**Component 4.6**

**Manage key programme events and follow-up activities**

**High level business requirements**

Date: v0.2 of 31/03/2015

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| **Context and summary:**  This component is linked to 4.7 " Quality and risk assessment, evaluation and audit". Indeed the foundational layer for managing and monitoring the quality of programmes is the internal monitoring process.  For the moment, EAMR offers the beginning of an automation for this internal monitoring process, and is completed once a year in January. In the future Opsys, the requirement is that the internal monitoring (consisting mainly of KPIs, comments on the results progress and disbursement) is updated at least once a year (yearly programme reporting).  Each programme has also a calendar of key events and milestones (site visits, steering committees, ROM missions, and other Programme events, such as meetings, commissioning and closing events, evaluation and audit missions..) which constitutes a Programme monitoring and evaluation plan.  These timelines may be aggregated, e.g. in the context of a delegation, so as to build up a portfolio monitoring and evaluation plan.  The system should be built so that particular events or milestones, such as a site visit, are used as an opportunity to update the KPIs and to report, thus sparing the need do an additional reporting with the yearly EAMR.  These events generate documents (reports, minutes, pictures, media coverage) which are currently stored in ARES, CRIS, C4D.., or not. They should be managed within the timeline of a Programme, be easily retrievable and be an opportunity for updating the monitoring indicators of a Programme.  **Internal monitoring including site visits and Programme events/milestones:**  The requirements on site visits/Programme events are designed to supportinternal programme monitoring, and leverage knowledge and visibility. It includes updating the EAMR KPIs along site visits, therefore EAMR KPIs linked to Programmes would not have to be filled anymore in the yearly EAMR. It also allows using mobile device and modern possibilities to store and manage pictures of the programmes and share them with the Programme website. It aims to give the possibility to EU Delegations and HQ units to organise their own internal monitoring, based on a similar methodology as for ROM.  **External monitoring/ Result-Oriented Monitoring (ROM)[[1]](#footnote-1):**  The below requirements aim at managing the ROM cycle, starting with the rating of quality KPIs, the flagging of Programmes for being reviewed by a ROM mission, the validation of a ROM workplan listing the Programmes subject to a ROM mission in a given year, the elaboration of ROM reports, and their validation which includes EU Delegation and Partner country.Part of these requirements[[2]](#footnote-2) will be covered by the ROM module to be put in service in Q2-2015. |

**Internal monitoring including site visits and Programme events:**

The system allows to update monitoring indicators at all time. Records in the system such as site visits, programme events are opportunities to update the monitoring indicators.

Site visit record:

Trigger:The Programme manager may create a site visit from 2 contexts:

* from the Programme timeline page
* from the Quality and risks page

In both cases, the site visit can be linked to a risk level in a Programme (CUD – Should).

The site visit is tagged with the following status (CUD – Should):

* planned
* ongoing (once the site visit record is created)
* completed (once the site visit report has been approved by the Head of Cooperation / Head of Unit)

Once a visit is "completed", the KPI 18 (number of site visits) is automatically incremented. For a given year, the KPI 18 can be drilled down and allows consulting the list of site visits:

* completed only:R – Must,
* or by status including planned and ongoing visits: R: Could.

In the context of a Programme page, aProgramme team member[[3]](#footnote-3)creates a "site visit” record.He/she enters the dates of the visit. If a site visit was foreseen in the timeline of the Programme, the system asks whether this visit correspond to the planned visit. If so, the timeline is adjusted, so that the planned visit is shifted to the real date, and its status is updated from "planned" to "ongoing". If not, the new site visit is recorded in the timeline.The site visit page allows entering a summary report in a text area, uploading files, pictures, and – as an option available to the Programme Manager - a structured site visit report. CUD – Should.

Structured site visit report:

Trigger: a Programme Manager may create a site visit report form with a list of structured questions, which – as far as possible – are linked to standard monitoring questions (CUD – Should). See below an example of a structured report including the EAMR KPIs[[4]](#footnote-4).

Trigger: The system should allow to combine a very limited set of standard monitoring questions, with a possibility to add specific questions depending on the nature of the Programme (e.g. FPI, fragility..), and on local needs (example: A Delegation like Ethiopia, which monitorsa huge portfolio of Programmes may have specific needs..)

Link with EAMR:

Trigger: The EAMR application should read/import its "Programme management" KPIs (5,6, I5, 18,19, ROM flagging) from the OpSys (through the DWH ?). R-Must

Trigger: If the mandatory "Programme management" KPIs - which are not updated automatically: 5,6, I5, ROM-flagging - have not been updated during a period from 31st January to 1st January, the Programme Manager receives a "Must-do" notification, to update themuntil 31st January, corresponding to the date by which the EAMR report is generated.R-Should

Pictures:

Trigger: In the context of a site visit page, the system offers the Programme manager modern possibilities to upload pictures and video. Assuming that a number of site visit pictures will be done with mobile devices, the site visit page should offer simple intuitive icons, such as: “take a picture” (e.g. a camera icon), “upload a picture” (e.g. a landscape), and “turn on geolocalisation” (e.g. a geo-pin). CUD – should

Trigger: The system should allow to batch upload a number of pictures, by ticking them from the camera roll. Once the pictures are uploaded in the site visit context, the programme manager should be able to comment each picture. The pictures are shown as thumbnailswith their comment/legend, while the selected picture is shown in big format. The Programme manager should also select the pictures he/she would like to share on the programme’s website, so that they become readable from the website. CUD – should

Trigger: The Programme website allows to displaygeolocalised pictures on the GIS map at their real location. Non-geolocalised pictures should be displayable at the main GIS location of the related Programme. CUD – should

Trigger: The Programme website gives access to all the public pictures of the Programme in one page (aggregating site visits, ROM missions..). The pictures are shown as a mosaic (like Instagram), and can be enlargedby clicking on them. CUD – should

Collaboration:

Site visit can be a collaborative process by several members of the Programme team. In case of a joint monitoring mission with the Partner, other donors, or with Operational and Finance/Contract sections, the system allows fordrafting one single/joint mission report (content, pictures). CUD - should

Other Programme events:

Trigger: The Programme manager may create a Programme event from 2 contexts:

* from the Programme timeline page
* from the Quality and risks page

In both cases, the event can be linked to a risk level in a Programme (CUD – Should).

The event is tagged with the following status (CUD – Should):

* planned
* completed

In the context of a Programme page, a Programme team member[[5]](#footnote-5) creates anevent record.

An event can be of several types (commissioning and closing event, meeting: such as Steering Committee, a workshop..). The Programme manager enters the dates of the event. If such an event was foreseen in the timeline of the Programme, the system asks whether it corresponds to the planned one. If so, the timeline is adjusted, so that the planned event is shifted to the real date. If not, the new event is recorded in the timeline. The event page allows entering a summary report in a text area, uploading files, pictures.Before saving the record, the Programme Manager is proposed to update the Monitoring indicators in the quality and risks page. CUD - should

The Programme Manager may select events - in particular the ones which include knowledge relevant material (workshop..), or which should be accessible to a high number of persons (forums..), or which include visibility (inauguration, media coverage) - to share them as "event" on the Programme website.CUD - should

**External monitoring/ ROM:**

Setting-up a list of Programmes to be monitored/rated by Programme managers:

Trigger: For each Programme Manager, the system offers a portfolio view of all Programmes over 200.000 EUR[[6]](#footnote-6). Programme Managersactualise the quality rating of their Programmes at least once a year, ideally during a site visit. CUD- Must

Trigger: the Programme manager rates the Programme according to the following main elements:

* KPI 5: progress on activities (traffic light rating)
* KPI 6: progress on results (traffic light rating)
* CD rating : Contribution to Capacity Development(traffic light rating)[[7]](#footnote-7)
* Each of the standard ratings may be completed by a comment in a free text area

CUD - Must

Flagging of Programmes for a ROM review:

Trigger: If a Programme Manager rates his/her Programme with at least one orange traffic light in KPI 5 or 6, the Programme is flagged for ROM. CUD - Must

Trigger: Programme Manager may un-flag an (orange- or red-rated) Programme, by selecting a reason (planned mid-term review, not productive..).CUD - Must

Trigger: Programme Manager may flag a (green-rated) Programme, by selecting a reason (lack of expertise, no field visit yet, innovative aspect).CUD – Must

Trigger: When the Delegation/unit submits the EAMR annual report (31st January), the system generates the "draft ROM workplan": Exhaustive list of Programmes including the ones flagged for a ROM review in the current year.The flagged Programmes are ordered by priority according to a list of rules/criteria: e.g. severity of the traffic light ("red-rated" Programmes first), budget amount (bigger Programmes first). CUD – Must

Yearly ROM work-plan:

Trigger: EC Programme team members (HQ area coordinator, Thematic expert)may add commentson Programmes from the draft ROM workplan during a given period (2 weeks).CUD – Should

Trigger: Directorate's ROM coordinator (Asia, Africa, Latin America, CMTP, ENI, WB..)adjusts the draft ROM workplanaccording to priorities and sendsit to the related ROM Contractor.CUD – Must

Trigger: ROM contractor (Asia, Africa, Latin America, CMTP, ENI, WB..) reviews the list of Programmes to be subject to a ROM mission. It is assumed that the ROM contractor also receives the other yearly priorities, i.e.End of programme results reporting, ROM pilot studies on Budget support and blending).On the light of these priorities and of the available budget and time, the ROM Contractor indicates how far, going down in the priority list of flagged Programmes, he is able to organise ROM missions for those Programmes.CUD – Must

Trigger: The ROM contractor submits CVs of ROM experts to the Directorate's ROM coordinator. The Directorate's ROM coordinator approves or rejects CVs. CUD – Should

Trigger: For each Programme which the ROM contractor envisages to ROM, he indicates the proposed date of the ROM mission as well as the name of the ROM experts proposed, while linking to his/her CV.The ROM Contractor submits the Workplan to the Directorate's ROM coordinator for validation. CUD – Must

ROM missions on the basis of the validated ROM workplan:

Trigger: Once the ROM workplan is validated by the Directorate's ROM coordinator, ROM missions may start. The ROM experts indicated in the Workplan are automatically granted access rights for the documents related to the Programmes they should review.CUD – Should

Trigger: The ROM experts create a draft ROM report for each of the Programmes they review. During the drafting period, the draft report is only accessible by the ROM contractor agents. This ROM report consists of structured questions on an online form, which is already prefilled with the relevant Programme information. The form is accessible and can be filled offline.Once completed, the ROM expert submits the draft ROM report. A notification is sent to the ROM Contractor QC (Quality Controller). CUD – Should

Trigger: Inside the ROM report, the ROM expert is able to upload pictures and videos and comment them (see below requirements on site visit). CUD Should

ROM report finalisation:

Trigger: The ROM Contractor QC performs a review (modifies in track changes/comments and sends back to the Expert, or updatesby himself and accepts) and submits the draft ROM report. A notification is sent to the EC Programme Manager and Partner Country Programme Manager, and the draft ROM report becomes visible to the EC and Partner country.CUD – Should

Trigger: The EC and Partner country Programme Managers revise the draft ROM report (track changes and comments).Once submitted, a notification is sent to the ROM expert. CUD – Should

Trigger: The ROM expert edits his report and submits it. Once reviewed and validated by the ROM Contractor QC, the ROM report becomes final. A notification is sent to the EC Programme Manager and Partner Country Programme Manager. CUD – Should

Trigger: the EC Programme Manager can add comments, which are incorporated as EC comments into the final version. CUD – Should

**Next steps:**

Put in place an internal monitoring methodologyallowing to combine a very limited set of standard monitoring questions, with a possibility to add specific questions (also in a limited extent) depending on the nature of the Programme, and on local needs.

1. ROM is a system carried out by independent consultants for reviewing programmes’ performance through a standardised methodology. It provides support to EUD and HQ in their monitoring and reporting functions. The services also include missions for supporting end of programme reporting on results. [↑](#footnote-ref-1)
2. A portal for ROM experts to access Programme documentation and to upload their reports, structured PDF forms for writing ROM reports [↑](#footnote-ref-2)
3. or an EC Operational Manager [↑](#footnote-ref-3)
4. Example of a structured site visit report:

   1. Participants to the mission: Joint missions with the Partner, other donors, F/C sections, are encouraged
   2. Stakeholders: Stakeholders met during the visit (The system recognises stakeholders -who are already entered in the system, no need to re-enter their complete name)
   3. Context: Are there important changes in the context?
   4. Planning: Is the programme on time? Please update the Programme timeline and *update KPI 5* on progress on activities
   5. Results: What are the main results achieved? Please verify the following questions, and *update KPI 6* on results.
   6. Capacity Development: Does the Programme contributes to CD ? (please update)
   7. Commitments/tasks: What is the status of the commitments by the parties to the Programme (including EC)?
   8. Communication: Please update *EAMR Indicator 5* (Does the Programme have a communication plan? )
   9. Good practice/Lessons learned: Please highlight opportunities for knowledge, reuse of lessons, or innovative practice.
   10. ROM: Please update ROM flagging (Should the programme be ROM-ed or not?)
   11. Conclusions: Please highlight the main conclusions. The system allows entering conclusions as tasks, therefore assigning a task to a Programme team member with a target date.

   [↑](#footnote-ref-4)
5. or an EC Operational Manager [↑](#footnote-ref-5)
6. The system calculates its own assessment on progress on disbursement (disbursement vs time elapsed), and progress to target (progress to target achieved vs time elapsed). These are indicative and Programme manager rates according to his/her best judgement. CUD – Could [↑](#footnote-ref-6)
7. As a simplification of the current EAMR CD annex [↑](#footnote-ref-7)