

Water Sector Support Programme  
Programme Management Support  
Programme Performance Monitoring  
System

EuropeAid/121282/D/SV/WS  
Accounting no. 9-ACP-WSO-04

July 2006

# Water Sector Support Programme Programme Management Support Programme Performance Monitoring System

EuropeAid/121282/D/SV/WS

Accounting no. 9-ACP-WSO-04

file : Y8506.01.001

registration number :

version : 1

July 2006

<b>CONTENTS</b>	<b>PAGE</b>
ABBREVIATIONS	3
EXECUTIVE SUMMARY	5
1 INTRODUCTION	8
2 WASSP FRAMEWORK AND PMS SCOPE FOR PPMS	9
2.1 WASSP Logical Framework	9
2.2 PMS TOR	9
2.3 Water Sector Domain definition	10
3 PROGRAMME PERFORMANCE MONITORING IN A SECTOR WIDE APPROACH	12
3.1 Sector Wide Approach and its components	12
3.2 What and how of Performance Monitoring	13
3.2.1 What is performance monitoring?	13
3.2.2 Why performance monitoring?	13
3.3 Indicator selection approaches, hierarchy and levels of monitoring	14
3.3.1 Approaches to choosing indicators	14
3.3.2 Hierarchy of indicators	14
3.3.3 Levels of monitoring	15
3.4 Short-term monitoring	16
4 WATER PROGRAMME PERFORMANCE MONITORING SYSTEM FOR SAMOA	17
4.1 Introduction	17
4.2 Medium-term performance monitoring	18
4.3 Short-term performance monitoring	27
4.3.1 Introduction	27
4.3.2 Format 1. WASSP/PMS performance monitoring format (2006-2008)	28
4.3.3 Format 2. WASSP Working Group 5 performance monitoring format (PE#2 period)	29
5 IMPLEMENTATION PLAN AND COST ESTIMATE	30
5.1 Follow-up activities	30
5.2 Costing	30
APPENDIX 1. WSSC QUARTERLY REPORTING FORMAT	32
APPENDIX 2. METHODOLOGY TO CALCULATE PROGRESS IN SHORT-TERM MONITORING	33
6 COLOPHON	35

## ABBREVIATIONS

ACEO	Assistant Chief Executive Officer
ADB	Asian Development Bank
AG	Attorney General
APM	Assistant Programme Manager (WSMU)
AUSAID	Australian Agency for International Development
CBO	Community Based Organisation
CDC	Cabinet Development Committee
CEO	Chief Executive Officer
CIDA	Canadian International Development Agency
DAC	Development Assistance Committee
EDF	European Development Fund
EPC	Electric Power Corporation
EPPD	Economic Policy and Planning Division (MOF)
ESP	Education Sector Programme (ADB/NZAID/AusAID)
EU	European Union
GIS	Geographic Information System
GM	General Manager
GOS	Government of Samoa
HSP	Health Sector Programme (WB)
IA	Implementing Agency
IFI	International Financing Institutions (WB, ADB)
ICT	Information & Communication Technology
JICA	Japanese International Cooperation Assistance
MAF	Ministry of Agriculture and Fisheries
MDG	Millennium Development Goals
MESC	Ministry of Education, Sports and Culture
MNREM	Ministry of Natural Resources, Environment and Meteorology
MOF	Ministry of Finance
MOH	Ministry of Health
MOU	Memorandum of Understanding
MTEF	Mid Term Evaluation Framework
MWCSD	Ministry of Women, Community and Social Development
NAO	National Authorising Officer
NGO	Non-Governmental Organisation
NRW	Non Revenue Water
NUS	National University of Samoa
NZAID	New Zealand Agency for International Development
OECD	Organisation for Economic Cooperation and Development
PDA	Project Design Assistance Project (EU)
PE	Programme Estimate
PEAR	Preliminary Environmental Assessment Report
PFM	Public Finance Management
PIA	Programme Implementation Assistance (EU)
PM	Programme Manager (WSMU)

PMA	Programme Management Advisor (WSMU)
PMS	Programme Management Support (EU)
PPMS	Programme Performance Monitoring System
PRGS	Poverty Reduction and Growth Strategies
PUMA	Planning and Urban Management Agency (MNREM)
RWS-CP	Rural Water Supply – Consolidation Project (EU)
SDS	Samoa Development Strategy
SOE	State Owned Enterprise
SOEMU	State Owned Enterprises Monitoring Unit (MOF)
SOPAC	South Pacific Applied Geo-science Commission (Fiji)
SPMS	Sector Performance Monitoring System
SPSP	Sector Policy Support Programme
SSDP	Samoa Sanitation and Drainage Project (ADB)
SUNGO	Samoa Umbrella for Non-Governmental Organisations
SWA	Samoa Water Authority
SWAp	Sector Wide Approach
TA	Technical Assistance
TL	Team leader
ToR	Terms of Reference
TSC	Technical Steering Committee
UFW	Unaccounted For Water
WaSSP	Water Sector Support Programme (EU)
WB	World Bank
WRD	Water Resources Division (MNREM)
WSMU	Water Sector Management Unit
WSSC	Water Sector Steering Committee

## EXECUTIVE SUMMARY

This Programme Performance Monitoring System (PPMS) report aims to contribute to the establishment of an enhanced and fully functioning system for sector performance monitoring, reporting and evaluation. This objective should be achieved by 2007 by which date performance monitoring data and reports at sectoral, sub-sectoral and institutional level are regularly being produced and used.

The PPMS report will present recommendations for comprehensive programme implementation and monitoring plans which systematically generate data on inputs, outputs, results and impacts of programme activities, and be based on agreed environmental, health, socioeconomic, and technical indicators.

This PPMS report is the first report in a series of 3 reports, and supposed to be prepared 4 months after the start of the Consultant services. The implementation period of this PPMS report will have a duration of 14 months and will end by December 2007. At that time, a first review and update will be carried out, and the results and recommendations presented in an updated PPMS report, in order to further refine and modify the system based on the experiences obtained in the first 14 months. A second review and update are due after 30 months.

In order to determine the specifications of the PPMS for water sector management, and as no clear domain definition of Samoa's water sector does yet exist, for the purpose of this report, the water sector has been defined to comprise the conservation, development, use, and monitoring and evaluation of all fresh water resources, both in terms of water quality and water quantity.

Performance monitoring under a SWAp means that managers may be held accountable for working with partners to achieve higher order results, for learning from failures, and for continually using performance information in their decision making progress. Shared accountability begins with the decision to engage in a partnership for development. Shared partnership starts with shared commitments, continues with shared control and management, and leads eventually to shared accountability for development results

Monitoring is done for a number of reasons. Government should wish to monitor and evaluate the planning and implementation of its national plans (SDS), its sectoral plans and its international commitments (MDGs) as part of good governance. In SWAp's, Government in consultation with donors should wish to set indicators against which the performance of the sector programme and its respective departments can be assessed.

There are 2 main approaches to choosing indicators, a top-down (exogenous) approach and a bottom-up (endogeneous) approach. The MDGs are a good example of the first category, but have the risk of centralization and simplification and may prevent specific attention being paid to national development conditions and priority needs. The bottom-up approach (e.g. using the Samoan Development Strategy (SDS)) relies more on existing national monitoring systems, which makes it easier to track intermediate indicators of progress, involve a wide range of stakeholders and to respond to the need of policy makers and development partners.

There are various levels on which performance can be assessed. Closely related to the logical framework concept, these relate to impacts/final outcomes, objectives/Intermediate outcomes, outputs, activities, inputs, process and structure. All these type of indicators need to be included in the PPMS. For monitoring a sector policy one normally assesses final outcomes and long-term impacts on society. Monitoring

strategic planning focuses more on intermediate outcomes and effects and, if possible also on impacts. Performance monitoring tools for shorter periods focus mostly on outputs, activities and inputs and if possible also of effectiveness. Process indicators monitor capacity building efforts and the interaction between the different stakeholders. Structure indicators are used in the start-up stages of SWSAp to monitor of the national reform process for the SWAp to operate, as well as in streamlining its relations with international funding agencies through alignment and harmonization.

Sector performance monitoring is a complex and multi-layer activity. It must take into consideration all its constituting levels, to include sector level, the level of individual cost centers and projects, down to the level of performance and satisfaction of individual beneficiaries and water users.

One of the big challenges in performance monitoring is to meet the obligations for short-term performance reporting, while at the same time doing justice to the long-term nature of the outcomes being pursued.

Samoa has recently embraced SWAp, most notably in the education, health and water sector. In political terms, the establishment of the Cabinet Development Committee (CDC) and the issuance of 3-year Samoan Development Strategies (SDS) have been important milestones in moving towards sector planning and SWAp's. In institutional terms, the Economic Policy and Planning Division (EPPD) within the Ministry of Finance (MOF) is the coordinating body within the public service.

It is yet too soon to say that a set framework for sector performance monitoring for Samoa exists. Within the water sector, the most notable achievements have been the Samoan Road Map for Sustainable Water Management (2003) and the "Water for Life: sector plan and framework for action" (2005).

The recommended PPMS for the Samoan water sector will provide the means for performance management within the time frame of a 5-year sector plan, focusing on impacts and outcomes, as well as for short-term performance monitoring, focusing more on outputs and inputs. The PPMS provides a wealth of indicators and targets for the different water sub-sectors (sector orientation, water resources management, water use and wastewater) and uses all the different types of performance indicators (from impact to input). In terms of short-term performance monitoring, sub-sets of indicators and targets are defined for TA contracts as well as for working groups working on project components. These can easily be aggregated to the levels of implementing agency and project, and ultimately to the sector level.

The PPMS does not yet contain any indicators and targets on financial performance of the water sector as a whole, though some financial indicators have been included to monitor the financial performance of SWA. From preliminary analysis for the preparation of a Medium Term Expenditure Framework (MTEF), it results that the current government accounting and coding systems do not allow for financial performance monitoring of the water sector. Until and unless that is possible, the financial performance monitoring will remain to be carried out as a separate activity based on planned and actual commitments and disbursements at project and project-component levels.

It is strongly suggested to obtain feed-back on this report and commitment from the stakeholders that would enable the finalization of the conceptual design of the PPMS, not only in terms of the overall level of representativeness of the proposed system, and in terms of commitment to the medium-term and short-term indicators, targets and timelines, but also in terms of assuming responsibility for proper data collection. Subsequently, a suitable software package and related services can be identified, and the final proposal be presented to the WSSC for final approval.

Depending on the system requirements for the PPMS, of-the-shelve or tailor-made software will be procured, possibly followed by IT-services for technical design, testing and training. Training is envisaged for a PPMS systems manager, PPMS operators and for the end-users of the system. Subsequently, data entry operators will secure timely input of data, gradually filling and subsequently keeping the system up to date with the latest data. It is expected that the newly designed system will start to operate and able to produce quarterly performance reports in the first quarter of 2007.

At the time of preparing the WaSSP Programme Estimate #2, the recommendations of this report were not yet identified. Though some budget reservations were made in PE#2 for PPMS development, it is not yet known whether these funds will be sufficient. The biggest unknown factor is the possibility to use on-the-shelve software. In the worst-case (financing) scenario, the date of the PPMS becoming on line may need to be delayed until PE#3. Therefore, it is recommended to revisit the PE#2 budget and seek for possibilities to make an internal budget reallocation to allow financing the technical design and development of the PPMS.

# 1 INTRODUCTION

Pursuant to Section 4.3 of the Terms of Reference (TOR) of the Water Sector Support Programme (WaSSP) / Programme Management Services (PMS), the Consultant shall prepare a Programme Performance Monitoring System (PPMS) report four months after the start of the services and to prepare reviews and updates of this report after months 18 and 30.

The objective of the PMS services is to ensure the effective and timely delivery of the WaSSP and to build institutional capacity for sector programme management, thereby ensuring the Ministry of Finance (MOF) will have the managerial capacity necessary to carry out their functions in an appropriate manner. The scope of work of the PMS comprises the following seven task packages:

1. Advice and support
2. Programme and component management
3. Sector co-ordination
4. Medium-term Expenditure Framework
5. Sector performance monitoring and reporting
6. Institutional development and capacity building
7. Reporting

This report relates to task packages 5 and 7 and represents the first report on Programme Performance Monitoring System (PPMS).

The next chapter aims to provide the setting for this report in view of what has been described in the WaSSP logical framework as well as in the TOR of the PMS contract. Furthermore, an effort is made to define the domain of the water sector, so as to be able to demarcate the domain of this report in terms of programme performance monitoring of the water sector.

The third chapter describes the analytical setting of performance monitoring within the framework of the Sector Wide Approach (SWAp). It explains the SWAp concept and its 7 main constituting key elements, PPMS being one of them. The chapter furthermore elaborates on the different ways and means to look at monitoring and on the main issues that have to be addressed before designing a PPMS.

Taking into account the lessons learned from chapter 3, the fourth chapter presents the proposed conceptual design and its main features of a PPMS for the water sector in Samoa, making an important distinction between its two main sub-systems, one being for medium term performance monitoring and one for short-term monitoring.

A set of recommended follow-up activities and related cost estimates for the actual technical design, development and implementation of the PPMS are presented in the fifth and final chapter.

## 2 WASSP FRAMEWORK AND PMS SCOPE FOR PPMS

### 2.1 WASSP Logical Framework

Within the overall framework of the WASSP, as outlined in the WASSP logical framework, slightly revised during the preparation of the Programme Estimate 2, the Programme Performance Monitoring System (PPMS) report would aim to support the implementation of the Sector Orientation component 1 of the WASSP. This is clearly illustrated in the figure below, taken from the revised Logical Framework, in which the component objective and relevant results are presented.

**Figure 1. PPMS in WASSP logical framework**

<b>COMPONENT 1 - SECTOR ORIENTATION</b>			
<b>Narrative Summary</b>	<b>Objective Verifiable Indicator</b>	<b>Source of Verification</b>	<b>Assumptions/ Comments</b>
<b>Objective</b>			
To develop a comprehensive institutional framework for effective water governance	Institutional framework adopted and under effective implementation by 2007	Legal statutes and sector performance reports	Agreement on and enforcement of the institutional framework
<b>RESULTS</b>			
Properly functioning system for sector performance monitoring, reporting and evaluation	Performance monitoring data and reports at sectoral, sub-sectoral and institutional level being regularly produced and used by 2007	Published Government statistics, WaSSP Progress Reports	Systems supported and implemented at all levels

### 2.2 PMS TOR

According to Section 2.3. of the Consultant's TOR, the main results pertaining to performance monitoring within the PMS contract is:

- an enhanced and fully functioning system for sector performance monitoring, reporting and evaluation

In terms of scope of work, as described in Section 4.1. of the TOR, these expected results in terms of PPMS are to strengthen and implement a sector performance monitoring and evaluation system and to ensure proper assessment and reporting of progress in the water sector. The system should define an appropriate framework for performance indicators, improve statistical and measurement systems, and strengthen consultation systems. Tasks for the Consultant should include:

- To review documents and guidelines on the use of indicators in performance assessment including government guidance and recommendations (e.g. from MOF/EPPD and National MDG Task Force), donor guidance (e.g. European Commission guidelines on indicators for poverty, health, water, etc.), DAC harmonisation guidance, and other texts as appropriate
- To assess the current framework for sector performance measurement in relation to structure, appropriateness, consistency and effectiveness, identify weaknesses and gaps in the present approach and recommend improvements to the current system
- In consultation with the key stakeholders, to develop and oversee a plan of action to improve the framework for performance indicators, to strengthen statistical and measurement systems, and to maximise benefits from associated consultation mechanisms
- To produce an annual Water Sector Status Report, which reports on overall progress and achievements, highlights outstanding issues and concerns, and makes recommendations for priority actions.

The PPMS report should present a system that includes comprehensive programme implementation and monitoring plans which systematically generate data on inputs, outputs, results and impacts of programme activities, and be based on agreed environmental, health, socioeconomic, and technical indicators. In addition to this specific report, a first review and update should be prepared by month 18, a second review and update by month 30.

The scope of the PPMS has significant relations with the Terms of Reference of the PIA consultants' team and with the activities of Working Group 0 of the WASSP. Therefore, the Consultant has brought this issue to the agenda of the Working Group, and in which meetings it was intensively discussed, and in which the PIA team-leader was also involved.

### **2.3 Water Sector Domain definition**

Before one can design a PPMS for the water sector, it is important to first and clearly define the water sector. The domain of the water sector in Samoa is defined here to include the management of all fresh water resources, both in terms of water quality and water quantity, while water management is being understood to comprise conservation, development, use, and monitoring and evaluation.

As a consequence, it is also important to note that the domain of the WASSP/PMS does not cover the entire water sector, not only in terms in international funding, but also in terms of its coverage of water sub-sectors, as well as through its implementing organisations. The WASSP focuses on (rural) drinking water supply and sanitation facilities in schools and hospitals with SWA, MNREM/WRD and MOH as implementing agencies. The RWS-CP includes rural drinking water supply with SWA as implementing agency. The SSDP (ADB funded) include (mainly urban) drainage and sanitation with SWA, MWTI and MNREM/PUMA as implementing agencies. The Grassroots Programme (JICA funded) and the Micro Projects (EU funded) cover among other things rainwater harvesting and deal directly in their programme implementation with NGOs. Other projects have its main domain outside the water sector, but do have some water segments in their design (e.g. improving the water and sanitation situation in schools and district hospitals), e.g. the WB funded Health Sector Programme (HSP) implemented by MOH which also aims to improve the water and sanitation facilities in district hospitals and the education sector programmes (ESP 1 and 2), funded by the ADB, NZAid and AusAid., and implemented by MESC which aim to improve the water and sanitation facilities in primary and secondary schools.

Notwithstanding this, it is understood and appreciated that the EU-funded WASSP and its corresponding management structure with the WSSC and the WSMU as its technical secretariat within MOF (and with its 3 Implementing Agencies (IAs)) are expected to expand its mandate over time to cover the management of the entire water sector.

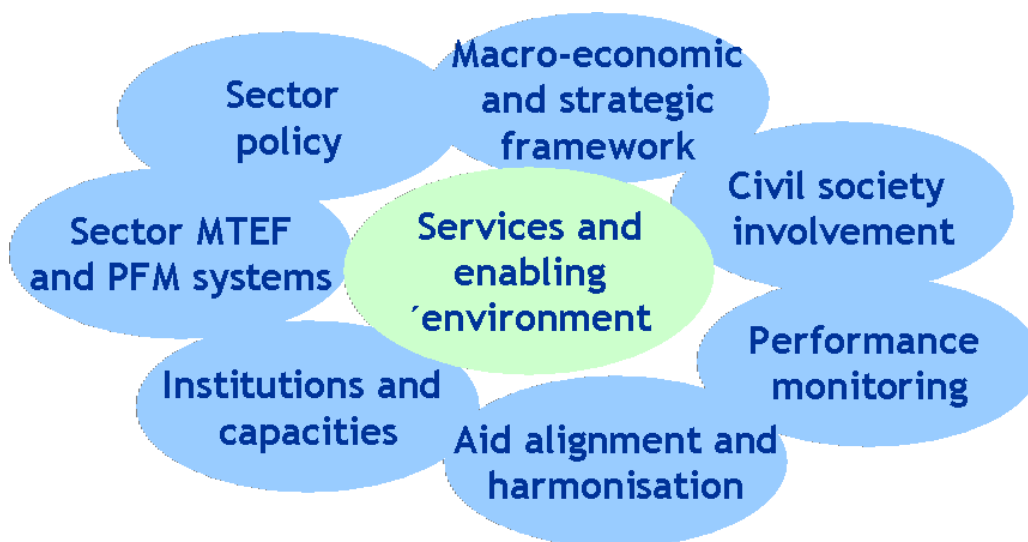
The current report aims to provide an outline for a PPMS for the entire water sector, but will also comprise a sub-set for monitoring the performance of the EU-funded WASSP activities. The revisions and updates of this PPMS report after 18 and 30 months are expected to encompass more comprehensively the performance monitoring tools for all projects and levels of the entire water sector in Samoa.

### 3 PROGRAMME PERFORMANCE MONITORING IN A SECTOR WIDE APPROACH

#### 3.1 Sector Wide Approach and its components

A Sector Wide Approach (SWAp) is a method of working between Government and donors and an approach in which all significant funding for the sector supports a single sector policy, strategy and expenditure plan (MTEF) under Government leadership, adopting common approaches across the sector, and progressing towards relying on Government procedures to disburse and account for all funds. Performance monitoring is one of the seven crucial elements of a sector programme (see figure 2).

Figure 2. Typical elements of sector programmes



A sector programme is generally considered to have the following essential features:

- The programme is sector-wide in scope and covers both current and capital expenditures
- The programme is based on a clear sector strategy and policy framework
- Local stakeholders (Government, direct beneficiaries and NGO and private sector stakeholders) are fully in charge of the process
- All main donors sign on to the approach and participate in financing the programme, in a process led by government
- Common implementation arrangements are established for all donors participating in the programme, incl. planning and budgeting, financial management, performance monitoring and progress reporting, procurement and the management of technical assistance
- Local capacity rather than long-term technical assistance should be relied upon as much as possible to design, manage and implement the programme

## **3.2 What and how of Performance Monitoring**

### **3.2.1 What is performance monitoring?**

Monitoring is a continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of ongoing development interventions with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds (OECD/DAC, 2001)

CIDA in its efforts to give shape Results Based Management (CIDA, 2002) is trying to find a “third way” following the apparent tensions that exist between the two traditional ways of performance monitoring, these two being:

- Monitoring of results: using performance information to promote learning for better management decision-making and improved performance of their investments (more forward looking, analyzing the development context, and towards learning strategies to allow making adjustments over time for further performance improvement)
- Monitoring of accountability: demonstrating results achievement and accountability to domestic stakeholders (government, key citizen constituencies), to development partners and for internal management purposes (more backward looking, based on pre-set targets, focused on compliance and control issues and fault-finding)

CIDA is now actively pursuing international support and commitment for the third way: that of shared accountability in which:

- Managers might be held accountable for working with partners to achieve higher order results, for learning from failures, and for continually using performance information in their decision making progress. Shared accountability begins with the decision to engage in a partnership for development. Shared partnership starts with shared commitments, continues with shared control and management, and leads eventually to shared accountability for development results

### **3.2.2 Why performance monitoring?**

In general, Government should wish to monitor and evaluate the planning and implementation of its national plans (SDS), its sectoral plans and its international commitments (MDGs) as part of good (sector) governance.

In sector programmes, Government in consultation with donors should wish to set indicators against which the performance of the sector programme and its respective departments can be assessed.

Furthermore, on the demand side of performance monitoring, it is considered as a crucial feed-back process in the policy-results chain for all involved stakeholders, notably:

- for Governments: Evidence based policy making, internal accountability and ownership and learning
- for Civil society: Pressure for social and political accountability, inform participation in policy making
- for Donors: Transparency of donor behavior, accountability to constituencies, inform on participation in policy dialogue

### **3.3 Indicator selection approaches, hierarchy and levels of monitoring**

#### **3.3.1 Approaches to choosing indicators**

In general, the selection of indicators should primarily take into consideration the capabilities of a country to collect quality data in a consistent manner over an extended period of time. It is therefore important to carefully look into the following aspects of data collection and use:

- Definition/way of calculation
- Data source
- Data collection frequency
- Data verification

Broadly speaking, there are two main approaches to choose indicators, these being top-down and bottom up. The top-down approach can be characterized as an exogenous approach, the MDGs being a good example in case, being an universal set of indicators. The MDGs for water has been defined as follows:

- To halve by 2015 the proportion of people without sustainable access to safe drinking water
- To halve by 2015 the proportion of people without access to adequate sanitation facilities

The fact that MDGs are commonly agreed upon and committed to is very positive: it sets the agenda for the near future. MDGs provide political impetus, focus expenditure and structure for the monitoring of progress. However, overemphasis of performance monitoring in relation to MDGs can lead to centralization and simplification and may prevent specific attention being paid to specific national development conditions and priority needs.

At the other side of the scale is the bottom-up approach, which can be considered as an endogenous approach, the Poverty Reduction and Growth Strategies (PRGS) and the Samoan Development Strategy (SDS) being good examples of this.

The bottom-up monitoring approach relies on national systems, in which local systems are built up and not undermined. Based on existing monitoring systems, it is possible to track intermediate indicators of progress, involve a wide range of stakeholders and to respond to the need of policy makers and development partners.

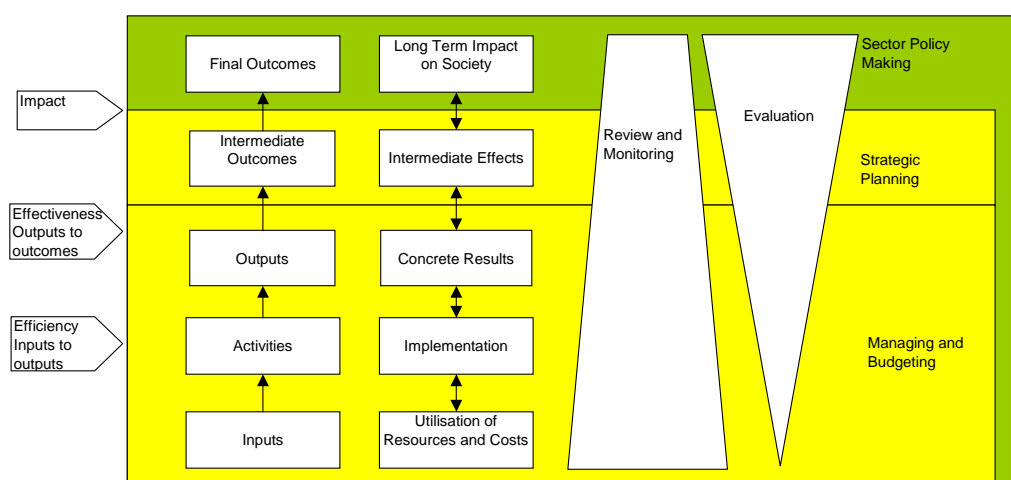
#### **3.3.2 Hierarchy of indicators**

There are various levels on which one can assess and measure performance. Closely related to the logical framework concept, these levels can be summarized as follows:

- Impacts/Final outcomes
- Objectives/Intermediate outcomes
- Outputs
- Activities ("throughput")
- Inputs
- Process
- Structure

An overall framework for sector performance assessment is graphically represented in the figure below. Monitoring and evaluation the implementation performance of a sector policy is done mainly through assessing and measuring final outcomes and long-term impacts on society. Monitoring and evaluation of strategic planning, having a shorter time horizon than sector policy making, focuses more on intermediate outcomes and effects, as a measure of effectiveness and, whenever possible also on impacts. Performance monitoring tools for shorter periods (e.g. related to annual budget cycles) focus mostly on outputs, activities and inputs, which can be used as measures of efficiency, and if possible also of effectiveness.

**Figure 3. Sector Programme Performance Assessment Framework**



Process and structure indicators are somehow different to the other ones. Process indicators are included to allow monitoring of capacity building efforts and of the interaction between the different stakeholders during the introduction and the further development of the SWAp. Unlike structure indicators, process indicators are used continuously like those related to impact/final outcomes, (intermediate) outcomes, outputs, activities and inputs.

Structure indicators allow monitoring of the reform process in terms of necessary structural changes in its legal, policy and institutional environment necessary for the SWAp to operate, and to which also the international funding organizations agree to (alignment). Structure indicators also relates to the introduction of one joint set of systems and procedures for management, monitoring and reporting purposes (harmonization). Structure indicators and targets are only used in the early stages of SWAp until these structural and facilitating issues are properly addressed and firmly established.

### 3.3.3 Levels of monitoring

Monitoring the performance of an entire sector is a complex and multi-layer activity. It must take into consideration all its constituting levels, i.e. from sector level down to the level of performance and satisfaction of individual beneficiaries and water users. The following monitoring levels can be identified, and all these levels should be included in a sector wide performance monitoring system:

- Sector level growth and equity criteria;
- Achievements in policy, finance, budgetary, institutional and systems development;
- Performance of individual cost centres (budget holding, allocation of resources);
- Performance of individual projects;
- Beneficiary/client satisfaction with benefits/services.

It speaks for itself that the monitoring instruments necessary to assess and measure performance may well differ for each level that is being monitored. Nevertheless, some general suggestions can be made as regards the selection of the indicators in terms of hierarchy and the different levels of monitoring:

- Focus on all levels of the logical framework and the results chain, whenever possible with emphasis on outcomes, more than on outputs, activities and inputs, to allow to know causes of success/failure. These should be defined in quantitative terms whenever possible;
- Focus on the implementation process and capacity building (on-going) to include e.g. ownership, participation, sharing of power, partnership, accountability to stakeholders, conflict and dispute resolution, incentive structures, learning. These are mostly defined in more qualitative targets.
- Focus on structure (in the beginning only), e.g. in policies and institutional reform. These are also mostly defined in more qualitative targets.

### **3.4 Short-term monitoring**

Joint annual monitoring is considered an important tool under SWAp's. These (mostly) annual reviews are undertaken by government and international funding organizations (sometimes also complemented by representatives from civil society), and serves the following specific purposes:

- To jointly and periodically undertake annual reviews to evaluate the sector programme
- To serve as a main forum for resolving policy and operational issues, and adjusting the sector programme as needed
- To review the results of the previous year programme and use these results as input in the next annual programme
- To agree on next year's programme including the activities to be financed, expenditure plan, procurement plan (method and sources of funding), the resources each participant will contribute, and the performance indicators to be tracked

The challenge for host-country institutions and donors is to meet the obligations for short-term performance reporting, primarily for management information, while doing justice to the long-term nature of the outcomes being pursued, providing a proper tool for performance management. Therefore, short-term results should satisfy the following three criteria:

- They should show meaningful change over the reporting period
- They should be attributable to the particular interventions that are being funded
- They should bear a significant relationship to longer-term objectives

## **4 WATER PROGRAMME PERFORMANCE MONITORING SYSTEM FOR SAMOA**

### **4.1 Introduction**

Only in recent time has Samoa embraced the SWAp in its policies, strategies and planning, most notably in the education, health and water sector. In political terms, the establishment of the Cabinet Development Committee (CDC) and the issuance of 3-year Samoan Development Strategy (SDS) documents have been important milestones in moving towards sector planning and more significantly in introducing the sector wide approach. In institutional terms, the Economic Policy and Planning Division (EPPD) within the Ministry of Finance (MOF) is the coordinating body within the public service, which issued its first sector planning manual in 2000 followed by a more concise and practical sector planning guide in 2003. More recently in 2006, important efforts were undertaken to establish national development indicators to be able to monitor the development in the 14 sectors included in the current SDS (2005-2007).

Notwithstanding these efforts, at this moment it is yet too soon to proclaim that a set framework for sector performance monitoring for Samoa exists. First efforts to set-up a framework for performance monitoring of the water sector date back to the Samoan Road Map for Sustainable Water Management (2003). A second document "Water for Life: sector plan and framework for action" was produced in 2005, and is currently being updated. These documents have made important headway in the thinking in terms of a to-be-established monitoring framework for the water sector. In preparing the current document, the Consultant has made valuable use of the ideas and suggestions presented in these reports.

Bearing in mind the main findings presented in the previous chapter, and in consideration of the specific situation and circumstances in Samoa, the remainder of this chapter tries to introduce a conceptual outline for water sector performance monitoring in Samoa. Section 4.2 describes the possible means for performance management within the time frame of a 5-year sector plan, focusing more on impacts and outcomes, section 4.3 elaborates on the possibilities of short-term (quarterly and annual) performance monitoring, which provides management information mainly of outputs and inputs. Both will be sub-sets of one and the same Programme Performance Management System (PPMS), or better yet, a Sector Performance Management System (SPMS).

In both sections 4.2 and 4.3, a systematic approach towards performance monitoring has been applied, as both make a clear distinction between the various water themes and sub-themes, as well as between the different types (or hierarchy) of performance indicators. This structure is presented in tabular form in Figure 3 on the next page.

It is important to note that the proposed PPMS does not yet contain any indicators and targets on financial performance of the water sector as a whole, though some financial indicators are included to monitor the financial performance of SWA. From preliminary analysis for the preparation of a Medium Term Expenditure Framework (MTEF), it results that the current government accounting and coding systems do not yet allow for financial performance monitoring of the water sector. Until and unless that is possible, the financial performance monitoring will remain to be carried out as a separate activity based on planned and actual commitments and disbursements at project and project-component levels.

The recommended SPMS presented in the following sections have been prepared through the efforts of Working Group 1 of the WaSSP, having representatives from the main water stakeholders, i.e. MNREM, MOH, MWTI, SWA, EPC and SUNGO, complemented with inputs from MOA and the PIA. The system comprises indicators and targets for the sector as a whole, the indicators and targets for water projects and

its project components (WaSSP, SSDP), as well as targets for the WaSSP TA contracts (PMS and PIA). However, given the limited timeframe of preparing this document, it is strongly recommended that these are checked and, where necessary, complemented with inputs from representatives from other relevant projects like the SSDP (ADB), the RWS-CP, the Micro-projects (both EU), and the Grassroots project (JICA).

**Figure 4. Water sector monitoring framework: Water (sub-) themes against type of indicator**

Water theme	Water Sector Orientation	Water Use				Wastewater			Water Resources			
		Water Supply: urban	Water Supply: rural	Hydropower	Irrigation	Sanitation	Sewerage	Drainage	Wastewater Treatment/Dispos	Water Quality Management	Water Quantity management	Watershed management
<b>Type of Indicator</b>												
<b>Impact</b>												
<b>Outcome</b>												
<b>Output</b>												
<b>Activity</b>												
<b>Input</b>												
<b>Structure</b>												
<b>Process</b>												

## 4.2 Medium-term performance monitoring

The proposed assessment and measurement framework for sector performance in the medium term has been established to make use of both quantitative and qualitative indicators and targets. These indicators and targets have been determined building on the earlier work as reflected in the Roadmap and WFL documents, and by incorporating the (revised) logical frameworks and related indicators and targets as determined under Samoa's largest water projects, i.e. the SSDP and WASSP.

Separate performance monitoring formats have been produced, for sector orientation, water resources, water use and wastewater. Each of these sheets outline the following:

- (1) a description of the indicators;
- (2) where these indicators have been derived and/or adapted from;
- (3) the type or hierarchy of the indicators;
- (4) the source of verification (SOC) or where the data and information on the actual performance status can be found; and
- (5) the past and actual annual achievements as well as the expected/future annual targets of the sector planning period.

## WATER SECTOR PERFORMANCE INDICATORS AND TARGETS

Water sub-sector		Sector Orientation										
Indicator description	Indicator Source	Indicator Type	SOV/Data collection	2002	2003	2004	2005	2006	2007	2008	2009	2010
				(real)	(real)	(real)	(real)	(estim)	(plan)	(plan)	(plan)	(plan)
				SDS 2004-04			SDS 2005-07			SDS 2008-10		
WSSC mandate to cover entire water sector	WASSP 1.2./ Roadmap	Structure	WSSC, CDC, WASSP						X			
WSSC include various donor representatives	WASSP 1.2	Structure	WSSC, CDC, WASSP						X			
Institutional framework adopted and under effective implementation	WASSP 1	Structure	Gazette, WASSP						X			
Legal documents issued/ revised/ enacted on water resources, water services and division of mandates between organisations	WASSP 1.1/ Roadmap	Structure	Gazette, CDC, WASSP						X			
Government budget (coding) system adjusted to allow for performance monitoring of sector plan implementation	None	Structure	MOF						X			
Government agencies and donor agencies sharing plans, reports, budgets through harmonised government systems, procedures and formats	WASSP 1.4	Structure	Bi/Multi-lateral agreements; WaSSP							X		
WSMU providing technical inputs and effectively planning & organising regular WSSC meetings	WASSP 0.4	Process	WSSC, WASSP					X	X	X	X	X
WSSC pursuing an effective water agenda	WASSP 1.2/ Roadmap	Process	WSSC, CDC, WASSP						X	X	X	X
WSSC and WSMU effectively implementing their mandates	WASSP 1.3	Process	WSSC					X	X	X	X	X
Government and donor agencies committing to embark on Sector Wide Approach for the water sector	None	Process	Joint review missions					X	X	X	X	X
Sector plans jointly agreed between Government and donor agencies	None	Process	Joint Review mission reports						X	X	X	X

## WATER SECTOR PERFORMANCE INDICATORS AND TARGETS

Water sub-sector	Sector Orientation											
Indicator description	Indicator Source	Indicator Type	SOV/Data collection	2002	2003	2004	2005	2006	2007	2008	2009	2010
				(real)	(real)	(real)	(real)	(estim)	(plan)	(plan)	(plan)	(plan)
				SDS 2004-04			SDS 2005-07			SDS 2008-10		
Government, national stakeholders and donor agencies involved in monitoring of sector plan implementation	None	Process	Feed-back on WASSP monitoring reports & meetings						X	X	X	X
Government and donor agencies carrying out annual joint reviews	None	Process	Joint Review mission reports						X	X	X	X
Water Sector Plans, prepared with wide consultation of stakeholders, and approved by WSSC and CDC	WASSP 1.2/ Roadmap	Output	WSSC, CDC, WASSP					X	X	X	X	X
MTEF annually produced and agreed by WSSC and CDC	WASSP 1.5	Output	WSSC, CDC, WASSP					X	X	X	X	X
Performance monitoring data and reports at sectoral, sub-sectoral and institutional level being regularly produced and used	WASSP 1.6	Output	Stats, WASSP						X	X	X	X
MOF staff capable of sector management planning, steering and controlling and effectively carrying out programme management by Mid-Term Evaluation	WASSP 0.2	Output	WASSP mid-term evaluation							X	X	X
Implementing agencies capable of utilising/dispersing at least 75% of annual PE committed funds by Mid-Term Evaluation	WASSP 0.3	Output	WASSP mid-term evaluation							X	X	X
Different components of the WaSSP programme completed	WASSP 0.1	Output	WASSP									X
MOF capable of sustaining WaSSP initiatives independent from substantial TA by mid-term eval.	WASSP 0	Outcome	WASSP mid-term evaluation							X	X	X
WaSSP successfully completed by 2011	WASSP 0	Outcome	WASSP evaluation									
Decrease in number of (selected) water-borne diseases reported reduced to 30%	WASSP	Impact	MOH, MDG									X
% of population suffering poverty and hardship in target areas reduced by half by 2015	WASSP	Impact	Stats, MDG									

## WATER SECTOR PERFORMANCE INDICATORS AND TARGETS

Water sub-sector		Water Use										
Indicator description	Indicator Source	Indicator Type	SOV/Data collection	2002	2003	2004	2005	2006	2007	2008	2009	2010
				(real)	(real)	(real)	(real)	(estim)	(plan)	(plan)	(plan)	
				SDS 2004-04			SDS 2005-07			SDS 2008-10		
Access to safe and reliable supply of potable water (% of population) [13]	MDG, SDS, WFL, WaSSP 3	Outcome		27%	37%	41%	47%	-	-	-	-	-
a. Urban	WFL	Key objective 1	Surveys	-	-	-	-	(66%)	(79%)	(86%)	(88%)	(88%)
b. Rural	WFL	Key objective 1	Surveys	(52%)	(72%)	(80%)	(83%)	(86%)	(90%)	(92%)	(94%)	(95%)
SWA Disaster preparedness and mitigation plan available by end-2006	WASSP 4.4	Output	SWA, WASSP					X				
Works contracts for 4 lots awarded by 2007	WASSP 3.1	Output	WASSP						X			
VMS performance targets set by 2008	WASSP 2	Outcome	SWA, WASSP							X		
% of Village Managed Schemes improved to meet performance targets	WASSP 2.3	Output	Village Committee minutes, WASSP								75%	80%
New supply infrastructure in place under WaSSP (km of active main supply pipeline)	WASSP 3.2	Output	SWA, WASSP						(50)	(100)	(150)	
New water supply infrastructure in place (km of active mains supply pipe) [4]	WFL	Output		150	300	340	350	-	-	-	-	-
% samples at WTP and consumer outlet meeting quality criteria	WASSP 4.1	Output	SWA, WASSP									95%
Unaccounted for water (%) [7]	Roadmap, WaSSP 4.2	Output		-	-	-	>60%	-	-	-	-	-
Non-revenue water performance	Roadmap	Outcome			(60%)	(60%)	(55%)	(45%)	(35%)	(30%)	(25%)	(25%)
a. Water Losses from leakage	Roadmap	Outcome			40%	38%	36%	34%	32%	30%		
b. Other non-revenue water based on CSO entitlement	Roadmap	Outcome			28%	26%	24%	23%	22%	20%		
Metered connections (No.) [5]	SDS, WFL	output		6000	6200	6400	9000	-	-	-	-	-
No. of water demand awareness campaigns implemented and evaluated (VMS & SWA)	WASSP 4.3	Output	SWA, WASSP			(9600)	(12000)	(15700)	(18900)	(20500)	(20800)	(21000)
Reduced per capita water demand (l/c/d) [8]	WFL, WASSP 4.3	Output		-	-	-	364	-	-	-	-	-
% of all Individual SWA System Contingency Plans prepared and approved by 2010	WASSP 4.4	Output	SWA, WASSP	(400)	(380)	(350)	(300)	(280)	(260)	(240)	(230)	(220)
Annual reduction in system failure in improved and rehabilitated RWS systems	WASSP 3.3	Output	SWA, WASSP					24%	24%	24%	24%	24%

WATER SECTOR PERFORMANCE INDICATORS AND TARGETS

Water sub-sector		Water Use										
Indicator description	Indicator Source	Indicator Type	SOV/Data collection	2002	2003	2004	2005	2006	2007	2008	2009	2010
				(real)	(real)	(real)	(real)	(estim)	(plan)	(plan)	(plan)	(plan)
				SDS 2004-04			SDS 2005-07			SDS 2008-10		
National Water Service Policy Implemented	Roadmap	Outcome	Gazette			X	X	X	X	X		
Effective regulatory system for water supply	Roadmap	Outcome			Under Developmt.			in place		Exists and implement		effective
Institutional Reform – Water Sector Services Regulation	Roadmap	Structure	Gazette		Sector Planning					EU WASSP		
Water Service Improvement Plan	Roadmap	Outcome			Consolidating Plan after Govt Reforms					Plan exists and implemented		
Improve the capacity of existing (old) infrastructure to suit the newly constructed development	Roadmap	Input			X	X	X	X	X			
Total water supplies (ie SWA and other) meeting quality standards (%) [16]	SDS, WFL	Outcome	SWA, MOH	-	-	(35%)	(43%)	(60%)	(71%)	(78%)	(79%)	(84%)
SWA revenue expected from water sales (\$ million tala) [3]	WFL	Input		4.2	4.6	6.3	6.5	(5.1)	(5.4)	(5.7)	(6.5)	(7.0)
Cost Recovery for Urban Water Supply as % of O&M excluding staff cost	Roadmap	Outcome			67%	73%	79%	86%	93%	100%		
Irrigation efficiency	Roadmap	Outcome	MAFF		Emphasis is given to this. Policies in developing stage							
User participation in irrigation	Roadmap	Outcome	MAFF		Policy currently in developing stage							
% of power from hydro power	SDS	Outcome	EPC									
GoS budget allocation for SWA (\$ million tala) [1]	WFL	Input	MOF, SWA	4.9	3.2	3.5	2.3	5.3	(2.3)	(2.3)	(2.3)	(2.3)
Donors annual financial contribution to SWA (\$ million tala) [2]	WFL	Input	MOF, SWA	20.0	15.0	1.4	5.3	(1.0)	(15.1)	(31.7)	(21.2)	(12.6)
Revenue collected as % of revenue expected (5) [6]	WFL	Output	SWA	81%	84%	69%	88%	(82)	(85)	(87)	(89)	(90)
Ratio of SWA receipts to operating costs excluding govt. contribution (%) [15]	WFL	Outcome	SWA	28%	35%	65%	61%	(67%)	(73%)	(81%)	(90%)	(100%)
Private sector participation in urban water services (includes water and wastewater services)	Roadmap	Outcome			80% capital and new development work were outsourced					O&M for sewerage and sanitation will be outsourced. 50% of all design works be outsourced		
Awareness programs in schools and for public	Roadmap	Outcome			Water issue awareness programs has been conducted in 50% - schools; 70% of village TV & radio programs, also in churches					Programs at all grade levels and for general public		

## WATER SECTOR PERFORMANCE INDICATORS AND TARGETS

Water sub-sector		Wastewater										
Indicator description	Indicator Source	Indicator Type	SOV/Data collection	2002	2003	2004	2005	2006	2007	2008	2009	2010
				(real)	(real)	(real)	(real)	(estim)	(plan)	(plan)	(plan)	(plan)
				SDS 2004-04			SDS 2005-07			SDS 2008-10		
Access to adequate sanitation[2] (%population)	MDG, SDS, Roadmap	outcome	Stats	49%	58%	60%	62%	64%	67%	70%	72%	74%
a. Urban	Roadmap	outcome	Surveys	60%	70%	74%	78%	82%	86%	90%	92%	94%
b. Rural	Roadmap	outcome	Surveys	42%	48%	49%	50%	51%	53%	55%	58%	61%
% collection and treatment of municipal wastewater (centralised system)	WFL	key objective 3				45%	50%	55%	60%	67%	74%	80%
Public awareness campaigns carried out annually from 2006	WASSP 5.1	Output	Surveys, WASSP					- (1)	- (1)	- (1)	- (1)	- (1)
Rural sanitation manual produced	WASSP 5.3	Output	Surveys, WASSP						X			
Training Workshops on rural sanitation	WASSP 5.3	Output	Surveys, WASSP					- (1)	- (1)	- (2)	- (2)	- (1)
number of schools receiving sanitation facilities to required standards under WaSSP	WASSP 5.2	Output	MOH, WASSP						- (50)	- (174)		
number of district hospitals receiving sanitation facilities to required standards under WaSSP	WASSP 5.2	Output	MOH, WASSP						- (5)	- (12)		
Increased # of persons with access to safe and hygienic sanitation facilities in schools	WASSP 5	outcome	WASSP									- (42000)
Increased # of persons with access to safe and hygienic sanitation facilities in district hospital patients	WASSP 5	outcome	WASSP									- (20000?)
Sludge drying bed facilities operational by 2008 on Upolu and Savaii	WASSP 5.4	Output	MNREM, WASSP							- (2)		
Set up an Independent Division for the Management of Wastewater	Roadmap	input	SSDP, SWA			X	X					
Master Plans for Drainage and Wastewater Management Developed	Roadmap	output	MWTI, SSDP			X	X	X				
Drainage & Wastewater master plans	Roadmap	outputs	MWTI, SSDP		Sector Planning					TA assistance from ADB Loan		
Improve Drainage and Sanitation for Apia	Roadmap	input	SSDP, SWA					X	X			
Increase wastewater collection and treatment in Apia	Roadmap	outputs	SSDP, SWA		Sector Planning					ADB Loan		

WATER SECTOR PERFORMANCE INDICATORS AND TARGETS

Water sub-sector		Wastewater											
Indicator description	Indicator Source	Indicator Type	SOV/Data collection	2002	2003	2004	2005	2006	2007	2008	2009	2010	
				(real)	(real)	(real)	(real)	(estim)	(plan)	(plan)	(plan)	(plan)	
				SDS 2004-04			SDS 2005-07			SDS 2008-10			
Urban collection and treatment of wastewater (m3/day) [9]	WFL	output	SDDP, SWA	-	-	-	-	-	-	(1400)	(1400)	(1400)	(1900)
Collection and treatment of municipal wastewater (%) [14]	WFL, Roadmap	outcome	SDDP, SWA	-	-	-	-	-	-	(60%)	(60%)	(60%)	(80%)
a. Municipal collection and treatment	Roadmap	outcome	SDDP, SWA		<45%	45%	45%	45%	57%	60%	64%	68%	
b. Private Industrial wastewater treatment and disposals	Roadmap	outcome	SDDP, SWA		Total of seven private wastewater exist and in operation including SNPF					Reduced to only two private wastewater treatment after the Central Reticulated System in place			
Level of Treatment for Wastewater	Roadmap	outcome	SDDP, SWA		Secondary					Secondary			
No.rural schools and hospitals meeting sanitation and hygiene standards [10]	WFL	output	WASSP	-	-	-	-	(65)	(140)	(215)	(215)	(215)	(215)
% of schools benefiting from new education and awareness activities [11]	WFL	output	WASSP	-	-	-	-	(25)	(75)	(100)	(100)	(100)	(100)
Cost Recovery for Urban Water Services (water supply & waste water management) as % of O&M	Roadmap	outcome			67% of O&M					80%	82%	84%	
Cost Recovery for Wastewater management	Roadmap	outcome			None					75% O&M			
Improved Urban Individual Sanitation Systems	Roadmap	outputs	SDDP, SWA		Sector Planning					ADB Loan with TA assistance attached to Loan			
No. Of kilometers of cleared drains (total)	SDS	outputs	MWTI										
No. Of kilometers of cleared drains (urban)	SDS	outputs	MWTI										
No. Of kilometers of cleared drains (rural)	SDS	outputs	MWTI										

WATER SECTOR PERFORMANCE INDICATORS AND TARGETS												
Water sub-sector	Water Resource											
Indicator description	Indicator Source	Indicator Type	SOV/Data collection	2002 (real)	2003 (real)	2004 (real)	2005 (real)	2006 (estim)	2007 (plan)	2008 (plan)	2009 (plan)	2010 (plan)
				SDS 2004-04			SDS 2005-07			SDS 2008-10		
Effective co-ordination of sub-sector activities	WFL	Outcome				Limited	established WSSC	formalised WSSC	Strengthened WSSC *			Effective WSSC
Effective water resources (incl. water quality) and environmental management in place	WFL	Outcome	MNREM, MOH			Limited		WRMS developed	WRMS † agreed			WRMS effective
Surface & groundwater monitoring established and functioning in 8 key supply areas	WASSP 6.5	Output	Met Office, Stats, WASSP					X				
SMP and EIA studies approved for water-related developments	WASSP 6.3	Output	MNREM, WASSP					X				
Water Resources Division established and functioning effectively	WASSP 6.1	Output	MNREM, WASSP					X	WRD formalise into MNRE			
Water resources management strategy available and under effective implementation	WASSP 6	Outcome	CDC, MNREM, WASSP						X			
WRM Strategy approved/endorsed by WSSC and CDC	WASSP 6.2	Output	CDC, MNREM, WASSP						X			
Catchment management initiatives with effective assessment, management and monitoring in 16 key supply areas under implementation in National Water Resource Policy Implemented	WASSP 6.4	Output	MNREM, WASSP						X			
PUMA Bill Enacted	Roadmap	Structure	MNREM, WASSP		X	X	X	X	X	X	X	X
Support global and regional efforts on sus-tainable management & wateruse of (WRM)	Roadmap	Input	MNREM, WASSP		X	X	X	X	X	X	X	X
Strengthen the Capacity of the Meteorology Office/WRD to assess and conduct regular water monitoring	Roadmap	Input	MNREM			X	X	X	X	X	X	X
Catchments with effective monitoring, management and assessment (no.)	WFL	Output	MNREM, WASSP	-	0 (2)	0 (2)	0 (2)	- (8)	- (16)	- (16)	- (16)	- (16)

WATER SECTOR PERFORMANCE INDICATORS AND TARGETS												
Water sub-sector	Water Resource			2002 (real)	2003 (real)	2004 (real)	2005 (real)	2006 (estim)	2007 (plan)	2008 (plan)	2009 (plan)	2010 (plan)
Indicator description	Indicator Source	Indicator Type	SOV/Data collection	SDS 2004-04			SDS 2005-07			SDS 2008-10		
				Number of (selected) water borne diseases reported (% of 2000 numbers) [17]	WFL	Impact	MOH	-	-	-	-	-
Total annual withdrawals as share of annual water resources (both ground & surface)	Roadmap	Outcome	SWA, EPC, MNREM		No current data available					System in place	Realistic data exists	
Existing Policy and capacity to collect, coordinate and manage water data among agencies	Roadmap	Outcome	MNREM, WASSP		PIGCOS exists but insufficient resource to operate effectively.					HYCOS model exists and implement		
River basin perspective for management and development	Roadmap	Outcome	MNREM		Management Plan currently under review					River basin management Plan exists and well		
Water Quality effects	Roadmap	Outcome	MOH		Poor (worsen) in certain coastal areas and urban streams					Coastal and urban stream water quality demonstrably improved		
Effective Water Resources (incl. Water quality) & environmental management	Roadmap	Outcome	MNREM, MOH		Under Development					Exists and effective		
Economic Losses from floods and droughts (annual average from 1990 to 2000)	Roadmap	Outcome	MOF, SWA, MWTI, EPC		No data					Framework & capacity established for proper monitoring & data collection		
Preparation of country wide long term integrated water resource management plans with view to identifying possible gaps	Roadmap	Output	MNREM		Sector Planning					Full Support and effective IWRM		

## **4.3 Short-term performance monitoring**

### **4.3.1 Introduction**

As stated earlier in this report, short term performance monitoring is an important sub-set of overall sector performance monitoring system. However, taking into consideration that not all indicators and related targets can be monitored in the short term: these medium term indicators and targets have been described in the previous section.

This section presents those indicators and targets that allow monitoring on a monthly, quarterly and annual basis. Important characteristics of these indicators are that they (1) show a meaningful change over the reporting period, (2) are attributable to the particular interventions that are being funded, and (3) bear a significant relationship to longer-term objectives

The proposed short-term indicators and targets are prepared to monitor the performance of the TA contracts, and to monitor the performance of the Implementing Agencies (IAs) responsible for implementation of project components. Therefore, the indicators and targets have mainly been derived from the TORs from TA-contracts under the WaSSP and the SSDP, and from the work programmes of project components, which are being planned and implemented by the various IAs.

At this stage, separate monitoring formats with short-term indicators and targets are recommended for the following TA projects, though these should be complemented with other current and future projects in the water sector:

- WASSP/Programme Management Support
- WASSP/Programme Implementation Assistance (still to be finalised)
- SSDP/Programme Management Unit (still to be finalised)
- SSDP/Programme Implementation Assistance Consultant (still to be finalised)
- SSDP/Capacity Building (still to be finalised)

It is important that all TA monitoring sheets use a similar format as the medium-term monitoring formats. These should include the indicators and targets to allow monitoring on a monthly rather than annual basis. The proposed TA formats comprise 3 main sections as they distinguish between reports (to be) produced, other milestones and expert inputs.

Similarly, separate formats for WASSP and SSDP project components are proposed. The WASSP comprises 7 components, the SSDP has 3 components. Each of these project components is being implemented by different working groups with representatives from the IAs and other key stakeholders. The proposed formats for project component monitoring are broken down in 3 main sections, these being an activity schedule, an output schedule and an expert input schedule.

A possible short-term monitoring format is presented in Appendix 1. In principle, this format can be aggregated and de-aggregated from project component level to sector level. A detailed methodology to quantify and calculate the levels of actual progress achieved against expected planned progress is presented in Appendix 2.

The following 2 sections present the proposed formats for TA contracts, using the WASSP/PMS contract as an example (4.3.2), and for the IA working groups (4.3.3), using the WASSP/Working Group 5 as an example.





## **5 IMPLEMENTATION PLAN AND COST ESTIMATE**

### **5.1 Follow-up activities**

As soon as this report is approved by the Contracting Authoring/NAO, it is suggested to obtain feed-back and commitment from the wider stakeholders that would enable the finalization of the conceptual design of the PPMS.

This stakeholders' involvement will cover two main groups of stakeholders, one general group of water sector stakeholders, the other being the "specific owners" of the indicators, the targets and the data. Whereas the former group would be asked about the overall level of representativeness of the system to monitor the performance of the water sector, the latter group would be asked to review and commit themselves to the medium-term and short-term indicators, targets and timelines.

This second group of specific stakeholders includes the project component working group members, the team leaders of the various TA-contracts, and finally the senior managers of the Implementing Agencies. This second group may also, if not already covered, other organizations that would be responsible for the data collection. Their feed-back would particularly be important as regards their technical and financial resources to collect the necessary quality data. It is very well possible that this feed-back will result in the identification of specific surveys that will have to be carried out from time to time.

Once the conceptual design of the PPMS is finalized and receiving support and commitment of the different groups of stakeholders, a suitable software package and related services can be identified on which the PPMS should run. These proposals can then be presented to the WSSC for approval and can subsequently be prepared for implementation.

Depending on the system requirements for PPMS, of-the-shelve or tailor-made software will be procured, possibly followed by IT-services being procured for technical design, testing and training. Training can be envisaged for a PPMS systems manager, PPMS operators and for the end-users of the system.

Subsequently, data entry operators will secure timely input of data, gradually filling and subsequently keeping the system up to date with the latest data. It is expected that the newly designed system will start to operate and able to produce quarterly performance reports in early 2007. The first annual PPMS report could then be issued by April 2007.

The implementation period of the proposed PPMS will have, as per the PMS TOR, a duration of 14 months and will end by end-December 2007. At that time, a review of the PPMS can yield some important lessons and the possible need for fine-tuning, which will be presented in an updated PPMS report. That updated programme will run until end December 2008, when the preparation of a second PPMS update is foreseen which should run until the end of the PMS contract in 2010.

### **5.2 Costing**

At the time the WaSSP Programme Estimate 2 was prepared, the detailed results of this report were not yet fully known. Some budget reservations have been included for performance monitoring in component 1, totaling 46.000 SAT, including for the following activities:

- Review existing water sector performance monitoring systems and procedures
- Design water sector performance monitoring systems and procedures
- Undertake survey requirements
- Consultation with stakeholders

In addition, current experts under the PMS and PIA contracts can provide additional technical assistance in the design and development of the PPMS. However, if programming expertise would be required to do the technical design of the PPMS, financial cover may still need to be sought for technical design and subsequent training in the use of the system of system managers, operators and end-users.

In view of the currently proposed PPMS and the envisaged updates of this report after month 18 and 30, it is expected that future work programmes will be able to provide sufficient funds for the further development of the PPMS and its various user groups.

**APPENDIX 1. WSSC QUARTERLY REPORTING FORMAT**

**WSSC QUARTERLY REPORTING FORMAT**

Implementing Agency

Water Theme   
 Water Sub-theme   
 Project   
 Project component

**PROGRESS**

**Technical progress in reporting period**

% on schedule   
 No. of months of delay   
 Reasons for delay   
 Proposed solution

**Cumulative technical progress**

% on schedule   
 No. of months of delay   
 Reasons for delay   
 Proposed solution

**Main achievements during reporting period**

Target achieved   
 Events   
 Reports   
 Other

**Financial progress in reporting period**

Commitments (as % of scheduled)

Disbursements (as % of scheduled)

**Cumulative financial progress**

Commitments (as % of scheduled)

Disbursements (as % of scheduled)

**PLANNING**

**Technical expected progress in next period**

What to be done   
 Who to take action

**Main expected achievements**

Target achieved   
 Events   
 Reports   
 Other

## APPENDIX 2. METHODOLOGY TO CALCULATE PROGRESS IN SHORT-TERM MONITORING

Short-term monitoring will be carried out to assess and measure actual progress against scheduled progress on a monthly and quarterly basis. This type of monitoring is used to gauge the performance of the implementing agencies, more specifically of the different working groups, as well as of the Technical Assistance contracts. The figure hereunder shows which main categories of indicators and targets are used.

What is being monitored?	Working Groups	Technical Assistance
Outputs	X	
- Reports		X
- Other milestones		X
Activities	X	
Expert inputs	X	X

In order to quantify and measure actual progress, these different types of indicators all require a different methodology of calculation.

### Outputs/Milestones

Milestones are events or thing that should be delivered (meeting, workshop, training, materials) or assessed (e.g. mid-term or final evaluation) by a certain date. If a milestone is not achieved as expected during a particular month, the score to be recorded should be 0%. Once delivered or achieved, the score should be 100%

### Outputs/Reports

Reports are milestones, but is singled out here as it is a specific type of milestone, as reports have to go through an approval procedure process. If a report is due in a certain month and if it is not submitted, the progress to be recorded should be 0%. As soon as the report is actually submitted, the progress to be recorded should be 75%. Once the report is formally approved, the progress achieved should be 100%

### Activities

Assessing and measuring the progress of activities is very difficult and various methods can be applied, none of them really being "water-proof". The recommended method is the following:

- A scheduled activity has a certain duration, say e.g. 4 months.
- The expected progress for each month is estimated at 100% divided by 4 months, each month's regular progress being estimated at 25%.
- As long as the activity has not started, the progress to be recorded should be 0%
- As soon as the activity starts, at the end of every month should be assessed against the expected 25% of progress, and a figure between 1% and 100% be fixed for the actual progress achieved. If the progress is considered on schedule, the figure should be 25%.
- During subsequent months, the cumulative progress should be estimated.
- Only once the activity is effectively completed, the recorded progress should be 100%

## **Expert inputs**

Measuring progress of expert inputs per month should be done in the following manner:

- If the expert has not started his or her input in accordance with the most recent TA planning document, the recorded progress should be 0%.
- If the expert has started his input in a particular month, the to-be-recorded progress should be calculated as a percentage of his actual working-days in-country during that month compared of his total expected input (in working-days) for that particular mission. Subsequent months of input of the same mission should be calculated on a cumulative basis.
- If the expert has finished his input, the recorded progress should be 100%

## **Weighing overall progress**

There is no weighing within outputs, activities or inputs. Every single output carries the same weight, each of the activities has the same weight and all individual expert inputs have the same weight.

However, weighing the overall progress of a working group in a month should be done on a 40-40-20 basis, for outputs, activities and expert inputs respectively. The weight of TA progress should be calculated on a 40-40-20 basis, for reports, other milestones and expert inputs respectively.

If in a particular month no reports are foreseen in a TA contract, progress should be calculated on a 2/3-1/3 basis between other milestones and expert inputs. Similarly, if no expert input is foreseen to assist the activities of a working group in a particular month, the overall progress should be calculated on a 50-50 basis between activities and outputs.

On beforehand, based on the latest approved planning document, one can calculate the expected progress during a particular period, every month will have a numeric figure of expected progress. Dividing the actual progress achieved by the expected progress will give the relative progress achieved: if the figure is 100% it means that the progress is in accordance with the planning, if the figure is less than 100% it means that there are delays in project implementation.

The cumulative progress should be calculated by adding all actual progress figures for consecutive months and dividing that figure by all expected progress figures for the same number of months.

## 6 COLOPHON

---

Client	:
Project	: Water Sector Support Programme Programme Management Support
File	: Y8506.01.001
Length of report	: 35 pages
Author	: Ludo Prins
Contributions	: Ludo Prins
Project Manager	: Ludo Prins
Project Director	: Jan Oomen
Date	: 24 July 2006
Name/Initials	:

---

**DHV B.V.**

*Laan 1914 no. 35  
3818 EX Amersfoort  
P.O. Box 1132  
3800 BC Amersfoort  
The Netherlands  
T +31 33 4682000  
F +31 33 4682801  
E [consultants@dhv.nl](mailto:consultants@dhv.nl)  
[www.dhv.com](http://www.dhv.com)*

