



United Nations
Economic Commission for Africa

PERFORMANCE MANAGEMENT DASHBOARD

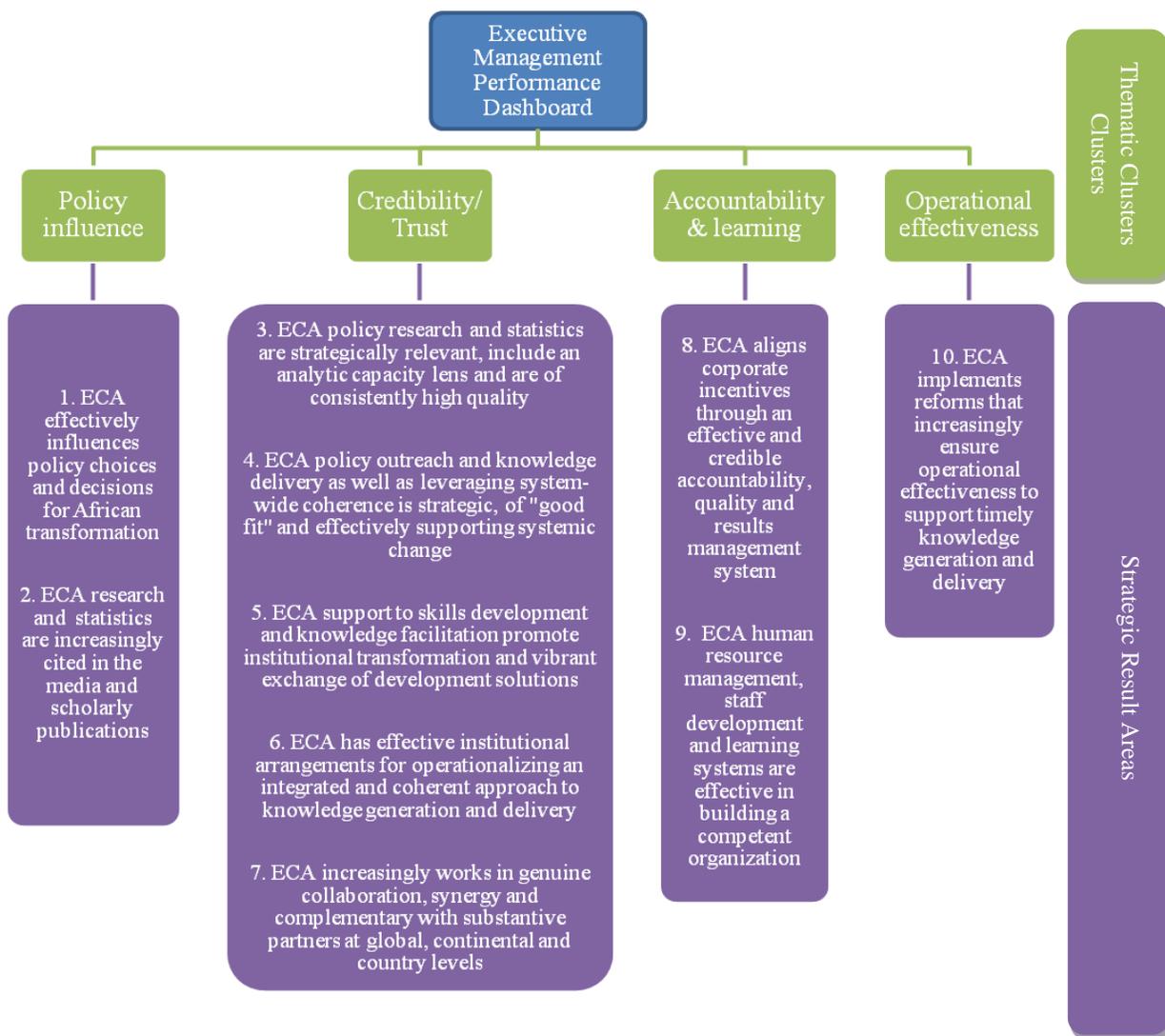
Final User Guide

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The ECA Performance Management Dashboard

The Performance Management Dashboard is organized into four (4) thematic clusters: (i) Policy influence; (ii) Credibility/Trust; (iii) Accountability and learning; and (iv) Operational effectiveness. These clusters are underpinned by ten strategic result areas (see below) which are measured using over 100 key performance indicators.



A Diagram of Thematic Clusters, Strategic Areas, and Strategic Results¹

Thematic Cluster	Strategic Area	Strategic Result
Influence	ECA effectively influences policy choices and decisions for African transformation	Increased uptake of policy or policy change as a result of ECA contribution
	ECA research and statistics are increasingly cited in the media and scholarly publications	ECA effectively builds up its media reputation ECA effectively builds up its scholarly reputation
Credibility and Trust	ECA policy research and statistics are strategically relevant, include an analytic capacity lens and are of consistently high quality	Increased ability to attract advisory resources from partners
		Increased generation, dissemination and deployment of quality research and evidence
		Country profiles and statistics are of consistently high quality
		Increased utility of ECA research, statistics and analysis work
	ECA policy outreach and knowledge delivery as well as leveraging system-wide coherence is strategic, of "good fit" and effectively supporting systemic change	ECA effectively leverages system-wide coherence and synergies through the UN system ("Delivering as One") as well as the partnership with AUC and ADB to support African structural transformation
		ECA policy outreach is pertinent, well targeted, of "good fit" and engagement is of consistently high quality
	ECA support to skills development and knowledge facilitation promote institutional transformation and vibrant exchange of development solutions	ECA training provision of high quality and change relevant within the institutional environments of trainees
		Enhanced Skills for professionals engaged in statistics, policy formation and development planning in ECA thematic focus areas
		ECA is effective in facilitation of knowledge exchange and access to knowledge
	ECA has effective institutional arrangements for operationalizing an integrated and coherent approach to knowledge generation and delivery	ECA has established effective corporate leadership and the institutional arrangements for operationalizing an integrated and coherent approach to knowledge generation and delivery
		Thematic Strategy teams function as vibrant and effective interdivisional spaces
		ECA provides coherent and well-coordinated support to MS and pan-African partners
ECA incentive systems are fully aligned to promote an integrated and coherent approach		
ECA increasingly works in genuine collaboration, synergy and	ECA actively seeks and promotes substantive partnerships in research and knowledge delivery	

¹ A review of the linkages between SRAs and SRs has been initiated. SRs will be reformulated for clarity.

Thematic Cluster	Strategic Area	Strategic Result
	complementary with substantive partners at global, continental and country levels	ECA effectively leverages partner technical capacity and human and financial resources to deliver a joint programme of work
Accountability and Learning	ECA aligns corporate incentives through an effective and credible accountability, quality and results management system	Timely implementation of the Executive Secretary's (ES) compact
		ECA is an accountable development partner
		Performance management (ECA systematically improves the management of Staff Performance)
		Audit recommendations systematically managed
		Strengthened organizational learning stance (evaluation)
		Strengthened organizational learning stance (satisfaction surveys – major events)
	ECA human resource management, staff development and learning systems are effective in building a competent organization	Effective human resources management
	Enhanced staff development	
Operational Effectiveness	ECA implements reforms that increasingly ensure operational effectiveness to support timely knowledge generation and delivery	Enhanced output delivery for all subprogrammes (policy research and knowledge delivery)
		Enhanced programme & financial delivery specific to DA projects
		ECA framework for managing for results introduced and implemented
		Finance and Budget performance managed in a timely manner as per defined targets
		Efficient management of procurement of Goods and Services
		Provision of travel services in accordance with established rules and procedures
		ECA supports the Organization's management reform agenda on UMOJA, IPSAS and ICT
		Operational efficiency of HR management
		Enhanced reduction of carbon footprint
		Digital Secretariat towards a sustainable and efficient organization

Key Performance Indicators (KPIs)

Cluster A – INFLUENCE

SRA1: ECA effectively influences policy choices and decisions for African transformation

SR1.01 Increased uptake of policy or policy change as a result of ECA contribution

A010101

Number of MSs and RECs supported towards adopting policies in the context of Agenda 2063 goals and SDGs

Definition: This is an input indicator, measuring whether ECA entities (Divisions/SROs/IDEP) reach out to its main constituency (MSs and RECs as the units of analysis) as planned in their approved Programme Budget²; that is the unit of analysis is the MS or REC Due to modalities of engagement with RECs, they are regarded as a separate unit in data collection and analysis. All policy research and knowledge delivery divisions set baseline and targets for the number of member states and regional economic communities to support within ECA's priority areas:

1. Greening Africa's Industrialization,
2. Boosting intra African Investments,
3. Promoting Social Development with a focus on Informality and Inequality, Migration for Development, Financing for Development, Urbanization for Africa's Structural Transformation, and
4. Climate Change and the Management of Natural Resources)³.

To this end, this KPI is directly associated with the "indicators of achievement" and "performance measures" outlined in the Programme Budget that specifically relate to influencing policy choices and decisions of MSs and RECs through several targeted activities such as advisory services, technical cooperation, policy campaign, partnerships and major events – all covered under the Credibility and Trust Cluster.

Baseline and Target: Performance measures (baseline and target) approved in the Programme Budget

Implementing Divisions: All Policy Research and Knowledge Delivery Divisions/SROs/IDEP

Responsibility for Data Entry: All Policy Research and Knowledge Delivery Divisions/SROs/IDEP

Documentary evidence: Programme Budget, memorandum of understanding or signed agreements with MSs and RECs, project proposals if any, written communication

A010102

Number of policy decisions taken by MSs and RECs as a result of ECA's interventions in priority areas

Definition: This is an impact indicator, measuring the result of ECA's policy research production and delivery on policy makers in Africa in line with its think-tank business model.⁴The indicator intends to capture breadth of governmental decisions or actions influenced by ECA's policy research and knowledge delivery interventions; that is, the unit of analysis is decision or action. Due to modalities of engagement with RECs, they are regarded as a separate unit in data collection and analysis. This means that a policy decision taken by a REC is counted as one decision, instead of counting the number of MSs who by default adopt the very same decision. This indicator substantiates the previous indicator by outlining the results achieved under each MS or REC that the ECA entity worked with. A range of options can be considered as policy decision or action: legislative, legally binding acts in a given country, actions taken based on resolutions adopted at Conference of Ministers and recommendations from intergovernmental

² Proposed Programme Budget for the Biennium 2016-2017. Available at <http://www.un.org/en/ga/fifth/70/ppb1617sg.shtml>

³ ECA (2013). Putting Africa First. Available at Putting Africa First (<http://www.uneca.org/publications/putting-africa-first>)

⁴ ECA (2013). ECA Business Model 2013-2015. Available at <http://repository.uneca.org/pdfpreview/bitstream/handle/10855/22286/b10721198.pdf?sequence=1>.

or statutory bodies, green papers or official government announcements (see documentary evidence). “Actions” refer to any definite tasks and responsibilities determined and distributed to implement the proposed recommendations in an effort to change the current status. As such, ECA entities can influence MSs and RECs at different levels of policymaking process from agenda setting to policy formulation. The Indicator invites all policy research and knowledge delivery divisions and SROs to plan strategic activities through their Annual Business Plan that aim to advance the uptake of such decisions and actions in line with ECA’s contributions in priority areas:

1. Greening Africa’s Industrialization,
2. Boosting intra African Investments,
3. Promoting Social Development with a focus on Informality and Inequality, Migration for Development, Financing for Development, Urbanization for Africa’s Structural Transformation, and
4. Climate Change and the Management of Natural Resources.

This indicator is successfully achieved when indicators in other clusters, especially Credibility and Trust, are achieved with high quality. To this end, Annual Business Planning exercise is essential in generating strategic activities towards influencing policy.

Baseline and Target: To be determined by the Implementing Divisions based on approved PPB and ABP

Implementing Divisions: All Policy Research and Knowledge Delivery Divisions/SROs

Responsibility for Data Entry: All Policy Research and Knowledge Delivery Divisions/SROs

Documentary Evidence: Any official, governmental documentation including but not limited to legislations, white papers, policy briefs, reports and memorandums as well as written communication with senior policymakers

SRA2 – ECA effectively builds up its media and scholarly reputation

SR 2.01. ECA research and statistics are increasingly cited in the media and scholarly publications

A020101

Number of references to ECA policy research and statistics in media

Definition: This KPI intends to measure the reputation of ECA’s policy research, recommendations and statistics produced with general public, policymakers, thought leaders, influential knowledge exchange platforms. The indicator also attempts to assess ECA’s ability to use print, electronic and new media to communicate its research to its constituency and engage with decision-makers⁵. Print, electronic and new media refer to major news outlets, local and regional journals, weekly newspapers, tenders, influential blogs, as well as TV and radio, online transcripts and social media. Data for this indicator is provided through Online Media Monitoring and Analysis by a contractor.

Baseline and Target: 2015 total media hits are the baseline; target to be determined by PIKMD

Implementing Divisions: ECA

Responsibility for Data Entry: PIKMD

Documentary Evidence: Analytical Reports of PIKMD Service Provider

A020102

Impact of selected ECA publications

Definition: This KPI intends to measure the changes in decision-makers in African governments resulting from exposure to three ECA publications, namely Economic Report on Africa, Country Profiles and Assessing Regional Integration in Africa. This indicator represents a composite index of several impact measures assessing cognitive, motivational and behavioral changes occurred at the individual, interpersonal and collective levels. An annual questionnaire is designed to assess the depth and breadth of such changes in end-users (available upon request).

⁵ ECA (2013). The ECA Communications Strategy. Available at ECA Communications Strategy (<http://www.uneca.org/publications/eca-communications-strategy>)

Baseline and Target: 0-5 (standard scale)
Time-bound: Annually (following the publication schedule)
Implementing Divisions: MPD, RITD, SROs, ACS and SDPD
Responsibility for data entry: PIKMD
Documentary evidence: Survey results

Cluster B – Credibility and Trust

SRA3 – ECA policy research and statistics are strategically relevant, include an analytic capacity lens and are of consistently high quality

SR3.01. Increased ability to attract advisory resources from partners

B030103

Number of speaker programmes by non-ECA prominent experts and noted authorities to ECA audiences

Definition: Speaker programmes are a form of public speaking that serve to formally disseminate specialty knowledge related to ECA's strategic programme of work. Prominent experts are high level experts with demonstrated skills and/or knowledge in subject matters covered under ECA subprogrammes. PIKMD to implement while all Divisions/SROs/IDEP would be expected to contribute by recommending potential speakers, making introductions and promoting these events.

Baseline and Target: To be determined by the Implementing Division based on their programme of work.

Responsibility for Data Entry: PIKMD

Implementing Divisions: PIKMD

Documentary Evidence: Copies of Announcements/Invitations for Speaker Events

SR3.02. Increased generation, dissemination and deployment of quality research and evidence

B030201

Number of professional staff members per Division that have contributed to research papers as per established criteria

Definition: This series of KPIs (B030201-B030204) seek to capture progress on the growing participation of all professional staff (in Policy Research and Knowledge Delivery) in the production of original research papers each year. This KPI measures the level of staff participation in successfully meeting the requirements. Papers are defined as a contribution to any of the following: report or book, policy briefs, ECA publications, ECA Journal, special thematic reports, case studies, research papers, and working papers⁶. This KPI is time-bound and refer to the performance cycle [by end of performance cycle].

Staff at the P2 and P3 levels in the policy research: Two (2) research contributions/papers per year.

Staff at the P4 and P5 level in the policy research: Four (4) research contributions/papers per year.

Staff at the P2 and P3 levels in the knowledge delivery: One (1) research contribution/paper per year.

Staff at the P4 and P5 level in the knowledge delivery: (2) research contributions/papers per year.

Baseline and Target: To be determined by the Implementing Division based on their programme of work

Responsibility for Data Entry: All Policy Research Divisions, CDD, SROs, IDEP

Implementing Divisions: All Policy Research Divisions, CDD, SROs, IDEP

Documentary Evidence: Matrix of Staff, Topics, Internal review facts, Completion date, Publication Date

⁶ The "established criteria" for these research paper contributions are detailed in Information Circulars and Administrative Instructions No. 003, No. 023 and No. 024 of 2014.

B030202**Number of publications, including research papers, per Division that have been internally peer reviewed**

Definition: This series of KPIs (B030201-B030204) seek to capture data on the growing participation of all professional staff (in Policy Research and Knowledge Delivery) in the production of original research papers each year⁷. This KPI monitors the amount of publications, including research papers, per Division that have been internally peer reviewed. Publications include the following: research papers, case studies, working papers, flagship publications, summaries, press releases, policy briefs, thematic or geographic thematic publications, policy newsletters, ECA Journal, special thematic reports, serial publications and proceedings⁸. An “internal peer review” is defined as the assessment of the quality of publications prior to publishing by other domain experts working in or close to the topic of the publication. Internal peer review guidelines are to be developed and shared by the Operational Quality Section of SPOQD based on corporate and international standards. Please refer to the relevant procedures under Operational Quality Manual⁹.

Baseline and Target: To be determined by the Implementing Division based on their programme of work

Responsibility for Data Entry: All Policy Research Divisions, CDD, SROs, IDEP

Implementing Divisions: All Policy Research Divisions, CDD, SROs, IDEP

Documentary Evidence: A written description of internal peer review system/practices of the respective Divisions/SROs/IDEP, and a matrix charting the actual implementation of the peer review process.

B030204**Number of ECA’s professional staff research papers that have been published in peer reviewed journals, books**

Definition: Research papers are defined as original studies on specific topics - rather than summary or repackaging of existing knowledge - which any staff member can initiate¹⁰. Peer reviewed journals/books are academic and/or scientific periodicals that contain articles or research papers written and reviewed by experts in the field. This KPI intends to capture the production of research papers that are published in such periodicals that are subject to industry-based, thorough quality reviews¹¹. PIKMD is to launch a scientific journal database that classifies the high impact, peer- reviewed journals or books.

Baseline and Target: To be determined by the Implementing Division based on their programme of work

Responsibility for Data Entry: All Policy Research Divisions, CDD, SROs, and IDEP

Implementing Divisions: All Policy Research Divisions, CDD, SROs, IDEP

Documentary Evidence:

SR 3.03. Country profiles and statistics are of consistently high quality**B030301****Number of Country Profiles published**

Definition: Country Profiles are one of ECA’s major publications that produce and disseminate country and regional-specific policy analyses and recommendations for economic transformation to promote sustainable growth and social development¹². The production of Country Profiles is the main responsibility of sub-regional offices. This KPI monitors the number of Country Profiles published annually. As such, publications guidelines need to be followed to be able to provide data for this indicator. For a knowledge product to be published, it needs to be quality assured (internally or externally).

⁷ ECA (2015). Publications Catalog 2015. Available at <http://www.uneca.org/publications/publications-catalogue-2015>

⁸ Information Circular No. 043 on Publications and Documentation Guidelines at ECA.

⁹ ECA (2014). Operational Quality Policy and Plan 2014-2017. Available at (<http://repository.uneca.org/handle/10855/22851>).

¹⁰ ECA (2014). Information Circulars No. 003, No. 023 and No. 024.

¹¹ ECA (2014). Users’ Guidelines on the preparation and submission of Documentation. Available at <http://repository.uneca.org/bitstream/handle/10855/22850/b11524601.pdf?sequence=1>

¹² ECA (2013). The Concept Note on ECA Country Profiles. Available at http://www.uneca.org/sites/default/files/PublicationFiles/Concept-note-on-ECA-Country-Profiles_en.pdf

Baseline and Target: To be determined by the Implementing Division based on their programme of work
Responsibility for Data Entry: SROs
Implementing Divisions: SROs
Documentary Evidence: Quality Reviewed Country Profiles

B030302

Number of Country Profiles updated and/or produced quarterly

Definition: Quarterly updates of Country Profiles are produced by the SROs to reflect current and emerging issues in the country providing updates. This KPI measures the number of PUBLISHED quarterly updates of Country Profiles.

Baseline and Target: To be determined by the SROs based on their programme of work¹³

Responsibility for Data Entry: SROs

Implementing Divisions: SROs

Documentary Evidence: Quarterly updates of Country Profiles

B030303

Number of Sub-regional Profiles published

Definition: Sub-regional Profiles produce and disseminate sub-regional-specific policy analyses and recommendations for economic transformation to promote sustainable growth and social development. This KPI measures the number of PUBLISHED Sub-regional Profiles.

Baseline and Target: To be determined by the Implementing Division based on their programme of work

Responsibility for Data Entry: SROs

Implementing Divisions: SROs

Time-bound: This indicator is included in the Strategic Framework 2018-2019 hence the indicator may be neutralized for 2016

Documentary Evidence: Sub-regional Profiles

SRA4 – ECA policy outreach and knowledge delivery as well as leveraging system-wide coherence is strategic, of "good fit" and effectively supporting systemic change

SR 4.01. ECA effectively leverages system-wide coherence and synergies through the UN system ("Delivering as One") as well as the partnership with AUC and ADB to support African structural transformation

B040101

Number of participants in RCM meetings, disaggregated by gender, seniority and type of entity represented

Definition: RCM (Regional Coordination Mechanism) meetings are convened by the Economic Commission for Africa (ECA) and held on an annual basis that provide an operational framework for coordinating the United Nations support to NEPAD (New Partnership for Africa's Development) at the regional level.

Baseline and Target: To be determined by the Implementing Division based on their programme of work

Responsibility for Data Entry: CDD

Implementing Divisions: CDD

Documentary Evidence: Matrix comparing with previous year senior participants

¹³ Proposed Programme Budget for the Biennium 2016-2017. Available at <http://www.un.org/en/ga/fifth/70/ppb1617sg.shtml>

B040104**Number of participants in SRCM meetings, disaggregated by gender, seniority and type of entity represented**

Definition: SRCM (Sub-Regional Coordination Mechanism) meetings are convened by the Sub-Regional Offices of the Economic Commission for Africa (ECA) and held on an annual basis that provide an operational framework for coordinating the United Nations support to NEPAD (New Partnership for Africa's Development) at the sub-regional level.

Baseline and Target: To be determined by the Implementing Division based on their programme of work

Responsibility for Data Entry: SROs

Implementing Divisions: SROs

Documentary Evidence: Matrix comparing with previous year senior participants

B040102**Number of participants in major events disaggregated by gender**

Definition: Major events include Conference of Ministers, Intergovernmental Bodies, ADF, EGMs. The "intergovernmental bodies" referred to in this KPI are the following:

1. Intergovernmental Committee of Experts of ECA sub regional offices (ICE),
2. Committee on Women and Social Development,
3. Committee on Sustainable Development,
4. Committee on Regional Cooperation and Integration, and
5. Committee on Statistics (Statcom-Africa)

Baseline and Target: To be determined by the Implementing Division based on their programme of work

Responsibility for Data Entry: Conference Services/DoA

Implementing Divisions: Policy Research Divisions/CDD/SROs/IDEP

Documentary Evidence: Matrices of participant lists for all major events with information on entities they represent, their gender and their seniority level

B040103**Number of significant joint initiatives by the AUC, AfDB, and ECA**

Definition: The KPI measures progress made in facilitating and coordinating the implementation of joint initiatives of the three regional institutions: AUC, AfDB and ECA¹⁴.

Baseline and Target: To be determined by the Implementing Division based on their programme of work

Responsibility for Data Entry: OES/ODES-KG

Implementing Division: OES/ODES-KG

Documentary Evidence: Narrative reports, performance reviews and reports on the joint initiatives

SRA5 – ECA Support to skills development and knowledge facilitation promote institutional transformation and vibrant exchange of development solutions.**SR5.02. Enhanced Skills for professionals engaged in statistics, policy formation and development planning in ECA thematic focus areas****B050201****Number of participants in IDEP trainings disaggregated by gender**

Definition: African Institute for Economic Development and Planning (IDEP) provide short courses, training workshops and seminars throughout the year on pan-African or sub-regional topics with the aim of supporting human capacities and sustainable socio-economic development of newly independent

¹⁴ ECA (2013). Partnership Strategy for the Economic Commission for Africa
http://www.uneca.org/sites/default/files/PublicationFiles/ECA-Partnership-framework-strategy_ENG.pdf

African countries¹⁵. IDEP provides tailored-trainings on topics of interest that various professional participants benefit from. Focal Point need to track the progress in comparison to the comparable numbers from the previous year.

Baseline and Target: To be determined by the Implementing Division based on their programme of work

Responsibility for Data Entry: IDEP

Implementing Divisions: IDEP

Documentary Evidence: A matrix comparing numbers from previous year.

B050203

Number of participants who expressed satisfaction with IDEP trainings

Definition: The level of satisfaction is determined through feedback surveys administered by IDEP reflecting comments, markings or ratings made by the training participants on the quality, usefulness, effectiveness and efficiency of the IDEP training they have participated. It captures the overall user satisfaction from IDEP trainings.

Baseline and Target: To be determined by the Implementing Division based on their programme of work

Responsibility for Data Entry: IDEP

Implementing Divisions: IDEP

Formula: IDEP aggregates the level of satisfaction above a cut-off point for all participants to come up with one single figure

Documentary Evidence: Matrix of results of all post-training surveys administered

B050208

Number of visiting fellows at ECA disaggregated by gender

Definition: ECA's fellowship programme invites qualified young African professionals below 30 years of age with a Master's or advanced degree to provide them with practical, on-the-job experience as they prepare for a career in research, international development or public sector¹⁶. This KPI measures ECA's implementation of fellowship programmes aimed at providing professional development opportunities for African students and young professionals.

Baseline and Target: To be determined by the Implementing Division based on their programme of work

Responsibility for Data Entry: HRSS/DoA

Implementing Divisions: Policy Research Divisions/CDD/SROs/IDEP

Documentary Evidence: Matrix with details about fellows (including area of expertise, institutional affiliations, and gender)

SR5.03. ECA is effective in facilitation of knowledge exchange and access to knowledge

B050304

Overall rating of ECA Communities of Practices on their growth and vibrancy for effective knowledge facilitation

Definition: Communities of Practice (CoP) represent people of a profession, or a discipline – a practice – which has or can establish operational norms for how it carries out its work¹⁷. ECA Communities of Practices include (1) African Statistical Knowledge Network, (2) African Development Planners Network and (3) Gender Network. PIKMD uses a system to measure “growth,” “vibrancy,” “balance,” “knowledge production,” “knowledge product turnaround time,” and “user satisfaction” in order to produce an overall rating for each CoP.

Baseline and Target: To be determined by the Implementing Division based on their programme of work

Responsibility for Data Entry: PIKMD

Implementing Divisions: ECA

¹⁵ ECA (2013). ECA Capacity Development Strategy. Available at <http://www.uneca.org/publications/capacity-development-strategy>

¹⁶ ECA Fellowship Programme. See <http://www.uneca.org/pages/fellowship>.

¹⁷ ECA (2013). The ECA Knowledge Management Strategy. Available at http://www.uneca.org/sites/default/files/PublicationFiles/The-ECA-Knowledge-Management-Strategy_en.pdf

Formula: An index of all measurable attributes of CoPs

Documentary Evidence: Matrix showing performance measurements for each CoP and the aggregation of results. PIKMD survey results or website statistics/traffic.

B050305

Number of countries with at least 3 data points and 10 indicators on development goals

Definition: Data point is defined as a multivariate observation, in this definition it has 10 components. The KPI measures the number of countries with at least 3 data points and 10 indicators since 2005 in accordance with international recommendations and standards for monitoring Sustainable Development Goals (SDGs), building upon the Millennium Development Goals and converging with the post 2015 development agenda for which data time series exist in the ECA Databank as compared to previous year.

Baseline and Target: To be determined by the Implementing Division based on their programme of work

Responsibility for Data Entry: ACS

Implementing Divisions: ACS

Documentary Evidence: Matrix showing the countries with the number of data points and indicators compared to previous year.

SRA6 – ECA has effective institutional arrangements for operationalizing an integrated and coherent approach to knowledge generation and delivery.

SR6.01. ECA has established effective corporate leadership and the institutional arrangements for operationalizing an integrated and coherent approach to knowledge generation and delivery

B060106

Number of briefings provided to senior policymakers by ECA Officials

Definition: Briefings are meetings where detailed information on a specific topic are provided, including those provided by the Executive Secretary, Deputy Executive Secretary, ECA directors and other staff. Senior policy makers are defined as parliamentarians, ministers, deputy secretaries, vice presidents, prime ministers, and/or presidents.

Baseline and Target: To be determined by the Implementing Division based on their programme of work

Responsibility for Data Entry: OES/ODES/Policy Research Divisions/CDD/SROs/IDEP

Implementing Divisions: OES/ODES/Policy Research Divisions/CDD/SROs/IDEP

Documentary Evidence: Matrix of Briefings to include Date, subject, ECA personnel providing the briefing, and Senior Policymakers receiving the briefing. Email communication and invitations to the briefings, presentations (PPTs etc.) can be included too; high level policy dialogues

B060109

Number of keynote speeches and other presentations at national/regional/Pan-African/Global events

Definition: “Keynote” is defined as a major presentation that sets the underlying tone for the event. Keynote speakers are invited by the sponsoring institution. It is a prestigious role and gives recognition to the expertise of the individual presenting the “Keynote Address” and the importance of his/her institution. This KPI is intended to measure how frequently the ECA is perceived as an important and credible Knowledge Production and Delivery Institution with which other institutions wish to engage by inviting ECA officials/directors/staff to present major addresses to audiences of these institutions. This indicator is not for tracking speeches or presentations by ECA officials/directors/staff at ECA-sponsored events.

Baseline and Target: To be determined by the Implementing Division based on their programme of work

Responsibility for Data Entry: Policy Research Divisions/CDD/SROs/IDEP/OES

Implementing Divisions: Policy Research Divisions/CDD/SROs/IDEP/OES

Documentary Evidence: Copies of Announcements of Speaker Events or invitations

SR 6.04. ECA incentive systems are fully aligned to promote an integrated and coherent approach

B060402

Number of policy research division staff who have spent at least 5% of their time on cross-divisional work in Knowledge Delivery

Definition: Research staff are expected to dedicate time to support cross-divisional work such as in policy dialogue, training, policy advice, strategic initiatives of TSTs, IDEP training, etc. ¹⁸

Baseline and Target: To be determined by the Implementing Division based on their programme of work

Responsibility for Data Entry: All Policy Research Divisions

Implementing Divisions: All Policy Research Divisions

Documentary Evidence: Performance Reviews and Reports (Extracts)

SRA7 – ECA increasingly works in genuine collaboration, synergy and complementary with substantive partners at global, continental and country levels.

SR 7.02. ECA actively seeks and promotes substantive partnerships in research and knowledge delivery

B070201

Number of partners engaged in pursuit of collaborative policy research and/or knowledge delivery as per the Annual Business Plan

Definition: The KPI intends to measure the performance of Divisions/SROs/IDEP in forging strategic and results-based collaborative alliances, in line with planned “external partnerships” articulated in the ABP¹⁹. The partnerships with critical actors are expected to contribute to improving the rigor and relevance of knowledge produced by the Commission and maximizing the impact of its policy campaigns and knowledge delivery to core policy constituents. The six categories of partners deemed key to advancing the work of the Commission²⁰ include strategic partners such as AU, AfDB and League of Arab States, member States and RECs, UN agencies, non-state actors, south-south and triangular cooperation. The indicator calls for all policy research and knowledge delivery Divisions/SROs/IDEP to identify strategic, technical and implementing partners, through their Annual Business Plans, and engage the partners for effective programme delivery. ²¹.

Baseline and Target: To be determined by the Implementing Division based on their programme of work

Responsibility for Data Entry: All Policy Research and Knowledge Delivery Divisions/SROs/IDEP

Implementing Divisions: All Policy Research and Knowledge Delivery Divisions/SROs/IDEP

Documentary Evidence: Signed letters of agreement, memoranda of understanding, partnership arrangements, or Letters of Intent. In cases of already established/ formalized partnerships, documentation demonstrating collaboration in the form of written communication (email or letters), mission reports, research reports etc. can be considered as evidence.

¹⁸ ECA (2014). *Administrative Instruction No. 23*

¹⁹ ECA (2013). *The ECA Communications Strategy: How communications and media relations will project and help bring about the “new” ECA*. Available at <http://www.uneca.org/sites/default/files/PublicationFiles/pdf>

²⁰ ECA (2013). *Partnership Strategy for the Economic Commission for Africa*. Available at http://www.uneca.org/sites/default/files/PublicationFiles/ECA-Partnership-framework-strategy_ENG.pdf

²¹ Ibid.

B070202**Number of strategic corporate partnership arrangements designed and negotiated in support of knowledge production, dissemination and policy advocacy work of the Commission**

Definition: The indicator aims at measuring performance concerning the design, negotiation and launch of mutually beneficial horizontal and vertical partnership arrangements in the form of strategic coalitions and alliances.²² The arrangements should involve key actors on the African development landscape and aim at promoting policy research and knowledge delivery to advance Africa's transformative agenda. The partnership arrangements should intend to leverage the comparative advantages of collaborating parties and respond better to the evolving needs of member States within the context of new and emerging opportunities and challenges.

Baseline and Target: To be determined by SPOQD/PRMS based on approved ABP and in close collaboration with OES, Divisions/SROs and IDEP.

Responsibility for Data Entry: SPOQD/PRMS

Implementing Divisions: SPOQD/PRMS, in close collaboration with OES, Divisions/SROs and IDEP.

Documentary Evidence: Signed memoranda of understanding and partnership arrangements/ cooperation frameworks

SR 7.03. ECA effectively leverages partner technical capacity and human and financial resources to deliver a joint programme of work.

B070204**Amount of new extra-budgetary (XB) resources mobilized in support of the current ECA Programme Budget**

Definition: This indicator intends to capture performance in meeting the annual target of new XB funds mobilized during the year in question to execute the current ECA Programme Budget. The new funds do not include funds committed to activities planned for the previous year and balance carried forward thereof. The estimates are a function of 'subprogramme resource requirements' and 'expected funding' from partners. The biennial XB requirement is an aggregate resource requirement pulled from the approved 2016-2017 PPB (see footnote), which is based on resource requirements of subprogrammes. The XB estimates are further revised in line with pledges and commitments from signed grant agreements and pipeline negotiations that are at an advanced stage.

Baseline: US\$26.64 million (2015 figures)

Target 2016: US\$25.83 million²³;

Target 2017: US\$25.83 million²⁴

Responsibility for Data Entry: SPOQD/PRMS

Implementing Divisions: SPOQD/PRMS in collaboration with knowledge delivery and knowledge generation divisions

Documentary Evidence: Quarterly UMOJA voluntary contribution report, receipt of funds issued by Finance Section/ Cashiers' Office, and signed agreements

²² Ibid.

²³ Proposed Programme Budget for the Biennium 2016-2017. (A/70/6 (Sect.18)

²⁴ Proposed Programme Budget for the Biennium 2016-2017. (A/70/6 (Sect.18)

Cluster C – Accountability and Learning

SRA8 – ECA aligns corporate incentives through an effective and credible accountability, quality and results management system.

SR8.01 Timely implementation of the Executive Secretary’s (ES) compact where it relates to accountability and learning

C080101

Number of joint projects, programmes and activities implemented by United Nations agencies and organizations through the RCM and SRCM in support of the African Union Agenda 2063, including the NEPAD Programme and the AUC Strategic Plan 2014-2017

Definition: This KPI attempts to measure the ECA performance in strengthening the RCM/SRCM process, and in ensuring it is anchored in the AU Agenda 2063 including NEPAD Programme and the AUC Strategic Plan 2014-2017 at the regional and sub-regional levels.

Baseline and Target: TBD

Implementing Divisions: All Policy Research Divisions/CDD/SROs

Responsibility for Data Entry: CDD/SROs

Documentary Evidence: RCM/SRCM minutes, programme/project concept notes document, and progress reports.

C080102

Number of advisory services provided to MS, in priority areas

Definition: This KPI measures the extent to which ECA is requested to provide advisory services to ECAs member states to increase their uptake of policy change as a result of ECA’s contribution on priority areas such as;

- i. Greening Africa’s Industrialization,
- ii. Boosting intra-African Investments,
- iii. Promoting Social Development with a focus on Informality and inequality,
- iv. Migration for Development,
- v. Financing for Development,
- vi. Urbanization for Africa’s Structural Transformation and
- vii. Climate Change and the Management of Natural Resources.

Baseline and target: 2015 – TBD by each sub-programme based on relevant Programme of Work

Implementing Divisions: Policy Research Divisions/CDD/SROs/OES

Responsibility for Data Entry: CDD

Documentary Evidence: Meeting minutes, mission reports, invitations for advisory service

C080105

Number of cases where instructions for prudent resource utilization were not fully utilized

Definition: This KPI measures the ECA responsibility and accountability in the management of its financial resources. This KPI refers to utilization of resources for the purpose that they have been allotted and in line with the financial rules and regulations of the UN. It is measured in the day to day and quarterly review/monitoring of resource utilization whereby;

1. Through the delegation of authority access to various funds are given to personnel who are held personally responsible for inappropriate use of the resources;
2. Prior to certification of an obligation checks are made to ensure that the correct BAC is being charge
3. During quarterly reviews and where anomalies become apparently divisions are informed and followed up with for the required correction; and
4. During the second budget performance review additional checks and corrections are made if necessary prior to submitting the performance report to HQ.

Baseline and target: TBD determined by the implementing divisions

Implementing Divisions: All Divisions
Responsibility for Data Entry: SPOQD
Documentary Evidence: TBD based on instructions/memo's/guidance

C080106

Number of meetings to review XB obligations and allotments

Definition: This KPI measures the ECA responsibility and accountability in the management of its financial resources. This KPI refers to a repository that details the meetings and other milestones in the progressive review of obligations and allotments during the year between SPOQD and DOA.

Baseline and target: TBD determined by the implementing divisions

Implementing Divisions: SPOQD/PPBS and DOA/Finance

Responsibility for Data Entry: SPOQD/PPBS

Documentary Evidence: PPBS's quarterly project monitoring report

SR8.03. Performance management (ECA systematically improves the management of Staff Performance)

C080301

Number of Directors that have completed Divisional work plans and shared with staff by the end of March

Definition: This KPI measures the Directors' adherence to the established timelines for the completion and distribution of work plans across all staff members²⁵. These work plans are based on the annual business plan of the individual division. Directors may opt to have their own mechanism to share and discuss the divisional work plans so that staff members can prepare their ePass.

Baseline and Target: Total number of directors

Time bound: Data entry for this indicator to be included in the beginning of 2nd Quarter results only (respecting March deadlines)

Implementing Divisions: All Divisions/SROs/IDEP

Responsibility for Data Entry: Directors of All Divisions/SROs/IDEP

Documentary Evidence: HR Tracking Docs, completed work plans, divisional meeting notes

C080302

Number of First Reporting Officers (FROs) that have had discussions with staff on work plans before end of April

Definition: This KPI measures the FROs adherence to the established timelines for the completion of discussions with staff on work plans²⁶. These work plans are used to create individual ePass. On Inspira, the box on "have you had a discussion with your FRO on the work plan" can be used to verify the information.

Baseline and Target: Number of FROs

Time bound: Data entry for this indicator to be included in the beginning of 2nd Quarter results only (respecting April deadlines).

Implementing Divisions: All Divisions/SROs/IDEP

Responsibility for Data Entry: All Divisions/SROs/IDEP

Documentary Evidence: HR Tracking Docs, Inspira reports, divisional meeting notes

²⁵ Administrative Instruction no. ST/AI/2010/5 on Performance Management and Development System

²⁶ Ibid.

C080303**Number of FROs that have completed midpoint discussions with staff by end of September**

Definition: This KPI measures the FROs adherence to the established timelines for the completion of midpoint discussions with staff.

Baseline and target: TBD determined by DoA

Time bound: Data entry for this indicator to be included in the 3rd Quarter and 4th Quarter results only. (4th Quarter reporting required on midpoint discussions not held in September but delayed and held during 4th Quarter)

Responsibility for Data Entry: DOA/HRSS

Implementing Divisions: All Divisions/SROs/IDEP

Documentary Evidence: HR Tracking Docs, Inspira

C08030**Number of staff performance evaluations that are completed by end of June**

Definition: This KPI measures compliance in the completion of all ePAS assessments²⁷.

Baseline and target: TBD determined by DoA

Time bound: Data entry for this indicator to be included in the 2nd Quarter results. Continued reporting required in 3rd and 4th Quarter until 100% compliance is reached and all ePAS assessments of complete.

Implementing Divisions: All Divisions/SROs/IDEP

Responsibility for Data Entry: DOA/HRSS

Time-bound: To be completed by end of June (end of cycle)

Documentary Evidence: HR Tracking Docs, Inspira

C080306 (2016 ES Compact Indicator)**ECA Executive Performance Management Dashboard which combines critical strategic, operational and financial information to aid strategic decision-making, is fully operational**

Definition: This KPI aims to measure the progress in (i.e., implementation rate of) operationalizing the ECAs integrated accountability system.

Baseline and target: Milestones for operationalizing the PMD determine the implementation rate:

1. Regular and timely data entry to the platform by Divisions
2. Production of reports by PPBS
3. Periodic quality assurance
4. Resources for PMD are reviewed
5. Decisions are taken based on PMD data

Implementing Divisions: SPOQD

Responsibility for Data Entry: SPOQD

Documentary Evidence: Concept Note; updated User Guides; Quality assurance reports; evaluation report

SR 8.04. Audit recommendations systematically managed**C080401****Percentage of *critical* audit recommendations implemented by deadline set by oversight body**

Definition: This KPI measures the implementation rate of recommendations as per timeframe set in ECA's management response²⁸. Critical recommendations address significant and/or pervasive deficiencies or weakness in governance, risk management or internal control processes, such that reasonable assurance cannot be provided regarding the achievement of control and/or business

²⁷ Ibid.

²⁸ ECA (2014). Evaluation Policy and Plan.

objectives under review. Since the number of recommendations cannot be known in advance, performance for this KPI is measured based on target set by the UNHQ which is 80%.

Baseline and target: Target set by HQ at 80% based on the audit recommendations for the year

Time bound: TBD set by oversight body

Implementing Divisions: SPOQD

Responsibility for Data Entry: SPOQD

Documentary Evidence: OIOS website; management response

C080402

Percentage of *important* audit recommendations implemented by deadline set by oversight body

Definition: The KPI measures the implementation rate of recommendations as per timeframe set in ECA's management response. Important recommendations address important deficiencies and/or weaknesses in governance, risk management or internal control processes, such that reasonable assurance may be at risk regarding the achievement of control and/or business objectives under review. Since the number of recommendations cannot be known in advance, performance for this KPI is measured based on target set by the UNHQ which is 80%.

Baseline and target: Target set by HQ at 80% based on the audit recommendations for the year

Time bound: TBD set by oversight body

Implementing Divisions: SPOQD

Responsibility for Data Entry: SPOQD

Documentary Evidence: OIOS website; management response

SR 8.05. Strengthened organizational learning stance (evaluation)

C080501

Number of Programmes/Projects of more than USD 1 million that are systematically evaluated according to plan

Definition: This KPI measures the implementation of the ECA's Evaluation Policy and Plan for programmes/projects of more than USD 1 million. Amounts refer to allocated RB/XB funding of programmes/projects – excluding post related resources.

Baseline and target: TBD by SPOQD/Eval according to the annual work plan

Implementing Divisions: SPOQD in cooperation with All Policy Research Divisions/CDD/SROs/IDEP

Responsibility for Data Entry: SPOQD

Documentary Evidence: Final evaluation reports

C080502

Number of Programmes/Projects of less than USD 1 million that are evaluated according to plan – at least once in a life cycle

Definition: This KPI measures the implementation of the ECA's Evaluation Policy and Plan for programmes/projects of less than USD 1 million. Amounts refer to allocated RB/XB funding of programmes/projects – excluding post related resources.

Baseline and target: Evaluation/SPOQD

Implementing Divisions: SPOQD in cooperation with All Policy Research Divisions/CDD/SROs/IDEP

Responsibility for Data Entry: SPOQD

Documentary Evidence: Final evaluation reports

C080503

Number of Programmes/Projects that receive management response and associated follow-up action after the evaluations

Definition: “Management response” is the corporate response that highlights actions that will be taken to address recommendations made during the evaluation.

Baseline and target: TBD

Implementing Divisions: All Policy Research Divisions/CDD/SROs/IDEP

Responsibility for Data Entry: SPOQD

Documentary Evidence: Memoranda with proof of management response and follow-up action

C080505

Number of staff who participated in capacity development activities from SPOQD on results-based programming instruments

Definition: The KPI measures the extent to which staff in all Divisions/SROs/IDEP have received capacity development activities (briefings, trainings, orientation sessions) on programming (planning, monitoring, budgeting, quality assurance and evaluation) instruments and tools that SPOQD designs and implements for results-based programme management.

Baseline and target: To be determined by SPOQD

Implementing Divisions: SPOQD

Responsibility for data entry: OQS/SPOQD

Documentary evidence: Matrix of attendance at briefing/capacity building sessions
Divisions/SROs/Institute

C080506

Number of strategic outputs compliant with established quality standards

Definition: This KPI intends to measure the implementation of the Operational Quality Policy and Plan.²⁹ Strategic outputs are determined by the Senior Management Team and the list may be subject to change every year. Currently, Economic Report on Africa, Country Profiles, ECA Corporate Databank, Strategic Planning Instruments, ICT and Knowledge Management Services, and Business Processes (including procurement, human resources, finance, and facilities management) are considered strategic outputs that are subject to quality reviews by way of external panels.

Baseline and target: To be determined by OQS/SPOQD

Implementing Divisions: OQS/SPOQD

Responsibility for data entry: SPOQD

Documentary evidence: SPOQD matrix on compliance with quality assurance procedures

SR 8.06. Strengthened organizational learning stance (satisfaction surveys – major events)

C080601

Number of participants who expressed satisfaction with ECA’s flagship events (COM and ADF)

Definition: This KPI measures positive feedback in the form of satisfaction received through event evaluation surveys completed by participants. This KPI includes only the Conference of Ministers and ADF that are considered flagship events. These events have been institutionalized into the programme of work.

Baseline and target: To be determined by SPOQD

Implementing Divisions: SPOQD/Eval

Responsibility for Data Entry: ES/SPOQD

Formula: Aggregation of satisfaction across events

Documentary Evidence: Event surveys (Poken and others)

²⁹ ECA (2014). The Operational Quality Policy and Plan 2014-2017. Available at Available at (<http://repository.uneca.org/handle/10855/22851>).

SRA9 – ECA human resource management, staff development and learning systems are effective in building a competent organization

SR 9.01. Effective human resources management

C090103

Number of recruitment plans submitted by ECA divisions by mid-December for the following year

Definition: This KPI measures the number anticipated job openings initiated by Hiring Manager which are expected to become available as identified through workforce planning or forecasting, for example due to retirement of the incumbent within 6 months.

Baseline and target: To be determined by the implementing division

Implementing Divisions: DOA (HRSS)

Responsibility for Data Entry: DOA (HRSS)

Documentary Evidence: Recruitment Plan

C090106

Number of recruitment cases where the number of days that hiring managers spend to review the list of candidates provided by the HRSS exceeds the standard timeline (as contained in the Clients Charter).

Definition: This KPI measures the average number of days that hiring managers take to review candidates under their authority.

Baseline and target: To be determined by the implementing division

Implementing Divisions: DOA (HRSS)

Responsibility for Data Entry: DOA (HRSS)

Documentary Evidence: HR Scorecard

C090101

Number of geographical appointments from un- or under-represented Member States or those "at risk" of under-representation

Definition: This KPI measures whether managers exercise their delegated human resources management authority in alignment with General Assembly mandates and priorities, consistent with policies and in an efficient and effective manner to enable achieving programmatic objectives by giving due regard to the principle of equitable geographical distribution.

Baseline and target: To be determined by the implementing division

Implementing Divisions: DOA (HRSS)

Responsibility for Data Entry: DOA (HRSS)

Documentary Evidence: HR Tracking tool

C090102

Number of female staff in senior professional categories (D1, D2 and equivalent)

Definition: This KPI measures ECAs efforts to attain gender parity at the senior professional level. The KPI measures whether managers exercise their delegated human resources management authority in alignment with General Assembly mandates and priorities, consistent with policies and in an efficient and effective manner to enable achieving programmatic objectives by increasing efforts to attain gender parity.

Baseline and Target: To be determined by the implementing division. DOA/HRSS to ensure that targets are aligned with the formulas for calculating "the customized target" as contained in the 2016 ES' Compact with the UNSG.

Implementing Divisions: DOA (HRSS)

Responsibility for Data Entry: DOA (HRSS)

Documentary Evidence: HR Tracking Tool

C090104**Number of female staff in non-senior professional categories (P1-P5 and equivalent)**

Definition: This KPI measures ECAs efforts to attain gender parity at the non-senior professional level. The KPI measures whether managers exercise their delegated human resources management authority in alignment with General Assembly mandates and priorities, consistent with policies and in an efficient and effective manner to enable achieving programmatic objectives by increasing efforts to attain gender parity³⁰.

Baseline and Target: To be determined by the implementing division. DOA/HRSS to ensure that targets are aligned with the formulas for calculating “the customized target” as contained in the 2016 ES’ Compact with the UNSG.

Implementing Divisions: DOA (HRSS)

Responsibility for Data Entry: DOA (HRSS)

Documentary Evidence: HR “Scorecard” table

C090105**Number of female staff in GS and other categories**

Definition: This KPI measures ECAs efforts to attain gender parity at the General Staff level. The KPI measures whether managers exercise their delegated human resources management authority in alignment with General Assembly mandates and priorities, consistent with policies and in an efficient and effective manner to enable achieving programmatic objectives by increasing efforts to attain gender parity³¹.

Baseline and Target: To be determined by the implementing division. DOA/HRSS to ensure that targets are aligned with the formulas for calculating “the customized target” as contained in the 2016 ES’ Compact with the UNSG.

Implementing Divisions: DOA (HRSS)

Responsibility for Data Entry: DOA (HRSS)

Documentary Evidence: HR “Scorecard” table

SR 9.03. Enhanced staff development**C090301****Number of reprofiling and substantive skills training and continuous professional development programmes completed**

Definition: This KPI measures staff development intervention carried out by the management. Staff development programmes include but not limited to the following: re-profiling exercise including UMOJA transactional training programmes, substantive skills training programmes, continuous learning opportunities and 5-day annual required staff training as captured in the ePass.

Baseline and target: To be determined by the implementing division. Target is based on annual work plan (planned trainings – to be obtained from the Divisions/SROs. Implementation of published plan of substantive skills/re-profiling; and statistics of completion of Umoja transactional and higher training programmes in different functional areas.

Implementing Divisions: All Divisions

Responsibility for Data Entry: DOA (HRSS)

Documentary Evidence: Schedule and participation matrix of trainings.

³⁰ General Assembly Resolution no. A/RES/63/250, Administrative Instruction no. 001 (Gender Parity Targets at the Commission) dated 31/01/2014

³¹ Ibid.

Cluster D – Operational Effectiveness

SRA10 – ECA implements reforms that increasingly ensure operational effectiveness to support timely knowledge generation and delivery.

SR 10.01. Enhanced output delivery for all subprogrammes (policy research and knowledge delivery)

D100101

Number of programme outputs delivered

Definition: This KPI intends to measure the overall performance in delivering the planned outputs as stated in the approved programme budget reported for IMDIS.³² Although a majority of outputs planned are already covered in other individual KPIs, this KPI provides an aggregate measure for organizational effectiveness, implying the timeliness and efficiency in implementation and results-management.

Baseline and Target: To be determined based on the Implementing Divisions' Programme of Work (ABP 2016 – Only outputs as per the PPB)

Implementing Divisions: All Divisions, SROs and IDEP

Responsibility for Data Entry: Implementing Divisions

Documentary Evidence: IMDIS

D100102

Number of work months completed by consultants

Definition: This indicator measures the prevalence of receiving external consulting services to implement the programme of work. Consultants are specialists with expert knowledge in a specific field providing advisory services towards a desired result. ECA entities engage several consultants to work on short-term assignments³³ to accomplish a result area within the programme of work. ECA's think-tank business model implicates recruitment and retaining of staff members with excellent research and analytical capabilities hence puts forward relevant staff development programmes so that programme of work is achieved and sustained with the existing staff skill set and knowledge. Therefore, this indicator intends to achieve a reduction in the number of consultants recruited over time.

Baseline and Target: Baseline year is last year's numbers and an annual reduction of 10% is the desired target.

Implementing Divisions: All Policy Research and Knowledge Delivery Divisions/SROs/IDEP

Responsibility for Data Entry: HRSS/DoA

Documentary Evidence: HR Scorecard

D100103

Number of workshops delivered solely by Divisions/SROs

Definition: This indicator intends to monitor the modalities of delivering workshops in line with the ECA think-tank business model. The business model dictates that IDEP provides specialized, tailored educational programmes as needed as the Commission's central mechanism for delivering workshops. Workshops are defined as hands-on training whereby participants actively engage in the learning materials presented and intentionally contribute to knowledge production. To this end, all policy research and knowledge delivery divisions as well as SROs are requested to collaborate with IDEP and transfer their funds to conduct such workshops. Programme Budget includes specific output category under "Other Substantive Activities (regular budget)" to capture the number of workshops delivered in collaboration with IDEP or solely by the Divisions and SROs.

Baseline and Target: To be determined by each implementing divisions

Implementing Divisions: All Policy Research and Knowledge Delivery Divisions/SROs

³² Proposed Programme Budget for the Biennium 2016-2017. Available at <http://www.un.org/en/ga/fifth/70/ppb1617sg.shtml>

³³ Find the HR Circular or Policy on the consultancies

Responsibility for Data Entry: Policy Research and Knowledge Delivery Divisions/SROs
Documentary Evidence: ABP, workshop concept note and report, Umoja BI

D100104

Number of cross-divisional outputs implemented through joint planning

Definition: This indicator monitors the joint planning initiatives in the format of outputs reported in ABP in support of efficient resource mobilization and effective output delivery. Annual Business Plan guidelines explicate provisions for and encourage joint planning among divisions wherever feasible.

Baseline and Target: To be determined by the Implementing Divisions based on their needs

Implementing Divisions: All Divisions/SROs/IDEP

Responsibility for Data Entry: SPOQD

Documentary Evidence: ABP

D100105

Number of working days Directors are away from the office on official missions

Definition: This indicator measures the presence of ECA's leadership team within the country office by monitoring the approved travel time of division directors to attend official missions within or outside of the country. Only travels completed with an approved expense report count towards this indicator. Directors are expected to appoint other staff members for travels requested by the Executive Secretary if they are approaching the limit for excessive travel (i.e., 15 days per month). The indicator does not capture the Executive Secretary's travels that often cannot be planned in advance.

Baseline and Target: 0 to 15 days per month (30 work days per quarter)

Implementing Divisions: All Policy Research and Knowledge Delivery Divisions/SROs/IDEP

Responsibility for Data Entry: Travel Unit/DoA

Documentary Evidence: Umoja BI, invitation letter for the official travel, delegation by OES

SR 10.02. Enhanced programme & financial delivery specific to DA projects

D100203

Amount of budget utilization of DA resources for all projects under 8th tranche

Definition: Budget utilization of DA resources refers to the funds that are allocated and delivered for the year of implementation in accordance with the approved work plan.³⁴

Baseline: Total budget expenditure from previous year (0 for the first year of implementation)

Target: Total funds budgeted for the year

Time-bound: Due to fluctuations in receipts of funds throughout the year, baseline-target and actual values may be entered at the end of Q4.

Implementing Divisions: All 8th tranche DA recipient Divisions/SROs

Responsibility for Data Entry: All 8th tranche DA recipient Divisions/SROs

Documentary Evidence: Status of allotment report extracted from UMOJA-BI

D100204

Amount of budget utilization of DA resources for all projects under 9th tranche

Definition: Budget utilization of DA resources refers to the funds that are allocated and delivered for the year of implementation in accordance with the approved annual work plan.³⁵

Baseline: Total budget expenditure from previous year (0 for the first year implementation)

Target: Total budgeted amount for the year (based on the annual work plan)

³⁴ Development Account Guidelines, Available at <http://www.un.org/esa/devaccount/projects/guidelines.html>

³⁵ Ibid.

Time-bound: Due to fluctuations in receipts of funds throughout the year, baseline-target and actual values may be entered at the end of Q4.

Implementing Divisions: All 9th tranche DA recipient Divisions/SROs

Responsibility for Data Entry: All 9th tranche DA recipient Divisions/SROs

Documentary Evidence: Status of allotment report extracted from UMOJA-BI

D100205

Number of annual outputs delivered for all projects under 8th tranche against the approved results work plan” (as stated in the approved Project document)

Definition: Annual outputs refer to those stated in the 3-year approved result work plan contained in the approved PRODOC.³⁶

Baseline and Target: To be determined by the DA recipient based on the outputs specified in the project document

Implementing Divisions: All 8th tranche DA recipient Divisions/SROs

Responsibility for Data Entry: All 8th tranche DA recipient Divisions/SROs

Documentary Evidence: Six months and Annual progress reports, mission reports, and any other relevant documentation showing progress in the delivery of outputs.

D100206

Number of annual outputs delivered for all projects under 9th tranche against the approved results work plan” (as stated in the approved Project document)

Definition: Annual outputs refer to those stated in the 3-year approved result work plan contained in the approved PRODOC.³⁷

Baseline and Target: To be determined by the DA recipient based on the outputs specified in the project document

Implementing Divisions: All 9th tranche DA recipient Divisions/SROs

Responsibility for Data Entry: All 9th tranche DA recipient Divisions/SROs

Documentary Evidence: Six months and Annual progress reports, mission reports, and any other relevant documentation showing progress in the delivery of outputs.

D100208

Amount of budget utilization of DA resources for all projects under 10th tranche

Definition: Budget utilization of DA resources refers to the funds that are allocated and delivered for the year of implementation in accordance with the approved work plan³⁸.

Baseline: Total budget expenditure from previous year (0 for the first year implementation)

Target: Total budgeted amount for the year (based on the annual work plan)

Time-bound: Due to fluctuations in receipts of funds throughout the year, baseline-target and actual values may be entered at the end of Q4.

Implementing Divisions: All 10th tranche DA recipient Divisions/SROs

Responsibility for Data Entry: All 10th tranche DA recipient Divisions/SROs

Documentary Evidence: Six months and Annual progress reports, mission reports, and any other relevant documentation showing progress in the delivery of outputs.

D100209

Number of annual outputs delivered for all projects under 10th tranche against the approved results work plan” (as stated in the approved Project document)

³⁶ Ibid.

³⁷ Ibid.

³⁸ This KPI will be open for data entry in the DB upon receipt of the funds.

Definition:³⁹ Annual outputs refer to those stated in the 3-year approved result work plan contained in the approved PRODOC⁴⁰.

Baseline and Target: To be determined by the DA recipient based on the outputs specified in the project document

Implementing Divisions: All 10th tranche DA recipient Divisions/SROs

Responsibility for Data Entry: All 10th tranche DA recipient Divisions/SROs

Documentary Evidence: Six months and Annual progress reports, mission reports, and any other relevant documentation showing progress in the delivery of outputs.

SR 10.03. ECA framework for managing for results introduced and implemented

D100304

Number of outputs/activities implemented as per the Evaluation Plan 2014-2017

Definition: This KPI measures the extent to which outputs/activities listed under the ECA's Evaluation Plan 2014-2017 are implemented within the specific time period.

Baseline and Target: SPOQD to determine based on its annual evaluation Plan

Implementing Divisions: ES/SPOQD

Responsibility for Data Entry: ES/SPOQD

Documentary Evidence: Matrix of planned and executed evaluations

D100305

Number of outputs/activities implemented as per the ECA's Operational Quality Plan 2014-2017

Definition: This KPI tracks the implementation rate of the ECA's Operational Quality Plan 2014-2017 that outlines specific outputs or/and activities to be realized through 2017 for an operationally effective quality assurance system.

Baseline and Target: To be determined by OQS/SPOQD

Implementing Divisions: OQS/SPOQD

Responsibility for Data Entry: OQS/SPOQD

Documentary Evidence: Matrix of planned and executed OQ activities

SR 10.05. Finance and Budget performance managed in a timely manner as per defined targets

D100501

Number of un-liquidated obligations (commitments such as Fund commitment, Purchase Orders, Travel, and Down payments)

Definition: This KPI measures percentage of un-liquidated obligations (commitment items) against allotments.

Baseline and target: To be determined by DoA and SPOQD

Time-Bound: Due to UNHQ finance reporting requirements, data for this indicator will not cover the entire volume of activities within a quarter. As such, the indicator can be "not applicable" for certain quarters.

Responsibility for Data Entry: DOA (FINANCE/Trust Fund) and SPOQD

Implementing Divisions: All Divisions/SROs/IDEP

Documentary Evidence: Financial statements from FINANCE/Trust Fund

³⁹ Ibid.

⁴⁰ This KPI will be open for data entry in the DB upon receipt of the funds.

D100503**Amount of budget utilized for Section18 - overall ECA (RB) ("Non post resource" only)**

Definition: An allotment is the approved portion of an amount to be expended for a particular purpose during a specified time period. An allotment is generally authorized on a line item expenditure basis by program or organization. This KPI measures budget utilized per budget source.

Baseline: Total budget expenditure from previous year (0 for the first year of expenditure))

Target: Total allotted amount for the year

Time-bound: Due to fluctuations in receipts of funds throughout the year, baseline-target and actual values may be entered at the end of Q4.

Implementing Divisions: All Divisions

Responsibility for Data Entry: SPOQD

Documentary Evidence: Status of allotment report extracted from UMOJA-BI

D100504**Amount of budget utilized for Section 11 - NEPAD (RB)**

Definition: An allotment is the approved portion of an amount to be expended for a particular purpose during a specified time period. An allotment is generally authorized on a line item expenditure basis by program or organization. This KPI measures budget utilized per budget source.

Baseline and Target: Previous year's allotment and total allotted amount for the current year

Time-bound: Due to fluctuations in receipts of funds throughout the year, baseline-target and actual values may be entered at the end of Q4.

Implementing Divisions: CDD

Responsibility for Data Entry: SPOQD

Documentary Evidence: Status of allotment report extracted from UMOJA-BI

D100505**Amount of budget utilized Section 23 - RPTC (RB)**

Definition: An allotment is the approved portion of an amount to be expended for a particular purpose during a specified time period. An allotment is generally authorized on a line item expenditure basis by program or organization. This KPI measures budget delivery per budget source.

Baseline and Target: Previous year's allotment and total allotted amount for the current year

Time-bound: Due to fluctuations in receipts of funds throughout the year, baseline-target and actual values may be entered at the end of Q4.

Implementing Divisions: CDD

Responsibility for Data Entry: SPOQD

Documentary Evidence: Status of allotment report extracted from UMOJA-BI

D100506**Amount of XB budget utilized**

Definition: This KPI measures budget delivery per budget source as evidenced by the average implementation rate of XB allotments. Budget utilization is defined as the actual expenditure and accrued funds activities that take place within the active date of grant.

Baseline and target: Total amount of previous year expenditures and total amount allotted for the year

Time-bound: Due to fluctuations in receipts of funds throughout the year, baseline-target and actual values may be entered at the end of Q4.

Implementing Divisions: All Divisions

Responsibility for Data Entry: DOA/Finance/Trust Fund

Documentary Evidence: Financial statements

D100507**Number of implementing partner project reports not received on time as per the due date stipulated in the agreement**

Definition: This KPI intends to measure implementing partners' compliance with the project reporting requirements including progress and final reports with narrative and financial statements as established in the agreement.

Baseline and target: To be determined by the implementing division

Responsibility for Data Entry: All divisions

Implementing Divisions: All divisions

Documentary Evidence: Progress and final reports

SR 10.06. Efficient management of procurement of Goods and Services**D100601****Number of procurement requests completed in line with the approved Acquisition Plan within the standards timelines (as contained in the Client Charter)**

Definition: This KPI intends to measure operational effectiveness to increasingly ensure delivery in the sector of procurement through efficient management of Goods and Services in line with the Approved Acquisition plan of the ECA dated April 30 2016 and as reported to the DoA.

This KPI is specific, measurable, attainable, and relevant and time bound in view to enhance the effectiveness and timeliness of an efficient management of Goods and Services of the ECA.

Baseline and Target: To be determined by the implementing division

Responsibility for Data Entry: PU/SCMS/ DOA

Implementing Divisions: PU/SCMS/ DOA

Documentary Evidence: Acquisition Plan /Procurement Unit Dashboard

D100602**Number of Acquisition Plans submitted by the divisions by mid-December for the following year**

Definition: This KPI intends to measure the compliance of Requisitioners to submit their acquisition plan on time usually by **15th** -December for the following year. Acquisition Planning is the process by which the Requisitioners and the Supply Chain Management Section (SCMS)/ Procurement Unit (PU) devise a comprehensive plan for fulfilling of the Requisitioner's needs in a timely and effective manner. Planning includes the development of the overall strategy for the managing of the procurement and includes a detailed list of anticipated purchases over a period of time, usually one calendar year.

Baseline and Target: To be determined by the implementing division

Responsibility for Data Entry: DOA

Implementing Divisions: All ECA Divisions and SROs

Documentary Evidence: Acquisition Plan Tracking Sheet

D100603**Number of waivers requests submitted by ECA divisions**

Definition: This KPI intends to record the exceptions to competitive bidding as defined by the established waiver procedure as specified in the Procurement Manual 9.19.2 on "Exception for exigency" – exceptional, compelling and emergent need that will lead to serious damage, loss or injury to property or persons – shall not apply unless the Requisitioner's head of office requests in writing a waiver of formal methods of Solicitation from the Director, Chief of SCMS request when applicable, and certifies the factual circumstances warranting such a waiver.⁴¹

Baseline and Target: To be determined by the implementing division

⁴¹ Administrative Circular Ref # DoA26-03-09-2-108 dated 18 March 2016.

Responsibility for Data Entry: SCMS/ PU/DoA
Implementing Divisions: All ECA Divisions and SROs
Documentary Evidence: Tracking sheet for waiver Request.

D100604

Number of goods received, stored, issued and disposed compared to items physically counted in line with IPSAS/UMOJA

Definition: This KPI intends to measure the effectiveness and timely processing of good received, recorded, stored, and issued in line with IPSAS/Umoja Procedures.

Baseline and Target: To be determined by the implementing division

Responsibility for Data Entry: ISSMU/SCMS/DoA

Implementing Divisions: ISSMU/SCMS/DoA

Documentary Evidence: Umoja BI report

D100605

Number of shipments cleared and duty free requests processed within the standard timeline in accordance with the Clients' Right Charter

Definition: This KPI intends to improve the effectiveness in inbound and outbound of official shipment with the collaboration of the Procurement Unit and other divisions and international staff member PE/HHG and vehicle.

Baseline and Target: To be determined by the implementing division

Responsibility for Data Entry: SU/SCMS/ DOA

Implementing Divisions: SU/SCMS/DoA

Documentary Evidence: e-mail request and inbound delivery in UMOJA.

SR 10.07. Provision of travel services in accordance with established rules and procedures

D100701

Number of tickets purchased within "16 days advance" travel rule

Definition: This KPI only measures travels for official missions and excludes travels related to medical evacuation, travel processed during recruitment of staff, consultant travels.

Baseline and target: To be determined by the implementing division

Implementing Divisions: All Divisions/SROs/IDEP

Responsibility for Data Entry: DoA

Documentary Evidence: DOA Travel section reports, Umoja BI reports

SR 10.09. ECA supports the Organization's management reform agenda on UMOJA, IPSAS and ICT

D100901

Number of Post-implementation activities implemented in accordance with process owner and CITO guidelines and the Umoja master project plan

Definition: This KPI intends to measure compliance with the post-deployment activities related to UMOJA as defined in the project plan.

Baseline and target: To be determined by DoA

Responsibility for Data Entry: DoA

Implementing Divisions: DoA

Documentary Evidence: UMOJA compliance reports

D100902**Number of established UMOJA benefits targets implemented**

Definition: This KPI intends to measure compliance with the post-deployment activities related to UMOJA as defined in the project plan.

Baseline and target: To be determined by DoA

Responsibility for Data Entry: DoA

Implementing Divisions: DoA

Documentary Evidence: UMOJA compliance reports

D100903**Timely year end closure of accounts**

Definition: This KPI measures the on time closure of all accounts at the end of the year in line with the deadline provided by UNHQ. This is a dichotomous indicator, indicating whether all accounts are closed (1) or not (0).

Baseline and target: To be determined by the implementing division

Time-bound: Reporting for this indicator needs to be aligned with the financial reporting requirements set by the UNHQ. To this end, value for this indicator will be entered as an annual value during the first quarter of the following year.

Responsibility for Data Entry: DoA/Finance Section

Implementing Divisions: DoA/Finance Section

Documentary Evidence: Finance Reports

D100906**Compliance rate with ICT strategy, governance, policies and processes**

Definition: This KPI measure timely implementation of activities and delivery of milestones/outputs outlined in the ICT strategy⁴². The new ECA ICT strategy (2014) aims at ensuring that ECA staff always use the most suitable, cost-effective and user-friendly ICT available to maximize productivity and facilitate collaboration, communication and data collection and analysis. An ICT oversight committee, chaired by the Director of the Public Information and Knowledge Management Division (PIKMD), with the Chief of the Information and Communications Technology Section acting as secretary and with representation from four user perspectives – SPOQD/productivity; SRO/collaboration; DoA Procurement. Section/communications; ACS/data design and analysis – would be responsible for monitoring the performance of the strategy.

Baseline and target: To be determined by PIKMD

Responsibility for Data Entry: PIKMD

Implementing Divisions: PIKMD

Documentary Evidence: Matrix of implemented activities

SRA 10.10. Operational efficiency of HR management**D101001****Number of ECA Divisions/Sections covered through face to face outreach on the new mobility and career development framework.**

Definition: This KPI measures awareness and involvement of staff members on the new mobility and career development framework.

Baseline and Target: To be determined by DoA

⁴² ECA Information and Communications Technology Strategy (2013).

Implementing Divisions: All Divisions
Responsibility for Data Entry: DOA/HRSS
Documentary Evidence: Administrative circulars, interoffice memorandums, town hall meeting agenda and meeting minutes, iSeek announcements

D101002

Number of vacancies of total number of posts disaggregated by source of fund

Definition: This KPI measures the vacancy rate at any given time. Underlining the count of vacant positions at any given time is the review of mobility population posts and/or functions based on forecasted set of data.

Baseline and Target: To be determined by DoA

Implementing Divisions: DOA/HRSS

Responsibility for Data Entry: DOA/HRSS

Documentary Evidence: HR Scorecard

D101004

Number of recruitments that have been processed within 83 days disaggregated by source of fund

Definition: This indicator measures the effectiveness of new staff selection process. The specific-time frame (i.e., 83 days) include several steps including: timely provision of nominations for job family focal points; assessment panels for the job analysis exercises; development of substantive tests, completion of job analysis, and assessment activities by the staff members.

Baseline and Target: To be determined by DoA

Implementing Divisions: DOA/HRSS

Responsibility for Data Entry: DOA/HRSS

Documentary Evidence: HR Scorecard

D101003

Number of staff posts whose functional titles are clarified

Definition: This KPI measures ECA's implementation of preparatory activities in support of the new Mobility and Career Development Framework. Included in this KPI is the update and clarification of relevant post management information in accordance with the relevant workforce planner.

Baseline and Target: To be determined by DoA. Post-Umoja review of functional titles has not started yet, therefore, baseline could not be provided.

Implementing Divisions: DOA/HRSS

Responsibility for Data Entry: DOA/HRSS

Documentary Evidence: HR Scorecard

SR 10.11. Enhanced reduction of carbon footprint

D101101

Amount of ECA GHG emissions from 2014-2018

Definition: This KPI measures GHG emission from various emission sources such as official air travel of staff members and family, fuel used for official vehicles of the Commission, standby power generators, electricity consumed which are from non-renewable sources, air conditioners using ozone depleting gases etc. Out of this, Air travel is the major contributor of GHG emission.⁴³

Baseline and Target: Total GHG emission for 2014 is 5,135 tons and target is a 3% reduction

Implementing Divisions: All Divisions

Responsibility for Data Entry: DOA

⁴³ ECA Green Policy, ECA Administrative Instruction no. 002 dated 31/01/14

Time-Bound: Between 2014-2018

Documentary Evidence: Report on Sustainable United Nations (SUN) Team – based in Geneva and Bonn

SR 10.12. Digital Secretariat towards a sustainable and efficient organization

D101204

Number of ECA functional areas implementing Archives and Records Management (ARM) program

Definition: The Archives and Records Management (ARM) is a Commission wide programme that provides an institutional framework for the management of administrative records throughout their life-cycle (creation/capture, maintenance and use, disposition and archiving) both in print and digital format, and facilitates the availability of accurate, complete and reliable information and records, as evidence of such transactions to ensure efficiency, transparency and accountability of the Commission's business processes. The program streamlines functional and administrative work processes associated with records creation and management to respond to the audit function and to UN Secretary General Pledge for UN to help safeguard the planet by introducing efforts to reduce Green House Gases (GHG) emissions. This KPI measures the number of functional areas (*Units, Sections, Centres, Divisions, and SROs*) that have adopted and implemented the Archives and Records Management (ARM) framework (incl. business analysis, file plans and retention schedules)

Baseline and Target: To be determined by PIKMD

Responsibility for Data Entry: PIKMD and DoA

Implementing Divisions: All Divisions

Documentary Evidence: Functional areas file plans and retention schedules and paper consumption data from DoA and PIKMD

D101205

Number of capacity building activities to support use of ICT tools that facilitate mobile workforce

Definition: The purpose of enabling mobile task force is to save time and money while improving service levels for staff by unifying the user experience across desktop, smartphones and tablets.

The ECA ICT strategy indicated that it is essential to provide high quality services across a challenging geography, at any time and from any device including smartphones and tablets. It also emphasized on deploying "Bring your own device" policy to facilitate these interactions. Based on the strategy ICTSS is working in deploying the following technologies and tools to enable the mobile work force:

- Wireless access in the compound
- Virtual desktop
- Email access in mobile devices
- Mobile device management solution and
- Voice and video solution in mobile devices.

Hence, building staff capacity on the use of these tools is crucial. It is planned to accomplish this objective through instructor led training, online training, announcement, distributing brochures and others.

Baseline and Target: To be determined by PIKMD

Implementing Divisions: All Divisions

Responsibility for Data Entry: PIKMD

Documentary Evidence:

D101206

Amount of usage of standard enterprise collaboration tools

Definition: The Standard Enterprise collaboration tools are systems of communication among organization employees that may encompass the use of a collaboration platform, enterprise social networking tools, an intranet and the public Internet. Enterprise collaboration tools enable employees in the organization to share information with one another and work together on projects from different

geographic locations through a combination of software technologies, networking capabilities and collaborative processes. Technologies may include groupware, videoconferencing and document-sharing capabilities. Most of the existing enterprise collaboration software tools have features similar to those offered on popular social media sites. Currently ECA users use network shared drive to share files, eRoom to share documents, make discussions and forums, Unite connection to share documents, forums, and updates among member of communities, Video conferences to make meeting across geographically separated locations.

Baseline and Target: To be determined by PIKMD

Implementing Divisions: All Divisions

Responsibility for Data Entry: PIKMD

Documentary Evidence: Usage statistics from PIKMD

D101207

Number of publication and parliamentary documents complying with ECA publication policies and guidelines (including submission compliance and established word limits)

Definition: Parliamentary documents consist of a variety of documents of the UN. These documents go by several different names, and are sometimes referred to as working documents, mimeo documents, sessional documents, or masthead documents. Because parliamentary documents are official UN Documents, the UN Document Symbols System governs them. The term 'United Nations publication' refers to any written material which is issued by or for the United Nations to the general public, normally under the authorization of the Publications Board⁴⁴.

Baseline and target: To be determined by PIKMD

Responsibility for Data Entry: PIKMD

Implementing Divisions: All divisions

Documentary Evidence: Final approved parliamentary documents and publications

⁴⁴ Source: ST/AI/189/Add.3/Rev.2, para. 4