Italian Ministry of Foreign Affairs
DG for Development Co-operation

Monitoring/Reporting of the EUWI: operationalizing the model on the Africa Component Stockholm, 26 August 2005

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Two phases of EUWI M/R System completed in 1 year

- PREPARATORY PHASE
 September December 2004
- 2. DESIGN PHASE January – July 2005
- 3. TEST PHASE September 2005 – March 2006
- 4. IMPLEMENTATION PHASE From March 2006 onwards (EUWI Components)

September 2004 - August 2005

The achievements of the M/R WG in its first year of activities (phases 1 and 2)

- Identified the information needs and defined the criteria for monitoring the EUWI
- Created a model and derived indicators to monitor the FLIWI
- Established coordination and cooperation with other Working Groups
- Integrated views and suggestions from various stakeholders
- Promoted a monitoring culture and related initiatives in a continuous way
- Participated to related international events and promoted synergies and shared methodologies

The proposed monitoring model: a synthetic view (1)

Quantitative component

Objectively verifiable indicators (OVIs) are collected in a standardized and systematic way, to give a quantitative measurement of EUWI progress

Qualitative/participatory component

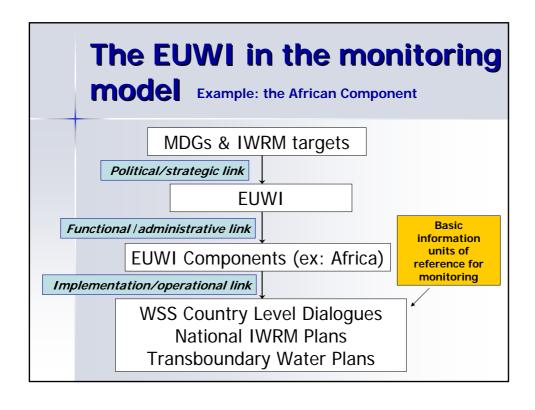
Partners and stakeholders are asked through a questionnaire to give an opinion on the progress of the EUWI, to keep them always involved

The proposed monitoring model: a synthetic view (2)

Aggregability of quantitative indicators

The evolution of policy implementation is tracked from lower to higher levels, to retain consistency

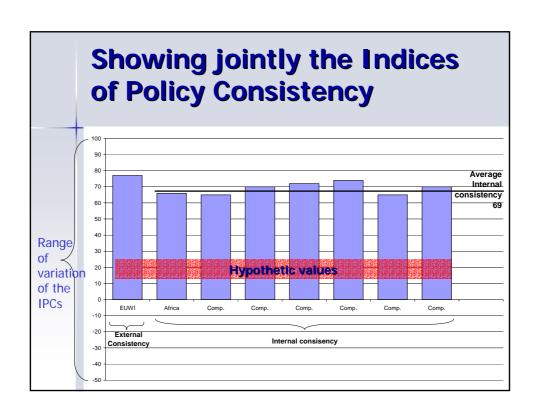
Homogeneity of results EUWI Components are required to use similar indicators and present them in a common template, to allow for comparing policies to each other



	Proposed phases of monitoring and related instruments									
Phases 1. Ex-ante monitoring - external consistency - internal consistency	 Instruments Consistency matrices (participated) Indices of Policy Consistency (comparable) 									
2. Ongoing monitoringquantitativequalitative/participated	4 monitoring linesIndicatorsTools of data collection									
 3. Reporting Data processing, elaboration and analysis Sharing and discussion 	Semestral DossierAnnual Report									

	1. Ex-ante monitoring: assessing policy consistency
OBJECTIVES	 Measuring 2 levels of consistency External consistency EUWI objectives -> MDGs & IWRM Targets Internal consistency Objectives of EUWI Components -> EUWI objectives
INSTRUMENTS	 8 Consistency Matrices (filled in a participatory way) 1 for the external consistency + 1 per each Component for internal consistency Stakeholders assign a score to each objective of the lower policy levels, depending on expected ability to attain those of the higher policy levels 8 Indices of Policy Consistency 1 for the external consistency + 1 per Component for internal consistency They give a comparable measure through the weighted sum of total scores

	MDGs			IWRM target		Cumphal	Maa			Score	Ī
1 st Policy Level	Halve the proportion of people without sustainable	2. Halve the property without		Integrate principles of sustainable devel-		Symbol	Mea	Score	,		
2 nd Policy Level	access to safe drinking access to safe				Score	++ Very		consistent		2	
Objectives of the EUWI						_	Consistent			1	
Reinforce political commitment to action and poverty reduction	**	**			4	+					
Promote Better governance arrangements, institutional capacity	+	+		++	4	·	No expected impa		mpact	0	
Improve coordination/cooperation (sector wide approaches, multi-stakeholder proc- esses, south-south cooperation)					3						_
4. Encourage regional and sub-regional cooperation (IWRM and water efficiency plans)					2	/	1 9	Negative expected impact			
Catalyse additional funding (new, flexible and innovative mechanisms, enabling envi- ronment)	**	**	8		5						-
Score	6	6		6	18						
External consisten	cy: the EUW	1 4	/	2 nd Polic	v Leve		O	ojectives of the El	JWI .		Ī
Index of External	-	у	C. Carrier	icy Level		1, Reinforce	2. Promote bet- ter water gov- emance ar- rangements	3. Improve co- ordination and co-operation in interventions	Encourage regional and sub-regional co- operation	5. Catalyse additional funding	
SALSTANDASTANDA SALSTANDASTANDASTANDA	STANTON	March States and State	Programm Partnersh	natic objectives of the Al ip 2004-2005 Work Prog	rica-EU amme						
Hypothet	ic values		1. Increas poor	e prioritisation for investr	ent for the	**				**	
		CARROLL CONTROLL CONTROL		programme to support tra urces management	nsboundar		**		**		
		-1		national processes for IWF		+	**		**		L
1		stency		hen underlying institution	and buil	+	+		+	+	
	ternal consi	-	capacity								
example:	Africa Com	onent	200 C C C C C C C C C C C C C C C C C C	ce funding for supply, m	anagemen	+				**	I
example: Index of Inte	Africa Components	ency	5. Enhance and develop				+	*	+	**	+
Index of Inte	Africa Com	ency	5. Enhance and development of the control of the co	e coordination between	the actor		+		+		



Who fills the matrices, when, how and why: 4 principles

- Participation and inclusion:
 - The external consistency matrix is filled up by the Members of the MSF
 - The internal consistency matrices are filled up by the Members of the Components
- Periodic exercise: the consistency analysis can be carried out every 3 years to validate the overall policy approach and eventually review and undate it
- <u>Use of existing information technologies</u>:
 registered members can express their scores through the **EUWI-CIS** web platform
- Immediate and transparent way of expressing views: few synthetic comparable figures for capturing the perceived logic and understanding the overall linkages

2. Ongoing monitoring: tracking EUWI implementation

- 3 Lines of quantitative monitoring: standardized system of semestral data collection and comparable set of indicators
- 1 Line of qualitative monitoring: full involvement of EUWI partners who compile annually a short questionnaire
- 2 Tools for data collection:
 - Standardized interlinked monitoring forms
 - Electronic questionnaires

Light approach, low workload! few significant and cost-effective indicators, questions and forms

The core of the proposed ongoing monitoring model

The 4 monitoring lines

- Financial: provide a picture of how EUWI resources are spent and how much has been leveraged
- Procedural: feed back on administrative status and the procedural steps undertaken by EUWI branches
- Physical: account for the implementation phase of the EUWI in its different outputs and outcomes
- Qualitative: describe the opinions of EUWI partners about the attributes of its implementation

Layout of the 4 monitoring lines and the objectives of related indicators

	QUA	NTITATIVE MONITORING LIN	ES	QUALITATIVE MONITORING LINE
Indicators Policy objectives	Financial	Physical	Procedural	Qualitative / participated
1 st Policy Level MDGs / IWRM	Ability of EUWI to respond to financial needs estimated for attaining MDGs and IWRM Targets (coverage ratios)	Ability of EUWI to act has a global player (coverage ratios)	(None)	Overall opinion of MSF members about EUWI contribution to the MDGs and IWRM Targets
2 nd Policy Level EUWI	- Multiplier effect of the EUWI - Advancement of financial implementation of the EUWI	Ability of EUWI to play a role in all regions and major themes	Overall functioning of EUWI governing bodies Syntheses of implementation of regional and thematic activities	Overall opinion of MSF members about the degree of attainment of EUWI objectives
3 rd Policy Level EUWI Components	Ability to attract financial resources of the single Components Advancement of financial implementation of the single Components	Number of activities relised by the single Components	- Internal functioning of EUWI Components - Syntheses of implementation of Component-specific activities	Overall opinion of members of Components about the degree of attainment of the objectives of the Component
4 th Policy Level Activities of EUWI Components	Catalysing effect of financial resources of the single activity Advancement of financial implementation of the single activity	Number of outputs / realizations	Status of implementation respect to the steps highlighted in the country/basin processes	(None)

The system of *quantitative* indicators

4 types

- Simple indicators: information retrieved but not yet processed (mainly used at the Level of activities)
- Aggregated indicators: derive from aggregating homogeneous simple indicators (mainly used at the Levels of EUWI and Components)
- Indicators of advancement: come out from the ratio between actual values of simple indicators and what envisaged at the planning stage (mainly used at the Levels of EUWI and Components)
- Coverage ratios: ratios between the values of simple indicators and context indicators (mainly used at the Level of MDGs)

The system of qualitative/ participatory indicators

- Some possible questions to be asked to EUWI partners and members of Components in order to derive qualitative scores:
 - Coherence: how determined and controlled are the time targets?
 - Visibility: how visible are the actions undertaken?
 - 3. Leadership: how controlled and solid are the activities?
 - 4. Inclusiveness: how much non-state actors are represented?
 - 5. Timeliness: how fast are the decision-making processes?
 - 6. Transparency: how visible are the decision-making processes?
 - 7. Ownership: how represented are the views of recipient countries in the activities undertaken?
 - 8. Legitimacy: how accepted are the actions undertaken?

... continues

- 9. Trust: how reciprocally integrated are partners and stakeholders?
- 10. Effectiveness: how effective has it been in leveraging new financial resources?
- 11. Relevance: how determinant has it been in leveraging new financial resources?
- 12. Usefulness: how effective has it been in stimulating concretely a cooperation between stakeholders?
- 13. Accountability: how transparent are budget allocations?
- 14. Water-saving culture: how much has it promoted water saving practices?
- 15. Knowledge sharing: how much promptly does information circulate between partners?

General features of the proposed ongoing monitoring model

- The basic units of reference for monitoring information are the activities undertaken by the Component and recorded in documents
- Actual data are retrieved through Desk Analysis of documents produced by WGs, MSF, SG, Secretariat
- Financial and physical indicators at the EUWI and the Component Levels are the result of aggregating corresponding indicators at the activity Level
- Procedural indicators are partly aggregated and partially specific to each Level

Few exceptions to the common features

- At the MDGs Level, the EUWI contribution is quantitatively estimated only through coverage ratios
 - reasons
 - difficulty to get quantitative realizations and impacts, given the innovative nature of the EUWI
 - the EUWI is focused on promoting joint efforts and streamlining interventions, not financing directly measurable projects
 - advantages
 - easy to collect
 - transparent and understandable
- At the MDGs Level, procedural indicators do not apply because of the political / strategic nature of the relationship
- At the Level of the activities of the Components, qualitative / participatory monitoring has been ruled out because of its cost

Tools for data collection

- Quantitative monitoring: 4 standardized interlinked monitoring forms compiled by EUWI leaders:
 - Form 1: realization of single activities
 - Form 2: attainment of objectives of Regional and Thematic Components of the EUWI
 - Form 3: attainment of EUWI objectives
 - Form 4: EUWI contribution to MDGs and IWRM targets
- Qualitative monitoring: 8 homogeneous web-based questionnaires, 1 for the EUWI and 1 per Component, filled up by stakeholders and partners, with the support of the M/R WG

Objectives of the WSS WG	Financial indicators	Value (EURO .000)	Procedural indicators	Value	Physical indicators	Valu
	► Additional resources committed in water projects under Country Dialogue with poverty focus ► Additional resources committed in water projects under Country Dialogue with focus on food security		No. of organizations involved in the Country Dialogue process (incl. lead donor) that are represented by women		► Water issues in PRSs promoted by the Country Dialogue process (yes/no)	
Strengthen underlying institutions and build capacity	► Total resources allocated to the Country Dialogue ► Resources of the Country Dialogue process allocated to direct technical assistance		► Status of Country Dialogue (mark one as apply): 1 - Started 2 - Review undertaken 3 - Stakeholder consultation 4 - Draft Roadmap 5 - Final Roadmap 6 - RT on Financing 7 - Annual review	***	► Country Dialogue completed (yes/no) ► Water investment plan promoted by the Country Dialogue process (yes/no)	
management and development	➤ Total additional resources committed in water projects under Country Dialogue ➤ Total Additional resources. Committed in water projects under Country Dialogue, by: implementing agency. Other national Section Country Dialogue. Description of the Country Dialogue. Ditter Inches Country Dialogue. Ditter Inches Country Educations Other Point Educations. Other provide sources.				Law/decree on private- sector participation and regulation promoted by the Country Dialogue process (yes/no)	
	➤ Total resources committed in water projects at the outset of the Country Dialogue process (building blocks) ➤ Total resources committed in water projects in the Country Dialogue to date		No. of donors involved in the Country Dialogue process (incl. lead donor) No. of local stakeholders involved in the Country Dialogue process, by type: Governmental bodies Women organizations Other nod-for-printing Country Dialogue process. Other private organizations Other private organizations Other EUWI WGs involved in the activity (yeship); Africa NYMM Africa NYMM Research		No of projects registered at the oursel of the Country Dialogue process (building blocks) No of projects involved in the Country Dialogue to date	

Objectives of the Africa Component	Financial indicators	Value (EURO .000)	Procedural indicators	Value	Physical indicators	Value	Qualitati indicato
Increase prioritisation for investment for the poor	Additional resources committed under Component's activities in poverty-related projects Additional resources committed under Component's activities in projects related to food security		► Average no. of organizations involved in the activities of the Component (incl. lead donor) that are represented by women	***	▶ No. of PRSs assisted on water issues		- Leadership - Coherence - Timeliness - Visibility
Initiate a programme to support transboundary water management			► Overall status of implementation of Transboundary Water Plans (%)		► No. of Transb. Water Plans - Launched - Envisaged - Launched / envisaged ► No. of River basin organizations assisted		- Inclusivene - Transparen
Initiate national processes for IWRM			► Overall status of implementation of National IWRM Plans (%)		► No. of National IWRM Plans - Launched - Erwisaged - Launched / erwisaged - No. of newlimproved Nat. IWRM regulations promoted		- Water-savin culture
Strengthen underlying institutions and build capacity	► Total resources endowment of the Component - Committed - Disbursed - Disbursed / committed - Resources of the Component allocated to direct technical assistance		► Overall status of implementation of Country Dialogues (%)		➤ No. of Country dialogues - Launched - Ernvisaged - Launched / envisaged ➤ No. of new/improved Water Investment Plans promoted		- Ownership - Legitimacy
Enhance funding for supply, management and development	► Total additional resources committed in water projects under the activities of the Component				► No. of new/improved private- sector regulations promoted		- Effectivene - Relevance - Accountab
6. Improve coordination between the actors involved	Additional resources committed in water projects under the activities of the Component, by source: implementing agencies Other national sources Other national sources Other Ful donors Other Ful donors Other private sources		Average no of donor countries involved in the activities of the Component Average no of recipient countries involved in the activities of the Component Average no of non state local actors involved in the activities of the Component Average no of other EUWI WIS involved in the activities of the Component		➤ Percentage of projects under the EUM underella · Investment project · Avestment project · AVMSM projects · Transboundary projects		- Usefulness - Trust
Improving use of existing and new scientific knowledge					► No. of pilot projects launched under EUWI umbrella		- Knowledge sharing

Objectives of the EUWI	Financial indicators	Value (EURO .000)	Procedural indicators	Value	Physical indicators	Value	Qualitation
Reinforce political commitment to action and poverty reduction	Additional resources committed under EU/M umbrella in poverty-related projects		Status of implementation of MSF activities during the reference period - number of meetings organized - average no. of donors involved - average no. of recipient Countries sinvolved - average no. of non-state actors involved - average no. of non-state actors involved - average no. of organizations - Average no. of organizations - Experimental Countries of the activities of the ELWI that are represented by women.		▶ No. of PRSs assisted on water issues	***	- Leadership - Coherence - Timeliness - Visibility
 Promote Better governance arrangements, institutional capacity, IWRM and water efficiency plans 	► Resources of the EUW allocated to activities related to IWRM - Committed - Disbursed / committed - Disbursed / committed - Resources of the EUW allocated to direct technical assistance		► Overall status of implementation of National IWRM Plans (percentage)		➤ No. of National IWRM Plans - Launched - Completed - No. of newimproved National IWRM regulations promoted		- Water-saving culture - Ownership - Legitimacy
Improve coordination/cooperation (sector wide approaches, multi- stakeholder processes, south-south cooperation)	► Resources of the EU/MI allocated to activities related to drafting national water investment plans - Committed - Disbursed / committed		➤ Overall status of implementation of Country Dialogues (percentage)		➤ No. of Country Dialogues: - Launched - Completed ➤ No. of new/improved water investment plans promoted		- Usefulness - Inclusivenes - Transparenc - Trust
Encourage regional and sub- regional cooperation	➤ Resources of the EU/M allocated to transboundary activities - Committed - Disbursed - Disbursed / committed		► Overall status of implementation of Transboundary Water Plans (percentage)		► No. of Transboundary Water Plans - Launched - Completed ► No. of River basin organizations assisted		- Knowledge sharing
 Catalyse additional funding (new. flexible and innovative mechanisms, enabling environment) 	➤ Total additional resources committed in water projects under EU/MI umbrella	***	P-Average no. of donor countries involved in the activities of the EU/Wi. P-Average no. of receipent countries involved in the activities of the EU/Wi. P-Average no. of non state local of the EU/Wi. P-Average no. of non state local of the EU/Wi. P-Average no. of EU/Wi.Wi.Go. involved in the activities of the EU/Wi.		Average percentage of projects under the EU/Wi umbrells No. of newl/improved private-sector regulations promoted	***	- Effectivenes - Relevance - Accountabili

Form 4: EUWI contribution to MDGs and IWRM targets											
MDGs & IWRM Targets	Financial indicators	Value (%)	Physical indicators	Value (%)	Qualitative indicators	Value (1-5)					
Halve the proportion of people without sustainable access to safe drinking water	➤ Financial Coverage Ratio Total resources committed by the EUWI Multilateral financing of water and sanitation activities (source: OECD)		Country Coverage Ratio No. of countries assisted under the EUW umbrella No. of targeted countries		► Overall appreciation of EUWI contribution to MDGs and IWRM Targets						
Halve the proportion of people without sustainable access to safe basic sanitation	➤ Financial Leverage Ratio Total additional resources leveraged under EUWI umbreilla Estimated global financial needs to reach MOSs and IWRM targets		Basin Coverage Ratio No. of basins assisted under the EUWI umbrella No. of targeted basins								
3. Integrate principles of sustainable development and reverse losses of environ-mental resources	Feach MUSs and WMM targets (source: UN Secretariat) ► Private Leverage Ratio Total additional private resources Reveraged under EUM umbretta		▶ Population Coverage Ratio (1) Average % of people without access to improved drinking water in countries assisted by EUWI								
	Private financing in water supply and sanitation (source: PPI database)		Average world % of people without access to improved drinking water (source: JMP)								
			▶ Population Coverage Ratio (2) Average % of people without access to improved sanitation facilities in countries assisted by EUWI								
			Average world % of people without access to improved sanitation facilities (source: JMP)								
			INFIM Coverage Ratio No. of countries assisted by EUWI on IWRM issues No. of countries that remain at the initial stages of the IWRM process (source: GWP)								

Who can take on the responsibility to fill up the forms

- Form 1 (activities/basic information units): Country/basin/region lead donor and local anchor
- Form 2 (Component): WGs/Components Leaders
- Form 3 (EUWI objectives): Secretariat
- Form 4 (EUWI contribution): M/R WG

Sources of information for quantitative monitoring

- Minutes of EUWI meetings
- Notes produced for EUWI meetings
- TORs of contracted EUWI activities
- Country Dialogues, National IWRM Plans, Transboundary Water Plans, and the like
- EUWI Budgets
- Credited international statistics
- Common knowledge of partners

Sources of information for qualitative monitoring

- The web-based questionnaires
 - Partners and stakeholders will be requested to answer some questions according to the following ranking:
 - 1. Not at all
 - 2. Moderately
 - 3. Fairly
 - 4. Quite
 - 5. Extremely
 - The questionnaires will be accessible through the CIS (access is already regulated by ID and password)
 - MSF and SG members will fill up the EUWI questionnaire
 - Partners and stakeholder of the Components will fill up the respective questionnaires

3. Reporting

- Data processing, elaboration and analysis
 - Semestral Dossier: preliminary estimates of quantitative information
 - Annual Report: quantitative and qualitative assessment of EUWI contribution
- Sharing and discussion
 - MSF to analyze the Report and formulate strategic opinions
 - SG to analyze the Dossier and the Report, also on the basis of MSF opinions, and take prompt actions

Who can ensure the quality of overall results

- The Regional Components are responsible for implementing the monitoring system of the EUWI
 - Expected tasks to be carried out:
 - Collecting information on a regular basis
 - Aggregating indicators according to the methodology
 - Reporting periodically to Secretary
- The Steering Group (through Secretariat) is responsible for supervising and coordinating the system

Role of the M/R WG in the ongoing EUWI monitoring system

- Collect the forms and undertake quality review
- Support on data processing, elaboration and analysis
- Elaborate the data from international statistics
- Build context indicators and coverage ratios
- Finalize the Semestral Dossier and the Annual Report

Provided that

- A new mandate is approved by SG
- Adequate financing is available
- Interested partners take on an active role

Next steps: test phase (Sept. 2005-March 2006)

- Tasks envisaged in the TOR
 - Performing a pilot test
 - Adapting the methodology
 - Preparing a Methodological Report
- Activities to be undertaken
 - Applying the methodology to the activities of the EUWI at the country or basin level (case study)
 - Review the methodology on the basis of the case study
 - Prepare a set of deliverables for March 2006:
 - Description of the proposed monitoring tools
 - Recommendations for EUWI monitoring
 - Results from monitoring the case study

Conclusions

- The model proves robust to the test on the Africa Component
- SG will be asked to examine the model and eventually endorse and recommend it to Components
- EUWI M/R System expected to be launched on CIS by March 2006
- The process of implementing the M/R System will be gradual and phased

Thank you! Umberto Triulzi IPALMO triulzi@ipalmo.com