Structure for Planning and Monitoring of the ASEANSAI Network

Strategic Orientation by the Strategic Plan and the Result Framework

Nikolas Beckmann
ASEANSAI Monitoring Workshop
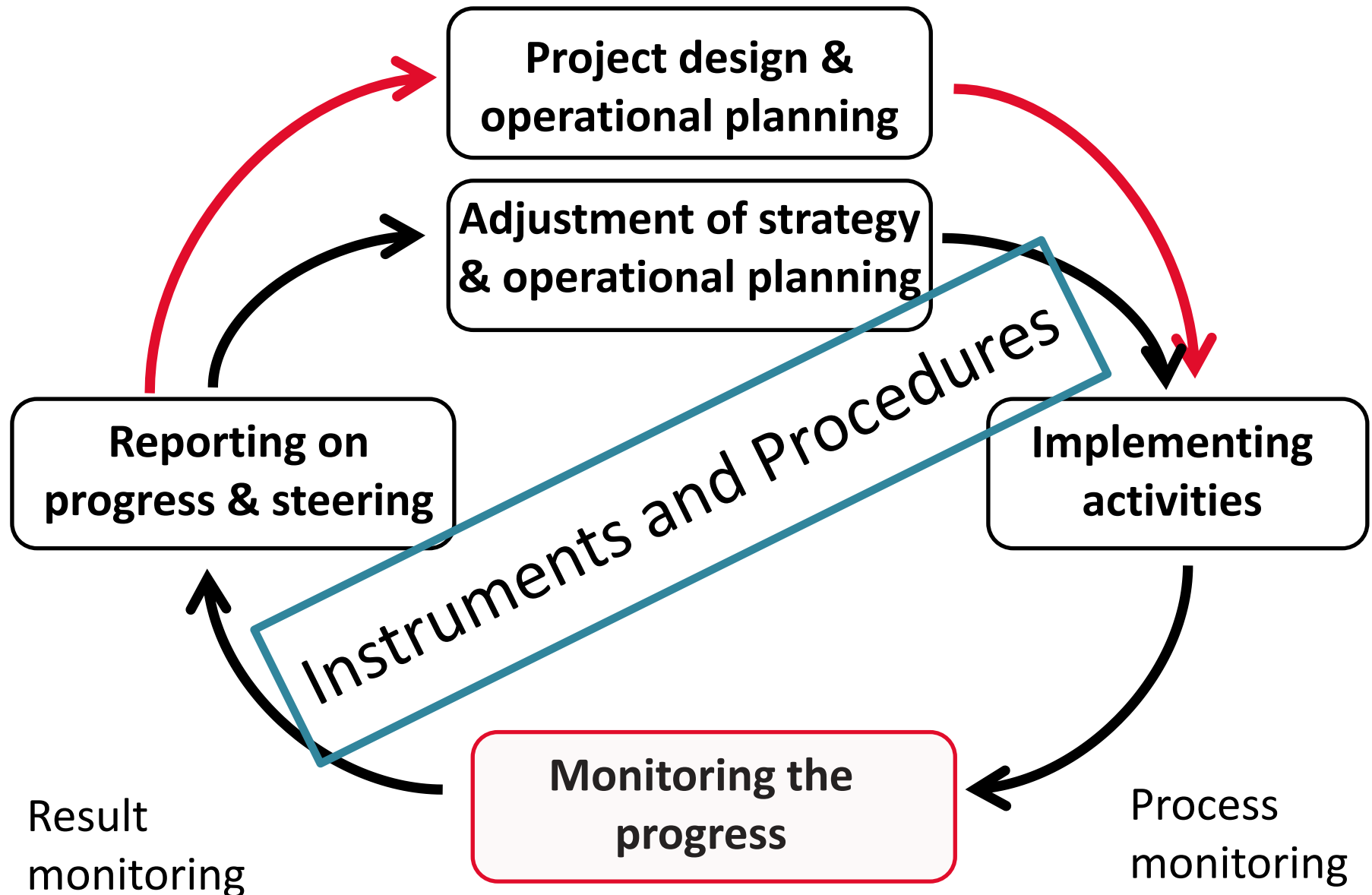**January 2015**

Monitoring Definition & Motto ...

"Monitoring involves organized collection, analysis and assessment of data on the results of a project and the changes in its environment. It provides a continuous indication of whether the chosen path promises to be successful, whether the strategy should be adjusted or defined objectives need to be re-examined".

„No matter, how beautiful your strategy is, you should occasionally look at the result!"

From: Winston Churchill
Former Prime Minister UK

Monitoring – a Part of Result-based Management!

Project design & operational planning

Adjustment of strategy & operational planning

Implementing activities

Reporting on progress & steering

Instruments and Procedures

Monitoring the progress

Result monitoring

Process monitoring

The Siamese Twins: Planning & Monitoring

Planning

We defined what we want to achieve (results & targets)!

We planned how we get there (intervention logic/milestones)!

We agreed, who will do what, by when, with how much input to implement activities / conduct workshops (operational planning)?

Monitoring

Process Monitoring:
We need to define instruments and procedures that will enable us to know, whether we have done what we have said we would do (implementation according to work plan) in a quality meeting the expectations?

Results Monitoring:
We need to define instruments and procedures that will enable us to know, whether we have achieved what we planned to achieve (progress towards envisaged result targets)?

Planning ASEANSAI Activities

We know, what we want to achieve (results & targets)!

We know, how we get there (intervention logic / milestones)!

- Strategic Planning / Result Framework

Strategic Objective No 1: To ensure the active role of the ASEANSAI in the ASEAN Community
Project (core process): Partnering with the ASEAN in promoting Good Governance
Key performance indicator: Number of co-operation areas / activities agreed between ASEANSAI and ASEAN
Concrete outcomes: A MoU on the principles and procedures for the engagement of ASEANSAI in the (auditing of) ASEAN institutions is agreed by 2017.
Indicator: MoU by ASEAN and ASEANSAI signed (output indicator; results from the agreement to be achieved in the next strategic planning phase)

Strategic Objective No 2: To promote the enhancement of the independence of the member SAIs
Project (core process): - Facilitating the planning of member SAIs to enhance their independence
Key performance indicator: Number of activities facilitated by ASEANSAI in compliance with the Lima and Mexico Declaration.
Concrete outcomes: Improvement of independence due to advocacy on ISSAI 10 rating by 2017.
Indicator: x improvements in y SAIs

Planning ASEANSAI Activities

We know, what we want to achieve (results & targets)!

We know, how we get there (intervention logic / milestones)!

- Strategic Planning / Result Framework

Strategic Objective No 3.1: To improve organizational capacity building of member SAIs
Project (core process):   - Facilitating the improvement of staff development program   - Promoting the member SAIs to conduct research and share the existing research to member SAIs   - Assisting in the development of performance management measures (PMM) of member SAIs
Key performance indicator: Number of activities facilitated by the ASEANSAI to assist its members SAIs in developing their organizational capacities.
Concrete outcomes: Improvement of organizational capacity due to the exchange of good practices by 2017.
Indicator: 6 improvements of CNBA ratings in ASEANSAI by 2017.

Strategic Objective No 3.2: To improve audit capacity building of member SAIs
Project (core process):   - Assisting the development of audit manuals, guidance and tools among the member SAIs   - Assisting the member SAIs in the adoption of the INTOSAI Auditing Standards
Key performance indicator: Number of activities facilitated by the ASEANSAI to assist its members SAIs in developing their audit capacities.
Concrete outcomes: Improvement of audit capacity due to manuals and tools exchanged with other SAIs by 2017.
Indicator: x improvements in y SAIs.

Planning ASEANSAI Activities

We know, what we want to achieve (results & targets)!

We know, how we get there (intervention logic / milestones)!

- Strategic Planning / Result Framework

Strategic Objective No 4.1: To develop institutional relations with ASOSAI and INTOSAI
Project (core process): Building communication and coordination mechanism with ASOSAI and INTOSAI
Key performance indicator: Number of activities carried out by ASEANSAI in cooperation with ASOSAI and INTOSAI
Concrete outcomes: By 2017, all capacity building measures of ASEANSAI will apply ISAI standards (as conducted by ASOSAI and INTOSAI).
Indicator: % of capacity building measures with content according to the ISAI standards

Strategic Objective No 4.2: To enhance partnership with donors to increase the effectiveness of foreign funded projects implemented within the ASEAN Region.
Project (core process): Develop cooperation with the international donor community
Key performance indicator: Number of agreements signed between ASEANSAI and international donors.
Concrete outcomes: (1) Cooperation to support ASEANSAI – The funding provided by international donors for activities conducted by ASEANSAI is increasing (2) Cooperation to support projects funded by international donors – An international donor and ASEAN sign an agreement on the procedures to audit internationally financed project implemented in ASEAN countries with ASEANSAI
Indicator: (1) Amount of money from donors to fund activities of ASEANSAI in USD (2) Tripartite agreement signed (output indicator; results from the agreement to be

Monitoring Processes and Instruments for ASEANSAI

Participants Evaluation Sheet: perception of the participants taking part in ASEANSAI events (the **project leading SAI** is responsible to hand out the Sheets to all participants and collect them at the end of each event).

Level 1

Event Assessment Sheet: perception of participants + organizers view + judgement on achievement of outputs (prepared by **project leading SAI** together with the hosting SAI and the facilitators in the debriefing meeting. The project leading SAI will send the final event sheet to the respective Committee Chair and the SPC latest two weeks after the event).

Level 2

Level 3

Biannual Process Report: narrative summary of all Event Assessment Sheets of the Committees during the last six months + judgement on achievement towards results (send to SPC by **Committee Chairs**, June and December each year).

Level 4

Results Matrix + Annual Results Report: assessment on progress towards results indocators and Key Performance Indicators + narrative report (responsibility of **SPC**, send to EC by March of the following year).

Utilization

Monitoring Meeting: Yearly meeting of ASEANSAI Management to discuss the recommendations from the Annual Results Report (the **SPC** is responsible for the facilitation of the meeting).

The Participants' Assessment Sheet

Experiences of Participants as the Basis of the Monitoring of ASEANSAI Workshops

Nikolas Beckmann
ASEANSAI Monitoring Workshop
January 2015

The Siamese Twins: Planning & Monitoring

Planning

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Participants' Evaluation Sheet

1. Preparation and Organization of the Event		SD	D	NAD	A	SA
	I felt well informed in the run-up to the event about the organization (travel arrangements, location, conference facilities etc.).	☐	☐	☐	☐	☐
	I felt well informed in the run-up to the workshop about the objective, the agenda and the content of the event.	☐	☐	☐	☐	☐
	The organization of the event and the support for the needs of participants during the event were excellent.	☐	☐	☐	☐	☐
	The conference room and technical equipment were supporting a successful implementation of the event.	☐	☐	☐	☐	☐
	I was satisfied with the accommodation.	☐	☐	☐	☐	☐
	I was satisfied with the quality of the catering.	☐	☐	☐	☐	☐
	I enjoyed the social program organized by the hosts.	☐	☐	☐	☐	☐
	Overall, the event was prepared and organized professionally.	☐	☐	☐	☐	☐
What suggestions on the preparation and organization of future events do you want to share with the organizers?						

Level 1

Participants' **standardized assessment** of four dimensions:
1. Preparation and organization
2. Content and implementation
3. Design and facilitation
4. Use of the results in practice

Open questions to express individual point of view on these dimensions.

Aggregation of Participants' Perception

Level 1   Aggregation of Results (presented later)
          → Example - The Bandung Workshop

1. Preparation and Organization of the Event

	SD	D	NAD	A	SA
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Overall, the event was prepared and organized professionally.	☐	☐	☐	☐	☐
What suggestions on the preparation and organization of future events do you want to share with the organizers?					

Insert table with data

The Event Assessment Sheet

Learning from the Experiences in the Implementation of ASEANSAI Workshops

Nikolas Beckmann
ASEANSAI Monitoring Workshop
January 2015

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Have we done what we said we would do?

WORK PLAN OF THE ASEANSAI KNOWLEDGE SHARING COMMITTEE

Level 2

Instrument to assess, whether the activity has been conducted as planned in terms of:
- **Inputs / budget**
- **Time of the events**
- **Quality and / or quantity of outputs**
- **Contribution to milestones and results according to expectation**

Elements of the Event Assessment (1)

Name of event / activity			
Name of Committee		Committee Chair	
Organizing SAI / Project Leader		Name of person reporting	
SAIs participating			
Date according to work plan		Date event was conducted	
Reasons for delay (if applicable)			
Budget planned (in $)		Budget spend	
Reasons for difference (if applicable)			
Please describe the event's expected outputs as concrete as possible?			

Event assessment sheet – general information

Level 2

Was it on time?
Were costs as anticipated?

Were the expected outputs clearly formulated?
→ Precondition to measure the achievement with regard to outputs

Example: Awareness of ISSAI standards increased
or   15 facilitators from national SAIs know the international
                 standards related to performance audit and can adapt
                 respective audit instruments to their national framework

Elements of the Event Assessment (2)

Assessment of organization, implementation and utilization utility of the activity (Rating scale for the assessments: very good, good, satisfactory, bad, very bad; a „strong agreement" in the participants questionnaire equals a „very good" assessment, a strong disagreement stands for a "very bad" assessment)	
How did the participants assess the **preparation and organization** of the event overall? (Average of assessment of last question under point 1 in participants' evaluation.)	
What are the participants' most important comments and / or suggestions with regard to preparation and organization of the event?	
What are the lessons learned with regard to preparation and organization of the activity / event?	

Event Assessment Sheet – Example for an assessment dimensions

Collation of information from the participants (aggregated data from participants evaluation sheet)!

Interpretation of data from participant evaluation sheet and own impressions from the activities!

Four dimensions (again):   Preparation and organization of event
Content and implementation of event
Design and facilitation of event
Usefulness of the results for practice

Elements of the Event Assessment (3)

Follow up - lessons learned and recommendations for future events		
How did the participants assess the organization, implementation of the event and the possibilities to make use of the knowledge overall? (Average assessment of points 1, 2, 3, 4 in participants´ evaluation.)		
Have the planned outputs been achieved by the event? (If applicable, explain why some planned outputs have not been achieved)		
What are the next steps to be taken by the Project Leader and / or the Chair of the responsible Committee?		

Event Assessment Sheet – Identification of follow up requirements

Summary of lessons learned:
Comparison of planned and expected outputs!

Identification of recommen-dations for future events?

Process for compilation of event assessment and reporting:
Debriefing meeting for the event conducted by organizing SAI!
Aggregated data & conclusions for future events is submitted to the Committee Chair / to the SPC.

Aggregation of Experiences by Organizers

Level 2 Example of an event assessment
→ The Bandung Workshop

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Insert table with data

Practical Session based on data from an example
→ Prepare an Event Assessment Sheet

The Bi-annual Progress Report

Informing the Committee Chair and the SPC about the Activities and the Progress towards Strategic Objectives

Nikolas Beckmann
ASEANSAI Monitoring Workshop
January 2015

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Progress Reporting - Linking the Monitoring of Activities and Results

Level 3

Purpose: Bi-annual overview on the most important information from the activity monitoring (event assessment Sheets)
Describe the progress towards the objectives envisaged in the strategic plan of ASEANSAI.

Responsible: Committee chairs prepare report for the SPC
SPC compiles committee reports for the Executive Committee

Elements of the Progress Reporting (1)

Committee Name		
1. (*put the name of the acitivity done by the committee*)	**Date:**	**Responsible SAI:**
Link of activity to Strategic Objective		
Outputs from the activity (as stated in the Event Assessment Sheet)		
Explanation of the next step needed by the committee toward the Strategic Objectives		

Graph 7: Biannual Process Report

Elements of the Progress Reporting (2)

Committee Name		
1. *(put the name of the acitivity done by the committee)*	Date:	Responsible SAI:
Link of activity to Strategic Objective		
Outputs from the activity (as stated in the Event Assessment Sheet)		
Explanation of the next step needed by the committee toward the Strategic Objectives		

Graph 7: Biannual Process Report

Level 3

Andere Elemente?

Elements of the Progress Reporting (1)

Example of an bi-annual report
→ The ??? Committee

Committee Name		
1. (put the name of the acitivity done by the committee)	Date:	Responsible SAI:
Link of activity to Strategic Objective		
Outputs from the activity (as stated in the Event Assessment Sheet)		
Explanation of the next step needed by the committee toward the Strategic Objectives		

Graph 7: Biannual Process Report

The Annual Progress Report to the Steering Committee

Informing the Steering Committee and the Member Institutions about the Activities and the Progress towards Strategic Objectives

Nikolas Beckmann
ASEANSAI Monitoring Workshop
January 2015

The Siamese Twins: Planning & Monitoring

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And we need to answer the "organizational questions" also for result monitoring...

To be defined for monitoring

Proposals for a discussion

Reporting periods?	➡	Every 12 months
Responsibility for assessment of progress?	➡	Chairs of committees / secretariat
Responsibility for data collation	➡	Chairs of committees / secretariat
Reporting format?	➡	Data-based narrative report
Recipients?	➡	All chairs of committees / all SAIs / all DP
Utilization?!?!?!?	➡	Discussion on way forward (how, facilitated by whom)?

Summing up …

The motto: No matter, how beautiful your strategy is, you should occasionally look at the result.

The purpose: Provide valid and reliable data in a timely manner that will inform project managers on the status quo of project implementation and progress towards the results **and enables adjustment in the strategy or implementation**.

The key elements: Well designed processes & instruments that provide accurate data on the quality and timeliness of imple-mentation **and** on the indicators representing the project's results.

The challenge: Monitoring it is first of all an instrument for performance management; what matters is therefore not to collect the required data in time, but to **use the information for steering and learning**!