



PLANNING, MONITORING AND EVALUATION

ETC Foundation

ETC	Management
Date	16 July 2014
Electronic file name	ETC Planning, Monitoring and Evaluation

For Approval:

A handwritten signature in blue ink, appearing to be 'J.H.J. Dusseljee', written in a cursive style.

J.H.J. Dusseljee
Director ETC Foundation

TABLE OF CONTENTS

1	PME CYCLE AT THE ORGANISATIONAL LEVEL	3
2	ANNUAL ETC-WIDE WORK PLANS AND BUDGETS	3
3	MONITORING AT THE ORGANISATIONAL LEVEL	3
4	ETC-WIDE ANNUAL REPORT AND FINANCIAL REPORT	3
5	PROGRAMME DOCUMENT	4
6	ANNUAL WORK PLANS AND BUDGETS	4
7	COORDINATION OF THE PME CYCLE	5
8	IMPLEMENTATION OF ACTIVITIES / SUBCONTRACTS	5
9	MONITORING OF PROJECT/PROGRAMME ACTIVITIES	5
10	REPORTING ON PROJECT/PROGRAMME ACTIVITIES	6
11	REDIRECTION OF PROJECT/PROGRAMME ACTIVITIES	6
12	EVALUATION OF PROJECT/PROGRAMME ACTIVITIES	6
13	UPWARD ACCOUNTABILITY	6
14	DOWNWARD ACCOUNTABILITY	7

* * *

1 PME CYCLE AT THE ORGANISATIONAL LEVEL

ETC operates a 'cascading system' in its Planning, Monitoring and Evaluation (PME), in which PME is applied to ETC as an organisation and to the program/project level, with both aspects being interrelated.

2 ANNUAL ETC-WIDE WORK PLANS AND BUDGETS

Once a year, programmes are expected to develop a draft annual work plan and budget on the basis of:

- Commissioned projects and programmes for that year;
- Forthcoming and expected acquisitions;
- New ideas;
- Recommendations made in the progress reports;
- Staff availability.

The Management Team (the director, financial controller and line managers) feed the programme work plans and budgets into a draft ETC-wide annual plan and budget that supplement the following other inputs:

- Results of external financial audits and internal review of organisational performance;
- Feedback from donors (satisfactory performance and complaints) on programme work plans and budgets;
- Status of preventive and corrective actions;
- Follow-up actions from previous management reviews;
- External developments that could affect organisational performance and relevant for programme sustainability;
- Recommendations for improvement.

Once a year, the director organises an annual planning meeting involving all members of staff to discuss the draft ETC-wide work plan and budget. Based on the outcomes of the annual planning meeting, the Management Team finalises the ETC-wide work plan and budget for submission to the Board of Trustees (Board). The Board reviews the draft ETC-wide work plan and budget and approves a final version. The director then manages the implementation of the approved annual ETC-wide work plan and budget.

3 MONITORING AT THE ORGANISATIONAL LEVEL

The Management Team monitors progress with the implementation of the annual ETC-wide work plan and budget. Every quarter, the director organises a management review meeting with the line managers to discuss progress. The outcomes of these review meetings are reviewed and discussed in the bi-annual Board meetings. Conclusions and/or recommendations from the Board are recorded in Board meeting reports. The director manages the implementation of the Board's conclusions and/or recommendations.

4 ETC-WIDE ANNUAL REPORT AND FINANCIAL REPORT

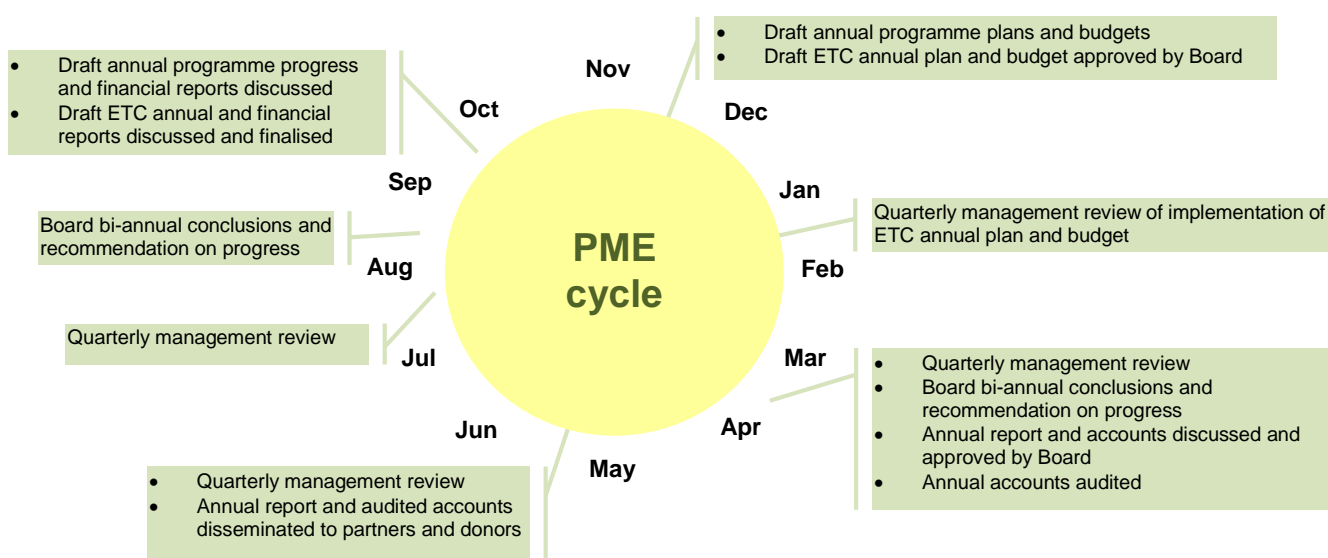
Once a year, ETC's programmes develop draft annual progress and financial reports. For consistency in measuring progress, the reports follow the formats of the work plans. The Management Team feed the

programme progress and financial reports into a draft ETC-wide annual report and financial report. For consistency in measuring progress, the reports follow the same formats as the ETC-wide annual work plan and budget.

Once a year, the director organises an annual progress meeting involving all staff members to discuss the draft ETC-wide work plan and budget. Based on the outcomes of the annual review meeting, the Management Team finalises the reports for submission to the Board. The Board reviews the reports and approves final versions.

Once a year, ETC organises an external audit of the annual financial report. The audited financial report and the auditor’s reports are presented to the Board. The Board prepares a management response to the auditor’s reports. ETC disseminates the approved annual report to all staff members, its partners and subcontractors, and publishes the report on the ETC website. The programme managers submit ETC’s annual report, financial report and the external auditor’s report to their respective donors.

The key milestones in the ETC organisational PME cycle are highlighted in the figure below.



5 PROGRAMME DOCUMENT

After a proposed programme has been approved by the donor, and the contract between the donor and ETC has been signed for the development intervention, the approved proposal is translated into a programme document. This programme document includes the contract, the proposal, the budget and a letter of agreement between the Director and the programme manager, indicating the level of responsibility and authority of the parties involved in the management and coordination of the intervention at ETC. The project document thus controls the overall management, implementation, monitoring and evaluation of the development intervention. The programme manager is responsible for supervising the operationalisation, quality control and reporting of the project document.

6 ANNUAL WORK PLANS AND BUDGETS

Programme documents are translated into annual work plans and budgets that are submitted to the donor for approval. The annual work plans are developed based on inputs from southern partners (Governing

Councils/Advisory Groups of Networks managed by ETC) and on insights and developments relevant to the progress of the programme's implementation. Work plans follow the structure and format of the approved results-based frameworks and monitoring protocols. Before the annual work plans and budgets are submitted to donors they are reviewed by the financial department and are approved by either the Line/Programme Manager or the Director depending on the monetary value.

7 COORDINATION OF THE PME CYCLE

Project/programme managers are responsible for monitoring the progress and content quality of their projects, controlling costs and the overall supervision of the project teams. They have regular meetings with staff members and the Governing Councils/Advisory Groups of networks managed by ETC. As part of the financial management, they have regular meetings with the Project Administrator in the financial department who is responsible for the relevant project/programme. The project/programme managers also have annual review meetings with donors to follow up and discuss project/programme performance.

8 IMPLEMENTATION OF ACTIVITIES / SUBCONTRACTS

Before engaging in subcontracts with southern partners, ETC has a procedure for partner selection to ensure organisational soundness and quality. Once subcontracted by ETC, all partners follow a similar process of planning, implementation and close monitoring that feeds into the next planning phase. This is always supervised by the programme manager and supported by the project team. The appendices of subcontracts for country-level projects always include a context analysis, context-specific intervention planning, a results matrix and expected deliverables based on a proposal by the local partners (the partner network responsible). With multi-year projects, this takes the form of an outline contract primarily focussed on the strategic level, followed by more detailed annual work plans and results-based frameworks (RBFs) and deliverables. Both have to be context-specific, and the RBFs must be of sufficient quality to show the coherence among vision, objectives, activities, results and project management. The results from subcontracts will feed into the programme-level RBF / monitoring protocols that are used for monitoring and reporting on the subcontracts to the programme's donors.

9 MONITORING OF PROJECT/PROGRAMME ACTIVITIES

The results-based framework and monitoring protocols are part of performance-based contract agreements between ETC and donors. The RBFs are used to monitor how a project/programme is progressing in terms of implementation of activities, delivery of results, expenditure, resource use and the management of risks. This is achieved through the systematic collection, analysis and use of management information. As such, RBFs support effective decision-making in projects/programmes, the internal learning process in networks and ultimately the reporting to the donor. Context-specific baseline information is included in these RBFs/monitoring protocols, and the indicators included are those identified as the most relevant and useful during programme design and agreed by the programme donors. The scheduled monitoring includes six-monthly reviews by subcontractors, annual reviews by ETC and Governing Councils/Advisory Groups plus mid-term and final reviews by review members of partner networks. The validity of a project's monitoring data is ensured through a combination of frequent backstopping contacts with project staff, project deliverables (outputs that can only be produced through project progress), project monitoring visits by ETC staff, exchanges within the international partner network and evaluations.

10 REPORTING ON PROJECT/PROGRAMME ACTIVITIES

On the subcontract level with partners in the “South”, reporting is governed through articles in the standard contract which includes formal content-wise financial reporting every six months according to the RBF/monitoring protocol and, depending on project-specific milestones, short/informal updates every month and formal reporting every six months, plus an annual financial audit of the organisation.

Once a year, ETC will combine the inputs from the partner progress and financial reports into an annual progress report and financial report. Such progress reports will follow the structure and format of the monitoring protocols, and in addition will explain deviations from the plans, highlight new insights and new developments in the context of the programme and report new strategies. The financial reports will be reviewed by the project administrators responsible for the project/programme within the financial department and by the programme/project. The final annual financial reports will be audited by external auditors. The final annual narrative reports and annual financial reports (including the auditor’s report) are submitted to the donor for discussion during review meetings and for approval.

11 REDIRECTION OF PROJECT/PROGRAMME ACTIVITIES

Redirection of project/programme activities as necessary will be carried out in the annual work plans based on:

- actual progress vis-à-vis the reported monitoring protocol;
- the participatory discussion and consultation processes in the learning networks. These, in ETC’s international network approach, define specific priorities for redirecting interventions based on changing contexts and progressive learning.

12 EVALUATION OF PROJECT/PROGRAMME ACTIVITIES

A final programme evaluation is carried out by an independent party no later than six months before the completion of a project. This evaluation has two basic objectives:

1. To assess the results and impacts, both intended and otherwise, of the project (accountability function);
2. To determine whether there are lessons to be learnt from past experience to improve future operations, thereby contributing to "institutional memory" (lessons learnt or quality management orientation).

The final evaluation report will be submitted to the programme/project donors for their acceptance or rejection.

13 UPWARD ACCOUNTABILITY

Upward accountability is embedded in ETC through reporting to its donors/clients and the systematic measurement of donor/client satisfaction. Donors/clients are asked to approve operational plans and to approve progress reports, financial reports and completion reports. Donors/clients have access to ETC’s fully detailed annual financial report.

The main indicators for determining donor/client satisfaction are:

1. timeliness of reporting;
2. degree of achievement of agreed outputs and outcomes; and
3. quality of services rendered in relation to agreed customers’ requirements.

The following potential sources are used for measuring donor/client satisfaction: comments on progress reports; comments on annual work plans; comments on completion reports; comments in communications regarding the discharge of a project/programme; results of subsector-wide or thematic evaluations and reviews in which the work of ETC is also assessed; results of mid-term reviews; results of final evaluations.

For stakeholders who are not 'donors/clients', ETC publishes a detailed annual report on the ETC and associated programme websites. This includes the progress of each project/programme, a brief financial report with explanations, statements by the chair of the Board of Trustees, the director and the auditor, etc.

14 DOWNWARD ACCOUNTABILITY

Downward accountability is embedded in ETC through the core approaches of participatory and multi-stakeholder processes in planning, implementation and evaluation of activities. ETC partners receive a copy of the ETC annual report, as well as copies of relevant progress reports sent to donors. The reports to the donors are always developed in a consultative process with the southern partner networks (including the Governing Councils/Advisory Groups of Networks) managed by ETC. The same is true for the work plans.

Southern partner networks play an important role in influencing and steering ETC's policy and the implementation of its programmes based on downward accountability. These networks are self-governed through internal democratic processes. The opinions and suggestions of these networks are the main starting point for adapting programme strategies, as communicated upwards and downwards in the annual work plans.

Downward accountability to stakeholders beyond ETC's partners is the prime responsibility of ETC's southern partner networks. ETC supports this accountability through the publication of project activities and lessons learnt on the programme/network websites and through programme newsletters.