

Training of RBM Champions



RBM in Monitoring and Reporting

What Do We Need To Know?

- Why do we monitor and report?
- What is monitored?
- How do we monitor?
- What is reported?
- How do we report?

Quotable Quotes!

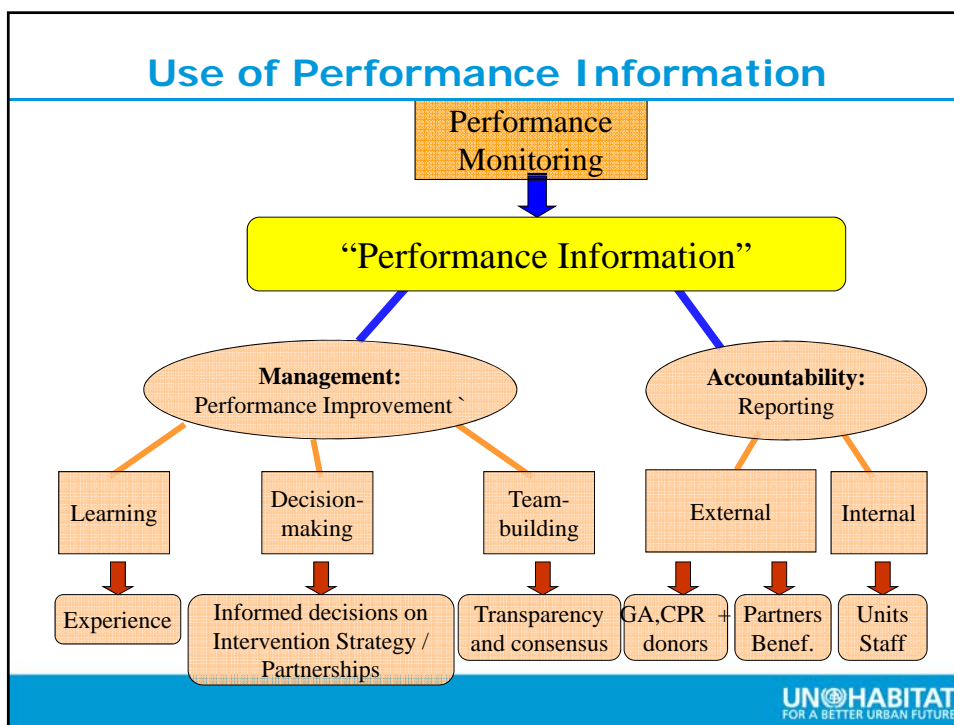
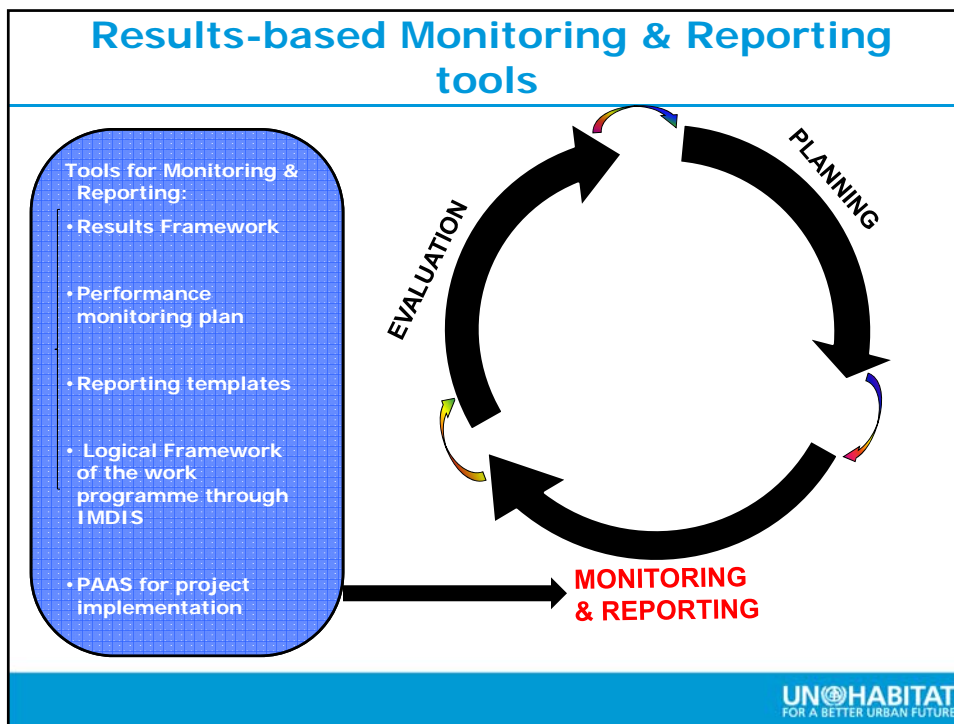
- If you did not monitor the indicators for change-you have no evidence for results
- If you have no evidence-it is speculation and you can not demonstrate value for money
- What is not reported did not happen!

One UN-Habitat :

- Common Mandates
- Results Planned Jointly
- Collaborative implementation-Country to Global
- Joint Monitoring : Harmonized, coordinated
- Results Reported Collectively-ONE UN-HABITAT REPORT

Why Monitor and Report?

- Key elements of RBM
- Mandated by the General Assembly and the Governing Council
- Requirement of the Key donors
- Basis for Learning, performance improvement, decision making and accountability.



What is Monitored and Reported?

Progress and Results achieved in implementation of the:

- Six-year Strategic Plan
- Two-year work programme and budget
- Country Programmes/Projects

Mandatory Performance Reports

- Annual Report on the implementation of the Strategic plan
- Programme Performance Report on the implementation of the biennial work programme (12th month and 24th month)
- Six monthly updates
- Quarterly Country Activity Report

Monitoring the Work Programme and Budget

What do we monitor?

- Expected accomplishments/outcomes through:
 - ✓ Indicators of achievement
 - ✓ Recording of accomplishments (statements)

- Delivery of outputs

Monitoring the Work Programme and Budget

Monitored through IMDIS

- What is IMDIS?
- Integrated Monitoring and Documentation Information System
 - ✓ Secretariat-wide system for on-line programme performance monitoring and reporting
 - ✓ A management tool for Programme Managers to facilitate on-line monitoring of and reporting
 - ✓ Follows the structure of the work programme
 - ✓ Relatively simple to use

Programme of work for the biennium 2008-2009 Tuesday, 9 January 2009

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M 15.C
Programme of work
implementation and monitoring in progress

View performance assessment

Schedule of final outputs

	prog'd	add'l	c.f.	total
1 Shelter and sustainable human settlements development	339	31	15	385
2 Monitoring the Habitat Agenda	134	-	9	143
3 Regional and technical cooperation	302	-	4	306
4 Human settlements financing	225	-	2	227
Total	1 000	31	30	1 061

Final outputs by category

	prog'd	add'l	c.f.	total
Substantive servicing of meetings	9	-	-	9
Parliamentary documentation	31	-	-	31
Expert groups, rapporteurs, depository services	116	2	4	122
Recruitment publications	26	-	3	29
Non-recruitment publications	110	25	16	151
Other substantive activities	89	-	7	96
Advisory services	330	-	-	330
Training courses, seminars and workshops	84	4	-	88
Fellowship and grants	-	-	-	-
Field projects	205	-	-	205
Conference services, administration, oversight	-	-	-	-
Total	1 000	31	30	1 061

Final outputs by source

	no.	%
Programmed	1 000	94

Programme of work for the biennium 2012-2013 Tuesday, 21 May 2013

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IV.15.C.1
Subprogramme: Shelter and sustainable human settlements development
implementation and monitoring in progress

View performance assessment Update indicator methodology

1. Objective(s) of the Organization

To improve urban planning, management and governance and access to land and housing at national and local levels for sustainable urbanization.

2. Expected accomplishment(s) of the Secretariat

(a) Improved policies, legislation and strategies support inclusive urban planning, management and governance

(b) Strengthened institutions promote sustainable urbanization

(c) Cities implement inclusive urban planning, management and governance

(d) Improved land and housing policies implemented and increased security of tenure

3. Indicator(s) of achievement

(d) (i) Extent to which targeted countries working with UN-Habitat are implementing, land, housing and property policies as evidenced by number of countries at different stages of implementing the above policies (Number of countries working with UN-Habitat in implementing policies)

(ii) Increased number of countries and partners implementing policies to improve security of tenure and reduce forced evictions in collaboration with UN-Habitat

4. Final outputs

(e) Slum improvement and prevention policies under implementation

External factor(s)

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IMDIS – Monitoring Expected Accomplishments

Each expected accomplishment (outcome) is monitored through indicators of achievement

- Indicator results
- Accomplishment accounts
- Statement of Accomplishment

IMDIS – Monitoring Outputs according to categories

Output category	Required information for tracking delivery
Substantive servicing of meetings	Title of the meeting; Meeting date(s); Venue; Responsible officer; and Intermediate results
Parliamentary documentation	Title of the document; Document identifier; Date; Status of implementation
Expert group meetings, rapporteurs, depository services	Title of the meeting; Meeting date(s); Venue; Responsible officer; Intermediate results and Status of implementation
Recurrent and non-recurrent publications	Title of the publication; status of implementation; Publication Identifier; Issue Date; Responsible Officer and Intermediate results
Advisory Service	Title/nature of advisory services; Status of implementation; Identifier description of advisory services offered; No. of missions undertaken and Location; Start Date; End Date; Responsible officer and Intermediate results
Training courses, seminars and workshops	Title; Status of implementation; Identifier description; Location; Date (start/end); Country; Location; Participants; and Female participants
Field Projects	Title of cluster of field projects; Status of implementation; Title of each project; Number of projects; Organizational Unit responsible and Intermediate results

IMDIS – Who Records the Information?

1. Headquarters Division/Branch/Section **RBM focal points:**

- Outputs
- Indicator of achievement
- Expected accomplishments

2. Regional Office **RBM focal points:**

- Outputs and immediate results of outputs
- Country level

IMDIS – How Often Do We Report?

Outputs:

At least every quarter

- Implementation status
- Include a brief description of the contribution of the output towards the expected accomplishment (*immediate result*)

Expected accomplishments:

- At least every six months
 - ✓ Progress on achievement of accomplishment
 - ✓ Accomplishment accounts(result statements)

IMDIS – How is the Information Used?

For management and reporting purposes:

- For self-evaluation** by UN-Habitat programme managers and senior managers

- Monitoring UN-Habitat's performance** by Department of Management, UN-Secretariat

IMDIS – How is the Information Used? Contd.

- For reporting** on the implementation of the Strategic plan, by Secretariat to CPR and donors

- Contributing to Programme performance report** of the Secretary General to the General Assembly (at the end of the first year and for the biennium)

Monitoring of the Six-Year Strategic Plan

What is monitored?

- ❑ Financial Resources (utilization rates against budgets).
- ❑ Change in indicators of achievements against targets
- ❑ Progress towards achievement of expected accomplishments - **ANNUALLY**
- ❑ Progress towards achievement of strategic results – **EVERY TWO YEARS**

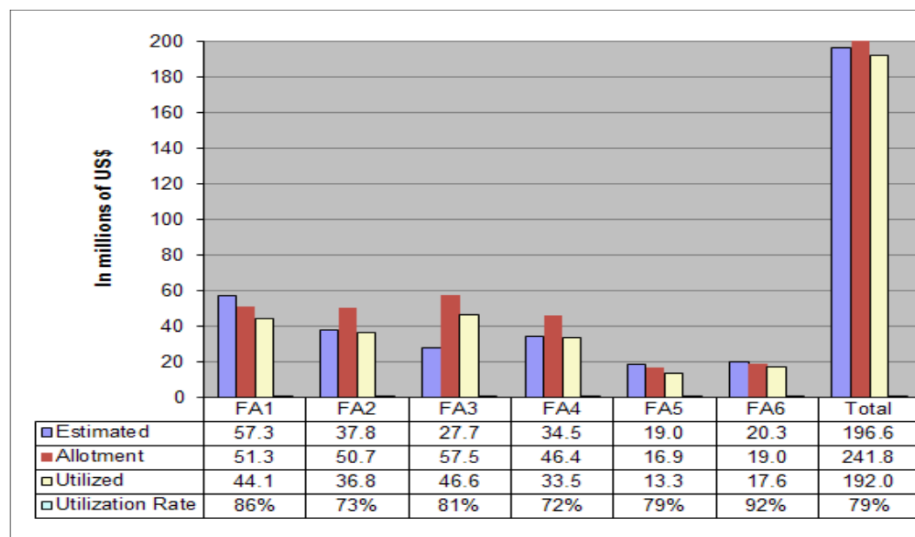
Six-Year Strategic Plan –What is Reported

- ❑ Major achievements in relation to the strategic results
- ❑ Progress on indicators of achievement against targets
- ❑ Results achieved at Expected Accomplishment level
- ❑ Resource utilization rates against budgets /allocations and explanation of any variance.

Results achieved at three levels for each focus area:

- ❑ Global level
- ❑ Regional level
- ❑ Country level

Resource allocation and utilization



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Progress on Indicators of Achievements: FA 3

Expected Accomplishments	Indicator of achievement	Baseline 2009	Target 2011	Actual 2011	Target 2013	Actual Dec. 2012
EA1: Improved land and housing policies	(i) Extent to which targeted countries working with UN-Habitat are implementing land, housing and property policies as evidenced by the number of countries at different stages of implementing mentioned policies	28	30	37	32	37
EA2: Security of tenure increased.	(i) Increased number of countries and partners implementing policies to improve security of tenure and reduce forced evictions in collaboration with UN-Habitat	19	25	29	29	29
EA3: Slum improvement and prevention policies promoted.	(i) Degree to which slum prevention and improvement policies are implemented in targeted countries with support from UN-Habitat, as evidenced by an increased number of countries at different stages of implementing slum prevention and improvement policies	24	26	33	28	33

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Analysis of performance data for EA Result

- Indicator data (Quantitative and qualitative)
- What is the overall picture?
- What trends & conclusions that can be drawn from available information?
- Can the conclusions drawn be verified?

Appendix 1: Template for Annual Reporting on Progress of the Implementation of the MTSIP 2008-2013 - MTSIP Focus Area 3: Pro-poor land and housing

Strategic result: Improved access to land and housing

Expected accomplishment (a) : **Improved land and housing policies implemented and increased security of tenure**

Indicators of achievements

Were the planned indicator targets met? If not or if exceeded, explain why

i) Extent to which targeted countries working with UN-Habitat are implementing land, housing and property policies as evidenced by the number of countries at different stages of implementing mentioned policies.

Baseline: 30 countries; Dec. 2012 37 countries; Dec. 2013 -----; Target : 32 countries

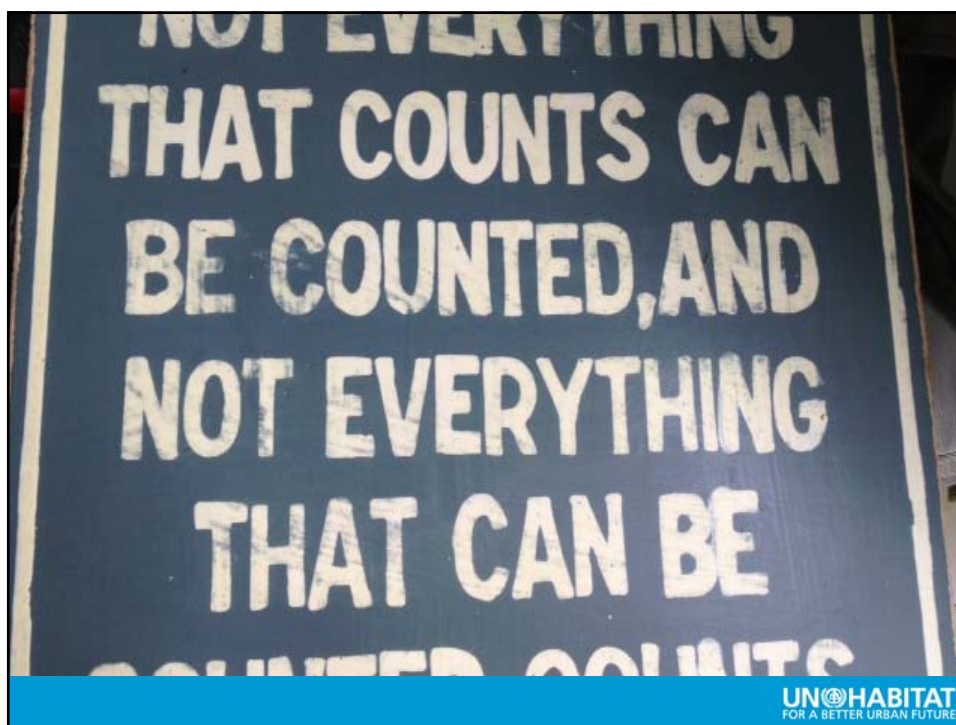
Narrative of results statement

Using the trend in indicators of achievement and context factors, state whether there has been a change in land and security of tenure due to policies implemented at global, regional and national levels since January 2013, attributed to networking with GLTN partners, tools development and capacity-building of Habitat Agenda Partners, implementation of Global Housing Strategy 2025 etc. How is the change manifested/demonstrated? –provide evidence

- a) Where necessary, mention outputs that have contributed significantly to the change you have described.
- b) Mention UN-Habitat's actual contribution and the contribution of partners towards observed changes.
- c) Indicate up to 2 key challenges met and how they are being /were addressed.
- d) Mention one lesson learned.
- e) Give 2 next steps.

Reporting on performance contd.

- Present the most important data only.
- Use illustrations and case studies to present information in a meaningful and clear way
- Combine quantitative and qualitative information



Roles and Responsibilities

1. Headquarters Division/Branch/Section **RBM focal points:**

- Global achievements of UN-Habitat
- Synthesis and consolidation of the achievements from country and regional levels.
- Progress on indicator of achievement
- Expected accomplishments

Roles and Responsibilities contd.

2. Regional Office Directors with the support of regional **RBM focal points:**

- Results achieved at regional level
- Synthesis and consolidation of Country level results per focus area.

3. HPMs/CTAs:

- Country level achievements from the normative and operational projects towards EA results
- Indicator data

Roles and Responsibilities QA Unit

- Developing RBM tools
- Providing capacity building
- Preparing the consolidated report

Roles of RBM Champions

- Support Branch/Office/Unit coordinators in Results based monitoring and reporting
- Serve as IMDIS focal points
- Responsible for performance data
- Champions of Branch/Office Results!

Challenges

- ❑ Monitoring and reporting perceived as administrative chores to be complied with before getting to “real” work
- ❑ Limited Resources for data collection and analysis
- ❑ Inadequate performance evidence to support claimed results

Challenges contd.

- ❑ Tools and systems for performance management-work in progress
- ❑ Inadequate review and ownership of results and reports

MAKE THE CHOICE

- Show OFF your results!
- Proudly celebrate your Office, Branch, Unit RESULTS by sharing with staff



RBM Champions Training

RBM in Monitoring and Reporting

Managing for Development Results

is a management strategy that focuses on development performance and on sustainable improvements in country outcomes



(OECD Policy Brief, March 2009)

A framework for development effectiveness
(performance information for improved decision making)

includes practical tools for:

- strategic planning and budgeting
- risk management
- progress monitoring
- outcome evaluation



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Milestones

 **Millenium Development Goals**
UN summit New York (2000)
❖ *What do we want to achieve?*

 **International Conferences on Financing for Development**
Monterrey and Doha (2002, 2008)
❖ *How are we going to finance this?*

 **High Level Forums on Aid Effectiveness**
Rome, Paris , Accra and Busan (2003, 2005, 2008, 2011)
❖ *How should development actors cooperate?*

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Milestones

The Accra Agenda for Action mentions 3 major challenges:

1. Country ownership is key
2. Building more effective and inclusive partnerships

and:

 **3. Achieving development results - and openly accounting for them - must be at the heart of all we do**

Highlights of “Busan”

Aid Effectiveness → Effective Development

Realising CHANGE by:

Inclusion of new actors (*private sector/BRICS*)

Improving quality and effectiveness

Increased focus on Ownership

Improve transparency and predictability

Sustainable development in fragile states

Partnering

(*triangular/south-south/ private sector/ civil society*)

Milestones

International Roundtables making MfDR operational



1st Round Table Washington 2002

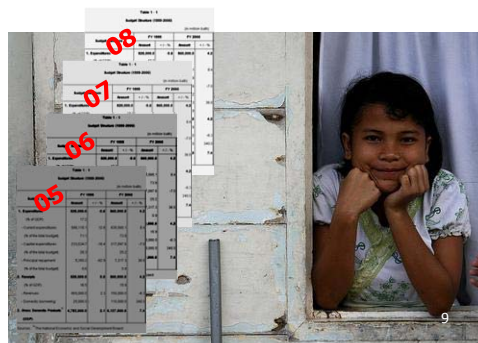
2nd Round Table Marrakech 2004

3rd Round Table Hanoi 2007

Milestones

1st Round Table, Washington, 2002

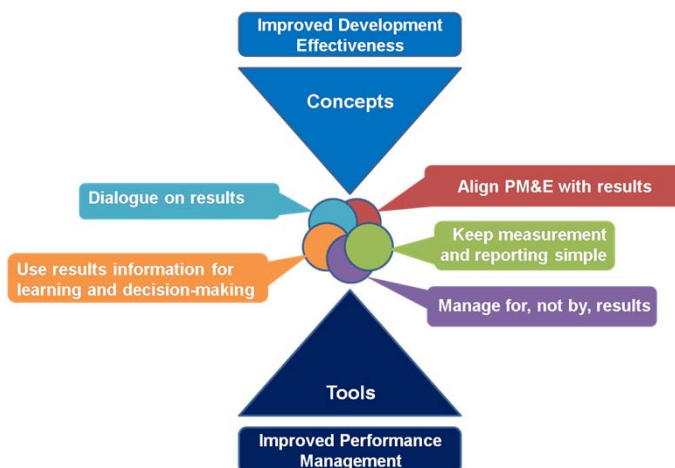
- Stock taking of ongoing MfDR efforts
- Focus on increased MfDR capacity
- Need coordinated support and harmonised approaches
- Develop results-focused corporate cultures and incentives.

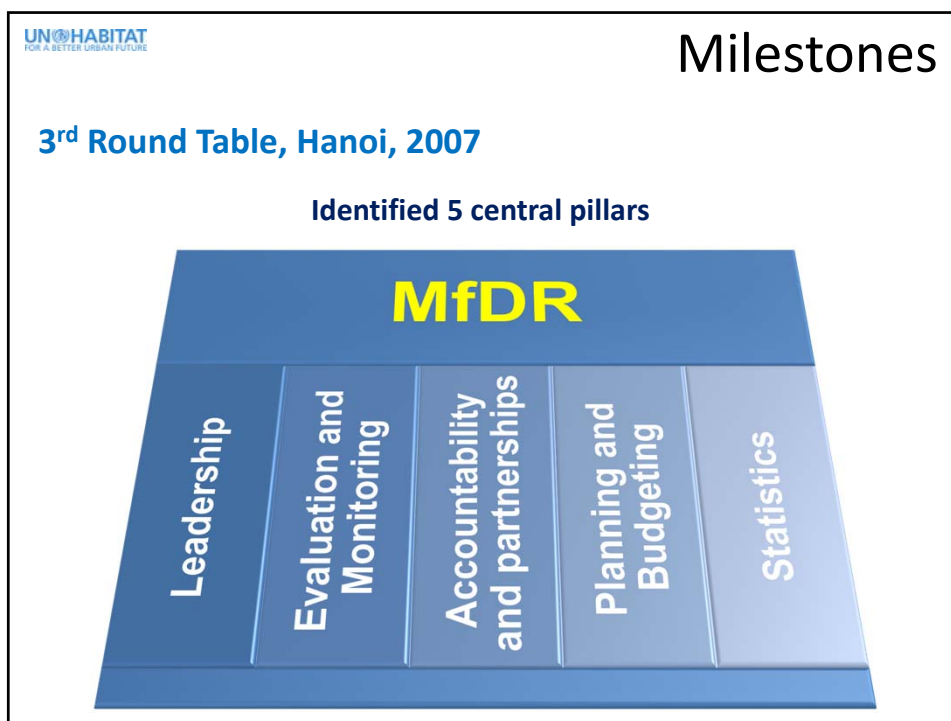


Milestones

2nd Round Table, Marrakech, 2004

The international community agreed on five principles





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Results

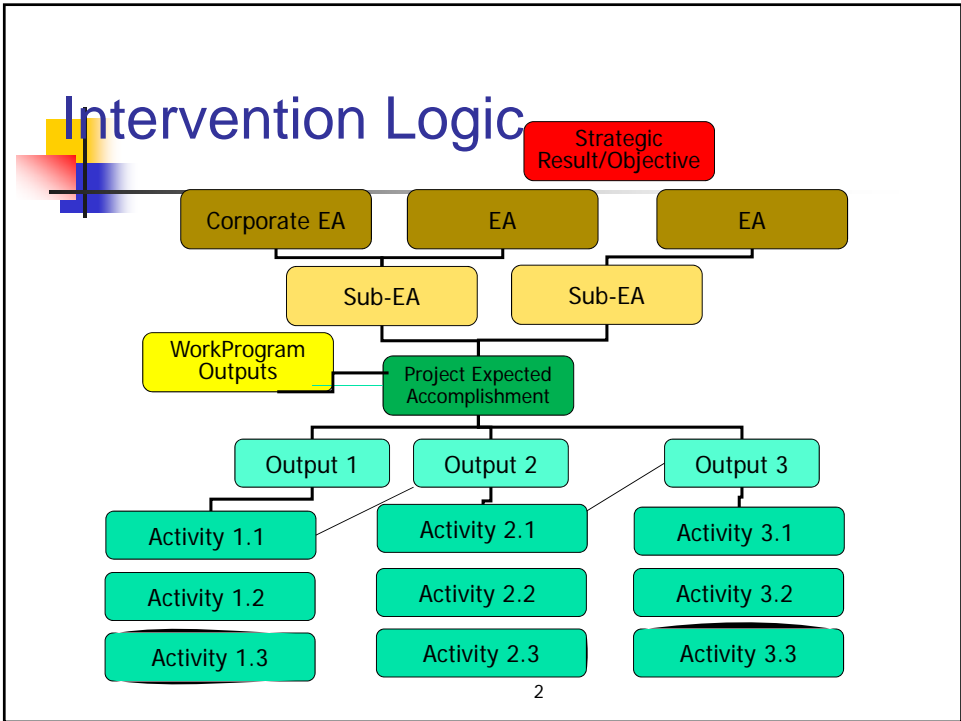
UN-Habitat uses the following definition for results:

Results are changes in a state or condition that derive from a cause-and-effect relationship. There are three types of such changes - outputs, outcomes and impact - that can be set in motion by a development intervention. The changes can be intended or unintended, positive and/or negative. (UNDG)

RBM Champion training

Performance Monitoring & Reporting System

1





Recent Requests from Internal & External Auditors, May 2013

Evidence of:

- Summarized reports which shows the status of implementation in all projects under PAG portfolio-
- Minutes of performance review meetings of approved projects
- Feedback attention given by PAG on projects that are not performing well-
- Projects at Risk

3




Requests from Internal & External Auditors May, 2013

Evidence of:

- System of capturing donor satisfaction/complains on project implementation- and ensuring complains are dealt with accordingly
- Mechanism for identifying projects at risk,
- The list of projects at risk at UN-Habitat

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Office of Internal Oversight Services- OIOS Recommendation March, 2013

- The Internal Audit Division recommended and we accepted that-
- "UN- Habitat should ensure that project documents contain **specific and measurable performance indicators** to facilitate project performance (monitoring), evaluation and reporting"

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LOGFRAME /RESULTS AND MONITORING FRAMEWORK

Title	No.	Team Leader					
Country/Region/ Institution	Budget	Duration					
Expected Results ¹	Indicators ²	Baseline Data	Targets ³	Data Sources	Data Collection Methods	Frequency	Responsibility
Ultimate Outcome (Long term)							
Intermediate Outcomes (Medium term)							
Immediate Outcomes (Short term)							
Outputs							

Notes
 1 – From the logic model
 2 – Gender and environment where possible
 3 – Including time range (where possible)

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Why a project monitoring system?

1. Improve **decision making**

Feedback to management (**accurate and timely** performance information)
on the PROGRESS OF PROJECT

By monitoring projects, we want to **maximise their impact**

2. **Accountability**

1. To improve downward Accountability- to the public- Is our impact being felt by citizens? Managing our external image and Upward accountability (donors, member states/governments)

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Why a project monitoring system?

3. **Learning-** To support **institutional learning** and to improve **future programing decisions/undertakings**. what the project is achieving, reasons for success and problems (internal & external constraints)- making decisions based on new knowledge

Improving the project execution on a continuous basis (**adaptive management**) towards expected results.

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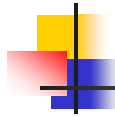


Project monitoring

- **Implementation execution** stage is the **most critical**, as it is during this stage that planned benefits are delivered.

(All other project management cycle stages are essentially **supportive** of the implementation stage)

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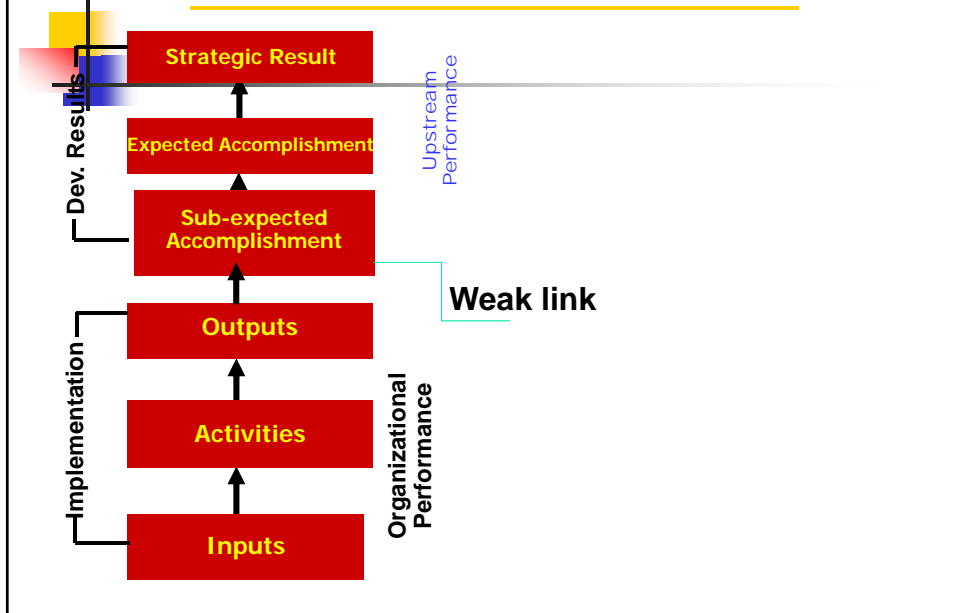


Monitoring (feedback loops)

- Are we doing what we said we would do?
- Are we creating the products and services that planned to generate?
- Are the products of **timely** of the right **quality** and still **relevant** for creating desired change?
- Are the products and services being utilized by intended users /Is knowledge/technologies transferring? Is desired change occurring?
- Are we using the funds in the manner that we planned?

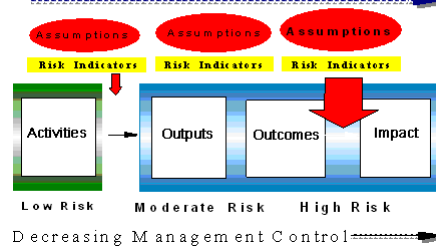
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Example of a theory of change-results chain



Risks and Assumptions

Figure 7. Assessing & Monitoring Risk






Development Results

- They are **effects/consequences** of actions or **interventions** taken to meet certain objectives
- **Results** of a project, policy or program **must** reflect a change in the problem identified.
- **Social and economic** impacts/benefits of our work
- Development results **reflect the actual changes in the state of human development** that are **attributable**, at least **in part**, to UN-Habitat's activities.



Project supervision & Monitoring Support

- Studies have shown that **projects that receive good supervision are twice as likely to achieve desired results** as compared to projects receiving less satisfactory supervision.



Supervision & Monitoring Support (PL)

- It is possible (though less likely) that a poorly performing project may, nevertheless be receiving exemplary supervision,
- Similarly, a project performing well may, sometimes, be doing so despite poor supervisory/management inputs

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Some Current Project practices

- 1) **Under reporting of problems and successes**
- 2) **Unsubstantiated claims/Exaggerated successes** (without strong supporting evidence)
- 3) **Passively implementing activities**
- 4) **Frozen Logframes that are not used** - No adaptive management of project based on clear understanding (data evidence) of what is needed.

A desire to look good that all levels that undermines learning-

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Some common monitoring problems

- Staff that do not fully appreciate Monitoring as a tool for learning and progress tracking but see the system as a time consuming unnecessary interference with "their work".
- In some projects Monitoring plans barely exist- its **treated as optional**
- In some projects there is no Monitoring budget-

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Some common monitoring problems

- Where Monitoring budgets and plans exist- common problems are- inconsistency in data collection, poor quality data, poor analysis, - basically poor Monitoring capacity of staff and partners
- Data generated is individual and not shared with others for learning- silo type projects


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Some current monitoring problems

- Many Monitoring data do not tell coherent stories about the progress of the project in question
- Data generated are sometimes of no identified users-hence discourages anybody from investing the time and resources next time around.
- Reports sometimes reflect incoherent performance stories when in actual fact the projects could be performing well or underperforming.

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Performance Questions -Measuring Delivery and Results

- Are activities **still relevant to the problem** the project set out to solve?
- Are activities leading to anywhere or to Outputs?
- Is **change** (EAs) occurring? (Have outputs been accepted and are they being utilised by intended users)
- Is the occurring change sustainable?

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Elements of a Good Monitoring system/Framework

1. Good project design (**quality at entry**)
2. Identifying good performance indicators
3. Establishing how the required information will be collected
4. Reflection and learning events
5. Good communication and reporting systems
6. **Enabling internal environment and capacities** for the system to work.

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The project Implementation Monitoring Process-

1. **Quality Assurance of projects at entry (at design/formulation)- PAGs & Project Flex Teams**
2. **Quality Implementation & Reporting (Project Performance) PL & PAG**
3. **Quality of Supervision/Oversight & Monitoring Support/ PL**
4. **Project Closure (operational and financial) reports PL**

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2. Proposed Quality of Project Implementation Monitoring & Reporting- PL

Policy requirements: Six monthly reports with verifiable evidence in securing effective and efficient delivery of-

- i. **Outputs-** (every 3 months)
 - ii. **Achievement of project EAs/Outcomes and,**
 - iii. **Achievement of project objective**
- (Responsibility: Project Leader - PL)**

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Project implementation monitoring & reporting

Project reporting is about telling the project story **supported by progressive evidence** from the indicators

Evidence of good implementation monitoring will be interpreted against set standards to reduce subjectivity of review judgements.

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Quality Assurance at entry (design) & context (PL&PAGs)

Ensuring compliance with **project design quality standards-**

- i. **The quality of the logical framework and M&E plan** (Clear and measurable Objectives and EAs, Baselines and measurable indicators)
- ii. **Project Feasibility/ambitiousness** (given timeframe, (complexity/multi-partner/multi-countries, governance structure, language barriers, disbursement complexities) resources \$ &HR, scale and scope)
- iii. **Risks** (internal/operational/external), **assumptions and 'impact drivers'**
- iv. **The readiness for implementation at project approval** (institutional arrangements, personnel TORs, logistics, procurement, quality of workplan.

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2. Quality of Project Implementation Monitoring & Reporting (PL) **Assessment criteria**

- Focus on Results:**
1. Timely identification and assessment of implementation problems and threats to overall project objective
 2. Focus on sustainability (stakeholder ownership, technical assistance, training, capacity building, financial sustainability)
 3. Actions taken and follow up on proposed decisions and solutions, speed of follow up action, impact and effectiveness of action
 4. Timeliness of reviews and evaluations- quality and timeliness of follow up plans (if any)

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2. Quality of Project Implementation Monitoring & Reporting (PL)

Focus on Results

5. Extent to which **objectives and outcome indicators** have been tracked and used to assess the projects implementation -

6. Extent to which **indicators (both qualitative and quantitative)** have been used to identify and address potential **obstacles** to achievement of the project objectives (attention to long-term objectives)?

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Criteria for Rating project Progress in Implementation

Criteria for Rating project Progress in Implementation: Six Point Rating Scale

Highly Satisfactory (HS) -	Implementation of all components is in substantial compliance with the original/formally revised implementation plan for the project. The project can be presented as "good practice".
Satisfactory (S)-	Implementation of most components is in substantial compliance with the original/formally revised plan except for only a few that are subject to remedial action.
Marginally Satisfactory (MS)-	Implementation of some components is in substantial compliance with the original/formally revised plan with some components requiring remedial action.
Marginally Unsatisfactory (MU)	Implementation of some components is not in substantial compliance with the original/formally revised plan with most components requiring remedial action.
Unsatisfactory (U)	Implementation of most components is not in substantial compliance with the original/formally revised plan.
Highly Unsatisfactory (HU)	Implementation of none of the components is in substantial compliance with the original/formally revised plan.

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Criteria for Rating Project Progress toward Development Objective

Criteria for Rating Project Progress toward Development Objective -Six Point Rating Scale

Highly Satisfactory (HS)	Project is expected to achieve or exceed all its objective/s, and yielded substantial global benefits, without major shortcomings. The project can be presented as "good practice".
Satisfactory (S)	Project is expected to achieve most of its objectives , and to yield satisfactory global benefits, with only minor shortcomings.
Marginally Satisfactory (MS)	Project is expected to achieve most of its relevant objectives but with either significant shortcomings or modest overall relevance . Project is expected not to achieve some of its major global objectives or yield some of the expected global benefits .
Marginally Unsatisfactory (MU)	Project is expected to achieve of its major global objectives with major shortcomings or is expected to achieve only some of its major global objectives.
Unsatisfactory (U)	Project is expected not to achieve most of its major global objectives or to yield any satisfactory global benefits.
Highly Unsatisfactory (HU)	Project has failed to achieve , and is not expected to achieve, any of its major objectives with worthwhile benefits.

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3. Quality of Supervision/oversight & Monitoring Support (PL)

Objective and Approach

- We shall assess the **quality and rigour of project supervision work** which forms a key part of the oversight role of **Project Leaders** (Assessment of project supervision does not assess performance of projects per se, but focuses on work done in the supervision or management of project implementation)
- This is to help us understand roles that are involved in the successful implementation of project
- This will also **provide insights** to improve project supervision and the review methods themselves

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Project Implementation Monitoring process

To be Done

- Within each supervision aspect **there will be a number of criteria** for assessment
- Development of **minimum standards for reporting and monitoring**
- Clear **guidelines and roles** for project leaders
- **Clear expectations** for project supervision/management
- In the Process - developing the **guidelines** for Project-Based Management Cycle & Policy

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Oversight evidence of emphasis given to EA monitoring (focus on Results)- **highest rating**

- Possible Questions:
- How many times did the project meet with stakeholders **to collect data on indicators** to see whether the project meets expectation?
- Evidence that project and partner staff meet regularly and openly to discuss progress and problems, and how to adjust the project. **Learning & Adaptive management**
- Is the project **actively** using the **Monitoring framework in the Logframe**? Is it tracking activities and outputs to ensure timeliness (effective operations) and for evidence that on progress towards **outcomes/ EAs**?

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Implementation Oversight/Supervision Structure

1. Evidence of adequacy of project supervision plans, inputs and processes
2. Evidence of emphasis given to EA/Outcome indicator monitoring (results-focus)- **highest rating**
3. Realism/candor of project reporting and rating by Project Leader
4. Evidence of quality documentation of project oversight/supervision activities
5. Evidence of adequacy of financial administrative and other fiduciary aspects of the project implementation supervision

(Context or background against which the project was implemented and supervision activities carried out is **not rated** but is considered)



Project supervision is:

- Identification, tracking and **response to risks** and other issues affecting project implementation and **achievement of project objectives**

And -

- to ensure effective and efficient delivery of outputs and achievement of planned outcomes in all activities undertaken by staff
(Responsibility: Project Leader)



Project Supervision entails-

- Tracking inputs and outputs of operations and activities
- Organizing quarterly discussions on progress and problems with implementation
- Annual reflection on progress on results

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Monitoring Oversight/Supervision: Six point scale rating

- **Highly Satisfactory (6)**-The project supervision has no shortcomings
- **Satisfactory (5)**-The project Supervision had minor shortcomings
- **Moderately satisfactory (4)**- The project supervision had moderate shortcomings
- **Moderately Unsatisfactory (3)**- The project supervision has significant shortcomings
- **Unsatisfactory (2)**- The project supervision has major shortcomings
- **Highly unsatisfactory (1)**-the project supervision has severe short coming

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3. Implementation oversight or supervision

Foreseen Challenges:

1. Formal project management and supervision documentation does not exist for many of our projects
2. Project supervision/ management requirements and expectations for projects are **not clearly defined**
3. Project potential operational risks/problems that often present more frequent challenges to projects implementation than those of a technical nature – **not formally identified in the Risk Matrix.**

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Project Monitoring

- Twelve Critical Success Factors:
Key Considerations for Success

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Twelve Critical Success Factors: Key Considerations for Success

- For each Critical Success Factor (CSF), there are a number of **operational considerations** that will impact the success of how well the Monitoring system performs

- I have listed a number of 'key considerations'– The list not exhaustive

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Twelve Critical Success Factors (cont)

1. Drivers	Clarification on what is driving the need for Monitoring
2. Uses	Clarification how Monitoring information will be used. And, by whom.
3. Leadership	Leadership must be supportive. Is there a 'champion'?
4. Commitment	There needs to be a long-term commitment to building a well-functioning Monitoring system.
5. Resourcing	Sources of funding need to be identified to both start up & then sustain Monitoring capacity.
6. Accountability	Roles & responsibilities for the operation of the Monitoring system need to be clearly defined.

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Key Considerations for Success...Some Examples

Critical Success Factor	Key considerations for success
6. Accountability	<ul style="list-style-type: none"> Who will be accountable for ensuring an Monitoring system is a functioning across the agency?
	<ul style="list-style-type: none"> Have roles & responsibilities across the organization been firmly established?

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Twelve Critical Success Factors (cont)

7. Technical Capacity	Critical are: reliable data systems. credibility of info. being reported; adequate analytical capacity?
8. Infrastructure to 'supply' M&E information	Key components: Policies & standards to guide Monitoring practices. Resources (\$ & HR) dedicated to both monitoring & performance measurement. Trained & experienced human resources.
9. Infrastructure to 'demand' M&E information	Key components: Clear understanding of who are the users & the uses of Monitoring info. Are there 'incentives' (for institutions & individuals) to drive the Monitoring system?

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Key Considerations for Success...Some Examples (cont)

Critical Success Factor	Key considerations for success
9. Infrastructure to 'use' M&E information	<ul style="list-style-type: none"> Are there formal policies/guidelines on how Monitoring information gets used by organizations?
	<ul style="list-style-type: none"> What are the 'incentives' within an organization for using Monitoring information (rewards and/or sanctions)?
	<ul style="list-style-type: none"> Are there formal or informal vehicles, (learning events) mechanisms or fora for reporting, sharing or tabling Monitoring information? PAG
	<ul style="list-style-type: none"> Is results-based performance factored into personnel assessments? NO

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Twelve Critical Success Factors (cont)

10. Oversight	Implementation of monitoring is generally long-term & iterative. Will the system be monitored? Adjusted as needed? Sanctions for non-compliance?
11. Values & Ethics	To be effective, use of Monitoring must evolve into the culture of organizations. Is there an enabling environment in organizations? Across the system?
12. Sustainability	What assurance that Monitoring system can & will be sustained?

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A Framework for Developing an M&E System (cont.)

- Recognizes broad requirements for an 'effective' M&E system **go well beyond simply technical issues**
- Unless the 'culture' of an organization changes to embrace M&E, its **chances for success are slight**
- Emphasizes that successful institutionalization of an M&E system means much more than simply producing good quality M&E information
- Link 'success' to goals of an 'effective' and 'sustainable' M&E system

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Four Essential Building Blocks for an Effective M&E System

Vision

Enabling Environment

Political Will for Change

Capacity to Supply M&E Info.

Capacity to Demand & Use M&E Info.

Development of M&E Infrastructure

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Defining accountabilities in monitoring

- What is being asked of **staff** to show they are supporting implementation?
- What is being asked of **Team Leaders** to show they are supporting implementation?
- What is being asked of **Unit leaders** to show they are supporting implementation?
- What is being asked of **Branch Coordinators** to show they are supporting implementation?
- What is being asked of the **Project Office** to show it is supporting implementation?
- What is being asked of the **Office of Management** to show they are supporting implementation?
- What is being asked of the **office of the ED** to show they are supporting implementation?

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TORs for Project Leader

- Guiding the project to the strategic direction (collaboratively steering-checking-questioning-correcting, adjusting assumptions-
- Setting targets and adjusting the project deciding what needs to be done, how, by whom, when and resource allocation-
- Rethinking activities and processes and taking up new opportunities-

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Identifying Risks To the M&E system

- Risks are what is likely to makes us not do what we have said we want to do.

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TORs for **Project Leader**

- Supervision missions, creating participatory learning events with stakeholders
- Organizing –structures, processes, dealing with political systems and coordination of stakeholders,
- Checking assuring planned action are carried out – outputs delivered,
- Communicating and reporting

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4. Formal Project Closure

Operational

Main actors:

- **Project Leaders:** ensure project closure procedure followed
- **Branch Coordinator /Regional Director:** review and include in annual reporting.

- **Tools:**
- PAAS – Best practices, lessons learnt, project closure checklist

Results Based Monitoring - II



A continuing function that uses systematic collection of data to provide management & main stakeholders of an ongoing development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds.

(DAC, 2002-2008)



The joy of learning

An ongoing collection, analysis and use of information about progress and the results being achieved. It supports effective and timely management decision making, learning by stakeholders and accountability for results and the resources used.

(EC, 2007)

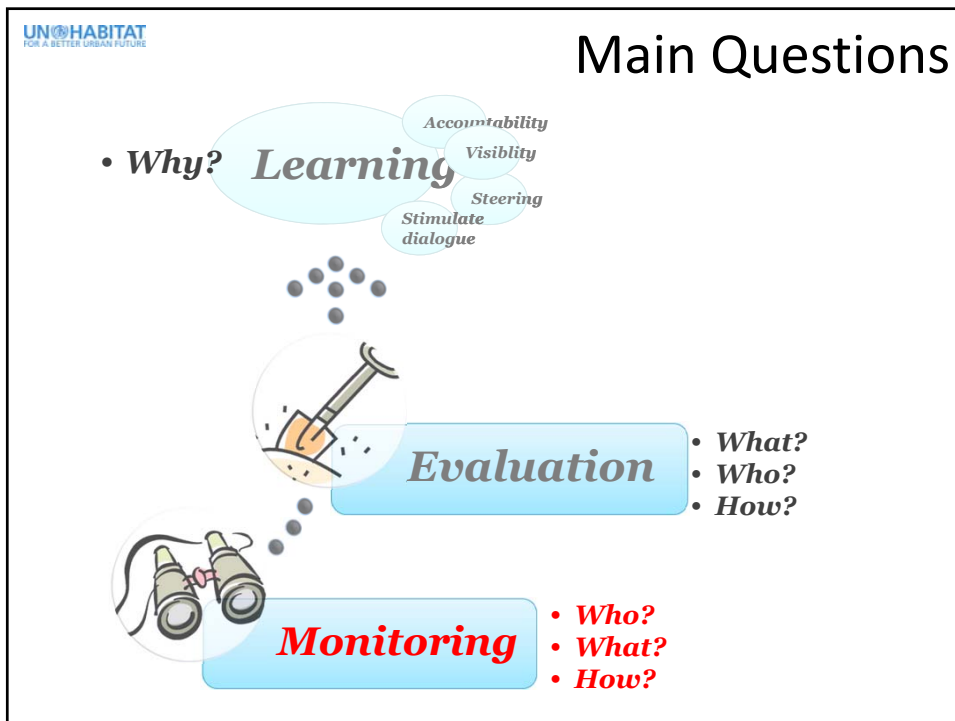
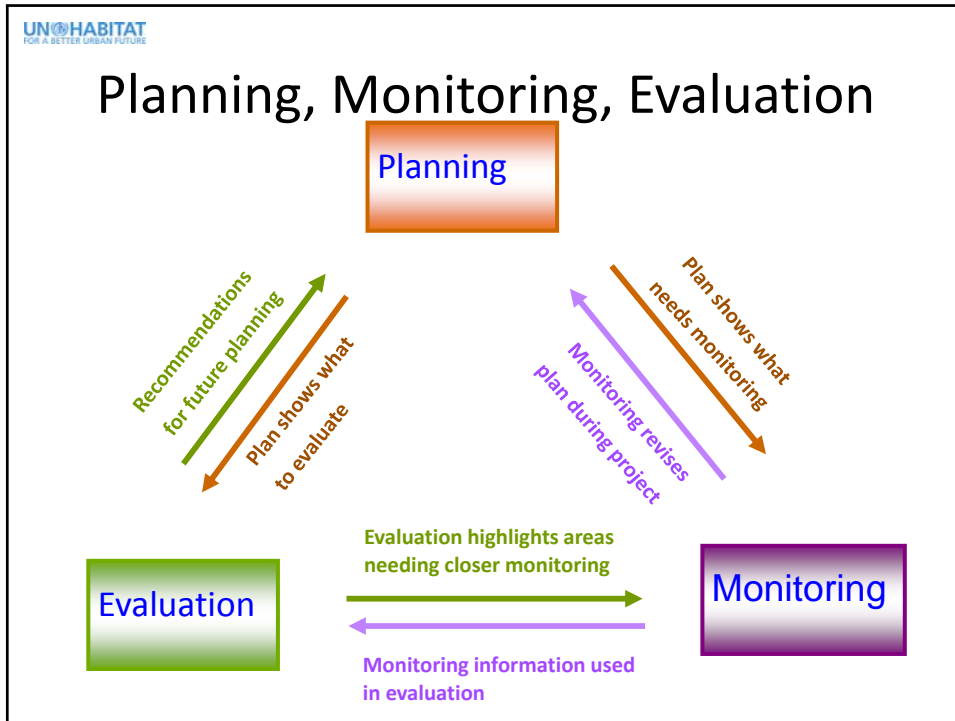


The regular collection and analysis of information to assist

- timely decision-making,
- ensure accountability and
- provide the basis for evaluation and learning

A continuing function that uses methodical collection of data to provide management and the main stakeholders with early indication of progress and achievement of objectives.

<http://www.ifad.org>



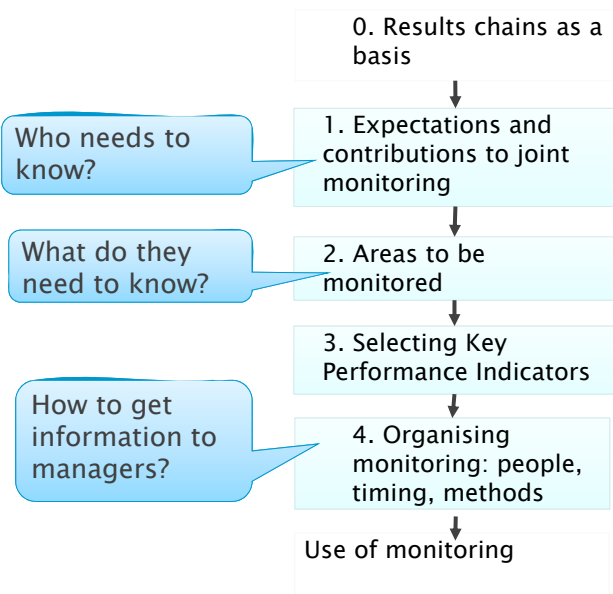
Monitoring System

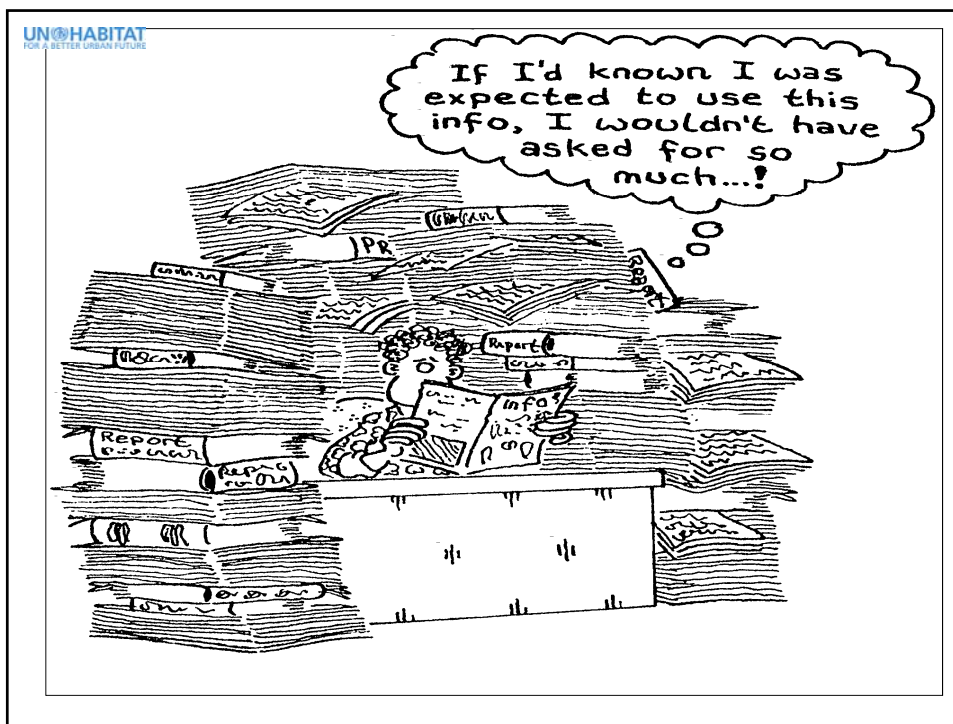


A set of procedures through which required information travels within the organisation to different management levels in order to support

- ☛ decision-making,
- ☛ learning and
- ☛ accountability

Monitoring system design scheme





Exercise: Use of MS

To what extent does monitoring meet the needs in terms of:

	<i>Not at all</i>	<i>Somewhat</i>	<i>Reasonably</i>	<i>Fully</i>
Accountability		✓ ✓ ✓✓	✓	
Steering	✓✓	✓✓✓		
Learning		✓✓✓ ✓✓		
Visibility	✓	✓✓✓ ✓		
Dialogue		✓✓ ✓✓	✓	