
Performance Management Framework for Security Sector Assistance

November 2016

This document is meant to satisfy the task in the Presidential Policy Directive for Security Sector Assistance (SSA PPD) Implementation Instructions: *“Develop an integrated M&E framework which enables alignment of Mission level strategies and planning to the broader SSA strategic direction which should be standardized across all SSA agencies”*

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Introduction

The Task:

“Develop an integrated M&E framework which enables alignment of Mission level strategies and planning to the broader SSA strategic direction which should be standardized across all SSA agencies;”¹
– *Plan to Implement a Security Sector Assistance Planning Process*

Presidential Policy Directive 23 (PPD) provides overarching Security Sector Assistance (SSA) guidance across U.S. government Departments and Agencies. Integral to the implementation of PPD23 is the establishment of a common, collaborative and effective approach to the planning successful SSA activities. The Performance Management Framework is intended to:

- Establish common principles for effective SSA performance management to include assessment, design, monitoring, and evaluation that should be included and/or considered in each U.S. government department and agency’s design and execution of SSA plans and initiatives.
- Provide guidance and best practices for the development of performance management plans that can be used by various agencies for SSA-related initiatives.
- Provide a framework for the development of SSA-related Mission Objectives and review of the Integrated Country Strategy (ICS)².

Using this Performance Management Framework, Departments and Agencies can effectively realize the goals of effective SSA programs by determining whether and how plans are progressing by looking at the collective effort supporting and, when appropriate, refining SSA objectives and sub-objectives. The Framework also provides SSA policymakers, planners, program

Performance Management in SSA environments should reflect norms and best practices designed to enhance SSA effectiveness, learning, coordination and accountability.

- **Relevance to sensitive and complex environments** – SSA operates in highly complex, sensitive environments in which actors’ comfort with M&E varies and quality data is not always available.
- **Impartiality / independence of evaluation results** – Evaluation should be independent from SSA delivery and management to ensure credible results.
- **Managing expectations for outcome and sustainability** – Meaningful outcomes and results take time. Tracking outputs and unintended effects in the near term provide opportunities to refine efforts.
- **Decision-making** – M&E is a significant part of the decision-making calculus for SSA, but there are other data points, including where credible efforts and processes co-exist with political decision-making.
- **Credibility of processes** – Credibility of both processes and outcomes requires both M&E and broad SSA stakeholder expertise involvement throughout the phases of SSA planning, implementation, and M&E.
- **Transparency** – Good internal governance and accountability improves the quality and effectiveness of the data and analysis. Strategic local ownership where possible will improve data and performance.

¹ Plan to Implement a Security Sector Assistance Planning Process, September 24, 2013, p.33

² The ICS is the single multi-year overarching strategy that encapsulates U.S. government policy priorities, objectives, and the means by which diplomatic engagement, foreign assistance, and other tools will be used to achieve them, and is designated by PPD 23 as the core organizing document for USG SSA.

managers, and implementers the information and evidence necessary to make effective decisions, maximize program outcomes, increase program accountability, and report program achievements.

A central element of performance management includes Monitoring and Evaluation (M&E) processes that support measuring and achieving desired outcomes, provides the visibility necessary to determine whether investments are achieving the anticipated results, and shines a light on ways in which performance can be optimized to better use or combine SSA tools and resources. Effective performance management and sound M&E aligns with and is integral to the SSA process detailed in the “Plan to Implement.”³

Applicability:

The Interagency Performance Management Framework for SSA applies to all country and regional level planning as well as to individual SSA initiatives across SSA departments and agencies.

- Country/Regional/Functional Planning
 - The SSA Annex to the ICS; and
 - Individual (agency/bureau/office) country and functional plans that cover SSA and contribute to and are informed by an Integrated Country Strategy (ICS).
- SSA Initiatives
 - Initiatives at a macro/global program level, as defined by their authority, funding source, or mission; and
 - Country-specific initiatives.

Funding:

The PPD states that SSA plans and initiatives will be appropriately funded for M&E activities to meet SSA objectives. SSA agencies are responsible for funding their own M&E efforts, which should be planned during the design stage of programs and plans. Although international best practices for funding M&E range from 3 to 5 percent of the total cost of an initiative, this figure is higher than most organizations can achieve. A more realistic recommendation is for organizations to outline what they want to learn and prioritize the plans and programs to be assessed, monitored and evaluated and how they will inform decision making. This amount may be closer to 1 to 2 percent. All foreign assistance accounts allow for M&E efforts. When determining the percentage of funds set aside for M&E, Departments/agencies should take into consideration the ability to collect requisite information and total program value thresholds to ensure that the level of effort for performance management is relevant and proportional to the initiative or plan and that the goals of the M&E plan are attainable.

Transparency and Interagency Information Sharing:

The U.S. Government is committed to making information on foreign assistance programs transparent and compatible with international standards. In November 2011, the U.S. Government became a signatory to the International Aid Transparency Initiative (IATI) and is publishing data in accordance with the IATI

³ PPD23 “Plan to Implement” describes the SSA process as: assessing, planning, budgeting, program design, implementing/managing, monitoring, and evaluating.

standard. ForeignAssistance.gov is the primary tool for the U.S. Government to deliver on its promise of making aid data more transparent. Furthermore, in 2011 the United States, along with seven other countries, launched the Open Government Partnership (OGP), a global, multi-stakeholder platform in which governments and civil society come together to advance transparency and accountability, bolster citizen engagement, and harness new technologies to strengthen governance. As part of OGP, the U.S. has developed National Action Plans (NAP) which, among other efforts, requires increasing transparency in foreign assistance, including security assistance, by releasing government-wide reporting guidance. The U.S. Government codified this effort to achieve greater transparency in foreign assistance with the release of the [Office of Management and Budget's \(OMB\) Bulletin 12-01](#), which provides federal agencies guidance on the collection of U.S. foreign assistance data. Each agency will continue to implement its own steps to adhere to U.S. government commitments to transparency. Best practices among the interagency include publically sharing full evaluation reports or evaluation summaries, and making certain indicator and financial data available to the public.

The Interagency Working Group, in addition to discussing ways to advance the tenets of the SSA Performance Management Framework, will also foster internal government information sharing and coordination to the greatest extent possible around ongoing program design, monitoring, and evaluation activities. For example, to the extent that individual agency policies allow, the Working Group will serve as a forum for sharing key lessons, findings, reports, and best practices and processes for delivering SSA with the aim of fostering learning and strengthening SSA agencies' approaches to delivering SSA.

Performance Management Framework for Security Sector Assistance

“The United States Government will introduce common standards and expectations for assessing SSA requirements, in addition to investing in monitoring and evaluation of SSA programs. Such standards will be aided by a requirement for measurable SSA objectives, appropriate data collection of the impacts and results of SSA programs, and improved efforts to inform decision making processes with data on what works and what does not work through impact evaluations when permissible.”

- Presidential Policy Directive 23, Security Sector Assistance

Performance management is the organized process for collecting and analyzing relevant data to monitor and measure performance against established objectives. It is used to analyze progress toward a specific result: whether a program’s activities are implemented as intended; or whether inputs are sufficient and have the intended effect on the target population or are addressing the identified issue. Performance management begins with program design, is central throughout implementation and is used to make informed decisions for current and future initiatives.

Performance management for SSA is intended to measure the operational effectiveness of SSA initiatives, which encompass programs, projects, activities, or any other means or actions undertaken to achieve SSA goals or objectives. Performance management for SSA also ensures initiatives meet common standards, principles, and requirements. Measuring both performance and results supports decision-makers by managing expectations, improving reporting, shaping the narrative about what constitutes success, and sharpening SSA implementation over time. Monitoring and evaluation, two key pieces of the performance management framework, can demonstrate to stakeholders whether SSA policy objectives and their associated initiatives warrant continued support, or when they have been fully achieved and initiatives can be terminated.

Effective performance management of SSA plans and initiatives is based on a sound design that incorporates stakeholder input, including from the Partner Nation (PN) and implementers ; a theory of change supported at the implementation level with a logic model or equivalent; a Monitoring and Evaluation Plan; and subordinate financial and implementation plans, cost estimates, and definitive spend plans. SSA program managers should be trained on sound program management principles to conduct appropriate oversight and ensure that cross-integration occurs, as appropriate.

SSA program managers and planners should ensure their activities comply with the goals and guidelines of the PPD. Just as SSA goals and guidelines are built into strategies, plans, and budgets, initiative developers and proposal writers should specifically include linkages to these goals in their management tools.

Performance management should include:

- 1. Alignment with U.S. and Partner Nation strategic priorities** – When initiating an SSA initiative, the first step is to ensure that it is logically aligned to support existing strategies, standing U.S. commitments, national policy directives and guidance. It is critical to align the concept with existing strategies to confirm that the planned activity supports agency, bureau, or office SSA goals and objectives as well as ICS mission objectives. The potential pitfalls of not aligning with existing strategies include failing to reach goals and objectives for that year or the life of the strategy, therefore losing valuable time and financial resources. A key determinant in the success of any SSA initiative is alignment of the PN's interests with those of the USG. USG organizations should therefore review key PN actors, institutions and procedures to ensure key interests align between both countries. Factors such as absorptive capacity, sustainability and political will of the PN among others should be gauged.
- 2. Situational analysis** – Upon confirmation that the concept for the initiative aligns with existing strategies, the next step is to conduct a situational analysis. A situational analysis is a comprehensive review of the current state or condition surrounding the idea that could affect its design, implementation, or outcome. Conducting a situational analysis helps to determine if the design approach is feasible, and provides a better understanding of past and present contextual factors, and why these factors exist. While funding is often programmed for a specific purpose, a situational analysis can assist in understanding what has given rise to a particular need and as a result, can help to assess or reassess specific design issues. This analysis will inform the program problem statement, goals and objectives, and logic model later in the program design process, as well as detailing what areas of engagement are most ripe for assistance and should be prioritized. An analysis should include identification of issues and gaps, potential risks, available resources, current and past initiatives/actors, key stakeholders, PN interests, previous assessments or evaluations of assistance to PN, cultural norms, existing laws, potential teaming partners, existing research and external expertise, GAO and OIG reports where relevant, other related activities, etc. This analysis could include cross-cutting themes such as a gender or environmental components as well.
- 3. Program design** – SSA objectives become the primary organizing construct for prioritizing competing policy objectives, requesting resources, adjudicating competing demands, designing activities, implementing initiatives and M&E efforts. Utilizing relevant objectives, program managers should determine which initiatives best fit the operating environment and will help achieve the desired strategic level end state, while also understanding what measurable progress towards these end states looks like. Although State and USAID generally lead the program design process in consultation with relevant subject matter experts from the interagency, program managers also should ensure implementing partners and subject matter experts play a key role both in day-to-day execution of the initiative and in reporting results that include accomplishments, risks and mitigation strategies, and status of achieving proposed evaluation metrics. Program managers should regularly monitor performance to determine whether the implementation is progressing according to the design, mission objectives are being achieved, and what adjustments are needed.

Components of program design should include:

- **Problem statement** – A clear description of the issue, challenge, or need which the initiative seeks to address. A clear, concise problem statement keeps the initiative’s focus on achieving the overarching strategic objectives.
- **Logic Model** – A logic model is an industry standard communication, an M&E tool used to define an activity, its intent, and how success will be measured. It maps the individual steps necessary to achieve the desired changes. The logic model visually describes discrete activities and the intermediate steps necessary to achieve an initiative’s goal(s) and objectives. It should also indicate where and how relevant M&E information is feeding back into the framework to help drive success.
- **Goals and objectives** – The terms *goals* and *objectives* are often used interchangeably, but are distinct terms. Both terms broadly express the anticipated results of the initiative; however, *goals* are broader regarding scope and timeframe for completion. *Goals* indicate overarching aims, while *objectives* are generally narrower and more specific in their scope and timeframe for completion. Program *objectives* articulate how to accomplish program *goals*.
- **Theory of change (TOC)** – A TOC is a statement of expectations by which planned activities will lead to stated objectives. TOC produces insights to support design, implementation, and evaluation by describing *how* and *why* change is expected to happen. A TOC explores a set of beliefs about how change will occur. Once developed, the TOC should be viewed as iterative – as new information is attained, the TOC should be revisited for relevance, applicability, and learning.
- **Assumptions** – Assumptions are hypotheses about factors or risks which could affect the progress or success of an intervention. In the context of Security Sector Assistance, assumptions are often made regarding the program’s context, its intended effect, view of the local population, and PN political and social structures. These should be articulated clearly.
- **Baseline** – A baseline refers to measurements of key conditions (e.g. indicators) before an intervention begins, from which change and progress can be assessed. The type of data to be included in the baseline depends on the intervention’s goals, its theory of change, and the types of indicators needed to measure program progress. Baselines must ensure that the same type of data can be collected before an intervention begins and after it ends. This allows for a clear comparison of indicators and determination of the extent of change during an intervention’s life cycle.
- **Initiative summary** – An initiative summary provides a high level overview of an SSA initiative’s goals and plans for achieving them. It can be used as a product to communicate an initiative’s purpose and goals to leadership and other stakeholders; as a knowledge management tool, such as during times of staff turnover; and it can serve as the introduction to a performance management plan (PMP), which is a tool designed to assist in the managing monitoring, evaluation, and reporting of initiatives.

4. Monitoring and evaluation – Monitoring is the ongoing collection of performance information to inform SSA program managers and stakeholders about the progress of an initiative and signals the need for timely corrections/ adjustments if progress is not satisfactory. Evaluation is a systematic and objective analysis of an ongoing or completed initiative. Evaluations are formal analytical endeavors involving systematic collection and analysis of qualitative and quantitative information. Data and information collected during routine performance monitoring will be used during evaluations. Combined, monitoring and evaluation are the cornerstones of performance management, articulating how SSA program managers and implementers measure its progress toward intended results at various levels.

A Performance Management Plan (PMP) is a tool used to set up and manage the process of monitoring, analyzing, evaluating, learning, and reporting progress toward achieving goals and objectives. It standardizes tracking of performance and challenges, and progress toward outcomes. Agencies implementing SSA initiatives should approve PMPs in advance of approving funding (letters of agreement, grants, etc.). However, if an initiative is ongoing, it is useful to develop an M&E plan to support activity implementation.

A PMP should ensure clear ways to measure progress including:

- Establishing a systematic process of monitoring the achievements of initiatives, to include collection systems and standardized collection procedures;
- Showing how past lessons learned are being considered and utilized;
- Collecting and analyzing performance information to track progress toward planned results;
- Establishing a baseline for measuring progress towards completing sub-objectives and objectives.
- Using performance information and evaluations to inform decision-making and resource allocation;
- Communicating results achieved, or not attained, to advance organizational learning and tell the agency's story; and
- Making performance changes, as indicated.

Evaluations should be planned for during the design process and considered throughout implementation. Since they are usually conducted at mid-term and/or end-line, it is necessary to collect information at the beginning (baseline) of the initiative for comparison purposes. In planning for SSA evaluations, agencies should take into consideration what to evaluate, when, and how the evaluation data will be used. Considerations for determining whether to conduct an evaluation should include:

- A utilization focus such that the evaluation questions will provide actionable information for decision makers;
- Large projects, programs and other efforts;
- All pilot programs, large and small, should be evaluated before they are replicated;
- Multiyear initiatives that continue indefinitely;
- National priorities for SSA (NSC document);

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- Ability to act on collected information;
 - Systematic evaluations of Presidential Initiatives; and
 - Feasibility of data collection.

Additionally, agencies should employ appropriate methodologies for evaluating SSA initiatives that can be implemented and used at the targeted levels.

- 5. Analyze, learn and act** – Analyzing and learning from data is the process of using methodological tools such as statistical, qualitative and/or logical techniques to clean, model, and assess data for the purposes of drawing conclusions to inform decisions about current or future initiatives, and is ultimately a test of the initial Theory of Change. Data analysis can be used on an ongoing basis to shape how an initiative is being implemented, as well as to determine lessons learned after an initiative is complete. Learning takes place when there is a thoughtful discussion of information with a focus on understanding how and why various aspects of the initiative are progressing in order to look for opportunities to make positive changes, such as recommendations for changes to future programming . Learning enables better informed decisions that ultimately produce more effective and efficient activities, outputs, and outcomes. Regularly discussing available data also helps to determine whether the right data are being collected to inform decisions, or if ongoing monitoring and/or evaluation plans should be modified to collect information more useful to decision makers. Analysis of M&E data helps program managers gain valuable insight into ongoing progress and projected future results that could impact implementation.

Setting the stage to promote organizational learning involves advanced planning around performance management. Acting upon changes in knowledge is critical to turn the information into practical adjustments that promote successful implementation and improve overall results. Acting on information is an important part of managing for results. Iterative feedback cycles using information collected as part of M&E should be built into the implementation process so decisions makers can use data to inform programmatic decisions throughout the initiative.

A Performance Management Framework for SSA Plans

“Monitoring and Evaluation - Regional and country-level strategies with SSA components should be drafted to facilitate monitoring and evaluation over the course of implementation. State, in coordination with other implementers, should establish standards for regularized and integrated monitoring and evaluation of SSA activities, including guidance that evaluation objectives are outcome based, achievable, measurable, and tied to assumptions stated in the plan and will be reviewed by the SSA IPC.”

- *Plan to Implement a Security Sector Assistance Planning Process*

Strategic plans featuring significant SSA at the country level for individual agencies, bureaus, or offices also benefit from integrating performance management steps and a PMP to enhance outcomes, learning, and coordination. A PMP would outline how each objective and sub-objective is designed to advance strategy, clarify whether the strategy is being advanced adequately by the combination of selected SSA initiatives, and facilitate monitoring and evaluating the collective effort at the objective and sub-objective levels. It would serve many of the same functions as an SSA Annex to the ICS, but would apply to a more targeted audience.

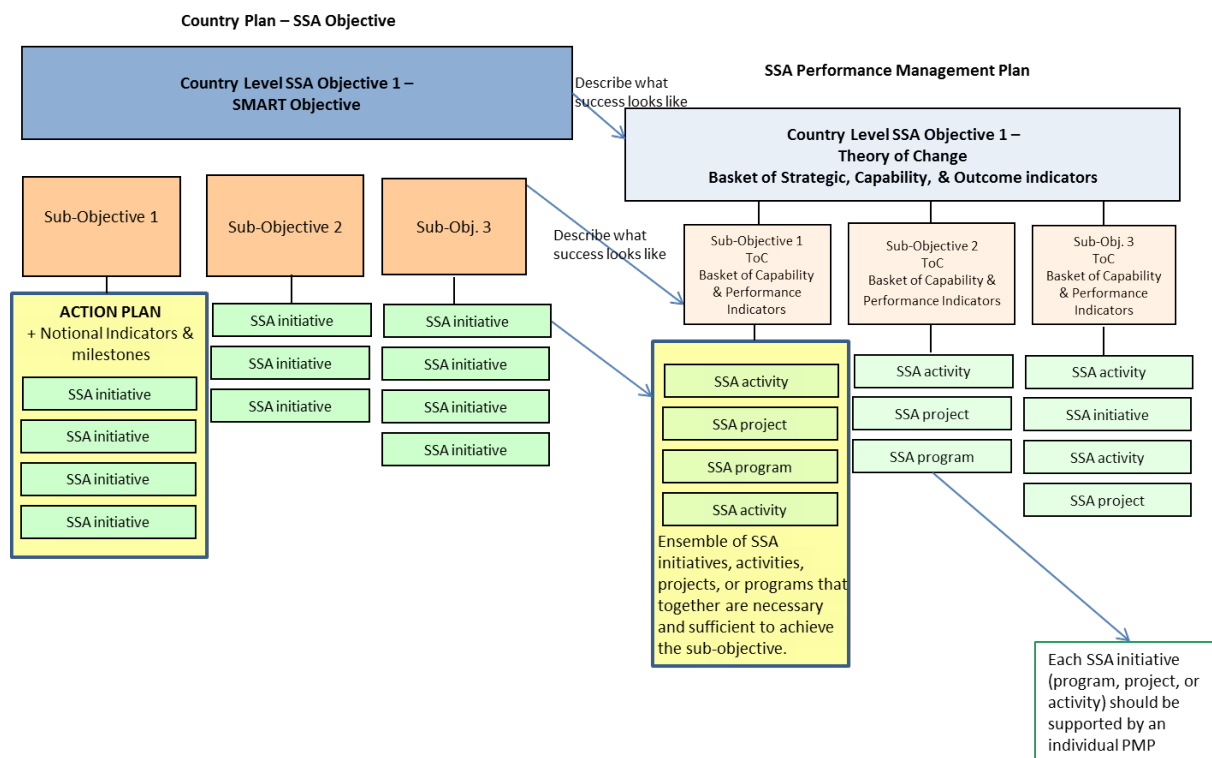


Figure 1 illustrates the interconnectedness of the strategic planning and performance management systems.

While performance management steps are typically associated with initiatives, and less frequently with strategic plans, they are equally applicable at this level. A logic model might be used to capture goals, objectives, sub-objectives, a TOC, assumptions, key activities, and key indicators at each level. The logic framework can be a key part of a performance management system at the country, regional or functional level as it aligns levels of analysis, tools, and clear expectations. It also plays a vital role as a management tool that takes the framework from theory to execution. The following steps mirror those outlined in the previous activities section, but focus on articulating efforts specific to plans.

- 1. Align with higher-level strategies and national level guidance** – Ensure that SSA goals and objectives align with higher level strategies within or across agencies, including national security guidance, regional and relevant functional strategies, and the ICS.
- 2. Security sector assessment** – Each department/agency is responsible for undertaking targeted technical assessments to improve program effectiveness. Posts, or relevant regional/functional bureaus, are responsible for initiating broad country assessments to improve understanding of the security environment in order to develop a solid ICS and an effective program mix.

This type of analysis, previously described in the “Plan to Implement”, supports M&E by providing an understanding of the context, conditions, capabilities, and risks on the ground immediately prior to the development of the security sector component of country plans. It should include an analysis of:

- The gap between current and desired conditions or outcomes;
 - Opportunities and requirements for successful collaboration;
 - Operational and strategic contexts and an awareness of what other elements of the country team are doing in related space;
 - Risks assessments, assumptions, and variables, including security sector corruption risk; and
 - What can be achieved within the given timeframe with the anticipated resources.
- 3. Planning with M&E in mind** – Strategic planning should incorporate the results of a security sector assessment, including baseline information for key questions, directly into an overview of the environment, including problem statements, as well as risks and assumptions. Key problem statements can serve as the basis for developing SMART SSA goals and objectives. Overall, plans should articulate how the combined SSA initiatives are expected to address the TOC.
 - 4. SSA Performance Management Plans** – Within a strategic plan, a PMP supports the development and standardized tracking of performance and challenges, while measuring progress toward achieving intended results. A PMP should include:
 - Principles of performance management for country plans;
 - A logic model (from the planning process);

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- Development and explanation of relevant strategic (context), capability, and performance indicators at the objective and sub-objective levels, including targets, benchmarks, and milestones for each;
 - A monitoring framework including anticipated data sources and a collection plan to track progress toward targets and objectives, and means of verification
 - Reporting requirements and feedback loops.

5. Conduct regular strategic progress reviews – Conducting regular strategic progress reviews is part of actively using a strategic plan as a management tool. Regularly reviewing progress allows for discussion on progress towards strategic goals and objectives and contributes to an internal learning dialogue about progress towards strategic priorities. Specifically, it promotes collaboration to help ensure all initiatives are optimally coordinated and aligned to achieve the goals and objectives. Discussion about how SSA related initiatives are working provides the opportunity to make any needed revisions to programming to better achieve the goals and objectives. At the same time, regular reviews of progress improve the awareness of, and capacity for, performance management through in-person, regular practice of using performance information and engaging management in dialogue around strategy.

The focus should be on internal learning with an emphasis on improving linkages between planning and programming, and mainstreaming emerging lessons . A summary of findings from these reviews is a useful tool; however, reporting alone is not the purpose or focus of a strategic progress review. Keeping the focus internal rather than on reporting results allows for candid discussion rather than only reporting positive results and outcomes.

Regular reviews of progress can serve management in a variety of ways, and specifically in the SSA realm, including:

- Articulating if the plan is being executed as planned.
- Helping leadership prioritize work that is aligned to strategy;
- Communicating priorities and ensure initiatives are focused on achieving goals and objectives;
- Informing adjustments to a strategy’s action plan, making course corrections in activities, interventions, and programs;
- Troubleshooting, and as necessary, elevating issues to leadership for action or decision in a transparent and organized way;
- Highlighting opportunities and gaps related to key M&E needs, and ultimately informing improvements to M&E processes; and
- To discuss future events, which may require contingency-based planning.

The primary purpose of conducting the reviews is for leadership to use findings to better communicate successes, challenges, priorities, and to better propose policy, resource, and programmatic adjustments.

An SSA Performance Management Framework for the ICS

While the principles and steps outlined above apply to SSA plans and initiatives writ large, the application of performance management to the ICS is particularly important in translating broader security cooperation goals and objectives outlined in the ICS to more discrete and concrete SSA outcomes. The ICS may also include an ICS SSA Annex that includes greater detail about SSA-related objectives and sub-objectives, TOC, key initiatives to achieve the sub-objective, key indicators of progress or results, M&E plans, and roles and responsibilities for implementation. The elements of the SSA performance management framework that apply to the development of an ICS are outlined below.

Applying the performance management framework to the ICS helps achieve:

- A more coordinated, strategic, repeatable, deliberate, and integrated approach as to how the SSA community jointly plans for and conducts SSA;
- Documentation of ongoing, planned, and desirable but un-resourced SSA initiatives by the interagency that are necessary and sufficient to advance the SSA goals and objectives in the ICS; and
- Opportunities for stakeholders to review progress, monitor, and evaluate the extent to which the combined initiatives are actually advancing the strategy.

The key steps of performance management, described in more detail below and adapted to the ICS, enable the SSA community to apply performance management to the ICS.

- 1. Plan SMART** – Plan SMARTer by creating SMART interagency SSA strategic objectives and sub-objectives within the ICS and further clarifying those objectives and the sub objectives in the ICS SSA Annex, as necessary. As addressed in ICS guidance documentation, strategic planning embodies each of the SMART principles (Specific, Measureable, Attainable/Achievable, Realistic/Relevant, and Time-bound) to provide the critical foundation necessary for performance management by:

- Defining what success looks like and determining whether the effect of selected initiatives can be objectively measured through monitoring and evaluation;
- Identifying a mix of potential initiatives that are likely to help achieve desired objectives yet feasible within a given country context; and
- Refining goals, objectives, and anticipated outcomes based on the above considerations.

All SSA-related objectives and sub-objectives should be SMART:

Specific— What exactly are we seeking to achieve? What are the desired security roles we want a partner to play and what is the required security sector condition necessary to play that role?

Measurable— Can progress be measured toward the objective using a combination of qualitative and/or quantitative indicators? What are the measures or indicators that determine whether the security sector is in the required condition?

Attainable/Achievable— Can significant progress be made toward the objective in the proposed time frame with the anticipated resources and support available? Is the partner willing and able to progress in the given timeline?

Realistic/Relevant — Will this objective have an effect on the desired longer-term goal?

Time-bound— Does the objective capture the result and priority that will occur during the planning period (3 years)? What is the time frame within which we will see progress toward indicators or measures?

2. Conduct Country, Regional, and Functional planning for SSA – Individual agency SSA efforts in a given country should support and clearly align with the final ICS and the SSA Annex where applicable. SSA planning at the country, regional and functional levels supports performance management when it:

- ***Aligns with national guidance for SSA and higher-level strategies*** – to provide direction. Ensure that SSA goals and objectives align with higher level strategies within or across agencies, including national security guidance, regional and relevant functional strategies, and the ICS.
- ***Utilizes security sector assessments from across the interagency.*** Organizations should share and utilize assessments from other parts of the USG to inform program planning across countries, regions and functions, ensuring that their programs are in alignment with others and do not adversely affect existing programs.
- ***Is iterative or adaptive with M&E in mind*** – no single component can be developed or optimized in isolation or in a fully linear fashion and may require reworking the previous steps and adjusting accordingly.

3. Necessary and sufficient initiatives – SSA strategic goals, objectives, and sub-objectives within the ICS serve as the foundation for all initiative-level planning (frequently called program or operational level planning). Program level planning delineates: what initiatives are necessary and sufficient to achieve the strategic plan; how they are expected to combine to achieve relevant parts of the plan/strategy; and how collective progress and results will be monitored and evaluated to analyze whether and how they are advancing relevant objectives and sub-objectives of the strategy (including key indicators and evaluation questions).

There are many possible combinations of initiatives that could be undertaken to achieve strategic level goals and objectives in a country or regional plan. Many of the steps taken to develop sound strategic goals, objectives, and sub-objectives are also followed when determining which activities will best fit the operating environment. Initiatives should support achievement of the higher-level strategic goals, and is often where the bulk of monitoring takes place.

- 4. Plan for Monitoring and Evaluation** – An M&E plan for SSA initiatives in the ICS builds on an articulation of what success would look like at the goal, objective, and sub-objective, and how progress and results should be monitored and evaluated at the objective and sub-objective level. Establishing key indicators and a baseline for sub-objectives and objectives during the program planning process will clarify what types of changes to program realistically can achieve and how to account for measuring progress for a program. ICS stakeholders should consider a process for developing an M&E plan for their SSA efforts.

Conclusion

A SSA performance management framework provides evidence for results-based decision making with regards for what works where, when and for whom. The established and standard methods for design and performance management, which are used throughout the foreign assistance community, can also be used successfully for security sector assistance. Adhering and aspiring towards the principles and guidelines in this framework can assist the SSA interagency in speaking the same language when implementing SSA plans and initiatives, providing a platform for better coordination and facilitating a more informed decision making process.

Glossary of Security Sector Assistance Performance Management Terms

- **Activity:** Actions taken or work performed through which inputs, such as funds, technical assistance, and other types of resources are mobilized to produce specific outputs. Related Terms: **Development Intervention, SSA related Initiatives (initiatives).**
- **Baseline:** A “baseline” refers to measurements of key conditions (indicators) present before a program begins, from which change and progress can be assessed. The type of data to be included in the baseline depends on the program’s goals, its theory of change, and the types of indicators needed to measure program progress. Baselines must ensure that the same type of data can be collected before a program begins and after it ends. This allows for a clear comparison of indicators and determination of the extent of change during a program’s lifecycle
- **Data Collection Tools:** Methodologies used to identify information sources and collect information during an evaluation. Note: Examples include informal and formal surveys, direct and participatory observation, community interviews, focus groups, expert opinion, case studies, and literature search.
- **Effect:** Intended or unintended change due directly or indirectly to an intervention. Related Terms: **Results, Outcome.**
- **Evaluation:** A systematic and objective assessment of an ongoing or completed activity, project, program or policy; evaluations are formal analytical endeavors involving systematic collection and analysis of qualitative and quantitative information.
- **Goal:** The higher-order objective to which a development intervention is intended to contribute.
- **Impacts:** Positive or negative, primary and secondary long-term effects produced by an initiative, directly or indirectly, intended or unintended.
- **Indicator:** Quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, to reflect on the chances connected to an intervention, or to help assess performance of a development actor.
- **Initiative:** Used in the Performance Management Framework for SSA to represent programs, projects, activities, or any other means or actions undertaken to achieve SSA goals or objectives.
- **Logic Model:** A logic model is an industry standard communication and evaluation tool used to define a program, its intent, and how success will be measured. It maps the individual steps or projects necessary to achieve the desired changes explained in the TOC. The logic model visually describes project activities and the linear process of contributing to program goal(s) and achieving program objectives.
- **Manage for Results:** A management strategy focusing on performance and achievement of outputs, outcomes and impacts. Related Terms: **Results Based Management.**
- **Mid-term Evaluation:** Evaluation performed towards the middle of the period of implementation of the intervention/plan.
- **Monitoring:** The ongoing collection of performance information to inform SSA managers and stakeholders about the progress of an intervention, program, or project, and makes us aware of the need for timely corrections/adjustments if progress is not satisfactory.

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- **Outcome**: The likely or achieved short-term and medium-term effects of an intervention/initiative/program/project's outputs. Related Terms: **Results, Outputs, Impacts, Effect.**
 - **Output**: The products, capital goods and services which result from a development intervention/initiative/program/project; may also include changes resulting from the intervention/initiative/program/project which are relevant to the achievement of outcomes.
 - **Performance**: The degree to which an intervention or partner operates according to specific criteria/standards/guidelines or achieves results in accordance with states goals or plans.
 - **Performance Indicator**: A variable that allows the verification of changes in the intervention or shows results relative to what was planned. Related Terms: **Performance Monitoring, Performance Measurement.**
 - **Performance Measurement**: A system for assessing performance of development interventions against stated goals. Related terms: **Performance Monitoring, Indicator.**
 - **Performance Management**: Performance management is the organized process for collecting and analyzing relevant data. Performance management is used to assess whether an initiative is implemented as intended, whether inputs are sufficient, have the intended effect on the target population or are addressing the identified issue. It begins in design and is conducted throughout program implementation. It is used to make informed decisions for current and future initiatives.
 - **Performance Management Framework**: The performance management framework encompasses steps towards sound country and program level planning, program design, and creating monitoring and evaluation plans (including indicators) to assess how or if ongoing activities are progressing and contributing to broader goals, and the communication necessary to facilitate internal learning and interagency coordination.
 - **Performance Management Plan (PMP)**: A Performance Management Plan is the tool used to set up and manage the process of monitoring, analyzing, evaluating, learning, and reporting progress toward achieving objectives
 - **Performance Monitoring**: A continuous process of collecting and analyzing data to compare how well a project, program or policy is being implemented against expected results.
 - **Program**: A set of activities, activities or projects that are typically implemented by several parties over a specified period of time and may cut across sectors, themes or geographic areas.
 - **Program Design**: Program, project and process design is the procedure of developing an idea, aligning to existing strategies, and creating a plan to develop and execute the program, project or process. Program design includes conducting situational analysis, identification of the problem or issue, program goals and objectives, steps needed to establish program logic, and strategies for implementing change. The intention is to construct a roadmap for program implementation and management.
 - **Project**: An activity designed to achieve specific objectives within specified resources and implementation schedules.
 - **Results**: the output, outcome, or impact (intended or unintended, positive and/or negative) of an initiative. Related Terms: **Outcome, Effect, Impacts.**
 - **Results Based Management**: A management strategy focusing on performance and achievement of outputs, outcomes, and impacts.
 - **Results Framework**:

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- **Security Sector Assistance (SSA)**: SSA refers to the policies, programs and activities the United States uses to: engage with foreign partners and help shape their policies and actions in the security sector; help foreign partners build and sustain the capacity and effectiveness of legitimate institutions to provide security, safety, and justice for their people; and enable foreign partners to contribute to efforts that address common security challenges. The security sector is comprised of those institutions – to include partner governments and international organizations – that have authority to use force to protect both the state and its citizens at home or abroad; to maintain international peace and security; and to enforce the law and provide oversight of those organizations and forces. It includes both military and civilian organizations and personnel operating at the international, regional national and sub-national levels. Security sector actors include state security, justice and law enforcement providers, governmental security and justice management oversight bodies, civil society, human rights organizations, institutions responsible for border management, customs and civil emergencies and non-state justice and security providers.
 - **Theory of Change (TOC)**: A TOC is a statement of expectations regarding the process by which planned activities will lead to stated objectives. TOC produces insights to support design, implementation, and evaluation by describing *how* and *why* change is expected to happen.