GUIDELINES FOR
RESULTS-FRAMEWORK DOCUMENT (RFD)
2013-2014

Department of Personnel & Administrative Reforms
GOVERNMENT OF MIZORAM

Background

Performance Monitoring and Evaluation System (PMES) is a system to both "evaluate" and "monitor" the performance of Government departments. Under PMES each department is required to prepare a Results-Framework Document (RFD).

RFD provides a summary of the most important results that a department expects to achieve during the financial year. This document has two main purposes: (a) shift the focus of the department from process-orientation to results-orientation, and (b) provide an objective and fair basis to evaluate department's overall performance at the end of the year.

The following Guidelines are divided into three broad sections: (I) Format of RFD; (II) Methodology for Evaluation; and (III) RFD Process and Timelines.

I. Format of Results-Framework Document

A Results-Framework Document (RFD) is essentially a record of understanding between a Minister representing the people's mandate, and the Secretary of a Department responsible for implementing this mandate. This document contains not only the agreed objectives, policies, programs and projects but also success indicators and targets to measure progress in implementing them. To ensure successful implementation of the agreed actions, RFD may also include necessary operational autonomy.

RFD seeks to address three basic questions: (a) What are department's main objectives for the year? (b) What actions are proposed to achieve these objectives? (c) How would someone know at the end of the year the degree of progress made in implementing these actions? That is, what are the relevant success indicators and their targets?

RFD should contain the following six sections:

Section 1   Department's Vision, Mission, Objectives and Functions
Section 2   *Inter se* priorities among key objectives, success indicators
             and targets
Section 3   Trend values of the success indicators
Section 4   Description and definition of success indicators and proposed
             measurement methodology
Section 5   Specific performance requirements from other departments
             that are critical for delivering agreed results
Section 6   Outcome / Impact of activities of department/ministry

Section 1: Department's Vision, Mission, Objectives and Functions

This section provides the context and the background for the Results-Framework Document. Creating a Vision and Mission for a department is a significant enterprise. Ideally, Vision and Mission should be a byproduct of a strategic planning exercise undertaken by the department. Both concepts are interrelated and much has been written about them in management literature. Here we will provide some working guidelines to write this section of the RFD.

A *Vision* is an idealized state for the department. It is the big picture of what the leadership wants the department to look like in the future.

The department's M*ission* is the nuts and bolts of the vision. Mission is the who, what and why of the department's existence.

Vision is a symbol, and a cause to which we want to bond the stakeholders, (mostly employees and sometime other stake-holders). As they say, the people work best, when they are working for a cause, than for a goal. Vision provides them that cause.

Vision is a long-term statement and typically generic and grand. Therefore a vision statement does not change from year to year unless the department is dramatically restructured and is expected to undertake very different tasks in the future.

Vision should never carry the 'how' part of vision. For example ' To be the most admired brand in Aviation Industry' is a fine vision statement, which can be spoiled by extending it to ' To be the most admired brand in the Aviation Industry by providing world-class in-flight services'. The reason for not including 'how' is that the 'how' part of the vision may keep on changing with time.

Writing up a Vision statement is not difficult. The problem is to make employees engaged with it. Many a time, terms like vision, mission and strategy become more a subject of scorn than being looked up-to. This is primarily because leaders may not be able to make a connection between the vision/mission and people's every day work. Too often, employees see a gap between the vision, mission and their goals and priorities. Even if there is a valid/tactical reason for this mismatch, it is not explained. The leadership of the department (Minister and the Secretary) should therefore consult a wide cross section and come up with a Vision that can be owned by the employees of the ministry/department.

Vision should have a time horizon of 5-10 years. If it is less than that, it becomes tactical. If it has a horizon of 20+ years (say), it becomes difficult for the strategy to relate to the vision.

Features of a good vision statement:
- Easy to read and understand.
- Compact and crisp to leave something to people's imagination.
- Gives the destination and not the road-map.
- Is meaningful and not too open ended and far-fetched.
- Excites people and makes them feel energized.
- Provides a motivating force, even in hard times.
- Is perceived as achievable and at the same time is challenging and compelling, stretching us beyond what is comfortable.

The entire process starting from the Vision down to the objectives is highly iterative. The question is from where we should start? We strongly recommend that vision and mission statement should be made first without being colored by constraints, capabilities and environment. It is akin to the vision of several armed forces: 'Keeping the country Safe and Secure from external threats'. This vision is non-negotiable and it drives the organization to find ways and means to achieve their vision, by overcoming constraints on capabilities and resources. Vision should be a stake in the ground, a position, a dream, which should be prudent, but should be non-negotiable barring few rare circumstances.

Mission follows the Vision:

We strongly recommend that mission should follow the vision. This is because the purpose of the organization could change to achieve their vision. Department's *mission* is the nuts and bolts of the vision. Mission is the who, what and why of your department's existence. The vision represents the big picture and the mission represents the necessary work.

Mission of the department is the purpose for which the department exists. It is in one way the road to achieve the vision.

Objectives:

Objectives represent the developmental requirements to be achieved by the department in a particular sector by a selected set of policies and programmes over a specific period of time (short-medium-long). For example, objectives of the Health & Family Welfare Department could include: (a) reducing the rate of infant mortality for children below five years; and (b) reducing the rate of maternity death by (30%) by the end of the development plan.

Objectives could be of two types: (a) Outcome Objectives address ends to be achieved, and (b) Process Objectives specify the means to achieve the objectives. As far as possible, the department should focus on Outcome Objectives.

Objectives should be directly related to attainment and support of the relevant objectives stated in the Five Year Plan, Annual Plan, Flagship Schemes and relevant sector and departmental priorities and strategies, Governor's Address, the manifesto, and announcement/agenda as spelt out by the Government from time to time.

Objectives should be linked and derived from the Departmental Vision and Mission statements.

The functions of the department should also be listed in this section. These functions should be consistent with the allocation of business for the department.

Section 2:	*Inter se* priorities among key objectives, success indicators and targets

The heart of the Section 2 of the RFD document consists of the Table 1. In what follows we describe the guidelines for each column of this Table.

Column 1: Select Key Departmental Objectives

From the list of all objectives, select those key objectives that would be the focus for the current RFD. It is important to be selective and focus on the most important and relevant objectives only.

Table 1: Format of the Results-Framework Document (RFD)

Column 1	Column 2	Column 3	Column 4	Column 5	Column 6				
					Target / Criteria Value				
Objective	Weight	Actions	Success Indicator	Unit	Weight	Excellent	Very Good	Good	Fair	Poor
						100%	90%	80%	70%	60%
Objective 1		Action 1								
		Action 2								
		Action 3								
Objective 2		Action 1								
		Action 2								
		Action 3								
Objective 3		Action 1								
		Action 2								
		Action 3								

Column 2: Assign Relative Weights to Objectives

Objectives in the RFD should be ranked in a descending order of priority according to the degree of significance and specific weights should be attached to these objectives. The Minister in-charge will decide the *inter se* priorities among departmental objectives and all weights must add to 100 including that of mandatory indicators which is 6 for the year 2012-13.

Column 3: Specify Means (Actions) for Achieving Departmental Objectives

For each objective, the department must specify the required policies, programmes, schemes and projects. Often, an objective has one or more policies associated with it. Objective represents the desired "end" and associated policies, programs and projects represent the desired "means." The latter are listed as "actions" under each objective.

Column 4: Specify Success Indicators

For each of the "action" specified in Column 3, the department must specify one or more "success indicators." They are also known as "Key Performance Indicators (KPIs)" or "Key Result Indicators (KRIs)". A success indicator provides a means to evaluate progress in

achieving the policy, programme, scheme and project. Sometimes more than one success indicator may be required to tell the entire story.

Success indicators are important management tools for driving improvements in departmental performance. They should represent the main business of the organization and should also aid accountability. If there are multiple actions associated with an objective, the weight assigned to a particular objective should be spread across the relevant success indicators.

Success indicators should consider both qualitative and quantitative aspects of departmental performance.

In selecting success indicators, any duplication should be avoided. For example, the usual chain for delivering results and performance is depicted in Figure 1. An example of this results chain is depicted in Figure 2.
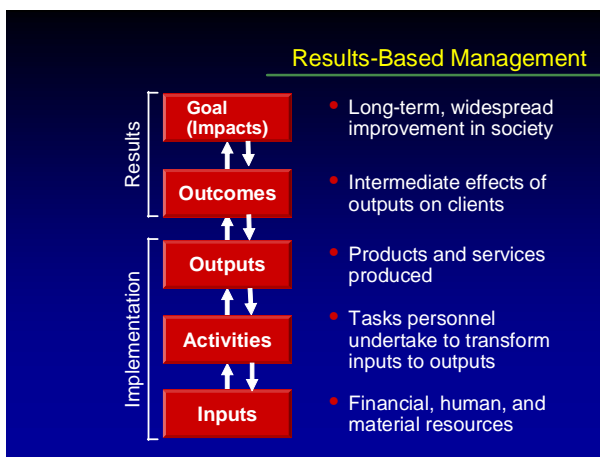

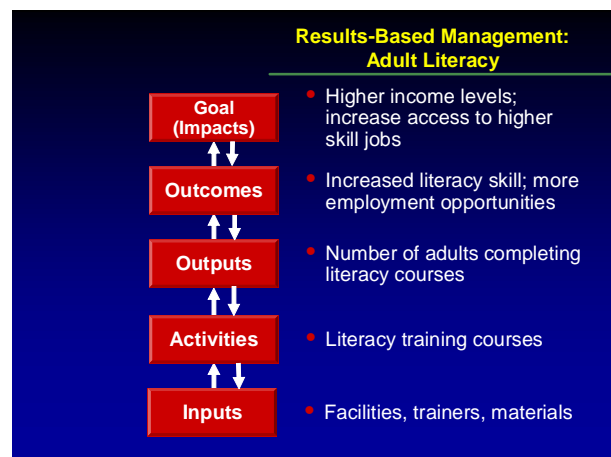**Figure 1:** Typical Results Chain   **Figure 2:** An Example of Results Chain

If we use Outcome (increased literacy) as a success indicator, then it would be duplicative to also use inputs and activities as additional success indicators.

Ideally, one should have success indicators that measure Outcomes and Impacts. However, sometimes due to lack of data one is able to only measure activities or output.

Column 5: Assign relative Weights to Success Indicators

If we have more than one action associated with an objective, each action should have one or more success indicators to measure progress in implementing these actions. In this case we will need to split the weight for the objective among various success indicators associated with the objective.

Column 6: Specify Targets for Success Indicators

The next step is to choose a target for each success indicator. Targets are tools for driving performance improvements. Target levels should, therefore, contain an element of stretch and ambition. However, they must also be achievable. It is possible that targets for radical

improvement may generate a level of discomfort associated with change, but excessively demanding or unrealistic targets may have a longer-term demoralizing effect.

The target should be presented as the following five-point scale

Excellent	Very Good	Good	Fair	Poor
100 %	90%	80%	70 %	60 %

It is expected that budgetary targets would be placed at 90% (Very Good). For any performance below 60%, the department would get a score of 0%.

Section 3:	Trend values of the success indicators

For every success indicator and the corresponding target, RFD must provide target values and actual values for the past two years and also projected values for two years in the future. The inclusion of target values for the past two years vis-a- vis the actual values will help in assessing the target value for the current year.

Table 2: Trend Value for Success Indicators

Objective	Actions	Success Indicator	Unit	Actual Value for FY 11-12	Actual Value for FY 12-13	Target Value for FY 13-14	Projected Value for FY 14/15	Projected Value for FY 15/16
Objective 1	Action 1							
	Action 2							
	Action 3							
Objective 2	Action 1							
	Action 2							
	Action 3							
Objective 3	Action 1							
	Action 2							
	Action 3							

Section 4:	Description and definition of success indicators and proposed measurement methodology.

RFD must contain a section giving detailed definitions of various success indicators and the proposed measurement methodology. Wherever possible, the rationale for using the proposed success indicators may be provided.

Section 5	Specific performance requirements from other departments that are critical for delivering agreed results.

This section should contain expectations from other departments that impact on the department's performance. These expectations should be mentioned in quantifiable, specific, and measurable terms.

Section 6	Outcome / Impact of activities of department/ministry

This section should contain the broad outcomes and the expected impact the **department** has on State welfare. This section should capture the very purpose for which the department exists.

This section is included for information only and to keep reminding us not only the purpose of the existence of **the department** but also the rationale for undertaking the RFD exercise. The evaluation will be done against the targets mentioned in Section 2. The whole point of RFD is to ensure that **departments** serve the purpose for which they were created in the first place.

The required information under this section should be entered in Table 3. The Column 2 of Table 3 is supposed to list out the expected outcomes and impacts. It is possible that these are also mentioned in the other sections of the RFD. Even then they should be mentioned here for clarity and ease of reference. For example, the purpose of Department of AIDS Control would be to Control the spread of AIDS. Now it is possible that AIDS control may require collaboration between several departments like Health and Family Welfare, Information and Public Relations Department etc. In Column three all departments jointly responsible for achieving the goal, are required to be mentioned. In Column 4 **department** is expected to mention the success indicator (s) to measure the **department** outcome or impact. In the case mentioned, the success indicator could be % of the population infected with AIDS. Column 5 to 9 give the expected trend values for various success indicators.

Table 3: Outcome / Impact of activities of department

1	2	3	4	5	6	7	8	9
S. No	Outcome / Impact	Jointly responsible for influencing this outcome / impact with the following organisation (s) / departments/ministry(ies)	Success Indicator (s)	2011-2012	2012-2013	2013-2014	2014-2015	2015-2016

II. Evaluation Methodology

At the end of the year, we look at the achievements of the government department, compare them with the targets, and determine the composite score. Table 4 provides an example from the health sector. For simplicity, we have taken one objective to illustrate the evaluation methodology.

The Raw Score for Achievement in Column 6 of Table 4 is obtained by comparing the achievement with the agreed target values. For example, the achievement for first success indicator (% increase in primary health care centers) is 15 %. This achievement is between 80 % (Good) and 70 % (Fair) and hence the "Raw Score is" 75%.

The Weighted Raw Score for Achievement in Column 6 is obtained by multiplying the Raw Score with the relative weights. Thus for the first success indicator, the Weighted Raw Score is obtained by multiplying 75% by .50. This gives us a weighted score of 37.5%

Finally, the Composite Score is calculated by adding up all the weighted Raw Scores for achievements. In Table 4, the Composite Score is calculated to be 84.5.

The composite score shows the degree to which the government department in question was able to meet its objective. The fact that it got a score of 84.5 % in our hypothetical example implies that the department's performance vis-à-vis this objective was rated as "Very Good."

The methodology outlined above is transcendental in its application. Various Government departments will have a diverse set of objectives and corresponding success indicators. Yet, at the end of the year every department will be able to compute its Composite Score for the past year. This Composite Score will reflect the degree to which the department was able to achieve the promised results.

Departmental Rating	Value of Composite Score
Excellent =	100% - 96%
Very Good =	95% - 86%
Good =	85 – 76%
Fair =	75% - 66%
Poor =	65% and below

Table 4: Example of Performance Evaluation at the End of the Year

Column 1	Column 2	Column 3		Column 4		Column 5						Column 6		
						Target / Criteria Values								Weighted Raw Score
Objective	Action	Criteria / Success Indicators		Unit	Weight	Excellent	Very Good	Good	Fair	Poor		Achievement	Raw Score	
						100%	90%	80%	70%	60%				
Better Rural Health	Improve Access to Primary Health Care	1	% Increase in number of primary health care centers	%	.50	30	25	20	10	5		15	75%	37.5%
		2	% Increase in number of people with access to a primary health center within 20 KMs	%	.30	20	18	16	14	12		18	90%	27%
		3	Number of hospitals with ISO 9000 certification by December 31, 2011	%	.20	500	450	400	300	250		600	100%	20%
													Composite Score =	**84.5%**

III. RFD Process and Timelines

A. Beginning of the Year

- At the beginning of each financial year, with the approval of the Minister concerned, each Department will prepare a Results-Framework Document (RFD) consistent with these guidelines.

- To achieve results commensurate with the priorities listed in the RFD, the Minister in-charge will approve the proposed activities and schemes for the Department. The Ministers in-charge will also approve the corresponding success indicators (Key Result Areas – KRAs or Key Performance Indicators – KPIs) and time bound targets to measure progress in achieving these objectives.

- Based on the proposed budgetary allocations for the year in question, the drafts of RFDs will be completed by 20th of March every year. To ensure uniformity, consistency and coordinated action across various Departments, a review of these drafts will be carried out and feedback will be provided to the *Departments concerned*. This process will be completed by March 31 of each year.

- The final versions of all RFDs will be put up on the websites of the respective Ministries by the 15th of April each year.

- The Results-Framework Document of each Department will be submitted by 15th April of each year. It will take into account budget provisions and in particular the Outcome Budget.

B. During the Year

- After six months, the Results Framework as well as the achievements of each Department against the performance goals laid down at the beginning of the year will be reviewed by the High Power Committee on Government Performance consisting of Chief Secretary, Personnel & Administrative Reforms, Planning and Finance Secretary. At this stage, the Results-Framework Documents may have to be reviewed and the goals reset, taking into account the priorities at that point of time. This will enable to factor in unforeseen circumstances such as drought conditions, natural calamities or epidemics. The report of the High Power Committee on Government Performance will be submitted to the Chief Minister for further action as deemed necessary.

C. End of the Year

- At the end of the year, all Departments will review and prepare a report listing the achievements of their department against the agreed results in the prescribed format. This report will be expected to be finalized by the 1st of May each year.

- After scrutiny by the Chief Secretary, these results will be placed before the Cabinet for information by 1st of June each year.

IV. Time Table 2013-2014 RFDs

The proposed time table for 2013-14 is given below:-

WHEN		WHAT	WHO
2013	March 20	Submit final drafts of the Results-Framework Document (RFD) for 2013-14 to Personnel & Administrative Reforms Department.	State Departments
	April 9-10	Desk Review by the Ad-hoc Task Force (ATF) on Results Framework Document at New Delhi	PMD/ATF
	April 23	Submission to Personnel & Administrative Reforms Department of modified RFDs for 2013-14 after incorporating ATF comments	State Departments
	May 1-2	Meetings of State Secretaries with Ad hoc Task Force (ATF) to review revised drafts of RFDs for 2013-14 at Aizawl	State Nodal Agency /PMD (GOI)
	May 31	Finalize 2013-14 RFDs after incorporating suggestions of High Power Committee of State Government	State Departments
	June 3	Place Results-Framework Documents (RFDs) on departmental websites	State Departments
2014	May 1	Submit year-end evaluation report on progress during the year	State Departments
	May 12	Review Meeting with the Ad-hoc Task Force (ATF) on year-end evaluation results at New Delhi	State Nodal Agency /PMD (GOI
	May 25	Finalize year-end evaluation results after incorporating suggestions of High Power Committee of Mizoram Government	State Nodal Agency
	June 1	Place the Evaluation Results before the Mizoram Cabinet.	Chief Secretary/ State Nodal Agency
	June 1	Place the Evaluation Results on the website of the Ministry/Department	State Departments

V. Mandatory Success Indicators :

		Actions	Success Indicator	Unit	Weight	Target / Criteria Value				
						Excellent	**Very Good**	**Good**	**Fair**	**Poor**
						100%	**90%**	**80%**	**70%**	**60%**
1	**Efficient Functioning of the RFD System**	Timely submission of Draft RFD for 2014-15 for Approval	On-time submission	Date	2%	March 20 2014	March 21 2014	March 22 2014	March 25 2014	March 26 2014
		Finalize Strategic Plan (After meeting all intermediate deadlines)	Finalize the Strategic Plan for next 5 years	Date	2%	Oct. 10 2013	Oct. 14 2013	Oct. 18 2013	Oct. 24 2013	Oct. 28 2013
2	**Improving Internal Efficiency/ Responsiveness/ Service Delivery of Department**	Development RFDs for all Responsibility Centres (Subordinate Offices, Attached Offices and Autonomous Bodies)	Percentage of RCs covered	%	2%	100	95	90	85	80
		Implementation of Sevottam	Create a Sevottam compliant system to implement, monitor and review Citizen's / Client's Charter	Date	2%	Oct. 15 2013	Oct. 21 2013	Oct. 25 2013	Oct. 28 2013	Oct. 31 2013
			Create a Sevottam Compliant system to redress and monitor public Grievances	Date	2%	Oct. 15 2013	Oct. 21 2013	Oct. 25 2013	Oct. 28 2013	Oct. 31 2013
		TOTAL WEIGHT=			**10%**					

VI. RFD Submission Process

All RFDs must be submitted to the Department of Personnel & Administrative Reforms as per the Time Schedule.

a. RFD data should be entered in the Results Framework Management System (RFMS).

b. Electronic copy of the RFD in PDF format should be sent by mail to the following email address: **email id of Principal Secretary, Department of Personnel & Administrative Reforms.**

c. Printed Version (15 copies) to be handed over to the Department of Personnel & Administrative Reforms.