**Plan for Results-Based Monitoring and Evaluation
of the UNDP-Implemented IW:LEARN Operational Phase Project**

June 3, 2007

Background

Among recommendations of the January 2007 the independent *Mid-Term Evaluation*
[MTE] for IW:LEARN Operational Phase were a call for:

- *Steering Committee [SC] to agree to a single line of management authority across
  UNDP- and UNEP-implemented IW:LEARN projects.* (Recommendation #16)
- *PCU to provide M&E plan for SC review and signoff at June 2007 SC meeting.*
  (Rec. #13)
- [UNDP (and UNEP?)] *to present TOR for IW:LEARN's Terminal Evaluator [TE]
  to SC in 2007Q4, for hiring by December 31, 2007.* (Rec. #10)

Since then, IW:LEARN's SC has accepted UNEP proposal for a loosely configured
Coordinating Agreement between UNOPS (as UNDP's executing agency) and UNEP, in
lieu of MTE call for a single line of management authority. As a result, UNDP and
UNOPS Project Coordinating Unit (PCU) have proposed that these managerially distinct
projects pursue independent M&E paths from now through their separately scheduled
TEs in early 2008 (UNDP) and early 2009[1] (UNEP).

As a result, this M&E plan focuses only on the UNOPS-executed IW:LEARN project.

UNOPS PCU Approach

- Continue to track, monitor and report on progress transforming INPUTS to
  OUTPUTS through Component B-E activities (quarterly)
- Document IW:LEARN-fostered learning, its application, & future learning needs
  on an event-by-event basis, including knowledge and needs baseline (pre-tests)
  wherever feasible
- Monitor &, through TE, evaluate IW:LEARN results (Outcomes & IMPACTS)
- Collect data to establish baseline of projects' needs for and ability to contribute to
  any future IW:LEARN project.

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[1] UNEP-IW:LEARN Terminal Evaluation is scheduled for several months after UNOPS IW:LEARN PCU
is scheduled to close; hence delay of UNDP TE until that time would likely affect PCU continuity and its
staff's availability.

UNOPS M&E Roles and Means of Verification[2]

"What" column is from ProDoc. (Last page here, *Definitions*, describes underlined terms)

What (assessed)	**Who** (responsible)	**How** (tracked)	**Where** (verified)
Inputs – tracking finance, co-finance & contract inputs	PCU Program Officer (MHH); backstopped by [Acting] CTA	Internal accrual accounting shadow budget, quarterly reconcile w/UN financial system	UNDP ATLAS (Financial IMS), UNOPS BRIO reports, IW:LEARN Shadow Budget (spreadsheet)
Activities – progress vs. ProDoc timeline	Deputy Dir. (JRM); backed by CTA (DMS)	Activity-level Web-based tracking vs. ProDoc and annual work plan	*IW Bridges* newsletter; Activity-level reporting on iwlearn.net; work plan updates on docs.google.com shared workspace
Outputs –	Deputy Dir.; backed by CTA	Learning products, participant lists, evaluations, disseminating gems[3]	Activity-level reporting and posting of outputs iwlearn.net; *IW Bridges* newsletter
Outcomes –	Monitoring by CTA w/PALs; Evaluation by SC and Terminal Evaluator (TBD); Additional reporting by DD (IWC4 exhibit) and PO (bridges)	Complete APPR/PIR; poster exhibit documenting innovations and disseminating gems; internal anecdotal study	APPR/PIR posted to iwlearn.net/sc; Summaries of innovations at IWC4 exhibit, gems and anecdotes in *IW Bridges* newsletter (also on iwlearn.net)
Impacts -	TE, w/CTA support	Independently evaluated through results-based terminal evaluation report	iwlearn.net/te

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[2] For transparency and accessibility, all M&E documents will also be posted to www.iwlearn.net/sc .

[3] Including poignant anecdotes or stories of successful outcomes.

<u>**Timeline for M&E Plan**</u>

Dates below are approximate and may vary slightly to meet schedules of SC, PCU and UNDP Evaluation Office.

2007 (June-December)

<u>2007-06-04</u>:
- UNOPS **PCU** provides SC with annual update on APPR/PIR-related indicators for Operational Phase (coverage, outcomes and catalytic impacts, progress and outputs, disbursement and co-finance).

<u>2007-07-15</u>: UNOPS **PCU** submits Quarterly Progress Report to UNOPS management, reports to stakeholders on key outputs and outcomes in *IW Bridges* and in <u>activity-level indicators tracking pages</u> on iwlearn.net.

<u>2007-08-03</u>:
- **GEF IW stakeholders** participating in IWC4 provide (and **PCU** documents) their needs for future learning and expectations for IW:LEARN to foster future learning and replication among their projects; capacity to contribute to same.
- UNDP IWTF member (**Andrew Hudson**) and UNOPS PCU [Acting] Director (**Janot Mendler de Suarez**) meet with UNDP Evaluation Office [**EO**] (**Juha Uitto**) to request EO initiate hiring process for independent Terminal Evaluator, considering draft TORs included as Annex A.3 in the *MTE Final Report* (although UNDP IW:LEARN TE budget is only ½ of MTE recommended amount).

<u>2007-09-15</u>: UNOPS **PCU** submits annual APPR/PIR to UNDP.

<u>2007-10-15</u>:
- UNOPS **PCU** submits Quarterly Progress Report to UNOPS management, reports to stakeholders on key outputs and outcomes in *IW Bridges* and in <u>activity-level indicators tracking pages</u> on iwlearn.net.
- **EO** circulates draft TORs for TE for UNDP-implemented IW:LEARN project.

<u>2007-11-15</u>:
- **PCU** presents first [rough] draft PIF for *IW:LEARN, Integration Phase* and associated baseline indicators to SC for consideration, in context of M&E from IWC4.
- UNDP **EO** invites and obtains **SC** and **PCU** feedback on draft TE TORs for UNDP-implemented IW:LEARN.

<u>2007-12-31</u>:
- **PCU** works with UNEP-IW:LEARN to set up <u>www.iwlearn.net/te</u> as transparent, public Web space for Terminal Evaluator to interact with IW:LEARN stakeholders.
- UNDP **EO** hires independent TE for UNDP-implemented IW:LEARN project, per MTE Recommendation #10.

2008 (January-October)

2008-01 to 2008-05: **PCU** supports TE and *IW:LEARN, Integration Phase* planning through internal IW:LEARN study documenting the project's outcomes (i.e., impacts on GEF IW projects and partners in terms of their application of learning, replication of effective practices and improved performance and delivery of outcomes) and baseline data for outcome indicators for next phase of IW:LEARN.

2008-01-15: **PCU** submits Quarterly Progress Report to UNOPS management, reports to stakeholders on key outputs and outcomes in *IW Bridges* and in activity-level indicators tracking pages on iwlearn.net.

2008-04: **PCU** provides TE with direct face-to-face access to survey or interview IW:LEARN stakeholders at IW:LEARN side events (for public participation and LME activities) surrounding Global Forum on Oceans, Coasts and Islands in Vietnam.

2008-04-15:
- **PCU** submits Quarterly Progress Report to UNOPS management, reports to stakeholders on key outputs and outcomes in *IW Bridges* and in activity-level indicators tracking pages on iwlearn.net.
- **TE** shares preliminary findings (or preliminary Terminal Evaluation Report) with IW:LEARN SC and PCU, to inform sustainability plans for UNDP-implemented IW:LEARN.

2008-05-15: **TE** submits Final Terminal Evaluation Report (TER) to UNDP EO, with CC to IW:LEARN SC and PCU (for posting on iwlearn.net).

2008-06-15:
- UNOPS PCU provides SC with final annual update on APPR/PIR-related indicators for Operational Phase (coverage, outcomes and catalytic impacts, progress and outputs, disbursement and co-finance).
- Informed by TER findings, PCU presents revised PIF for *IW:LEARN, Integration Phase* for SC approval.

2008-07-15: UNOPS PCU submits Quarterly Progress Report to UNOPS management, reports to stakeholders on key outputs and outcomes in *IW Bridges* and in activity-level indicators tracking pages on iwlearn.net.

2008-09-15: UNOPS PCU submits final annual APPR/PIR to UNDP.

2008-10-15: UNOPS PCU submits final Quarterly Progress Report to UNOPS management and closes project, reports to stakeholders on key outputs and outcomes in final *IW Bridges* of project and in activity-level indicators tracking pages on iwlearn.net.

Definitions

Catalytic Impact (Indicator) – spin-off catalytic results: results from GEF IW learning activities; new conventions, treaties, protocols, legal reforms; catalysis in IAs: internalized or by new partnerships; with IAs & multilateral & bilateral organizations.

Evaluation – Independent assessment of progress towards achieving outputs and success in realizing expected results (impacts). Independently conducted and reported to GEF mid-term through big projects (MTE) and at end of all projects (Terminal Evaluation).

Indicators – quantitative or qualitative measures of level of attainment towards objectives in meaningful and practical way.

Inputs – see chart[4] below.

Monitoring – collection of indicator information before (baseline), during (progress) and through after (results) project intervention/implementation. Self-reported annually by project management to GEF.

Monitoring and Evaluation Plan – strategic plan for collecting and "digesting" data to derive and measure change in M&E indicators – or even PM&E indicators throughout the project (and beyond).

Outcomes – see chart below.
Outputs – see chart below.

Inputs	Outputs		Outcomes	Impact
Experts	People trained;		Lessons applied by IW projects;	Other GEF IW projects' performance improved;
Equipment	Guidance and outreach materials produced;		Good practices replicated;	Timely and effective delivery of their outcomes
Funds				
In-kind contributions	Copies disseminated		Challenges overcome	

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[4] Adapted from presentation, "Monitoring and Evaluation in UNDP: For Project Management"