

Monitoring/Reporting of the EUWI: operationalizing the model on the Africa Component

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

1. **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 EUWI
- 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**

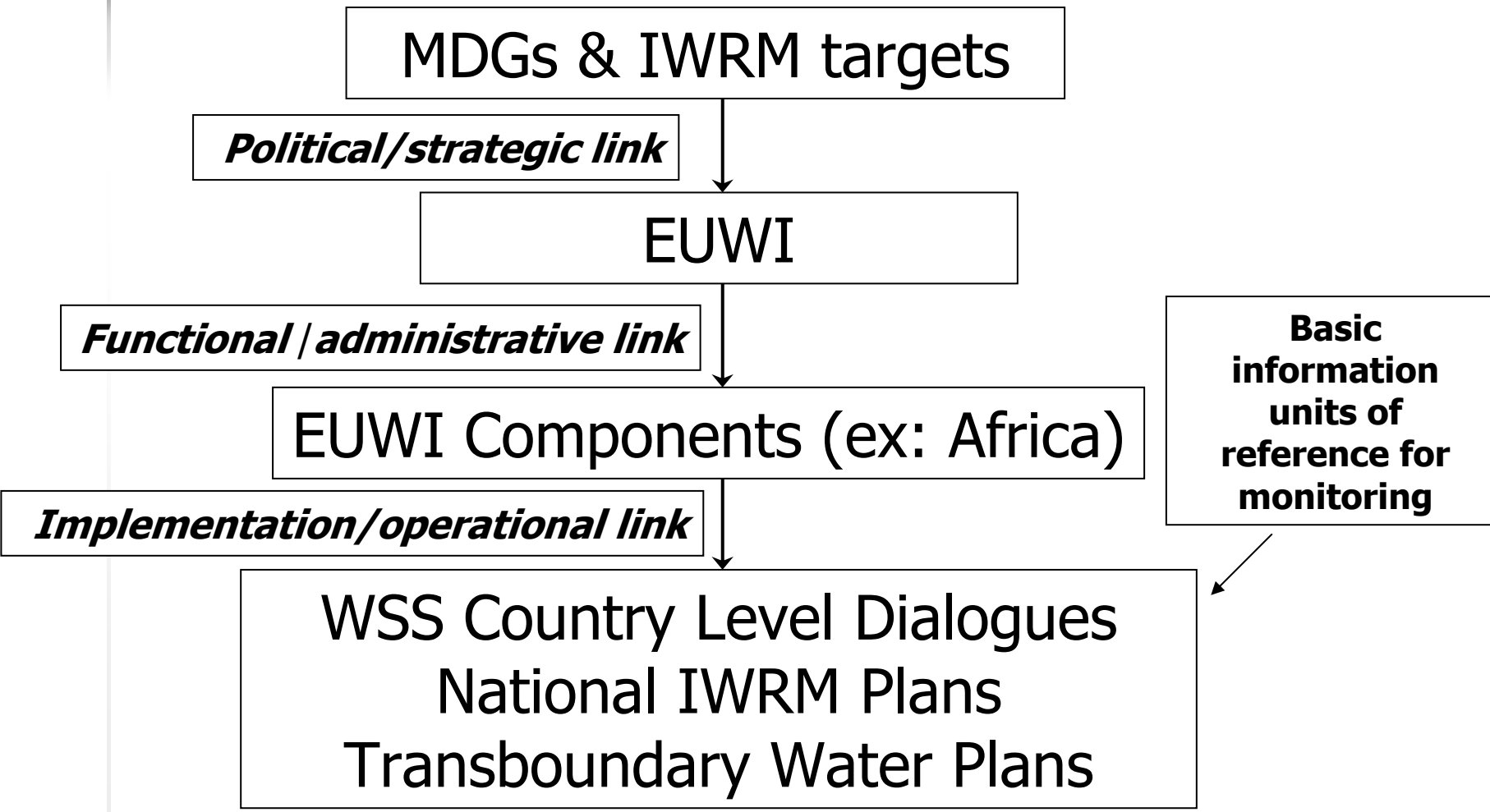
The evolution of policy implementation is tracked from lower to higher levels, to retain consistency

- **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

The EUWI in the monitoring model

Example: the African Component



Proposed phases of monitoring and related instruments

Phases

- 1. Ex-ante monitoring
 - *external consistency*
 - *internal consistency*
- 2. Ongoing monitoring
 - *quantitative*
 - *qualitative/participated*
- 3. Reporting
 - *Data processing, elaboration and analysis*
 - *Sharing and discussion*

Instruments

- Consistency matrices (*participated*)
- Indices of Policy Consistency (*comparable*)
- 4 monitoring lines
 - *Indicators*
 - *Tools of data collection*
- Semestral Dossier
- Annual 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 level depending on expected ability to attain those of the higher policy level
- **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

Consistency Matrices

1 st Policy Level	MDGs		IWRM target	Score
	1. Halve the proportion of people without sustainable access to safe drinking water	2. Halve the proportion of people without sustainable access to safe basic sanitation	3. Integrate principles of sustainable development and reverse losses of environmental resources	
Objectives of the EUWI				
Reinforce political commitment to action and poverty reduction	++	++		4
Promote Better governance arrangements, institutional capacity	+	+	++	4
Improve coordination/cooperation (sectoral approaches, multi-stakeholder processes, south-south cooperation)	+	+	+	3
Encourage regional and sub-regional cooperation (IWRM and water efficiency plans)			++	2
Catalyse additional funding (new, flexible and innovative mechanisms, enabling environment)	++	++	+	5
Total	6	6	6	18

Symbol	Meaning	Score
++	Very consistent	2
+	Consistent	1
..	No expected impact	0
/	Negative expected impact	- 1

External consistency: the EUWI

Index of External Consistency
EUWI -> MDGs = 77

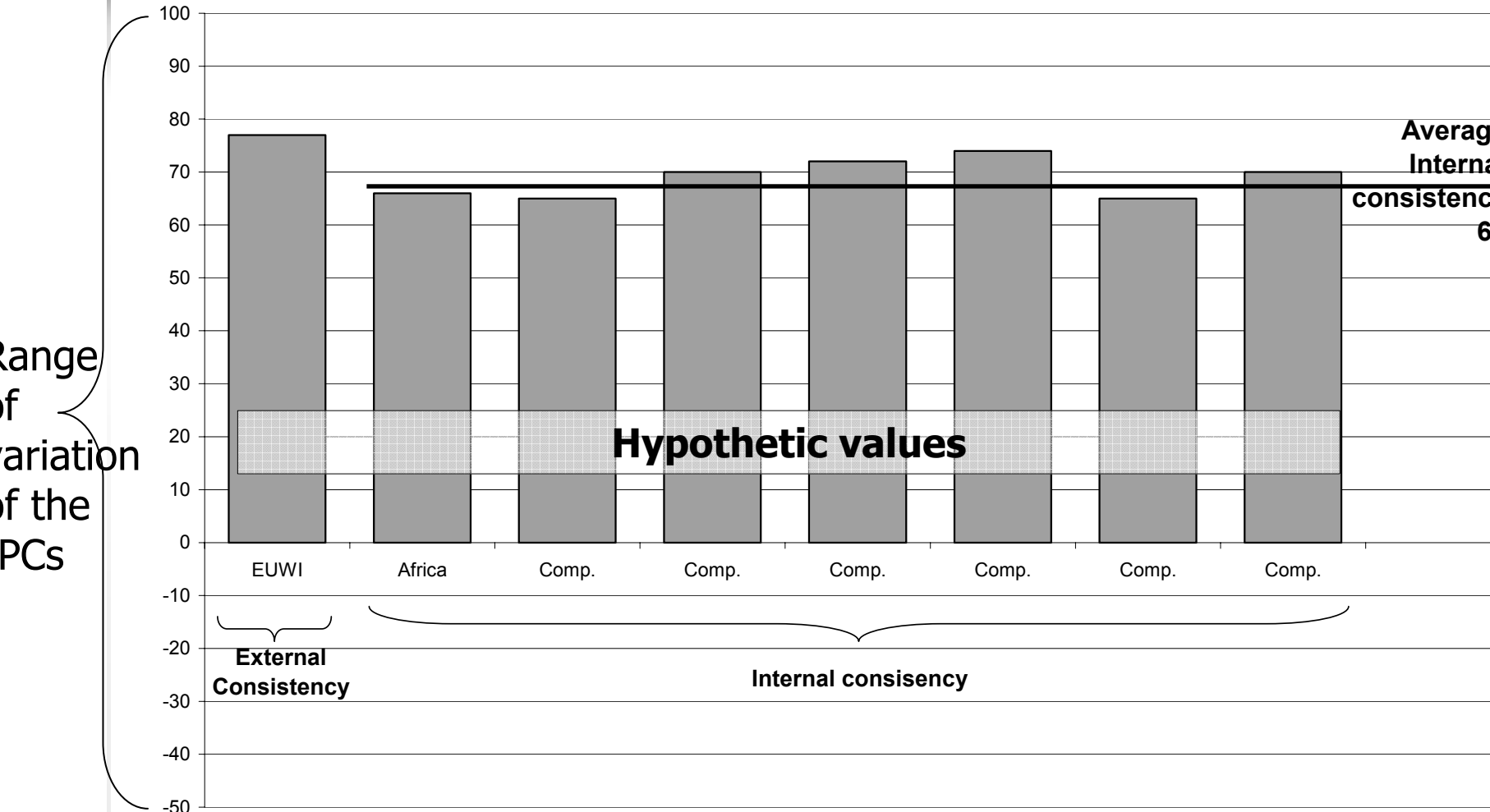
Hypothetic values

Internal consistency
example: Africa Component

Index of Internal Consistency
African Component -> FIWT = 66

2 nd Policy Level	Objectives of the EUWI				
	1. Reinforce political commitment to action	2. Promote better water governance arrangements	3. Improve co-ordination and co-operation in interventions	4. Encourage regional and sub-regional co-operation	5. Catalyse additional funding
3 rd Policy Level					
Programmatic objectives of the Africa-EU Partnership 2004-2005 Work Programme					
1. Increase prioritisation for investment for the poor	++				++
2. Initiate programme to support transboundary water resources management		++	+	++	
3. Initiate national processes for IWRM	+	++	+	++	
4. Strengthen underlying institutions and build capacity	+	+	+	+	+
5. Enhance funding for supply, management and development	+		+		++
6. Improve coordination between the actors involved		+	++	+	
7. Improve the use of existing and new scientific knowledge	+				+

Showing jointly the Indices of Policy Consistency



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 update it
- Use of existing information technologies:

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

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:
 1. Coherence: how determined and controlled are the time targets?
 2. 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

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!

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