and clients.

Suitable tools for leveraging change and achieving results are identified. That is the point of entry for the **interventions** (activities and instruments) made by the partner(s) and GIZ in the development measure. **Activities** define the contribution made towards achieving results. The GIZ **instruments** are used according to the comparative advantages they offer, thus achieving the ideal combination of instruments.

Officers responsible for commissions and partners **control** the activities to be launched, thereby **influencing** changes and thus the achievement of objectives. The **sphere of responsibility** refers to the radius of action within which the development measure is steered and implemented in cooperation with other actors. Other actors and donors may act in other areas of the overall change process. There is little possibility of influencing those steps in the change process that are located outside the sphere of responsibility, although these may be in the **interest** of the development measure. The results-based monitoring system therefore observes these changes too. By distinguishing between the overall change process and the **sphere of responsibility** defined therein, we can identify the connections to the **framework conditions** and **risks**. Through the selection of suitable instruments and flexible activities, the development measure can avoid these risks and explore **alternative strategy options** within the change process.

### 2. Results-based Monitoring (RBM)

#### Concept

Results-based monitoring is an important steering tool with which we observe the entire **change process** triggered by a development measure. It provides the team and partners with a steady stream of information on whether the chosen path is likely to be successful, whether the set objectives need to be reviewed, or adjustments need to be made to the plan of operations.

**Tasks**

Monitoring is an integral part of the entire commissioning procedure.

- In **strategic planning**, the results model of the development measure is drawn up, laying the foundation for designing the monitoring system.
- At the start of **operational planning**, the monitoring system is established on the basis of the results model and a monitoring instrument is developed.
- While the development measure is being implemented, monitoring data are continuously collected, evaluated and analysed. These provide information on the implementation status of the development measure and on possible need for adjustment. They therefore form the basis for making **strategic and management decisions** for steering the development measure.
- Monitoring data are important as a basis for the assessments made in **evaluations**, whose findings are fed back into the monitoring system. Monitoring and evaluation therefore make it possible to **substantiate results**, perform **quality assurance** and comply with **accountability** obligations.
- Monitoring results provide us with sound evidence as a basis for communicating what works and where improvements need to be made. In so doing, they promote the **learning process** in the development measure and are incorporated into knowledge management. The lessons learned in decentralised evaluations can be used to adjust the design of the development measure or to prepare new measures.

**Roles and responsibility**

Results-based monitoring is part of commission management and thus under the management responsibility of the officer responsible for the commission. Together with the **partner** and GIZ **experts**, the monitoring system of the development measure is developed, and responsibilities for the various monitoring activities are agreed and laid down in the monitoring instrument. The partner’s monitoring systems are used wherever possible. If such processes are not yet in place, our aim is to assist partners in setting up monitoring and evaluation systems.

The officer responsible for the commission and the partners ensure that the results-based monitoring system is put into practice and that the monitoring data are shared among themselves and with the experts. They use the results-based monitoring system to steer the development measure, thereby ensuring that results are substantiated and guaranteeing the quality of the development measure.
3. RBM and Capacity WORKS

Monitoring activities provide information on the results of the interventions and enable us to draw conclusions about the strengths and weaknesses of the development measures. To understand why results are being or not being achieved, it is necessary to take a look at the success factors in Capacity WORKS:

- **Strategy**: ‘Which strategic service packages do we use to link up with key actors’ strategies for action and to achieve the intended objectives and results?’ Monitoring data provide continuous information on whether the path chosen by the development measure is promising, whether the strategy needs to be adjusted, and whether the set objectives need to be reviewed.

- **Cooperation**: ‘Which actors must be involved, and in what way, to achieve the development measure’s objectives and results?’

- **Steering structure**: Which actors are essential for steering the development measure in order to achieve objectives and results? How are decisions taken? Without results-based monitoring, steering is like flying blind.

- **Processes**: Which core processes in the sector must we focus on in order to provide the inputs necessary for achieving objectives and results?

- **Learning/innovation**: ‘Who has to learn what, and at which level, in order to achieve the objectives and results and to ensure that the required capacities for future development are anchored in the policy field in the long term?’

4. RBM quality criteria

A good results-based monitoring system is characterised by four core elements with the corresponding quality criteria:

(a) Design and structure
(b) Steering and Implementation
(c) Documentation and learning
(d) Cost-effectiveness

![Quality criteria for results-based monitoring (RBM)](image)

Each quality criterion is underpinned by a number of explanations that give guidance on designing and using a monitoring system. For a more detailed description of the quality criteria, see: [Link](#)