Monitoring

for results

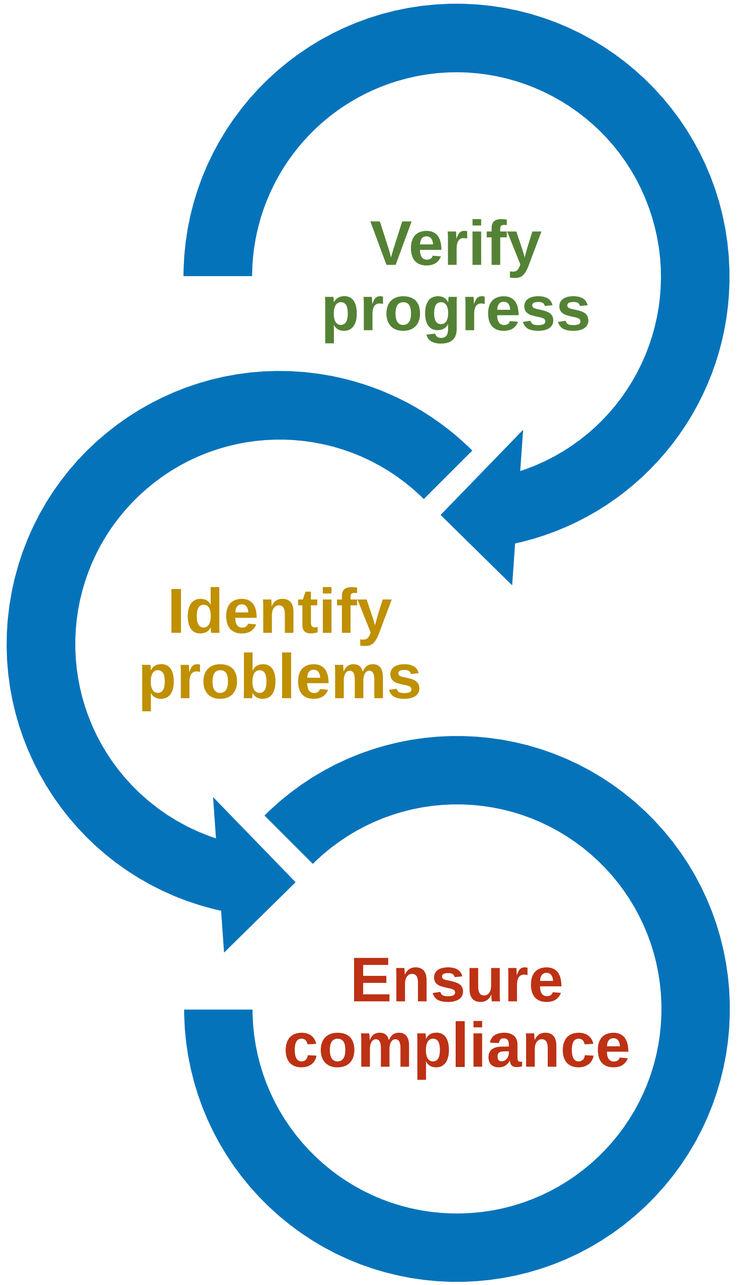
Agenda

1. What types of monitoring are we talking about?
2. Monitoring and Audits – what's the difference?
3. Practical Guidance – the «How To?» for planning, communications
4. Reporting - What to do after the monitoring exercise is finished?
5. Overview of APR monitoring reporting

What do you think about when you hear the word *monitoring*?

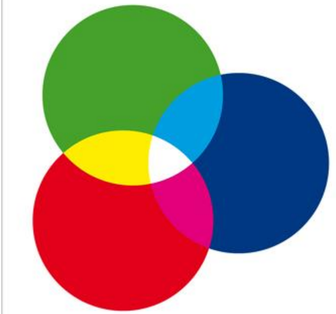
What is monitoring?

Monitoring is the observation of implementation, in order to:



Types of monitoring

Not mutually exclusive



Risk-based: oversight of projects/programmes based on perceived level of risk

Compliance-based: oversight of project/programmes for the purpose of checking if they are implemented in compliance with the rules

Results-based: oversight of projects/programmes for the purpose of checking if they are progressing towards the planned results

see pages 35-38 of the Results Guideline

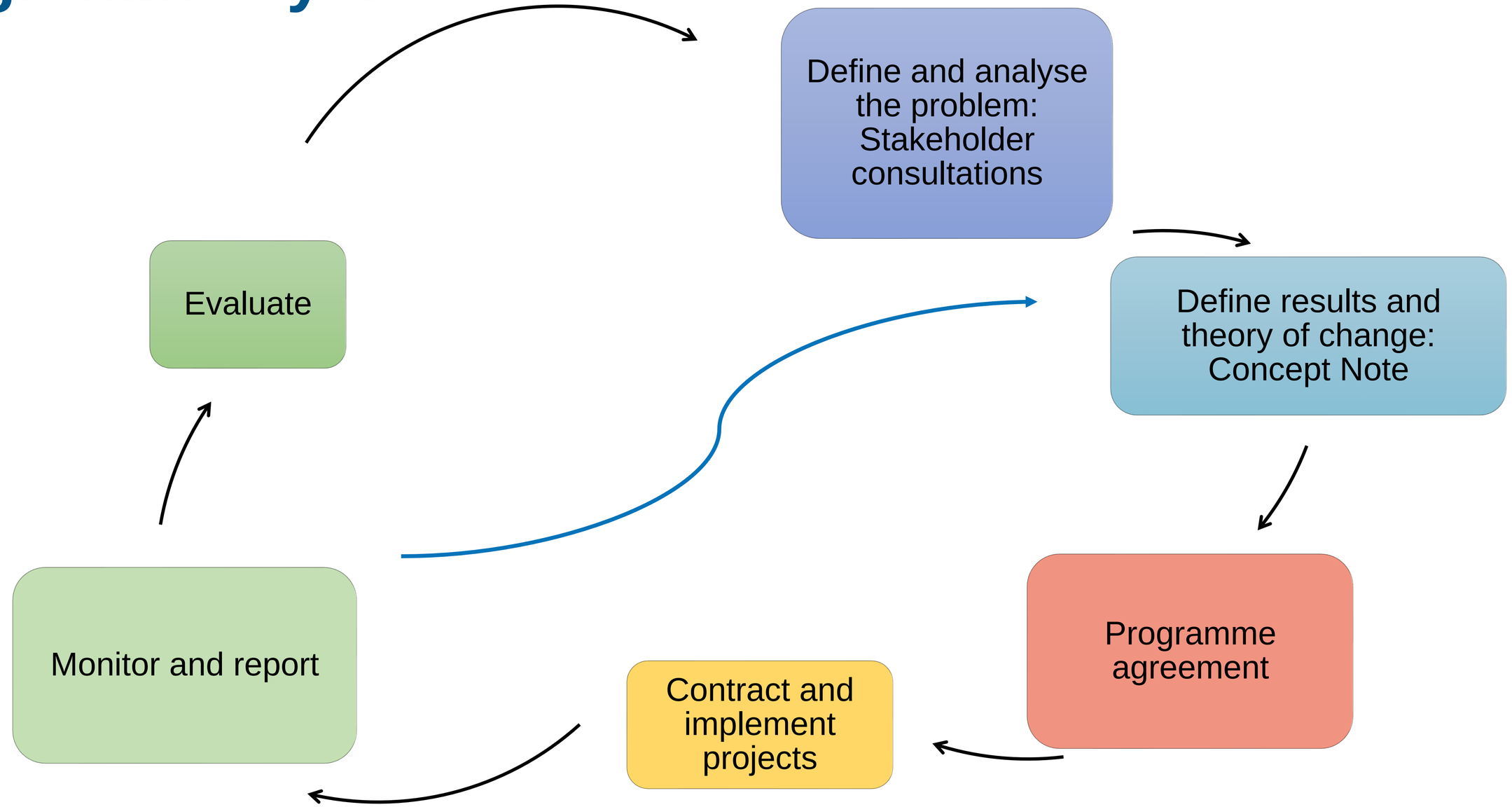
Monitoring

Monitoring vs Audits

- ✓verify progress toward agreed outcomes and outputs;
- ✓identify potential problems in a timely manner
- ✓ensure agreed procedures are followed

- ✓systematically appraise efficiency of fund use
- ✓check if management control systems are applied
- ✓verify legality of expenditure

Programme cycle



Monitoring information – where does it come from?

Project Promoters' reports

Focus group discussions

E-mail or phone calls

Site visits

Monitoring planning – results framework

Number	Expected programme results	Indicator	Unit of measurement	Source of verification	Frequency of reporting	Baseline value	Baseline year	Target value
Outcome 1	***Enhanced gender equal opportunities in the labour market***	Number of companies applying gender equality instruments	Number	Project promoters' records	2022 and then annually (APR)	0	N/A	10
		Number of study programmes officially applying the guidelines for integrating gender equality as a quality criterion	Number	Survey results	2022 and then annually (APR)	0	N/A	5
		Share of boys in the target group exhibiting changed understanding of masculinities[1]	Percentage	Project promoters' records	2024	N/A	N/A	80%
Output 1.1	*Workplace-related gender equality*	Gender equality index for public or private employers developed	Binary	Copy of the index	Semi-annually	No	N/A	Yes

Monitoring – planning steps

Step 1: Think about what needs to be done practically to report on an indicator

Step 2: What **types** of monitoring activities are needed? *Phone checks, regular email contact, site visits, etc.*

Page 37 of the Results Guideline

Monitoring – planning steps

If considering a site visit:

- Does a project have a significant **impact** on meeting the **objective?**
- Is the project particularly **innovative**?
- Projects **exceeding a certain euro value**.
- For programmes with a large number of projects (30 or more) establish a system of random **sampling**
- Projects or programmes deemed to be **at high risk**

Monitoring – planning steps

Step 3: Establish a monitoring plan

Project #	Project name	Monitoring action	Planned timing: Q1, Q2, Q3, Q4	Criteria for monitoring (especially for site visits)	Risk issue with the project (if applicable)	Comments	Contact details
0001	National – Disease prevention programme for communities at risk	Visit with project promoter in Capital City	Q2 – May	The project is vital to the success of the overall programme	The project is at financial risk and has management risks	Mr. xxx should be contacted in April to arrange meeting	Mr. xxx lives in the Capital with phone: 58-62-00-00-00
0002	Eastern Region of X: upgrade of local clinics	Regular monitoring of payment claims	Throughout 2018	No site visit envisaged in 2018	There is a low financial risk of local towns' budgets	None	None
0003	National – school fitness programmes for teenagers	Random site visit to 2 schools participating in project	Q4	Since this is a large and important programme for X, a minimum of 2 schools should be checked	No risks identified as yet: random monitoring	During Q3, select schools for monitoring	Project Manager is based in Y City
0004							
0005							

Step 4: Organisation of Monitoring Site Visits

✓ Prepare the project promoter well in advance about monitoring

(note: Project Promoters are partners, not adversaries!)

✓Coordinate with stakeholders, so the monitoring goes as well as possible

✓Prepare site visit report

✓Circulate findings

What does a monitoring site visit report look like?

Monitoring Report - Suggestion for a reporting template – report will ideally not exceed 15 pages

(1 cover page to include the information below)

Programme (number and title)
Programme Operator (name of person(s) representing the PO)
Visited projects (numbers and titles) and date of monitoring

I. Description of how the monitoring was conducted (1/2 to 1 page)

This section refers to any special methods used (if relevant) for the monitoring.
Also, list of contacts made, with the dates of meetings / monitoring visit, as well as any additional documents used for analysis or research,

II. Findings (Max 10 pages)

In this section, address each key question from the terms of reference for the monitoring. Add any other relevant findings you find important.

III. Stakeholders' comments (Max 1 page)

In this section, please add any relevant comments you might have been given by the project promoters, and any other interviewed stakeholder.

IV. Recommendations and Lessons learned (Max 2 pages)

Refer back to the key questions and provide your conclusions and recommendations – also related to any current or potential future risks to implementation and measures to mitigate them. Add views on lessons learned that should be taken into account for continued implementation or future grant funding in this area.

A section which allows for data aggregation across projects, such as:

Scale 1-4 ☐ The project is on track to achieving its results (with 1 as lowest and 4 as highest)

Yes/ no ☐ The project is considered to be at risk and should be monitored again in _____ (date)

Monitoring – planning steps

Step 5: Define follow-up actions

Step 6: Establish a monitoring reporting system

Step 7: Report on monitoring findings in APR

What we typically received in APRs during FM09-14

- ✓ **Huge** focus on compliance
- ✓ Some minimal focus on risk
- ✓ Very little on results

Please maximise APR information related to results – and/or risks to achieving the results, with less focus on compliance.

What we typically received in APRs during FM09-14

"A number of **17** on-site monitoring visits were carried out during 2016 and **110** progress reports were submitted by project promoters out of which **91** have been approved at the end of 2016.

The monitoring tools used for the projects are the following:

a) **administrative monitoring** - is done based on interim progress reports and final project reports, ad hoc reports, documents describing the implementation at project level, e-mails, phone calls, other relevant documents, etc.

b) **on-site monitoring visits** – performed by the PO's personnel or/and by external experts, if specific expertise is required in order to verify the compliance with technical parameters described in the project.

The PO considers that awarding lump-sums to small projects in order to reduce the administrative burden of monitoring all the expenses in this type of projects is a lesson learnt within the monitoring process."

What we want to see in FM14-21 in the APR

- ✓Type of monitoring you carried out (results-based, risk-based, compliance-based)
- ✓Quality of key (project) activities implemented
- ✓Any promising practices or weaknesses/risks found
- ✓Quality of (project-level) systems in place to document these results

Do you have projects you already know face some risks? What is the monitoring plan for them?

Why is monitoring important?

- ❑ It is an excellent **risk mitigation tool**
- ❑ Develops a **status overview**
- ❑ Check progress towards **indicator targets**
- ❑ Identifies **promising practices**
- ❑ A good excuse for **NFP + PO/FO communication**

Monitoring is the responsibility of both PO/FO and NFP TRUE

Monitoring is an in-depth analysis of an irregularity reported FALSE

Surprise monitoring visits are a good idea FALSE

PO needs to submit the monitoring plan in the APR TRUE

We should do more results-based monitoring TRUE