Module 14
Measuring Progress: Monitoring and Evaluation of Implementation Efforts
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Learning Objectives

• To understand the challenges of monitoring and evaluation tools
• To learn to adapt data collection to the specific case
• To ensure stakeholder engagement and accountability
• To learn how to improve the development of future projects
1. Introduction & Challenges

I also take it that we will all come for the 2020 summit of the United Nations, which marks the 25th anniversary, ready to
The Importance of Monitoring & Evaluating

• Agenda 2030 requires robust monitoring and tracking of the progress in SDG implementation in general;

• In particular, the evaluation on the progress of vulnerable groups should be a cross-cutting issue in national reporting

• Data collection and management play a key role in ensuring that vulnerable groups and their needs are correctly identified.

• However, to date, there is no universally accepted approach for measuring vulnerability
1. Introduction & Challenges

The Importance of Monitoring & Evaluating

- Monitoring & evaluation are key to ensure:
  - smart and transparent decision-making process
  - proper identification of needs and effectiveness of the services
  - proper implementation of the public services
  - improved accountability
  - inclusiveness

- **No data = no inclusive policies** and public services for vulnerable groups
1. Introduction & Challenges

Challenges Related to Monitoring and Evaluation

- Issuing comprehensive monitoring and evaluation results might result challenging because of:
  - Lack of one universally accepted approach to measure vulnerability
  - Lack of disaggregated data
  - Inconsistent and incomplete data
  - Insufficient technical skills and resources in capturing inequality and social injustice
  - Reluctance of relevant institutions to share data
  - Insufficient resources and training of public officers
2. Strengthening Statistical Capacity for Identifying Vulnerability
2. Strengthening Statistical Capacity for Identifying Vulnerability

• Sustainable Development Goal **Target 16.9** ("legal identity for all, including birth registration, by 2030") is key to advance the 2030 Agenda commitment to leave no one behind, and equally relevant is SDG 17.19 - support to statistical capacity-building in developing countries, monitored by the indicator "proportion of countries that have achieved 100 per cent birth registration and 80 per cent death registration".

• There still exist much deficiencies in civil registration systems in many countries until this date. For example, only 68% of the countries, territories and areas register at least 90% of births occurred. Furthermore, for death registration, only 55% of the countries, territories and areas have at least 90% coverage.

2. Strengthening Statistical Capacity for Identifying Vulnerability

- Everyone has the right to be recognized as a person before the law, as enshrined in Article 6 of the Universal Declaration on Human Rights and Article 16 of the International Covenant on Civil and Political Rights. Several International human rights instruments, such as Article 7 of the Convention on the Rights of the Child and Article 24(2) of the International Covenant on Civil and Political Rights also recognized a right to birth registration.

SDG Goal 16.9: By 2030, provide legal identity for all, including birth registration indicator 16.9.1 Proportion of children under 5 years of age whose births have been registered with a civil authority, by age.

Indicator 17.19.2 Proportion of countries that (a) have conducted at least one population and housing census in the last 10 years; and (b) have achieved 100 per cent birth registration and 80 per cent death registration.
2. Strengthening Statistical Capacity for Identifying Vulnerability

UN Operational Definition of Legal Identity

• **Legal identity** is defined as the basic characteristics of an individual's identity. e.g. name, sex, place and date of birth conferred through registration and the issuance of a certificate by an authorized civil registration authority following the occurrence of birth. In the absence of birth registration, legal identity may be conferred by a legally-recognized identification authority. This system should be linked to the civil registration system to ensure a holistic approach to legal identity from birth to death. Legal identity is retired by the issuance of a death certificate by the civil registration authority upon registration of death.

• In the case of refugees, Member States are primarily responsible for issuing proof of legal identity. The issuance of proof of legal identity to refugees may also be administered by an internationally recognized and mandated authority.

2. Strengthening Statistical Capacity for Identifying Vulnerability

• Strengthening statistical capacities of national statistical offices to produce disaggregated data for identifying and inclusion vulnerable groups in decision-making process.

• Enhancing partnerships of national statistical offices with the statistical areas of other government agencies, academia and civil society organizations.

• Developing ICT skills and technical capacities of government agencies and other stakeholders for open data and big data analytics to monitor the dynamic changes of vulnerabilities of vulnerable groups.

• Developing capacities to conduct rapid assessment of impact on vulnerable groups during disasters and public health emergencies.
2. Strengthening Statistical Capacity for Identifying Vulnerability

Some UN data initiatives for inclusion of vulnerable groups

• Since 1988, the UN has published data related to the basic prevalence of disability worldwide, as well as general socio-economic and living conditions of persons living with and without disabilities.

• The Disability Statistics Database currently only roughly defines and groups the kinds of disabilities that people live with, via categories of disabilities that affect biological functions such as “seeing,” “hearing,” and “remembering.”

• The UN Statistical Commission has agreed upon a “Minimum Set of Gender Indicators” in 2013 as a guide for nationally and internationally compiled gender statistics. This set of indicators is comprised of 52 quantitative and 11 qualitative indicators related to gender equality and/or women’s empowerment. Based on this, UNSD tracks which countries have data related to each indicator to see the global gaps in data collection capacity.
3. Introduction of UNESCAP Planning & Assessment Tool
3.1 Introduction of UNESCAP Planning & Assessment Tool

Structured Monitoring and Evaluation

Developed by ESCAP and IAP2 to meet the need for a practical guide to meaningful engagement for the 2030 Agenda

- Introduces emphasis on inclusion, integration & transformation
- Draws on best practice indicators and multi-stakeholder input
- “Field” tested in voluntary national review report processes
- Quality process-focused

Useful for:

- Quick self-assessment of current practice
- Institutionalization processes (discussions around quality engagement)
- As support to planning, process and implementing stakeholder engagement (checklist)
- Assessing completed processes
- [Does not assess outcome]

- **Goal**: assessment of progress to reach SDGs
- **How**: uses a mix of **integrated** and **disaggregated** data and indicators to support planning and analysis across economic, social and environmental development pillars – focus on poorest and most vulnerable
3.1 Introduction of UNESCAP Planning & Assessment Tool

Structured Monitoring and Evaluation

- **Four dimensions of meaningful engagement**
  - The critical elements of meaningful stakeholder engagement for the 2030 Agenda for Sustainable Development.

- **A framework of indicators**
  - A set of practical indicators of quality engagement to support each dimension. The indicators point to specific interventions in designing, planning, delivering and managing meaningful engagement processes.

- **An assessment guide**
  - Uses the indicator framework to help define engagement practice that is below standard, minimum acceptable standard, and finally leading practice. Includes scoring and interpretation guides.

Source: UNESCAP & IAP2 "A Stakeholder Engagement Planning and Assessment Tool for the 2030 Agenda"
3.1 Introduction of UNESCAP Planning & Assessment Tool

Stakeholder Engagement

• Who should be involved in monitoring and evaluation of data and implementation on vulnerable groups?

  - Governments should encourage participation from:
    - Parliaments
    - Different Governmental agencies
    - Indigenous people
    - Civil society
    - Private sector
    - Other stakeholders
Innovative service delivery implies that governments create **space for non-state stakeholders** to participate more fully in the design, implementation and evaluation stages of policy-making.

- Especially important for **vulnerable groups**, as it provides an **opportunity for their voices to be heard** and their needs to be addressed.
- In the next slides we will see some good practices of creating space for vulnerable groups in the context of Open Government Data.
3.1 Introduction of UNESCAP Planning & Assessment Tool

Stakeholder Engagement - Why don’t people engage

Source (Julia Suh, Survey, presented at IAP2 Symposium, 2019)
### 3.1 Introduction of UNESCAP Planning & Assessment Tool

**Stakeholder Engagement - Assessment Guide**

<table>
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<tr>
<th>Below Standard</th>
<th>Minimum Standard</th>
<th>Leading Practice</th>
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<td><strong>3.3 Dealing with barriers to participation</strong></td>
<td><strong>3.4 Inclusion of vulnerable and marginalised groups</strong></td>
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**3.3 Dealing with barriers to participation**

- Barriers to participation are clearly identified and explicit steps are taken to reduce them (e.g., accessibility, gender, technology, socio-cultural prejudice, safe space, language etc.)
- No specific effort to identify and address barriers to participation

**3.4 Inclusion of vulnerable and marginalised groups**

- Vulnerable and marginalised groups are clearly identified and specific measures are put in place to enable them to participate in an equitable way
- Venues and formats for engagement actively discourage or block participation of vulnerable and marginalized groups and enhance power imbalances

**Minimum Standard**

- Barriers to participation (e.g., accessibility, gender, technology, socio-cultural prejudice, safe space, language etc.) are identified and some steps are taken to deal with them via process, methods and delivery and communication channels
- Some effort to specifically engage vulnerable and marginalized groups.
- Power dynamic is recognized, and specific strategies to mitigate are in place
- Self-organized groups of vulnerable and marginalized persons are recognized

**Leading Practice**

- Comprehensive identification of barriers
- Significant effort taken to reduce barriers to participation, including assistance is provided to build understanding prior to engagement (e.g., technical support, briefing sessions etc.)
- Proactive and comprehensive identification of disadvantaged groups.
- Self-organization of disadvantaged groups is facilitated.
- Significant effort to engage key disadvantaged groups, including through partnerships and capacity-building

Source: UN ESCAP
3.1 Introduction of UNESCAP Planning & Assessment Tool

Stakeholder Engagement - A sample assessment outcome

Source: UN ESCAP
3.2 Introduction of World Bank Social Inclusion Assessment Tool (SiAT)

It is based on the axiom that asking the right questions is key to the right solutions. It is based on four questions:

**IDENTIFICATION**
1. Are excluded groups identified? Who is excluded? Are some groups less likely to benefit from a project/program/policy because of their identity?

**ANALYSIS**
2. Is there ex ante analysis on social inclusion? How and why is the particular group (or groups) excluded? What drives the exclusion?

**ACTIONS**
3. Are there actions intended to advance social inclusion? Social Inclusion is not always about doing more: it is often about doing things differently. What actions are built into project, program or policy design?

**MONITORING**
4. Are there indicators to monitor social inclusion? How would we know if we have made progress? In projects, does the results framework contain indicators on inclusion?

Source: worldbank.org/socialinclusion
3.2 Introduction of World Bank Social Inclusion Assessment Tool (SiAT)

Illustrative example of overlapping disadvantages

Some questions to help with analysis

1. What is the breakdown of different identity groups among those excluded from the benefits (of a project)? Or in the bottom percentiles (migrants, Indigenous Peoples etc.)

2. Which groups are over-represented among those excluded from benefits?

3. Are there historical reasons for such over-representation?

4. Is the over-representation of some groups correlated with the way they participate in different social, economic and political domains?

5. What else do we know about these excluded groups? Are we taking into account their aspirations, fears and apprehensions?
4. Importance of Open Government Data
4. Importance of Open Government Data

- Accessible data -> more participation of vulnerable groups in decision-making to successfully implement SDGs

- Accessible data -> citizens can hold governments accountable

- Accessible data -> stimulates public administration to make more evidence-based policies

- Accessible data -> stimulates co-creation of innovative public services.
4. Importance of Open Government Data

- Citizens better understand the *why* and the *how* of decision-making processes
  - Rebuild trust
  - Better acceptance of policy decisions
  - Enhance resilience and prosperity of societies
4. Importance of Open Government Data

Open government data (OGD): development trends

Source: UN E-Government Survey 2020, Figure 6.2d
4. Importance of Open Government Data

Information sharing for COVID-19 through integrated open government data portal

The vital need for accurate, useful and up-to-date information provided by governments has been amplified during the COVID-19 pandemic.

A review of the 193 UN Member States national portals showed that as of 25 March 2020, only 57 per cent (110 countries) had put in place some kind of information on COVID-19. The percentage of countries providing such information and guidance reached roughly 86 percent (167 countries) by 8 April 2020. Finally, on 13 May nearly 97.5 percent (188 countries) had information about COVID-19 in their national portals.

4. Importance of Open Government Data

Mobile Age - App Platform Funded by EU for New Services for Older Persons

• Pilots projects explored issues important to elderly residents in each specific location, and included those related to social inclusion, independent living, urban safety and accessibility, and personal health management.

• In Bremen, Germany, for example, the older adult co-creators provided detailed information, new walking routes, new locations, photos and video clips.

Source: https://www.mobile-age.eu
4. Importance of Open Government Data

São Paulo, Brazil - Agents of Open Government

- Problem: courses on e.g. open source software, social media communications and mapping technologies were rarely available outside the city centre or only at a prohibitive cost.
- Platform for peer-to-peer learning.
- Private citizens with useful skills get support to develop courses for government employees, civil society groups and communities in all corners of São Paulo.
- 1200 workshops were held in 2016 and over 15,000 people attended courses.

4. Importance of Open Government Data

Examples from the Asia-Pacific

Source: https://data.unescap.org/home
4. Importance of Open Government Data

Examples from the Asia-Pacific: SDG Partnership Data

- **SDG Progress**: Assess progress on SDGs at goal (Snapshot), target (Dashboard), and indicators (Progress Gap) for the Asia-Pacific region and subregions.
- **Country SDG Profiles**: Access data and visualizations on SDG indicators for countries in Asia and the Pacific.
- **Country Comparison**: Compare the latest data of the countries in Asia-Pacific by SDG indicator.
- **SDG Data Availability**: Find out how many SDG indicators are available in the Asia-Pacific region.

Source: https://data.unescap.org/home
4. Importance of Open Government Data

Example: snapshot on state of implementation per SDG in all Asia-Pacific countries.

SDG 10 on reduced inequalities is one of the worst scoring Goals.

In the next slide, some reasons for this weakness are shown

Source: https://data.unescap.org/
Labour income share of GDP went down since 2000.
5. Oversight Institutions and Accountability Tools
5. Oversight Institutions and Accountability Tools

- **Supreme Audit Institutions (SAIs), Parliaments and Open Government Data (OGD)** are important stakeholders in holding governments accountable and monitoring and evaluating implementation processes.
5. Oversight Institutions and Accountability Tools

- **Supreme Audit Institutions** externally
  - monitor and review actions the government undertakes
  - in most advanced cases, they promote efficiency, accountability, effectiveness and transparency of public administration

- **Parliaments**
  - monitor, review and supervises the government
  - often working with SAIs
5. Oversight Institutions and Accountability Tools

• Open Governments Data oversee
  ➢ efficiency, accountability, effectiveness of governments
  ➢ the achievement of priorities and development goals

• Inclusive and innovative follow-up and review processes involving SAIs and OGD show benefits in creating more transparent and accountable public service delivery
6. Requirements for Effective Monitoring and Evaluation
6. Requirements for Effective Monitoring and Evaluation

- Data collection & data management
  - Specifically fostered by Agenda 2030
  - Necessary to improve **better decision-making processes** for vulnerable groups

- Use of **vulnerability assessment methods**
  - Global and national **quantitative** assessments
  - Local-level **qualitative** data collection
6. Requirements for Effective Monitoring and Evaluation

• Other methods:
  ➢ Combining following indicators:
    ▪ Data on exposure and susceptibility to risks
    ▪ Models on secondary and unobservable effects of hazardous situations
6. Requirements for Effective Monitoring and Evaluation

Data & Skills to Monitor Vulnerability

• Relevant data should be **disaggregated** in national contexts

• **Identify** at least:
  - Income
  - Gender
  - Age
  - Race
  - Ethnicity
  - Migratory status
  - Geographic location
  - Disability
6. Requirements for Effective Monitoring and Evaluation

Data & Skills to Monitor Vulnerability

• For monitoring and reporting purposes, public officials should have the capacity to use and apply:
  - Statistical systems
  - Data collection
  - Analysis methodologies including open data and big data analytics
  - Reporting mechanisms
6. Requirements for Effective Monitoring and Evaluation

Data & Skills to Monitor Vulnerability - Capacity Development

• Helpful strategies to improve capacity with regard to data collection and management:
  - Learning from different countries with similar challenges and level of development
  - Using peer-to-peer projects

• Challenges
  - Accept change and change mindset in communities, public institutions, and leadership
6. Requirements for Effective Monitoring and Evaluation

Data & Skills to Monitor Vulnerability

• The **collection** and **management** of data on vulnerability
  
  ➢ e.g. lack of resilience against environmental, economic, social, political, or digital shocks

• should always be interpreted in a **comprehensive and systemic approach**
  
  ➢ not done in silos!
Group Work
Quiz & Discussion

- Monitoring & evaluation are key to ensure
  - Smart and transparent decision-making process
  - ..... ?
  - ..... ?
  - ..... ?
  - ..... ?
  - ..... ?
Quiz & Discussion

• What happens if Governments do not have/are not able to collect enough data?

• What are disaggregated data?
Quiz & Discussion

• What kind of information should disaggregate data entail?
  ➢ Income
  ➢ .... ?
  ➢ .... ?
  ➢ .... ?
  ➢ .... ?
  ➢ .... ?
Quiz & Discussion

• For monitoring and reporting purposes, civil servants should have the capacity to use or apply... (select 3 of the following skills)

- Statistical systems
- Macroeconomic analysis
- Excel use
- Data collection
- Analysis methodologies
- Abstract reasoning
- Reporting mechanisms
- Emotional intelligence
Quiz & Discussion

• What are the challenges related to monitoring and evaluation?
  ➢ Lack of disaggregated data
  ➢ ... ?
  ➢ ... ?
  ➢ ... ?
  ➢ ... ?
Quiz & Discussion

• Which are the 3 Institutions that may oversee monitoring and evaluation exercises?

• What are their major tasks?
# Background Materials

## Key Readings

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End of Module 14