



ASEANSAI

Monitoring and Evaluation System

Overview on Process of establishment Monitoring & Evaluation System

- Initiative on establishment of the system was approved by ASEANSAI Assembly in Brunei (November 2013)
- Process of developing and finalizing Monitoring & Evaluation System
 - Parallel meeting in Jakarta, Indonesia (January, 2014): Planning out the building of Monitoring & Evaluation System;
 - 5th Strategic Plan Committee meeting (opened meeting) in Danang, Vietnam (May, 2014):
 - Knowledge/Experience on Monitoring & Evaluation System was introduced by GIZ expert, and discussed by participants
 - Discussion on ASEANSAI Strategic Plan and committee's working plans
 - A Draft of the System tools with assistance from GIZ was developed.

Overview on Process of establishment Monitoring & Evaluation System (Continued)

- **June 2014:** Finalized and sent the System tools to EC for reporting and to proceed with piloting the system within ASEANSAI
- **October, 2014:** A Meeting among SAV, BPK RI and GIZ in Hanoi, Vietnam: Reviewed the piloting stage of the system, adjusted and finalized the System tools which was sent to EC
- **November, 2014 till now:**
 - Sent the System tools to ASEANSAI members for the application of ASEANSAI subsequent events
 - Disseminated the System tools to CCs and the ASEANSAI Secretariat to request for Biannual Process Reports which will be combined and submitted to the EC as by SPC.

Objectives

Monitoring & Evaluation System

➤ Monitoring

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.

➤ Evaluation

Make analysis based on key performance indicators and programs, lesson learned and identification of opportunities for improvements.

Monitoring

- **Done annually to assess whether the projects's activities are implemented based on the plans**
- **Responsibilities**
 - Monitoring the progress of each projects- done by respective Committees
 - Monitoring the overall implementation of the SP- done by the Secretariat

Evaluation

- **Make analysis based on key performance indicators and programs, lesson learned and identification of opportunities for improvements**

- **Responsibilities**
 - The evaluation of the progress of implementation of the SP- done by SPC based on evaluation report of the various Committees
 - The SPC evaluation report to submit to the Executive Committee- done by the Secretariat
 - Report in the ASEANSAI Assembly/ Summit- done by Secretariat


Tools

Monitoring & Evaluation System


- 1. Participant Evaluation Sheet**
- 2. Event Assessment Sheet**
- 3. Biannual Process Report**
- 4. Result Matrix and Annual Results Report**

Monitoring Process by tools


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).




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).



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).



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



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).

Participants Evaluation Sheet

➤ **Purpose:**

Designed to collect feed-back from the participants with a questionnaire

➤ **Template: 4 dimensions**

- Preparation and organization
- Content and implementation
- Design and facilitation
- Use of the Events' results for ASEANSAI/in workplace

➤ **Responsibilities:**

The project leading SAI is responsible for handing out the Participants' Evaluation Sheet to participants, collecting the completed sheets and analyzing the feedback in one consolidated Sheet

Example of one dimension of Participant's 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.).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I felt well informed in the run-up to the workshop about the objective, the agenda and the content of the event.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The organization of the event and the support for the needs of participants during the event were excellent.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The conference room and technical equipment were supporting a successful implementation of the event.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I was satisfied with the accommodation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I was satisfied with the quality of the catering.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I enjoyed the social program organized by the hosts.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Overall, the event was prepared and organized professionally.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
What suggestions on the preparation and organization of future events do you want to share with the organizers?					

Event Assessment Sheet

➤ **Purpose:**

- Summarizing the participants' feedback
- Adding lessons learnt and reflecting on the achievement of planned outputs for the event

➤ **Template: 3 sections**

- The 1st section: captures the general information on the event
- The 2nd section: aggregates the assessment and summarize the most important comments from participants
- The 3rd section: lessons for future events

➤ **Responsibilities:**

- Done by the Project leading SAI, together with organizing SAI and facilitator (and donors).
- The project leader sends the Event Assessment Sheet to the Committee Chair (CC to the SPC)

Example of the first section of the Event Assessment Sheet

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

The date and budget allocation is inserted according to the ASEANSAI work plan and is compared with the actual expenditures for the event.

The description of the expected output(s) taken from the event's Terms of References serves as a benchmark for the success of the event; it is important to note that only clearly formulated output can serve as a

Example of the second section of the Event Assessment Sheet

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?	

The organizers summarize the assessments by participants. A "strongly agreed" assessment in the participants' sheets equals a "very good" in the Event Assessment Sheet.

The organizers select comments from the participants' evaluation; the selected comment should reflect positive and critical remarks.

The participants' perception is supplemented by the organizers' point of view. The organizing SAI and the SPC observer jointly formulate the "lessons learned"

Event Assessment Sheet – one assessment dimensions

Example of the third section of the Event Assessment Sheet

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 – Follow up

The organizers summarize the average of the participants' assessments for all four dimensions from section 2.

The organizers reflect and document whether they have achieved what was intended – comparing the actual output to the planned output(s) described in the introductory part of this template. Reasons for eventual discrepancies are explained.

The organizer's recommendations for future events and next steps are captured.

Biannual Process Report

➤ **Purpose:**

Provide a regular overview on the implementation of activities in the Committee's responsibilities

➤ **Template: 3 contents**

- A brief description on the progress of the implementation of the work plan
- A reflection whether the outputs really contribute to the strategic objectives
- A reflection of possible discrepancies between plan and implementation, explanation for discrepancies and proposal to make adjustment

➤ **Responsibilities**

- Done by Committee Chair
- The Committee Chair sends the report to the SPC
- SPC combines the reports from Committees and sends compiled version to the EC

Example of Biannual Process Report

Committee Name		
1. <i>(put the name of the activity done by the committee)</i>	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		

The strategic objective the activity shall contribute to is inserted here.

The actual outputs as described from the Event Assessment Sheets are recaptured here.

The Committee Chair describes the next steps that need to be taken in order to contribute to the implementation of the Work Plan and the achievement of the Strategic Objective. If gaps in the implementation of the Work Plan or the achievement of the strategic objective are perceived, recommendations for adjustments (e.g. in the Work Plans) should be given.

Biannual Process Report

Results Matrix & Annual Results Report

➤ **Purpose:**

● **Results Matrix:**

- Specifying the Strategic Objectives in Concrete Outcomes
- Formulating results indicators to measure progress towards the Concrete Outcomes

● **Annual Results Report:**

- Making an overall assessment on the implementation of SP
- Establishing a rolling planning procedure that allows ASEANSAI to adjust the implementation strategy in a timely manner

➤ **Responsibilities:**

- Done by the SPC
- The SPC sends it to the EC by March of the following year

Format of the Result Monitoring Matrix

ASEANSAI Result Indicator Overview

SO No.	Result formulation	Indicator formulation and target value for 2017 (end of the programme)	Data source (MoV) and / or method of data collection	Baseline value 2014	Target 2014	Progress 2014	Target 2015	Progress 2015	Target 2016	Progress 2016	Final assessment by end of 2017
1.	A MoU on the principles and procedures for the engagement of ASEANSAI in the (auditing of) ASEAN institutions is agreed by 2017.	MoU by ASEAN and ASEANSAI signed (output indicator; results to be achieved in the next strategic planning phase)	Documents with the MoU	Role of ASEANSAI not specified	(1) A concept paper outlining the objectives and the approach to involve ASEANSAI the ASEAN community and the process to establish this involvement is elaborated		(2) the SAIs (legal departments / AG) will have endorsed the viability of the concept / proposal (3) the ASEANSAI Senior Official Meeting (SOM) will have agreed on the approach and document their support in a draft MoU		Draft of the MoU between ASEANSAI and ASEAN is drafted		
2.	Improvement of independence due to advocacy on ISSAI 10 rating by 2017.	x improvements in y SAIs	ISSAI 10 self-assessment by each SAI.	To be established until end of 2014.	to be defined based on baseline						
3.1	Improvement of organizational capacity due to the exchange of good practices by 2017.	6 improvements of CNBA ratings in ASEANSAI by 2017.	CNBA (domains 2, 5, 6 and 7) self-assessment by each SAI.	To be established until end of 2014.	to be defined based on baseline						
3.2	Improvement of audit capacity due to manuals and tools exchanged with other SAIs by	Improvement in X SAIs according to ISSAI Level 4 by 2017.	ISSAI Level 4 self-assessment by each SAI.	To be established until October 2014.	to be defined based on baseline						

Planning for the application

Monitoring & Evaluation System

➤ **Piloting stage: 2014, 2015**

This stage includes developing, testing and assessing whether activities of piloting the System tools to ASEANSAI events are effectively and efficiently

➤ **Application: 2016, 2017**

The application of the System tools for all Committees is based on the outcome achieved from piloting stage

Responsibilities

For applying the Monitoring & Evaluation System

- **Responsibilities of SAIs**
- **Responsibilities of Committees Chairs**
- **Responsibilities of SPC**

Responsibilities of SAIs

➤ **The project leading SAI**

- Hand out the **Participants' Evaluation Sheet** to participants
- Complete the **Event Assessment Sheet** after each event
- Send the Event Assessment Sheet to the Committee Chair (CC to the SPC)

➤ **The organizing SAI**

- Cooperate with The project leading SAI and the facilitators (and donors) to make the **Event Assessment Sheet** at the debriefing meeting for the event

Responsibilities of Committees Chairs

- Developing the **Biannual Process Report** base on the Event Assessment Sheet
- Sending the **Biannual Process Report** to the SPC every six months (end of June and end of December)

Responsibilities of the SPC

- Developing the **Annual Results Report**
- Sending the Report to EC
- Presenting the Report in ASEANSAI Assembly

Q&A



Thank you for your attention!