

# Guidance on Applying Results-Based Management in Compliance with Human Rights-Based Approach

## Introduction

Results-Based Management (RBM) and the Human Rights-Based Approach (HRBA) are currently two of the programming principles for Finnish development cooperation. KIOS Foundation's donor, the Ministry for Foreign Affairs, has developed two separate guidelines for the application of RBM and the HRBA, but there is no single manual on how to apply these partly contradictory principles in a complementary way. These instructions are created by KIOS to our partners in order to provide more practical guidance on how to apply RBM in compliance with HRBA.

## The complementarity of RBM and HRBA

RBM should be done in compliance with HRBA in which human rights law and its' principles are the standards. The UNDG Guidance Note<sup>1</sup> characterizes RBM as a management tool to help reach a desired result in a more effective manner where as human rights-based approach is a framework that helps define the results and the process by which results are achieved.

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<sup>1</sup> UNDG Guidance Note [A Human Rights- and Results-Based Management Approach to United Nations Development Cooperation at the Country Level](#)

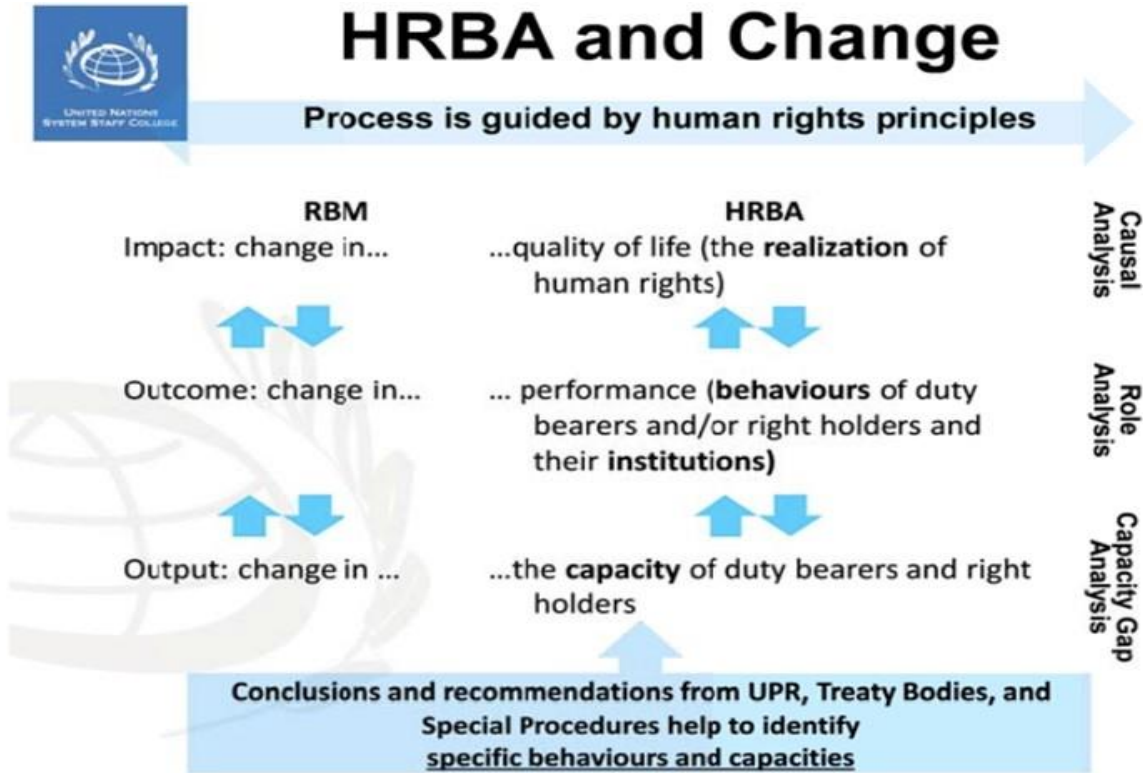


Figure 4. Slide from the UN HRBA common learning package.

Human Rights-Based Approach and Change. Source: UN HRBA common learning package.

## Definitions of four levels of Human Rights-Based Results

For KIOS Foundation results are about social change in line with human rights values and principles. In the partnerships of KIOS the results should be defined and monitored as well as evaluated on following four levels of human rights-based results:

- Impact (long-term result)

Positive changes in the life, dignity and wellbeing of rights-holders (both individual and groups).

- Outcome

Changes in the behaviour, practice, policies, decision-making of duty-bearers and/or right holders and other responsible and their institutions ( indicators are often

describing the qualitative processes of participation, accountability, access to justice and non-discrimination and equity more than numeric results.

- Outputs

Changes in skills, awareness, access or ability of duty-bearers and/or right-holders and other responsible and their institutions.

- Activities

The activities used and resources delivered in closing the capacity gaps of right-holders and duty-bearers and their institutions.

- Process (qualitative elements of rights-based results)

In HRBA the processes are as important as the results. For this reason the indicators should always consider also the extent to which human rights principles (e.g. non-discrimination, equality, participation and accountability) have been incorporated into the action processes.

KIOS application and reporting forms focus on output and outcome level of results beside qualitative processes because impact level results are hard to verify. However in some long-term partnerships impact level results may occur and then also this level should be considered.

## Other main elements of RBM in line with HRBA

- Indicator

Indicators used in HRBA should be concerned of monitoring both the *process* and *outcome* of the action. Indicators should be used to monitor capacity gaps closed in order to activate processes and structural change. It should also be used to monitor the ways in which the action processes have met the human rights principles, including non-discrimination, equality, participation and accountability, especially for persons in vulnerable positions.

- Target

Targets are the concrete expressions of the objectives. A target means either an expected numeric result at various times during the implementation of the intervention, but it can also be a benchmark of a more qualitative nature. For the indicators targets set the level that one hopes to achieve at the end of the action.

- Baseline

Baseline data is collected at one point in time and is used as a point of reference against which results will be measured or assessed in the future. International and national sources of information can be combined to provide a comprehensive review of what is known, what is not known, and what can be addressed through the action. Baseline data can be more generic referring to the human rights context and situation as defined in the application, or more specific baseline data for certain indicators. A baseline for an indicator is the level of the indicator at the beginning of the action.

- Sources of verification

The way to collect information and sources of data used for indicators.

- Assumptions

The necessary positive conditions that need to be realized to achieve the expected results.

## Communicating about expected and realized results to KIOS

The above definitions are needed when communicating both the intended and realized results to KIOS.

Expected results are defined in the proposal phase and especially in KIOS' application form question number 16. Please note that also that contextual baseline analysis required in question number 13 is highly relevant as it states the situation before the action.

Realized results are described latest in the final report. KIOS reporting templates have questions on realized results, which are to be filled in and submitted at the end of the implementation of the action.

The reporting of human rights-based results should concentrate on the capacity gaps closed in order to activate the needed processes and also on the structural changes enhanced in order to make the state more accountable and responsive to international and regional human rights standards. It should also reflect the ways in which the action processes have met the human rights principles, including participation, inclusion, and transparency, especially for vulnerable groups. Also note that reporting about the capacity gaps closed or internal learning processes in your own organizations are important especially if there has been some earmarked support to organizational capacity building.

## Communicating about changes in the expected results

The assumption in the planning phase that the space for human rights work remains the same must be assessed continually. KIOS encourages all its' partners to communicate also openly about the risks and changes or needs to be assessed in order to reach the initial goal without taking any unnecessary risks.

Also the human rights principles such as participation and inclusion should always be respected in all the processes even though it might mean that original plan needs to be changed in order to achieve the objectives (and break the simple chains of causalities). In short, human rights-based result management demands accountability to the right-holders and also highlights the importance of internal learning processes. These demands may lead to changes in planned results during the action implementation, which should be always communicated with KIOS in between grant reporting and in interim and final reporting.

## Building the capacity of partners to apply RBM

KIOS will develop this guidance note and further explore and communicate ways to work with its' partners who may be unable to comply with RBM requirements but who have the appropriate mandate to represent groups with which KIOS Foundation needs to engage in order to achieve human rights goals.