Abstract

This guidance note outlines the policy, requirements and standard operating procedures applicable to the monitoring of UNDP Somalia’s programme and projects

Gender sensitive Monitoring pOLICY and PROCEDURES
GUIDANCE NOTE

UNDP SOMALIA



A joint product of the Planning and Partnerships and Cross-Cutting Units of UNDP Somalia

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**UNDP SOMALIA MONITORING POLICY**

This guidance note outlines the policy, requirements and standard operating procedures applicable to the monitoring of UNDP Somalia’s programme and projects (both Direct and National Implementation Modality) included in the UNDP Results and Resources Framework of the approved Country Programme Document (CPD), the Integrated Strategic Framework and the UNDP Global Strategic Plan. It clarifies the roles and responsibilities of various parties involved in the implementation and monitoring of UNDP supported projects – i.e. the Project Manager, Project M&E Officer, Implementing Partner/government counterpart, UNDP Programme Unit, and the Planning & Partnerships Unit.

# Key Elements of Results Based Management in UNDP

This section provides an overview of Results Based Management in UNDP with a focus on setting benchmarks and quality criteria for monitoring and quality assurance. Monitoring in UNDP is aimed at collecting and providing evidence on project progress and results, which would, in turn, inform the decision related to project strategy, focus and resource use while the project is still ongoing.

Effective monitoring depends on effective planning. The project strategy, including the Results and Resources Framework, and Annual Work Plan serve as the key basis for project monitoring. Similarly, effective monitoring and availability of reliable quantitative and qualitative data (sex disaggregated) are critical to the evaluation and assessment of a project’s success and impacts. Rigorous and targeted monitoring of gender related activities should back up accountability mechanisms like gender markers and be used in decision making processes as well as in project/programme planning and monitoring to strengthen accountability of the office and facilitate integration of gender equality concerns into the projects.

UNDP Somalia has in the last two years undertaken trainings in Hargeisa, Mogadishu and Nairobi on key elements of Results Based Management (See Annexure C).

The results framework of a typical UNDP project has five elements: Inputs, Activities, Outputs, Outcomes and Impact. These are illustrated in the Figure 1: RBM Results Chain below.

Figure 1: RBM Results Chain



Figure 2: Key Terminologies in RBM



# Planning Frameworks in UNDP

## Framework Agreements

The Integrated strategic Framework define the **Impact** and **Outcomes** that the UNDP along with the other UN agencies in Somalia will contribute to, alongside the government, other stakeholders and international development agencies. In addition, the UNDP Strategic Plan 2014-17 defines the Impact, Outcomes and Outputs at the global level.

Figure 3: Outcome-Output-Project Nexus in UNDP



The Country Programme Document (CPD) for the period 2011-2015: (a) identifies a list set of OP Outcomes to which UNDP will contribute to; and, (b) sets the specific **Outputs** which UNDP will produce along with its implementing partners.

It is important to note that both the UNDP Global Strategic Plan and the UNDP Country Programme Document including specific outcomes on gender mainstreaming.

## Project Strategy and Results Framework

As the CPD Outputs are defined as high level results to be achieved over a period of five years, the CO developed Outcome papers which are strategy documents that includes a Results and Resources Framework (RRF). The RRF defines CPD Outputs, which in turn contributes to CPD sub-outcome. The Outcome papers define the project’s theory of change and direct results with greater specificity and detail. The Project Managers are directly and fully responsible for the achievement of Project Outputs, including any activities implemented by Responsible Parties. All project RRFs are required to include gender sensitive data, with at least 30% female beneficiaries and are expected to have Gender Markers. Please refer to Annexure H: Checklist for engendering the project documents.

## Project Annual Work Plan

The project Annual Work Plan defines **Activities**, which are developed annually and set out the actions that are needed and will be undertaken by the Project Manager to produce the Project Outputs. These may include coordination, technical assistance and training tasks organized and executed by project personnel. The AWP defines the schedule, time period, inputs, cost, budget source, and responsible party for each activity. As with the RRFs, all AWPs are required to include gender sensitive data, with at least 30% female beneficiaries and are expected to have Gender Markers.

# UNDP Monitoring Policy

Any organization that strives for results requires a robust, continuous and effective monitoring system. This requirement becomes even more relevant for UNDP, as the organization is aiming for results that: (a) are nationally owned and form part of the multi-stakeholder framework; (b) are defined and achieved through the engagement of a broad range of stakeholders; and (d) have to be accounted for.

UNDP works towards a robust monitoring system through effective policies, tool, processes and systems so that it can meet the multiple monitoring challenges it faces. The need for stronger monitoring, RBM and evidence-based decision making management is also underscored by the UNDP Strategic Plan 2014-17, which prioritizes RBM as a key management priority area. It is only as a result of this acknowledgement that the CO has now increased the M&E component under DPC from 1 to 1.5%. This increase in cost will account for CO M&E staff and initiation of third party monitoring.

In accordance with the UNDP Programme and Operational Policies and Procedures (POPP), all Outcomes and Outputs to which UNDP is contributing must be monitored, regardless of their budget and duration. UNDP monitoring policy is guided by the UNDP Handbook on Planning, Monitoring and Evaluating for Development Results. Additionally, all UNDP evaluations are expected to conform to corporate norms and standards, including integration of gender concerns[[1]](#footnote-1).

## Programme Monitoring Policy

Each programme must be monitored to ensure that:

* The Outcomes agreed in the CPD and their constituent Outputs are being achieved.
* All CO Outcomes and outputs are contributing to the CPD and SP outcomes on gender mainstreaming.
* Each project produces the envisaged Outputs in an efficient manner as per the project strategy and the corresponding Annual Work Plan.
* Decisions of programmes and projects are based on facts and evidence.
* Lessons learned are systematically captured for knowledge and improving future programmes
* The programmatic interventions contribute to improved governance and rule of law, capacity building of key government institutions, poverty reduction and environment with gender equality as highlighted in the UNDP Strategic Plan.
* All projects are providing gender disaggregated data.

## Project Monitoring Policy

Project monitoring is linked to and should feed programme level and Outcome level monitoring. The project monitoring plan should:

* Clarify the precise results elements to be monitored;
* Collect monitoring evidence that the Outputs are being produced as intended and efficiently;
* Monitoring the project’s contribution to progressive achievement of Outcomes;
* Ensure that monitoring evidence reliably informs whether the project Outputs being generated remain relevant to achieving the Outcome;
* Ensure that activities/events needed for monitoring are scheduled and responsibilities assigned;
* Ensure that the project budgets include adequate human and financial resources for monitoring and evaluation;
* Ensure capture of issues and lessons; discern what issues have emerged during implementation: Have the foreseen risks and assumptions materialized? Have other unforeseen challenges, opportunities and risks materialized? Are these being managed?
* Decide whether or not the project will be evaluated.
* Ensure that gender components and gender strategy of the project are captured in monitoring activities.

## Compliance Monitoring and Assurance Policy

In addition to programmatic monitoring, each project should be reviewed and audited for the effectiveness of its internal control systems, regularity of its financial transactions, and efficient management of project resources. UNDP follows a risk-based approach to cash transfers defined under the United Nations Development Group’s Harmonised Approach to Cash Transfers (HACT). The HACT methodology provides a systematic approach for UN agencies to work with Implementing Partners (IP) and Responsible Parties (RP), especially in these four areas:

1. Financial and Operational capacity assessment of government and non-government partners;
2. Determination of the appropriate cash transfer modality (advance, direct payment, reimbursement or direct implementation) based on the risk rating identified for each IP or RP;
3. Development and implementation of Risk Mitigation Plans (RMPs); and
4. Determination of the appropriate level and frequency of assurance (audit and spot check) activities for each IP and RP.

Gender unit to conduct Gender Audits through the Gender Seal to ensure the allocation of gender markers

# Programme and Project Monitoring and Evaluation

Effective monitoring and evaluation enhances the contribution of UNDP by establishing clear links between past, present and future initiatives and development results. Monitoring and evaluation can help an organization extract relevant information from past and ongoing activities that can be used as the basis for programmatic fine-tuning, reorientation and future planning. Without effective planning, monitoring and evaluation, it would be impossible to judge if work is going in the right direction, whether progress and success can be claimed, and how future efforts might be improved.

**Monitoring** can be defined as the ongoing process by which stakeholders obtain regular feedback on the progress being made towards achieving their goals and objectives. Contrary to many definitions that treat monitoring as merely reviewing progress made in implementing actions or activities, the definition used in this Handbook focuses on reviewing progress against achieving goals. In other words, monitoring in this Handbook is not only concerned with asking “Are we taking the actions we said we would take?” but also “Are we making progress on achieving the results that we said we wanted to achieve?” The difference between these two approaches is extremely important. In the more limited approach, monitoring may focus on tracking projects and the use of the agency’s resources. In the broader approach, monitoring also involves tracking strategies and actions being taken by partners and non-partners, and figuring out what new strategies and actions need to be taken to ensure progress towards the most important results.

**Evaluation** is a rigorous and independent assessment of either completed or ongoing activities to determine the extent to which they are achieving stated objectives and contributing to decision making. Evaluations, like monitoring, can apply to many things, including an activity, project, programme, strategy, policy, topic, theme, sector or organization. The key distinction between the two is that evaluations are done independently to provide managers and staff with an objective assessment of whether or not they are on track. They are also more rigorous in their procedures, design and methodology, and generally involve more extensive analysis. However, the aims of both monitoring and evaluation are very similar: to provide information that can help inform decisions, improve performance and achieve planned results.

# Operational Framework for the Monitoring Policy

This guidance note provides the operational framework for UNDP Monitoring Policy (Annexure A). It outlines the monitoring requirements for UNDP projects and programme, including formats and frequency of monitoring actions, and the roles and responsibilities of various parties involved in the collection, analysis, reporting and use of monitoring data/findings.

The focus of monitoring in UNDP is at the project level – projects form the foundation of UNDP’s work and are the primary means through which UNDP contributes to the achievement of Outcomes, through the production of CPD Outputs and the Project Outputs. The project is the entity that uses inputs and resources and converts them to Activities and Outputs. It is also the entity from which monitoring actions begin. The primary responsibility for monitoring at the project or output level lies with the Project Manager.

## Monitoring Questions

The key questions that the monitoring framework seeks to answer include the following:

* Are the pre-identified outputs being produced as planned and implemented efficiently?
* What are the issues, risks and challenges that we face or foresee that need to be taken into account to ensure the achievement of results?
* What decisions need to be made concerning changes to the already planned work in subsequent stages?
* Will the planned and delivered outputs continue to be relevant for the achievement of the envisioned outcomes?
* Are the outcomes we envisaged remaining relevant and effective for achieving the overall national priorities, goals and impacts?
* What are we learning?
* Are we ensuring that women are benefitting from our interventions?

In assessing efficiency, a project evaluation might explore the extent to which resources are being used to produce the intended outputs and how resources could be used more efficiently to achieve the intended results. It is also important to assess how the partnership strategy has influenced the efficiency of UNDP initiatives through cost-sharing measures and complementary activities

The questions related to compliance and assurance include the following:

* Are the project resources (staff, finances, equipment, assets, etc) being used efficiently and effectively? Are the project resources being used solely for the purposes of the approved AWP’s implementation and for the production of Project Outputs?
* Is the project management complying with the applicable rules, policies and procedures of the Implementing Partner and UNDP?
* Does the project/implementing partner have a functional internal control framework that segregates tasks and allows for assurance/oversight at various levels?

## Programme Monitoring Framework

The focus of programme monitoring is on the CPD Results and Resources Framework, which includes the monitoring of individual projects’ delivery of Project Outputs as well as of their contributions to the achievement of Outcomes. Programme monitoring is carried out by the Country Office (Programme Units and PPU) based on quarterly and annual reporting by Project Managers against Project Output indicators, CPD Output indicators and CPD Outcome Indicators.

The evidence base for programme monitoring is provided by the following sources:

* Annual Project Review, which is performed at the end of each year by the relevant Project Board with the participation of the Project Manager, Implementing Partner and UNDP;
* Project reviews (Monthly & Quarterly), assessments and evaluation reports; and,
* Third party reports reports, including published statistics.

Programme monitoring involves the following steps and processes (see details in Table 1):

1. Quarterly Portfolio Review (led by Programme team and Project Managers)
2. Annual Strategic Review Meetings (Implementing Partners with heads of UNDP, key government representatives, key project and programme staff)

## Project Monitoring Framework

The reference documents (see Annexures) for project monitoring are:

* Project Annual Work Plan (Annexure D)
* Project Results and Resources Framework (Annexure E)
* Project Monitoring Plan (Annexure F)
* Project Progress Reports (Annexure G)
* Other Activity Reports (e.g. specification documents, studies, workshop reports, etc)
* Project Financial Reports (Annexure G)
* Checklist of monitoring questions (Annexure J)

The project monitoring framework envisages five types/levels of monitoring activities (see details in Annex E):

1. Activity Monitoring (Project Manager, Project M&E Officer and Staff)
2. Third Party Monitoring of selected project activities, primarily focused on field-based activities (PPU and Programme Units)
3. Monthly Project Review meetings (Project Managers, Staff and Responsible Parties)
4. Quarterly Project Monitoring
5. Bi-annual Project Board Meeting (Implementing Partner and UNDP Deputy Country Director Programme; along with, Project Manager, UNDP Programme staff and PPU

**6 M&E - UNDP’s Gender Equality and Women’s Empowerment Strategy**

The CO is committed to Mainstreaming gender equality and women’s empowerment (GEWE) in all its programme and project outputs and indicators. Gender mainstreaming is a process rather than a goal that consists in bringing what can be seen as marginal into the core business and main decision-making process of an organization. Gender mainstreaming therefore moves women’s issues from the margins of policies, initiatives and programmes into the core business through assessing the implications for women and men of any planned action, policy or programme at all levels, through all stages (from design to evaluation) and in all areas. The overall objective of UNDP Somalia’s Gender Equality Strategy is to ensure that gender equality and equity and women’s rights are well respected, women’s positions are improved and women’s active participation is ensured throughout UNDP’s programmes in Somalia. The gender focused approach include strengthening of the CO’s work on gender, improving coordination, data gathering and analysis and capacity development. Aligned to this, the Programming Quality Standards and Quality Assurance (QA) roles of PPU & M&E play a key role in achieving gender equality goals, and ensuring gender mainstreaming as a process and is an essential component of the UNDP Programme and Project Management re-design for increased efficiency and effectiveness in the broader context of the UNDG Programming reforms.

The overall objective of UNDP Somalia’s Gender Equality Strategy is to ensure that gender equality and equity and women’s rights are well respected, women’s positions are improved and women’s active participation is ensured throughout UNDP’s programmes in Somalia through a gender focused approach that will include strengthening of the CO’s work on gender, improving coordination, data gathering and analysis and capacity development. The specific objectives are:

**a)** To promote equality of opportunity and treatment between men and women in all sectors of UNDP’s work in Somalia

**b)** To increase the quality and efficiency of UNDP Somalia’s work on gender in order to ensure

**c)** To establish structures and processes at the CO and sub-office levels that will promote effective coordination and information sharing on gender.

**To achieve the above objective, the CO will deploy a four-pronged approach by:**

**1.** Mainstreaming gender equality and women’s empowerment (GEWE) outputs and indicators under Outcomes 1, 2, and 3 of the CPD.

**2.** Undertaking interventions to support GEWE CPD Outcome 4: Somali women and men attain greater gender equality and are empowered and UNDP Strategic Plan Outcome 4..

**3.** Mainstreaming gender equality considerations in all institutional and organizational practices.

**4.** Developing strategic partnerships in implementing gender-responsive interventions

**Further elaborations of the strategies and benchmarks as well as actions CO will undertake to achieve them are presented below.**

*Mainstream Gender Equality and Women’s Empowerment (GEWE) outputs and indicators under Outcomes 1, 2, and 3 of the CPD*

* ***Outcome 1:*** Somali women and men and authorities are better able to build peace and manage conflict.
* ***Outcome 2:*** Somali women and men, girls and boys benefit from more inclusive, equitable and accountable governance, improved services, human security, access to justice and human rights.
* ***Outcome 3:*** Somali women and men benefit from increased sustainable livelihood opportunities and improved natural resources management.

In the new CPD specific gender empowerment outputs and indicators are incorporated under the different outcomes. This is intended to ensure gender issues are meaningfully addressed and mainstreamed across the CPD. However, for programming/project development to be more gender responsive they will have to ensure that:

* Men and women will be able to equally contribute to and benefit from direct outputs of UNDP projects. Gender parity will be the required standard for all projects.
* The overall project will not contribute to perpetuated inequalities
* Gender analysis is included in all priority plans and budgets, specifying intended beneficiaries, indicators and benchmarks for achieving gender equality aims;
* Budget allocation mechanisms ensure that an adequate proportion of funding is allocated for gender equality programming.

Central to the process of gender mainstreaming in all programmes, projects and policies are issues of capacity and skills development for gender analysis as well as availability of data, analysis and information on the situation of men, women, boys and girls. This information is useful in guiding the design, implementation, monitoring and evaluation of the programmes and projects. To generate this information, it is essential to undertake a gender analysis in sector programming. The gender analysis will bring out the gaps from a gender perspective and help to indicate the kind of interventions that sectors should plan for in specific projects. For gender analysis to have a noticeable effect on project development, considerable efforts will be invested in building the knowledge of the staff on the importance of gender work, as they are the main actors to put it into practice.

***Gender Mainstreaming Benchmarks:***

* 1. Atlas marker shows at least 50% of Country Office programme budget contributing to gender equality outcomes (GEN2 + GEN3) on an annual basis; reaching a minimum of 15% of overall CO portfolio by end 2016.
	2. New CPD consistently integrates gender equality concerns and is aligned with strategic programmatic interventions identified in the corporate Gender Equality Strategy
	3. All project appraisal processes (e.g. LPAC) include mandatory gender screening and benchmarking against programming guidelines
	4. At least one instance of women’s empowerment and/or increased gender equality is attributable to one of the CO’s core programmes besides GEWE

Integrating a gender perspective in an M&E framework strategy is a process of regular collection and analysis of key data (indicators) to identify shifts or progress achieved from a gender perspective. It ensures that project outputs and outcomes promote equal benefits for men and women and gender inequality is not reinforced. To effectively monitor the gender dimension of projects women should first be involved in planning, decision making and execution of the project. Evaluation needs to take into account the opinions of both men and women and should identify project impact on gender relationships. The Checklist for Gender Mainstreaming in Project Proposals (Annex L) is a tool developed by UNDP to review the extent to which gender is mainstreamed into projects. The tool can be used at any point in the development of a project proposal. However, it is most beneficial when applied at the very beginning during preliminary consultations and kept in view to identify gaps in situation analysis, project strategy, outputs and indicators, budgeting, etc. The tool not only poses specific questions that guide you to examine the gender sensitivity of different components of a project document, but also offers some pointers as to what specific information should be included and how these can be tested for their adequacy in promoting gender equality and/or women’s empowerment.

***Some issues to consider in monitoring processes:***

* Are men and women equally involved in project decision-making?
* Are equal or equitable opportunities provided for the participation of men and women, girls and boys in project activities
* Is there similar attitude to men and women as to decision-makers, project executors and participants/beneficiaries?
* Are there continuous incentives for accounting for gender aspect (improve gender knowledge and to discuss gender issues)

Ongoing and regular project monitoring will reveal any gender imbalances and the need for any project revisions, so that specific outputs and outcomes will contribute towards men and women benefitting equally and gender inequality is not perpetuated. Terms of reference of project coordinators, consultants and others involved in project implementation will explicitly specify the need for any gender-related outcomes or outputs in projects while project documents and work plans should include gender specific monitoring indicators in the design stage.

# Third Party Monitoring

Third party monitoring (TPM) is defined as monitoring by partners that are external to the project management structure or beneficiaries and verify whether intended outputs, outcomes, and impacts have been achieved by the project. TPM is mainly used to provide an independent perspective on project or government performance.

Third party monitoring is often used where security concerns limit access to monitor project implementation. National partners may be politically and socially acceptable, know the local security situation, and be able to conduct monitoring that others cannot due to their proximity to the project sites. They are also able to communicate with project beneficiaries and other national actors and provide a more realistic evaluation whilst capturing the voice of the people of Somalia. In areas that are accessible by UNDP staff, third-party assurance activities serve as an independent source of information. In areas that are not accessible by UNDP staff, third-party assurance activities serve to extend the reach of UNDP’s own human resource capacity.

The overall objective of third-party assurance activities is to monitor and/or verify that UNDP -supported activities are being implemented, with quality, by NGO and/or government partners; and contributing to the development particularly women. The findings of third-party monitoring activities are expected to facilitate decision making and improve performance, both on partnership development and management, and the overall direction of the Somalia country programme.

UNDP in its procurement and management of third party monitoring services gives a preference to vendors with women in its management and staffing and ensures that monitoring tools and data collected capture the voices of women, youth and other vulnerable groups.

It should be noted that third-party monitoring does not replace the monitoring undertaken by UNDP’s implementing partners, including Government, nor is it expected to replace UNDP’s own internal monitoring systems. The third-party services are, however, expected to provide an independent perspective (in areas that are accessible to UNDP), extend the reach of UNDP human resources (notably by going into areas that are not easily accessible to UNDP), and expand UNDP’s understanding of the sociopolitical and risk context, which are beyond the scope of its own staff, who are largely technical staff serving in specific sectoral areas.

**Routine monitoring:** The purpose of overt, routine monitoring is to visit partners at fixed points during the course of programme implementation to ensure that progress is satisfactorily aligned with contractual commitments, and identify barriers and bottlenecks. The monitors are also expected to interact with project beneficiaries, receive feedback and document progress through narrative accounts and photographs.

The selected contractor is expected to undertake Routine monitoring visits fixed points during the course of programme implementation to verify satisfactory progress, alignment with contractual agreements, and identification of barriers and bottlenecks. During routine monitoring visits, the third-party team, in addition to direct observation, may be asked to conduct focus group discussions or in-depth interviews with beneficiaries, community members, partner staff, and other stakeholders. In addition to field-based travel, routine monitoring may include remote monitoring and beneficiary feedback mechanisms, such as the operation of call centers.

In areas accessible by UNDP, the third-party team may be requested to either join UNDP staff in conducting routine monitoring, or separately conduct routine monitoring, so as to provide an independent perspective. In areas not accessible by UNDP, the third-party team may be deployed as a way of “extending the reach” of UNDP and conducting routine monitoring in lieu of UNDP staff.

Some guidance on monitoring activities that can be conducted by Third Party Monitors.

Table 2: Monitoring by Third Party Contractors

|  |  |  |
| --- | --- | --- |
| **What is monitored?** | **How?** | **Relevant Projects** |
| * Beneficiary Satisfaction including provision of services
* General satisfaction with project implementation
* Satisfaction with project communication, outreach
* Quality of service provision by district government
* Construction and quality of roads and other infrastructure
* Contractor work in community-driven development projects
 | * Beneficiary surveys (face-to-face and mobile phone surveys),
 | * Parliament support project (outreach components)
* JPLG (satisfaction with services by district government)
* ROL (satisfaction with provision of legal services, court systems, policing)
* Poverty Reduction projects (satisfaction with infrastructure projects, needs assessments)
* Gender Projects
* HIV/AIDS
 |
| * Beneficiary Targeting
* Delivery of conditional cash transfers
* Selection of scholarship recipients and absenteeism
* Selection of cash-for-work youth laborers
* Employment skill programs
* Targeting of HIV-infected groups
* Feedback on inclusion in consultations
 | * Telephonic surveys,
* Beneficiary surveys and interviews.
 | * Poverty Reduction Projects
* Gender Projects(scholarships as well
* HIV/AIDS
* ROL (for scholarships)
* Youth 4 Change
* Emerging States projects
 |
| * Quality of Service Provision
* Quality of services provided
* Quality of service provision by district government
* Quality of trainings provided (particularly skills development)
* Follow up on trainees
 | * Beneficiary surveys (mobile phones),
 | * ROL
* HIV/AIDS
* JPLG
* Poverty Reduction portfolio
* Youth 4 Change
 |
| * Partner Verifications
* Verification of partner activities as reporting in quarterly reports.
* Verification against AWP.
* Feedback from project beneficiaries.
* Photo evidence.
 | * Field visits to partner locations, interviews with government partners and local communities
 | * All Projects
 |

# UNDP Corporate Planning, Monitoring and Reporting Requirements

UNDP corporate platforms such as the Enhanced RBM Platform and the Atlas Project Management Module provide for mechanisms to monitor project activities and results (Outputs and Outcomes) and to periodically report on the performance indicators set for each level. Both systems require quarterly reporting against the performance indicators and updating of the project monitoring and risk logs.

The Project Managers are responsible for periodic reporting on the Enhanced RBM platform and the Atlas Project Management Module, whereas UNDP Programme teams are responsible for quality assurance of the uploaded information and for regular update of project monitoring and risk logs. At the end of year, the UNDP Programme Specialists are required to report on the UNDP Results Oriented Annual Report, which summarizes the changes in each outcome area as well as evidence of UNDP contributions against the outcome indicators. Qualitative and quantitative reporting on gender equality, including the use of sex disaggregated and gender statistics, is required across all programmes/project units and assessment of gender transformative impact/potential of outcomes.

The respective roles and responsibilities associated at each point at which monitoring takes place (programme, project and compliance) and how they apply to UNDP programmes and projects are indicated in Annexure B.

UNDP Somalia has also developed a Quarterly Reporting format for reporting against AWPs for each approved project. These reports include all relevant Output indicators (gender disaggregated) and projects are expected to provide Evidence sources to substantiate their statements. Project Managers are responses for the drafting and submission of these reports to the Programme Managers, who then review and submit to PPU. The M&E team and finance Unit undertake a final review after which the reports are submitted to management, government counterparts and donors.

**The Programming Quality Standards and Quality Assurance (QA)** is the primary corporate response to deliver on UNDP’s strategic plan commitment and is an essential component of the UNDP Programme and Project Management re-design for increased efficiency and effectiveness in the broader context of the UNDG Programming reforms. QA is designed for enhanced management accountability and to overcome aspects of the false separation of programmes and projects to achieve a more coherent and integrated results driven Programming cycle from design, implementation, and evaluation.

The QA initiative provides a framework to assess, measure, and report on the quality of programmes and projects to:

1. *Support* ***continuous improvement and results based management*** *through improved performance information for managers;*
2. *Strengthen* ***accountabilities*** *for effective programme and project management;*
3. *Strengthen* ***organizational learning and knowledge sharing****; and*
4. *Develop a more rigorous project assessment base from which to* ***demonstrate and report on programme and project quality*** *to partners.*

Seven quality criteriaform the basis of UNDP’s programming quality assurance. Programme alignment to the Strategic Plan, Social and Environmental Standards, the CD Tracker and gender screening have all been embedded into the criteria. The quality criteria are as follows:

1. ***Strategic***
2. ***Relevant***
3. ***Social and Environmental Standards***
4. ***Management and Monitoring***
5. ***Efficient***
6. ***Effective***
7. ***Sustainability and National Ownership***

During a project QA assessment, each of the seven quality criteria is rated using a 5-level rating scale and then summarised into an overall rating: ***Exemplary; High; Satisfactory; Needs Improvement; and Inadequate.***

The overall objective of the Quality Assurance system is to serve as a management tool to help guide and incentive quality improvements. UNDP project quality will be assured through project QA assessments, resulting in project QA reports, which are mandatory at each project decision point[[2]](#footnote-2): 1. Design & Appraisal, 2. Implementation Monitoring, and 3. Closure. UNDP project quality assurance is the responsibility of UNDP, and therefore the accountability for the completion of accurate and timely project QA assessments lies with the UNDP staff member responsible for the project, the **QA Assessor** (at the CO level, this person is typically a Programme Officer/Project Manager responsible for QA of the project), and the UNDP staff member responsible for the programme or portfolio within which the project sits, the **QA Approver** (at the CO level, typically the DRR, CD, DCD, or Head of Portfolio).

Please visit your Project page on: <https://intranet.undp.org/sites/SOM/project/SitePages/Projects.aspx>

***UNDP Transparency Initiative:*** UNDP has a long-standing commitment to transparency, with Country Offices publishing financial, procurement and programme information on respective websites on an annual basis. From 2016 and onwards, UNDP began negotiating with project partners to put the right results framework with SMART indicators for ongoing projects; design robust results frameworks for new projects; and to continue cleaning/publishing results information aiming at the disclosure of 100% of outputs in 2016-17. The exercise should be undertaken quarterly. As the annual transparency assessment will take place in the last quarter of the year.

Relevant documents which could provide objective/purpose, budget, results framework, intended ultimate beneficiaries and pre-and post-project impact appraisal are also published, as well as CPAPs, AWPs and PIF concept notes. UNDP’s Transparency Initiative falls under its Information Disclosure Policy. Compliance with the Policy is the responsibility of the respective Resident Representative in a Country Office. At country Office level, compliance and reporting responsibilities in line with the Transparency Initiative lie with the Project Manager.

***The UNDP Transparency Dashboard*** is the online tool designed for the results information publication including, and to identify which results information can be published. If results information needs to be updated or cleaned, this can be edited in Atlas, as appropriate. The data updated in Atlas will be reflected to this page in 48 hours. When the results information is ready for publication, the status icon in the Transparency Dashboard turns into green. Having a right results framework for each project requires a continuous corporate wide effort at the HQ, Regional Hub and CO levels. Relevant documents which could provide objective/purpose, budget, results framework, intended ultimate beneficiaries and pre-and post-project impact appraisal are also published, as well as CPAPs, AWPs and PIF concept notes. These documents are tagged as ‘prodoc’ in document type in the Project Document Centre, and there are monthly uploads of project/results information to the transparency portal (**open.undp.org**). The Transparency Dashboard is accessible at:

<https://intranet.undp.org/apps/iati/SitePages/iati_indicators.aspx?year=2015&hq_co=CO&bureau=RBAS&unit=SOM>

***UNDP’s Social and Environmental Standards (SES)*** underpin and demonstrate this commitment. UNDP Programmes and Projects adhere to the objectives and requirements of the SES, which are to: (i) strengthen the social and environmental outcomes of Programmes and Projects; (ii) avoid adverse impacts to people and the environment; (iii) minimize, mitigate, and manage adverse impacts where avoidance is not possible; (iv) strengthen UNDP and partner capacities for managing social and environmental risks; and (v) ensure full and effective stakeholder engagement, including through a mechanism to respond to complaints from project-affected people. UNDP’s SES are comprised of several elements: The Overarching Policy and Principles, Project-Level Standards, and the Policy Delivery Process. The Standards are underpinned by an Accountability Mechanism with two key functions: 1) A Stakeholder Response Mechanism (SRM); and 2) A Compliance Review Process. Screening and categorization of Projects is one of the key policy delivery requirements. UNDP’s Social and Environmental Screening Procedure (SESP) fulfills this requirement and provides policy guidance and tools to design and implement quality Projects and to address the requirements of UNDP’s SES.

**The objectives of the SESP are to:**

* *integrate the SES Overarching Principles in order to strengthen social and environmental sustainability;*
* *identify potential social and environmental risks and their significance;*
* *determine the Project’s risk category (Low, Moderate, High); and,*
* *determine the level of social (including gender concerns) and environmental assessment and management required to address potential risks and impacts.*

Accountability, transparency and positive impact are cornerstones of UNDP’s Social and Environmental Standards (SES). News of the Standards - and the new Accountability Mechanism that helps ensure the Standards are met. The Accountability Mechanism has two branches: 1) the Social and Environmental Compliance Unit (SECU), which responds to claims that the standards are not being implemented adequately; and 2) the Stakeholder Response Mechanism (SRM), which provides a formal avenue for stakeholders to engage with UNDP when they believe a project may have adverse social or environmental Project Information.

A key tool for compliance with SES is the Social and Environmental Screening Template. The completed template, which constitutes the Social and Environmental Screening Report, which must be included as an annex to the Project Document. Please refer to the [Social and Environmental Screening Procedure](http://www.undp.org/content/undp/en/home/librarypage/operations1/undp-social-and-environmental-screening-procedure.html) and [Toolkit](https://intranet.undp.org/unit/bpps/DI/SES_Toolkit/) for guidance.

*Learn more about SES Visit the SECU Website* [www.undp.org/secu](http://www.undp.org/secu)

*Learn more about SRM Visit the SRM Website* [www.undp.org/srm](http://www.undp.org/srm)

***It is the responsibility of Programme Managers to review and Finalize; and PPU and Senior management to ensure compliance to these three components.***

# Reporting and Use of Monitoring Data for Field

The monitoring activities described above are interlinked with the review and decision making processes at the project and programme levels. For monitoring to be useful, it will be crucial that the owners of the various monitoring processes present their reports and gender disaggregated findings to the relevant decision making body in a timely and result-oriented manner, highlighting any constraints to the delivery of project results, issues that require immediate action and lessons learnt. Cross cutting units should also be accorded an opportunity to review and ensure alignment to gender sensitive language/terminologies and reporting requirements from a gender perspective.

For each project board meeting, the Project Manager should synthesize and submit the progress towards generating outputs and their continued relevance to the outcome and issues to the project management and review boards to re-confirm that the delivery of outputs is on schedule and that the project is contributing towards the desired outcomes. If not, they should determine what changes are needed. If revisions to plans are needed, then the project management should draft the revisions, including the results framework with new cost estimates, annual targets and so forth, to facilitate decision-making at higher levels.

The monitoring reports will feed into the project/programme decision making at the following levels:

1. The findings of activity monitoring, third-party monitoring and quarterly reviews are presented at the Senior Management meeting and briefed on the follow up actions taken by the projects;
2. The findings of quarterly reviews and third party monitoring are also share at the programme meetings convened by the DCD-P and including Programme and Project Managers to ensure provision of timely follow up and guidance by UNDP;
3. Any outstanding issues identified by monitoring activities will be presented to the Project Board for guidance and/or decision with regards to the project’s strategy, prioritization of key results and AWP;
4. Findings and follow up actions are also shared in the project progress reports.

Any recurring monitoring findings or issues affecting the overall delivery of Outputs and contribution to Outcomes, which are beyond the control or mandate of the Project Boards, will be presented to the CPD Board or at the strategic review meetings for guidance and decision making. The strategic review meetings will meet once a year, review progress against the country programme and review the AWP for the upcoming year.

**Annexure 1: Key Monitoring Activities:**

**Programme Monitoring Key Monitoring Activities**

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| **Programme Monitoring** | **Monitoring Activity**  | **Responsibility**  | **Frequency**  | **Methodology**  | **Reference**  | **Template**  |
| **- Review of results and delivery** **- Synthesis of Project Monitoring Check Reports** **- Programme Issues and follow up actions** **Respond to third party monitoring reports****Review of gender mainstreaming components****Issues of Sustainability, National Ownership and Efficiency** | Programme Managers, POs, PMs and PPU  | Monthly | Participatory review with programme and project teams. PPU also to review reports from a gender perspective prior to approval | AWP; Progress Reports, Atlas Transparency, Internal and Third party Monitoring Reports, Minutes of Meetings  | Programme Results & IATI  |
| **- Quality Assurance and Social and Environmental Screening, including gender concerns****- Update of TPM findings response.** **Evaluation Management Response** **-** | Programme and Project Managers and PPU  | Annual | Formal review meeting, briefings on Project Results, Review Findings, Key Issues & Lessons Learnt; and plans for upcoming year  | Portfolio Progress Reports; Overall project Evaluation Reports, Minutes of Meetings  |  |

**Project Monitoring – Key Monitoring Activities**

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| **Project Monitoring** | **Monitoring Activity**  | **Responsibility**  | **Frequency**  | **Methodology**  | **Reference**  | **Template**  |
| Activity Monitoring **- All project activities such as training, workshops, studies, community infrastructure, livelihood grants, social mobilization, etc with a focus on gender components.** | Project Manager (with M&E Officer and Project Staff, including project gender focal point))  | Real time and at completion of activities  | Direct observation; document reviews; Beneficiary/ stakeholder interviews, Questionnaire Survey. Review and analysis of Project Gender makers | AWP; Progress Reports, Project Records and Documents, Partnership Agreements, Minutes of Meetings  | Activity monitoring template  |
| Third Party Monitoring **- Selected project activities, primarily focused at field-based activities (training, workshops, community infrastructure, livelihood grants, social mobilization, etc) with a focus no female beneficiaries** | Third Party firm commissioned by PPU | Monthly presented at Area Office meetings and SMM; Quarterly presented at Programme meetings; (presented at project board meetings | Direct observation; document reviews; Beneficiary/ stakeholder interviews, Telephonice Survey  | AWP; Progress Reports, Project Records and Documents, Partnership Agreements, Minutes of Meetings  | Monitoring templates  |
| Bi-annual Project Board Meeting **- AWP implementation** **- Project delivery of Outputs** **- Project contribution to Outcomes** **- Findings/recommendations by monitoring missions, reviews, and audit/spot checks** **- Issues log and follow up actions** **- Risks log and follow up actions**  | Project Director (with UNDP Program Officer, IP and EAD)  | Bi-annual (July and November)  | Formal review meeting, presentation by Project Manager on Project Results, Issues and Lessons Learnt  | AWP; Progress Reports; Atlas Budget & Expenditure Report; Audit Report; Issues Log; Other project reports | Annual Project Quality Assurance Template  |

**Annexure 2: Monitoring – Roles and Responsibilities:**

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| **PROJECT MANAGERS AND STAFF** |
| **Who: Actors and Accountability** | **What: Roles and Responsibilities** | **How: Timing and Methodology** |
| Project managers and staff Main responsibilities: * Manage UNDP assisted projects to help produce outputs
* Contribute to project management and project performance
 | At project level, monitoring outputs 1. To ground the project in the larger context
2. To take steps towards achieving output targets
3. To ensure effective collaboration with partners
4. To interface with beneficiaries
5. Ensure efficient gender mainstreaming
6. Undertaking regular SES, Quality Assurance, Transparency and risk management
7. To ensure efficient use of resources
8. To undertake project monitoring visits and spot-checks
9. To provide relevant information to Third Party Monitors.
10. Timely and effective reporting with evidence based information.
11. To feed sex disaggregated information of project data to higher level monitoring (outcome and programme-level monitoring)
 | At initial planning stages: 1. Development of and agreement on M&E framework for project through an inclusive process
2. Throughout programme cycle by carrying out monitoring activities connected with the project
3. Prior to annual reviews by determining:
4. Progress towards the achievement of outputs and contribution related outcomes
5. Rate and efficiency of resource use
6. Issues that require decisions at the annual reviews
7. Inputs to programme reviews and annual reviews in the Annual Project Reports
8. Ensure holding annual reviews of the project
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| **UNDP PORTFOLIO MANAGERS – PROGRAMME UNIT** |
| **Who: Actors and Accountability** | **What: Roles and Responsibilities** | **How: Timing and Methodology** |
| UNDP portfolio managers Main responsibilities: * Contribute to sectoral/outcome level coordination mechanisms
* Manage UNDP portfolio of programmes and projects in a thematic area such as governance or poverty, in other words, UNDP contribution to Outcomes
* Management of internal monitoring and verification systems (spot-checks)
* Support to Third Party Monitoring
 | At outcome level * To analyse progress towards achievement of project outcomes and CPD and SPs Outcomes 4 on Gender Mainstreaming.
* To assess the efficacy of partnership strategies and take related actions (e.g., better coordination with partners)
* To monitor the effectiveness of implementation strategies in tackling the constraints to the achievement of outcomes and take related actions
* To ensure effective use of resources, deploying them to maximize the possibility of achieving outcomes
* To discern and promote capacity development in monitoring and evaluation
* To use project-level monitoring data and feed it into outcome level discussions
* Maintain oversight through usage of tools such as QA, TPM, risk logs, monitoring activities
 |  At initial planning stages * Through active participation in development and approval of M&E framework for respective outcomes
* Throughout programme cycle by carrying out monitoring activities and joint monitoring
* Prior to annual reviews by determining:
* Progress towards the achievement of outcomes

Progress of the partnership strategies for achieving outcomes Rate and efficiency of resource use Issues that require decisions at the annual reviews Inputs to programme reviews and annual reviews Participate in annual reviews at the outcome level  |

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| **UNDP PLANNING AND PARTNERSHIPS UNIT (PPU)** |
| **Who: Actors and Accountability** | **What: Roles and Responsibilities** | **How: Timing and Methodology** |
| Main responsibilities: * Lead, implement and monitor the progress of country programme, together with governments, UN organizations and other partners
* Implementation of Third Party Monitoring and analysis of results
* Oversight of Internal monitoring and Verification systems
 | Monitoring for programme level results * To forge strong coalitions for results
* To provide clear basis for decision making and guide development initiatives
* To ensure active and results-based monitoring
* To ensure quality and the appropriate use of monitoring evidence and lessons learned
* To link results with resources and ensure accountability in the use of resources
* To facilitate in the development of gender sensitive M&E framework for the programme (for UNDP CPAP M&E Plan) in line with UNDAF and national M&E plans as applicable
 | At initial planning stages: * Through active participation in the development and approval of M&E framework
* Participate in joint monitoring and 3rd Party Evaluation (see above)

Prior to annual reviews by: * Determining strategic contribution being made by programme towards results through review of outcome group reviews and Annual Project Reports
* Suggesting strategic changes needed in programme results and resources, if needed
* Participate in annual reviews
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| **UNDP SENIOR MANAGEMENT** |
| **Who: Actors and Accountability** | **What: Roles and Responsibilities** | **How: Timing and Methodology** |
| **Senior managers of UNDP programmes** Main responsibilities: * Collaborate with national partners to determine the focus and intended results of UNDP assistance to the country
* Identify and manage partnerships
* Ensure the strategic and cost effective use of UNDP resources
* Ensure Compliance to corporate requirements and follow up of third party monitoring findings.
 | Monitoring for programme level results * To forge strong coalitions for results
* To provide clear basis for decision making and guide development initiatives
* To link results with resources and ensure accountability in the use of resources
* To resolve key bottlenecks to implementation in order to improve the chances of achieving results (outcomes)
* To adjust UNDP assistance in view of emerging changes as required
* To ensure Project and Programme Oversight and Compliance.
* To approve M&E framework for the programme (for UNDP CPD M&E Plan) in line with ISF
* To position UNDP strategically within the framework of development cooperation with the country
 | At initial planning stages: * Through active participation in the development and approval of M&E framework
* Participate in joint monitoring (see above)

Prior to annual reviews by: * Determining strategic contribution being made by programme towards results through review of outcome group reviews and Annual Project Reports
* Deciding on strategic changes needed in programme results and resources, if needed
* Finalizing evidence-based contribution of programme as a whole to annual review
* Participate in annual reviews
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| **NATIONAL AUTHORITIES (Leading Coordinating Body and relevant IPs)** |
| **Who: Actors and Accountability** | **What: Roles and Responsibilities** | **How: Timing and Methodology** |
| National authorities Main responsibilities: * Lead and oversee national programmes to determine progress towards intended results
* Identify and manage partnerships
 | Monitoring for programme level results * To ensure nationally owned results-based monitoring and evaluation
* To provide clear basis for decision making and guide development initiatives
* To use partner monitoring systems based on their comparative advantages
* To link results with resources and ensure accountability in the use of resources
* To ensure quality and the appropriate use of monitoring evidence and lessons learned To resolve key bottlenecks to implementation in order to improve the chances of achieving results (outcomes)
 | At initial planning stages: * Through active participation in development and approval of M&E frameworks for national programmes and ISF

Annual reviews (of progress towards results) by: * Reviewing progress, issues, and trends in the achievement of results given in documents for the annual review
* Making decisions on changes as needed
* Approving future work including M&E tasks
* Participating in joint monitoring (selectively as decided by prior agreement with partners)
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1. United Nations Evaluation Group (UNEG) 2005. Standards for Evaluation in the United Nations System and Norms for Evaluation in the United Nations System. [↑](#footnote-ref-1)
2. Note that the number of project decision points and their names are based on current proposals of the Programme and Project Management Improvement effort and may change, in which case they will change within this document *mutatis mutandis*. [↑](#footnote-ref-2)