Tool 7: Basics for WSI Monitoring and Evaluation

Note: Given the importance of M&E to the impact and integrity of WSIs, the project sponsors and partners are developing WSI specific guidance and tools, which will be available online in due course.

WSIs can be difficult to monitor, as partners contribute in different and sometimes informal ways. This may result in challenges to attributing outcomes to the WSI. Moreover, monitoring should focus on both the efficiency of the initiative itself (including how participants cooperate) and the progress toward achieving specific results. Without a robust monitoring framework and the systematic assessment of delivery against the set objectives, WSIs are not able to prove their added value to the public and its participants, as well as provide internal and external accountability for the resources used. Moreover, weak

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Tool	A broad overview of the importance of M&E to the integrity of WSIs and references for commonly used approaches.
Related Key Activity	Establish M&E.
Question Addressed	How can we determine to what extent we are achieving the objectives of our WSI?
Purpose	Increase trustworthiness of WSIs and enable the initiative to take corrective action: ✓ Understand what needs to be monitored. ✓ Track progress and support learning toward achieving the goals of WSI.
Potential Users	WSI managers with all participants.
Level of Effort	Continuous human resources, financial resources for data collection depending on indicators and available baseline information.
WSI Phase	Partnership monitoring through entire life cycle, results monitoring from the formalization phase onward.

monitoring may lead to illegitimate claims by WSI participants (increasing risks of "green washing") and can be the cause for misunderstandings and contradictory expectations on impact, outcomes, and contributions.

Having clear objectives within a WSI and the ability to track achievement against these objectives supports corrective management and guards against the manipulation or misdirection of resources,

building overall credibility. Transparency about what the WSI has achieved fosters external trust concerning the motives of the WSI and its participants.

M&E was not robust so we couldn't show the benefits. [Civil society]

WSI initiators should monitor from the beginning how stakeholder engagement evolves. Such information is key for designing a feasible mode of cooperation (see <u>Tool 10</u>:

(From Field Testimony)

<u>Establishing Written Agreements</u>) during the formalization phase. Once the WSI objectives, roles, and contributions have been defined in writing, the corollary results-monitoring framework needs to be developed. Evaluation involves analyses of the WSI's activities, characteristics, and outcomes to

determine the merit of the initiative and to generate lessons for the future. M&E frameworks should be developed by WSI participants, and progress reviewed together to inform the development of the WSI and decision-making processes. M&E provides the basis to hold WSI managers and participants accountable and can therefore contribute to reducing mismanagement and capture.

Guidance for implementation

Step 1: Establish the Theory of Change and Mode of Cooperation • Participants should establish how the WSI is supposed to achieve its goal by laying out the components of the initiative and the steps needed to achieve the desired results. This can use the model of a theory of change (ToC), results, or impact model, depending on what instrument is being used by the partners. The WSI Model captures much of the information needed for this exercise and can be used as key input or introductory working session for developing the theory of change. In addition to delineating water challenges, this should include defining objectives for the WSI's governance, linked to aspects like stakeholder engagement and compliance with agreements. Clarifying assumptions and capturing interaction with development in the environment within the project logic is vital to understand the risks and viability of the initiative.

Step 2: Define SMART

 Define SMART indicators: Specific, Measurable, Attainable, Relevant, Time-bound. To measure progress and milestones, indicators and baselines need to be set, along with key assumptions and identified risks and how these will be managed. Indicators should be qualitative and quantitative and SMART. To strengthen the WSI's alignment with public policies, consider linking or aligning WSI indicators to standard indicators such as national indicators underpinning the Millennium Development Goals (or forthcoming Sustainable Development Goals).

Step 3: Make Monitoring a Joint Responsibility Agree who is responsible for measuring the indicators and carrying out evaluations, which forms and tools will be used, how frequently
M&E activities should be carried out, the resources available to do M&E, where the results will be reported, processed and responded to,
and how they will be disseminated. Use of external evaluators and public disclosure of M&E frameworks and reports is recommended to
ensure objectivity and build credibility.

Stan A: Implementation

• Implement monitoring plan and carry out agreed evaluations. Make results available to WSI participants and affected stakeholders.

Step 5: Evaluation

An independent evaluation of the WSI should be carried out during Phase 4: Completion, Renewal, or Upscaling. Additional evaluation
exercises may be planned around specific milestones or after certain periods of time. Outcomes of such evaluations should be used to
generate learning and establish required follow-up action.

¹ UNAIDS, Basic Terminology and Frameworks for Monitoring and Evaluation (Geneva: UNAIDS, Monitoring and Evaluation Division, 2010), http://www.unaids.org/sites/default/files/sub_landing/files/7_1-Basic-Terminology-and-Frameworks-MEF.pdf.