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GUIDELINES FOR  
**RESULTS-FRAMEWORK DOCUMENT (RFD)**  
**2014-2015**

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(April 1, 2014– March 31, 2015)



Performance Management Division  
**C A B I N E T   S E C R E T A R I A T**  
Government of India

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### **Annexure: RFD Evaluation Methodology (REM)**

# GUIDELINES FOR RESULTS-FRAMEWORK DOCUMENT (RFD) 2014-2015

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## I. Background

The Prime Minister approved the outline of a “Performance Monitoring and Evaluation System (PMES) for Government Departments” vide PMO I.D. No. 1331721/PMO/2009-Pol dated 11.9.2009. Under PMES, each department is required to prepare a Results-Framework Document (RFD).

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

## II Format of Results-Framework Document

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

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

The RFD should contain the following six sections:

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

## **Section 1: Ministry's / Department's Vision, Mission, Objectives and Functions**

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

### **Vision:**

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

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

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

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

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

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

### **Features of a good vision statement:**

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

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

The Vision of any organization is supposed to act as the loadstar for that organization. Hence, it should not vary from year to year. This year, we shall use a rigorous methodology to measure the quality of RFD. This methodology is called ***RFD Evaluation Methodology (REM)*** and is enclosed as an Annexure along with these Guidelines. REM provides a methodology for evaluating all sections of RFD and must be read along with these Guidelines. Departments must use REM to self-evaluate the quality of their department's RFD before submitting it to PMD.

### **Mission:**

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

We strongly recommend that mission should follow the vision. This is because the purpose of the organization could change to achieve their vision. The vision represents the big picture and the mission represents the necessary work.

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

### **Objectives:**

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

Objectives could be of two types: (a) Outcome Objectives address ends to achieve, and (b) Process Objectives specify the means to achieve the objectives. As far as possible, the department should focus on Outcome Objectives.<sup>1</sup>

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

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<sup>1</sup> Often a distinction is also made between "Goals" and "Objectives". The former is supposed to be more general and latter more specific and measurable. The Vision and Mission statement are expected to capture the general direction and future expected outcomes for the department. Hence, only the inclusion of objectives in Section 1 is required. See also Figure 3 on page 11.

Objectives should be linked and derived from the Departmental Vision and Mission statements and should remain stable over time. Objectives cannot be added or deleted without a rigorous evidence-based justification. In particular, a department should not delete an objective simply because it is hard to achieve. Nor, can it add an objective simply because it is easy to achieve. There must be a logical connection between Vision, Mission and Objectives.

### **Functions:**

The functions of the department should be listed in this section. These functions should be consistent with the Allocation of Business Rules for the department / ministry. Unless they change, they cannot be changed in the RFD. This section is supposed to reflect the legal / administrative reality as it exists, and not a wish list.

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

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

### **Column 1: Select Key Departmental Objectives**

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

It may be mentioned that the Key objectives, to be incorporated by the department/ministry should add up to 85% weights. The remaining 15% are Mandatory objectives, which are approved by the High Power Committee on Government Performance and valid for all departments/ministries.

### **Column 2: Assign Relative Weights to Objectives**

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

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

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

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

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

#### Column 4: Specify Success Indicators and Units

For each of the “action” specified in Column 3, the department must specify one or more “success indicators.” They are also known as “Key Performance Indicators (KPIs)” or “Key Result Indicators (KRIs).” A success indicator provides a means to evaluate progress in implementing the policy, programme, scheme or project. Sometimes more than one success indicator may be required to tell the entire story.

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

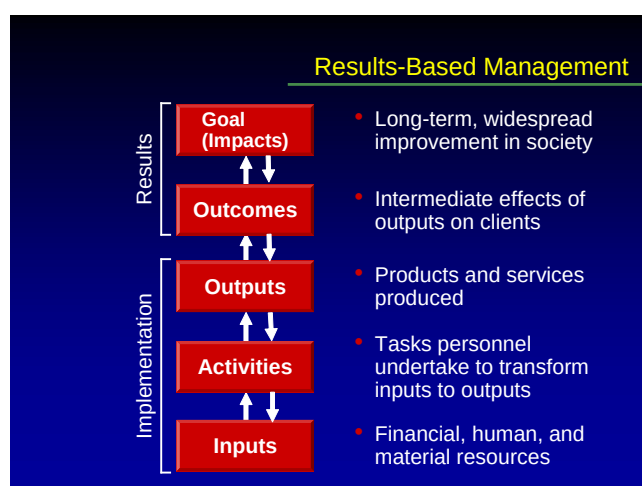
Success indicators should consider both qualitative and quantitative aspects of departmental performance

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

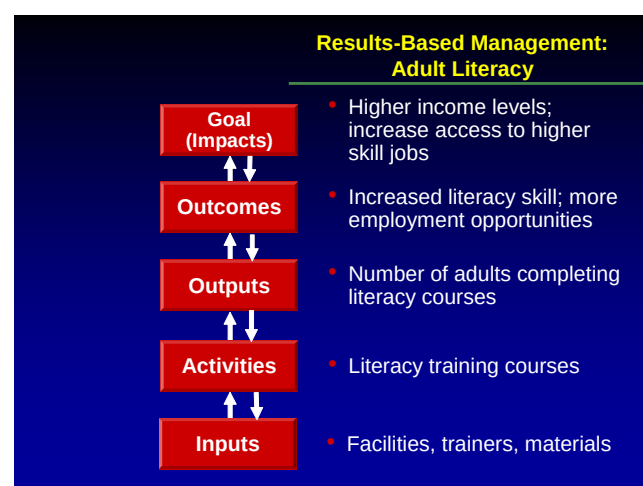
If we use Outcome (increased literacy) as a success indicator, then it would be duplicative to also use inputs and activities as additional success indicators.

Ideally, one should have success indicators that measure Outcomes and Impacts. However, sometimes due to lack of data one is able to only measure activities or output. The common definitions of these terms are as follows:

1. **Inputs:** The financial, human, and material resources used for the development intervention.



**Figure 1:** Typical Results Chain



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

2. **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
3. **Outputs:** The products, capital goods and services that result from a development intervention; may also include changes resulting from the intervention which are relevant to the achievement of outcomes. Sometimes, 'Outputs' are divided into two sub categories – internal and external outputs. 'Internal' outputs consist of those outputs over which managers have full administrative control. For example, printing a brochure is considered an internal output as it involves spending budgeted funds in hiring a printer and giving orders to print a given number of brochures. All actions required to print a brochure are fully within the manager's control and, hence, this action is considered 'Internal' output. However, having these brochures picked up by the targeted groups and, consequently, making the desired impact on the target audience would be an example of external output. Thus, actions that exert influence beyond the boundaries of an organization are termed as 'external' outputs.
4. **Outcome:** The likely or achieved short-term and medium-term effects/ impact of an intervention's Outputs

Departments are required to classify SIs into the following categories in RFMS:

| Input | Activity | Internal Output | External Output | Outcome | Measures Qualitative Aspects |
|-------|----------|-----------------|-----------------|---------|------------------------------|
| (1)   | (2)      | (3)             | (4)             | (5)     | (6)                          |

While 1-5 are mutually exclusive, a Success Indicator can also measure qualitative aspects of performance.



## Column 5: Assign relative Weights to Success Indicators

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

## Column 6: Specify Targets/Criteria value for Success Indicators

The next step is to choose a target for each success indicator. Targets are tools for driving performance improvements. Target levels should, therefore, contain an element of stretch and ambition. However, they must also be achievable. It is possible that targets for radical improvement may generate a level of discomfort associated with change, but excessively demanding or unrealistic targets may have a longer-term demoralizing effect.

The target should be presented as per the five-point scale given below:

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

It is expected that, in general, budgetary targets would be placed at 90% (Very Good) column. There are only two exceptions: (a) When the budget requires a very precise quantity to be delivered. For example, if the budget provides money for one bridge to be built, clearly we cannot expect the department to build two bridges or 1.25 of a bridge.(b) When there is a legal mandate for a certain target and any deviation may be considered a legal breach. In these cases, and only in these cases, the targets can be placed under 100 %. For any performance below 60%, the department would get a score of 0 in the relevant success indicator.

The RFD targets should be aligned with Plan priorities and be consistent with departmental budget as well as the outcome budget. A well framed RFD document should be able to account for the majority of the budget. Towards this end, departments must ensure that all major schemes, relevant mission mode projects and Prime Ministers Flagship Programs are reflected in the RFD.

**Team targets:** In some cases, the performance of a department is dependent on the performance of one or more departments in the Government. For example, to produce power, the Ministry of Power is dependent on the performance of the following: (a) Ministry of Coal, (b) Ministry of Railways, (c) Ministry of Environment and Forest, and (d) Ministry of Heavy Industry (e.g. for power equipment from BHEL). Therefore, in order to achieve the desired result, it is necessary to work as a team and not as individuals. Hence, the need for team targets for all five departments and ministries.

For example, if the Planning Commission fixes 920 BU as target for power generation, then two consequences will follow. First, RFDs of all five departments will have to include this as a 'team target.' Second, if this 'team target' is not achieved, all five departments will lose some points at the time of evaluation of RFDs. The relative loss of points will depend on the weight for the team target in the respective RFDs. To illustrate this point, let us take an example. The RFD for Ministry of Coal will consist of two type of targets. One will deal with coal production and other with 'team target for Power Generation.' Let us say they have a

weight of 15 % and 2 % respectively. Now if the target of 920 BU for power generation is not achieved, even if the target for coal production has been achieved, Ministry of Coal will still lose 2 %.

The logic is that all team members must ensure (like relay race runners) that the entire chain works efficiently. To take the cricket analogy, there is no consolation in a member of the team scoring double century if the team ends up losing the match!! That is, the departments included for team targets will be responsible for achieving the targets jointly.

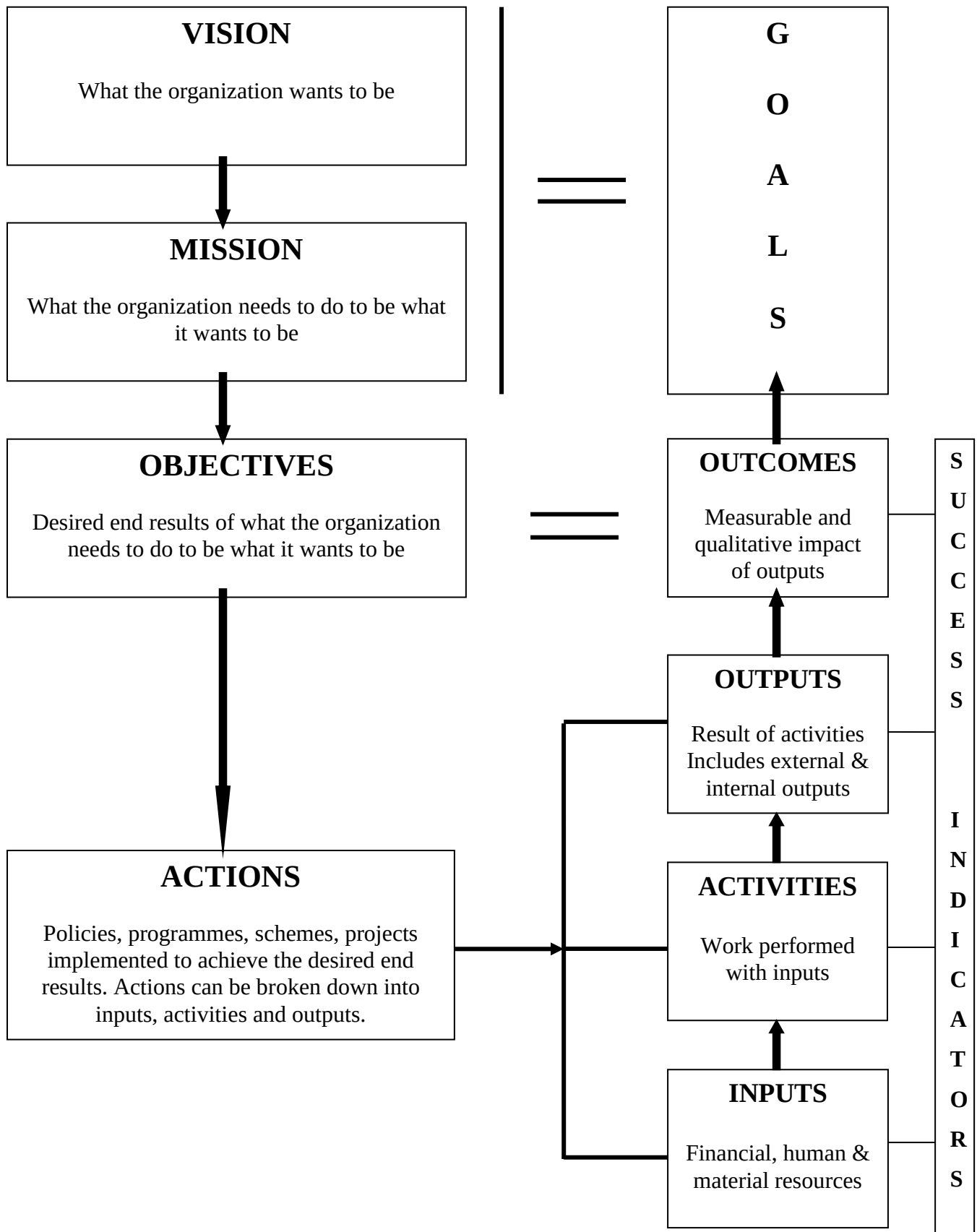
### **Confidentiality**

It is possible that part of performance related information in RFDs of select departments may be of a highly sensitive nature. In such cases, with the permission of the High Power Committee (HPC) on Government Performance, such information may be placed in a sealed cover and sent directly to the Cabinet Secretary **only**. At the end of the year, performance against the targets in the sealed cover should also be sent to the Cabinet Secretary **only**.

### **Diagrammatic Representation of Section 2**

Figure 3 on the next page presents the interrelationships between various elements of Section 2.

**Figure 3:** Interrelationship between Elements of Section 2



### Section 3: Trend values of the success indicators

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

**Table 2:** Trend Values for Success Indicators

| Objective   | Actions  | Success Indicator | Unit | Actual Value for FY 12/13 | Actual Value for FY 13/14 (anticipated) | Target Value for FY 14/15 | Projected Value for FY 15/16 | Projected Value for FY 16/17 |
|-------------|----------|-------------------|------|---------------------------|-----------------------------------------|---------------------------|------------------------------|------------------------------|
|             |          |                   |      |                           |                                         |                           |                              |                              |
| Objective 1 | Action 1 |                   |      |                           |                                         |                           |                              |                              |
|             | Action 2 |                   |      |                           |                                         |                           |                              |                              |
|             | Action 3 |                   |      |                           |                                         |                           |                              |                              |
|             |          |                   |      |                           |                                         |                           |                              |                              |
| Objective 2 | Action 1 |                   |      |                           |                                         |                           |                              |                              |
|             | Action 2 |                   |      |                           |                                         |                           |                              |                              |
|             | Action 3 |                   |      |                           |                                         |                           |                              |                              |
|             |          |                   |      |                           |                                         |                           |                              |                              |
| Objective 3 | Action 1 |                   |      |                           |                                         |                           |                              |                              |
|             | Action 2 |                   |      |                           |                                         |                           |                              |                              |
|             | Action 3 |                   |      |                           |                                         |                           |                              |                              |

If an action is being initiated in the current year, then no values would be listed in the previous year column. Also, in case an action is going to be completed in the current year, then no values would be listed in the next 2 years. Kindly do not copy Section 2 figures here and care should be taken that the date values are for the relevant year listed in the column.

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

RFD must contain a section giving detailed definitions of various success indicators and the proposed measurement methodology. Abbreviation/acronyms and other details of the relevant scheme may be listed in this section. Wherever possible, the rationale for using the proposed success indicators may be provided as per the new format recently incorporated in the RFMS. Departments should specify in Section 4 of the RFD, the basis on which they have set the targets. The projected Trend Values also need to be specified preferably in section 4.

Supporting documents should be uploaded for each indicator regarding Targets and projected trend values

| SI. No. | Success Indicator | Description | Definition | Measurement | General Comments |
|---------|-------------------|-------------|------------|-------------|------------------|
|         |                   |             |            |             |                  |
|         |                   |             |            |             |                  |

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

This section should contain expectations from other departments that impact the department's performance and are critical for achievement of the selected Success Indicator. However, names of those departments only need to be incorporated where dependency is more than 20%. These expectations should be mentioned in quantifiable, specific, and measurable terms. While listing expectations, care should be taken while recording as this would be communicated to the relevant Ministry/Department and should not be vague or general in nature. This should be given as per the new format incorporated in the RFMS.

| Location Type | State | Organization Type | Organization Name | Relevant Success Indicator | What is your requirement from this organization | Justification for this requirement | Please quantify your requirement from this Organization | What happens if your requirement is not met |
|---------------|-------|-------------------|-------------------|----------------------------|-------------------------------------------------|------------------------------------|---------------------------------------------------------|---------------------------------------------|
|               |       |                   |                   |                            |                                                 |                                    |                                                         |                                             |
|               |       |                   |                   |                            |                                                 |                                    |                                                         |                                             |

It is important to note that this section is not meant to provide alibi for potential shortfalls in targets. Therefore, it is recommended that only a handful of key dependencies, perhaps not more than 5 or 6, should be mentioned in this section. The essence of management is to deliver results that are outside the boundary of direct control. Figure 4 on the next page illustrates the difference between administration and management.

**Figure 4:** Administration versus Management



## **Section 6 Outcome / Impact of activities of department/ministry.**

This section should contain the broad outcomes and the expected impact the department/ministry has on national welfare. It should capture the very purpose for which the department/ministry exists.

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

The required information under this section should be entered in Table 3. The Column 2 of Table 3 is supposed to list the expected outcomes and impacts. It is possible that these are also mentioned in the other sections of the RFD. Even then they should be mentioned here for clarity and ease of reference. For example, the purpose of Department of AIDS Control would be to Control the spread of AIDS. Now it is possible that AIDS control may require collaboration between several departments like Health and Family Welfare, Information and Broadcasting, etc. In Column 3 all the departments / ministries jointly responsible for achieving national goal are required to be mentioned. In Column 4 department/ministry is expected to mention the success indicator (s) to measure the department/ministry outcome or impact. In the case mentioned, the success indicator could be “% of Indians infected with AIDS.” Columns 6 to 10 give the expected trend values for various success indicators.

Like, Vision and Mission, Outcomes do not (and should not) change from year to year.

**Table 3:** Outcome / Impact of activities of department/ ministry

| S. No | Outcome / Impact | Jointly responsible for influencing this outcome / impact with the following organisation (s) / departments/ministry(ies) | Success Indicator (s) | Unit | 2012-2013 | 2013-2014 | 2014-2015 | 2015-2016 | 2016-2017 |
|-------|------------------|---------------------------------------------------------------------------------------------------------------------------|-----------------------|------|-----------|-----------|-----------|-----------|-----------|
|       |                  |                                                                                                                           |                       |      |           |           |           |           |           |
|       |                  |                                                                                                                           |                       |      |           |           |           |           |           |
|       |                  |                                                                                                                           |                       |      |           |           |           |           |           |
|       |                  |                                                                                                                           |                       |      |           |           |           |           |           |

### III. Evaluation Methodology

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

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

The Weighted Raw Score for Achievement in Column 6 is obtained by multiplying the Raw Score with the relative weights. Thus for the first success indicator, the Weighted Raw Score is obtained by multiplying 75% by 0.50. This gives us a weighted raw score of 37.5%

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

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

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

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

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

| Column 1               | Column 2                                       | Column 3                         |                                                                                              | Column 4 | Column 5 |                          |              |      |      | Column 6 |             |              |                          |
|------------------------|------------------------------------------------|----------------------------------|----------------------------------------------------------------------------------------------|----------|----------|--------------------------|--------------|------|------|----------|-------------|--------------|--------------------------|
| Objective              | Action                                         | Criteria /<br>Success Indicators |                                                                                              | Unit     | Weight   | Target / Criteria Values |              |      |      |          | Achievement | Raw<br>Score | Weighted<br>Raw<br>Score |
|                        |                                                |                                  |                                                                                              |          |          | Excellent                | Very<br>Good | Good | Fair | Poor     |             |              |                          |
|                        |                                                |                                  |                                                                                              |          |          | 100%                     | 90%          | 80%  | 70%  | 60%      |             |              |                          |
| Better Rural<br>Health | Improve<br>Access to<br>Primary<br>Health Care | 1                                | % Increase in number<br>of primary health care<br>centers                                    | %        | .50      | 30                       | 25           | 20   | 10   | 5        | 15          | 75%          | 37.5%                    |
|                        |                                                | 2                                | % Increase in number<br>of people with access<br>to a primary health<br>center within 20 KMs | %        | .30      | 20                       | 18           | 16   | 14   | 12       | 18          | 90%          | 27%                      |
|                        |                                                | 3                                | Number of hospitals<br>with ISO 9000<br>certification by<br>December 31, 2009                | %        | .20      | 500                      | 450          | 400  | 300  | 250      | 600         | 100%         | 20%                      |
| Composite Score =      |                                                |                                  |                                                                                              |          |          |                          |              |      |      |          |             | 84.5%        |                          |



## IV. RFD Process and Timelines

### A. Beginning of the Year

- At the beginning of each financial year, with the approval of the Minister concerned, each Department prepares a Results-Framework Document (RFD) consistent with these guidelines.
- To achieve results commensurate with the priorities listed in the RFD, the Minister in-charge approves the proposed activities and schemes for the Ministry/Department. The Ministers In-charge also approves the corresponding success indicators (Key Result Areas – KRAs, and Success Indicators) and time bound targets to measure progress in achieving these objectives.
- Based on the proposed budgetary allocations for the year in question, the drafts of RFDs should be submitted to PMD by 5<sup>th</sup> of March every year. The RFD should be aligned to the Plan priorities and Outcome Budget. To ensure uniformity, consistency and coordinated action across various Departments, the Cabinet Secretariat reviews these drafts and provides feedback to the *Ministries / Departments concerned*.
- These draft RFDs are then reviewed by an independent group of non-government experts. This group is called the Ad-hoc Task Force (ATF) and consists of former Secretaries to GOI, distinguished academicians, former CEOs of public enterprises, and private sector domain experts.
- After the review by ATF, the RFDs are sent for approval of the High Power Committee (HPC) on Government Performance consisting of the Cabinet Secretary (Chair), Finance Secretary, Expenditure Secretary, Secretary (Planning Commission), Secretary (Performance Management).
- The final versions of all RFDs, approved by HPC, should be put up on the websites of the respective Ministries by the 15<sup>th</sup> of April each year.
- The revised Results Framework of each Department/Ministry should be submitted to the Cabinet Secretariat, by the 15<sup>th</sup> April of each year.

### B. During the Year

- After six months, the Results Framework as well as the achievements of each Ministry/Department against the performance goals laid down at the beginning of the year, is reviewed by the High Power Committee (HPC) on Government Performance and, if required, the Secretary of the Department concerned could be invited for resolving any disagreements. At this stage, the Results-Framework Documents may have to be reviewed and the goals reset, taking into account the priorities at that point of time. This enables us to factor in unforeseen or *force majeure* circumstances such as drought conditions, natural calamities or epidemics. The report of the High Power Committee on Government Performance is to be submitted to the Prime Minister, through the concerned Minister, for further action as deemed necessary.

### C. End of the Year

- At the end of the year, all Ministries/Departments will review and prepare a report listing the achievements of their ministry/department against the agreed results in the

prescribed format. This report will be required to be finalized by the 1<sup>st</sup> of May each year.

- After scrutiny by the Cabinet Secretariat, these results will be placed before the Cabinet for information by 1<sup>st</sup> of June each year.

## V. Time Table 2014-2015 RFDs

| WHEN |                   | WHAT                                                                                                                                         | WHO                                |
|------|-------------------|----------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------|
| 2014 | March 5           | Submit final draft of Results-Framework (RFD) Document for 2014-15 to Performance Management Division (PMD), Cabinet Secretariat.            | Departments/ Ministries            |
|      | March 18- April 5 | Review Meetings with the Ad-hoc Task Force (ATF) on Results Framework Document                                                               | Departments / Ministries / ATF/PMD |
|      | April 12          | Finalise Results-Framework Document (RFD for 2014-15 after incorporating suggestions of High Power Committee (HPC) on Government Performance | Departments/ Ministries/PMD        |
|      | April 15          | Place Results-Framework Documents (RFDs) for 2014-15 on departmental websites                                                                | Departments/ Ministries            |
| 2015 | May 1             | Submit year-end evaluation report on progress during the year against commitments in RFDs for 2014-15                                        | Departments/ Ministries            |
|      | May 10-18         | Review Meetings with the Ad-hoc Task Force (ATF) on year-end evaluation results                                                              | ATF/PMD                            |
|      | May 27            | Finalise year-end evaluation results after incorporating suggestions of High Power Committee (HPC) on Government Performance                 | PMD, Cabinet Secretariat.          |
|      | June 1            | Place the Evaluation Results before the Cabinet.                                                                                             | PMD, Cabinet Secretariat.          |
|      | June 1            | Place the Evaluation Results on the website of the Ministry/Department.                                                                      | Departments/ Ministries            |

## VI. Revised Mandatory Success Indicators for 2014-15

| Objective |                                                                          | Actions                                                                                                            | Success Indicator                              | Unit | Weight | Target / Criteria Value |             |             |              |              |
|-----------|--------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|------------------------------------------------|------|--------|-------------------------|-------------|-------------|--------------|--------------|
|           |                                                                          |                                                                                                                    |                                                |      |        | Excellent               | Very Good   | Good        | Fair         | Poor         |
|           |                                                                          |                                                                                                                    |                                                |      |        | 100%                    | 90%         | 80%         | 70%          | 60%          |
| 1         | Efficient Functioning of the RFD System                                  | Timely submission of Draft RFD for 2015-2016 for Approval                                                          | On-time submission                             | Date | 2      | Mar. 5 2015             | Mar. 6 2015 | Mar. 9 2015 | Mar. 10 2015 | Mar. 11 2015 |
|           |                                                                          | Timely submission of Results for 2013-2014                                                                         | On-time submission                             | Date | 1      | May 1 2014              | May 2 2014  | May 3 2014  | May 6 2014   | May 7 2014   |
| 2         | Enhanced Transparency / Improved Service delivery of Ministry/Department | Rating from Independent Audit of implementation of Citizens’ / Clients’ Charter (CCC)                              | Degree of implementation of commitments in CCC | %    | 2      | 100                     | 95          | 90          | 85           | 80           |
|           |                                                                          | Independent Audit of implementation of Grievance Redress Management (GRM) system                                   | Degree of success in implementing GRM          | %    | 1      | 100                     | 95          | 90          | 85           | 80           |
| 5         | Reforming Administration                                                 | Update departmental strategy to align with revised priorities                                                      | Date                                           | %    | 2      | Nov.1 2014              | Nov.2 2014  | Nov.3 2014  | Nov.4 2014   | Nov.5 2014   |
|           |                                                                          | Implement agreed milestones of approved Mitigating Strategies for Reduction of potential risk of corruption (MSC). | % of Implementation                            | %    | 1      | 100                     | 90          | 80          | 70           | 60           |
|           |                                                                          | Implement agreed milestones for implementation of ISO 9001                                                         | % of implementation                            | %    | 2      | 100                     | 95          | 90          | 85           | 80           |

| Objective                                                             | Actions                                                                                                 | Success Indicator                                                                                                                 | Unit | Weight     | Target / Criteria Value |           |      |      |      |
|-----------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------|------|------------|-------------------------|-----------|------|------|------|
|                                                                       |                                                                                                         |                                                                                                                                   |      |            | Excellent               | Very Good | Good | Fair | Poor |
|                                                                       |                                                                                                         |                                                                                                                                   |      |            | 100%                    | 90%       | 80%  | 70%  | 60%  |
|                                                                       | % of Responsibility Centres with RFD in RFMS                                                            | Responsibility Centres covered                                                                                                    | %    | 1          | 100                     | 95        | 90   | 85   | 80   |
|                                                                       | Implement agreed milestones of approved Innovation Action Plans (IAPs).                                 | % of implementation                                                                                                               | %    | 2          | 100                     | 90        | 80   | 70   | 60   |
| <b>Improve compliance with the Financial Accountability Framework</b> | Timely submission of ATNs on Audit paras of C&AG                                                        | Percentage of ATNs submitted within due date (4 months) from date of presentation of Report to Parliament by CAG during the year. | %    | .25        | 100                     | 90        | 80   | 70   | 60   |
|                                                                       | Timely submission of ATRs to the PAC Sectt. on PAC Reports.                                             | Percentage of ATRS submitted within due date (6 months) from date of presentation of Report to Parliament by PAC during the year. | %    | .25        | 100                     | 90        | 80   | 70   | 60   |
|                                                                       | Early disposal of pending ATNs on Audit Paras of C&AG Reports presented to Parliament before 31.3.2014. | Percentage of outstanding ATNs disposed off during the year.                                                                      | %    | .25        | 100                     | 90        | 80   | 70   | 60   |
|                                                                       | Early disposal of pending ATRs on PAC Reports presented to Parliament before 31.3.2014                  | Percentage of outstanding ATRS disposed off during the year.                                                                      | %    | .25        | 100                     | 90        | 80   | 70   | 60   |
| <b>TOTAL WEIGHT=</b>                                                  |                                                                                                         |                                                                                                                                   |      | <b>15%</b> |                         |           |      |      |      |

## VII. RFD Submission Process

All RFDs must be submitted to the Performance Management Division, Cabinet Secretariat, by 5:30 PM on Tuesday, March 5, 2014 in the following formats:

- a. RFD data should be entered in the Results Framework Management System (RFMS). It will be locked at 5:30 PM on Tuesday, March 5, 2014. To avoid last minute computer glitches, early entry of the relevant RFD data will be much appreciated.
- b. Electronic copy of the RFD in PDF format should be sent to the following emails:
  - [performance-cabsec@nic.in](mailto:performance-cabsec@nic.in),
  - [prajapati.trivedi@nic.in](mailto:prajapati.trivedi@nic.in); and
  - [RFD-Cabsec@nic.in](mailto:RFD-Cabsec@nic.in)
- c. Printed Version (15 copies) should be hand delivered to Performance Management Division, Cabinet Secretariat, at the following address:

Performance Management Division (PMD)  
Cabinet Secretariat  
Room 208 (5<sup>th</sup> Wing)  
The Hotel Janpath, Janpath  
New Delhi-110001

For information and assistance regarding RFD submission via RFMS, please call Mr. Kapil Sharma of National Informatics Centre (NIC) at +91-9818026015 or Mrs. Suchitra Pyarelal, Technical Director, +91-11-2436 5515, +91-11-2430 5808

For more information please visit our website: [www.performance.gov.in](http://www.performance.gov.in)

Please refer all enquires relating to these guidelines to:

**S. B. Mandal**  
Deputy Secretary  
Performance Management Division  
Cabinet Secretariat  
5<sup>th</sup> Wing, The Hotel Janpath  
Janpath, New Delhi-110001  
Email: [sb.mondal@nic.in](mailto:sb.mondal@nic.in)

Phone: 011-23741164