GWP Global and Thematic Programmes and Projects Management Manual

DRAFT – 9 September 2013

Document History

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9 September 2013	GWP Thematic Prog &Projects Management Manual_V2.docx	Updated following work programme discussions during the 2013 "Regional Days" and Stockholm WWW

GWP Thematic Programmes

DRAFT – 11 September 2013

Contents

Purpose

The purpose of this document is to describe internal GWPO processes for facilitating and managing GWP Thematic Programmes.

A GWP Thematic Programme is a set of activities addressing a clearly defined Thematic Area and packaged in a series of global and/or regional projects managed in a coordinated manner. In the context of this note the definition is limited to activities financed via GWPO raised funding.

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1. Thematic Programmes within GWP Work Programme

Definition

The GWP Work Programme comprises a Global Work Programme (implemented via GWPO) and 13 Regional Work Programmes (implemented via RWPs). These 14 Work Programmes comprise:

1. A "Core" programme component financed via GWPO raised funding. At regional level, the core programme component is designed primarily to facilitate and sustain the RWP and their institutional arrangements. This is also often referred to as "seed" funding with the request for the region to engage in local fundraising for programme and project activities which contribute to the implementation of the Strategy.
2. Projects financed via GWPO raised funding and generally implemented under the umbrella of **GWP Thematic Programmes** (e.g. Water and Climate Programme).
3. Projects financed through locally-raised funding (regional and country-based).

The detailed planning of the 14 GWP Work Programmes is described annually in 14 annual Workplans and Budgets. RWPs working under their respective Steering Committees (SCs) have in place a variety of management arrangements to enable implementation of their annual Workplan. The GWPO Management Team, working under the authority of the GWP SC is responsible for the management and implementation of all activities financed via GWPO raised funding (items 1 & 2 above).
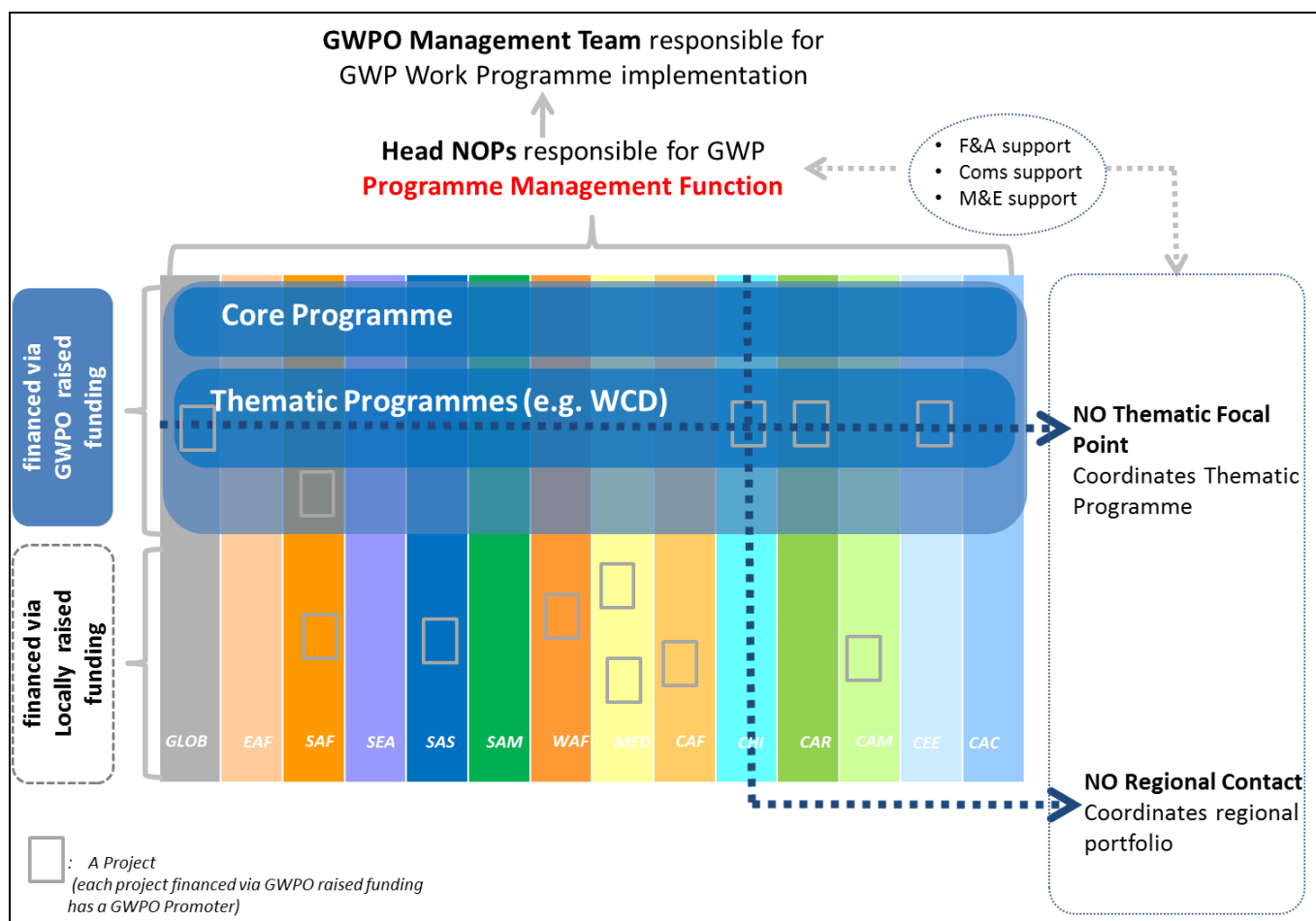

Figure 1: Core and Thematic Programmes – accountability within GWP

Overall Management

A Thematic Programme is implemented through **global and/or regional projects**. These projects are managed as a thematic portfolio in a coordinated manner, in order to maximize synergies and effectiveness of GWPO raised funding.

Project Implementers: (*Project Implementation responsibility*)
Projects (both global and regional) are developed and implemented by "project implementers". (i) For regional projects, the implementer is the RWP. The Regional Coordinator guided by the Regional SC will decide the most effective implementation modality including other project management and support staff – as defined in the project documents. The Regional SC will be engaged in overseeing and approving the project development and implementation. (ii) In the case of a global project (e.g. the WMO/GWP IDMP/APFM) the project implementer is GWPO Secretariat and the project manager as defined by the project document.

GWPO Projects Promoters: (*Project Management responsibility*)
A GWPO project promoter is most often the GWPO Network Officer responsible for the RWP in which the project is implemented. It is his/her responsibility to facilitate the project development and implementation. S/he is finally responsible for and accountable for the project implementation to the GWPO Management Team through the Network Operations Unit. The GWPO project promoter is responsible for monitoring progress, and for approving financial disbursements. In particular, s/he is responsible for compiling the **Quarterly Project Reports** and **the Annual Project Report** (see below). S/he is supported by thematic focal points, Finance & Administration (F&A), and Monitoring & Evaluation (M&E), and Communications as required.

Head of Network Operations (*Overall GWP Work Programme Management responsibility*)
The Head of Network Operations is entrusted by the GPWO Management Team of the overall GWP Programme Management responsibility. He/she is responsible for reviewing and approving projects developed under Thematic Programmes. He/she chairs the **Network Operation Unit team** meetings. The team meets monthly, and quarterly for in depth progress reviews, to discuss and agree all recommendations to GWPO Management Team regarding progress and budget allocations/re-allocation for all projects.

GWPO Management Team: (*Overall GWP Work Programme implementation responsibility*)
The GWPO Management Team has overall responsibility for the implementation of the GWP workplans and budgets. It delegates management and coordination to the Network Operations Unit, supported by the F&A and Communications Units. It monitors progress of implementation based on the reports received. It decides on budget allocations and re-allocations as required within the overall framework of the Steering Committee approvals.

Network Operations (NO) Thematic Focal Point: (*Thematic Programme Management responsibility*)
The NO Focal Point for a given thematic area has a *coordination function.* S/he is responsible for monitoring implementation of the thematic strategy through the coordination of **all projects** and activities included within his/her theme. He/she presents an overview on progress and finance[1] for all projects within his/her thematic area at the **Network Operations Quarterly Programme review meeting**. This overview provides the basis for discussing the Thematic Programme and possible re-allocation of GWPO raised funding among projects within the overall approved Thematic Programme budget.

It should be noted that detailed monitoring of regional projects remains the responsibility of the GWPO promoter responsible for that region – not the thematic focal point.

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[1] In the case of Africa and of the theme Climate, support is provided to the NO Climate focal point from the Africa WACDEP unit for synthesis across 5 regions

In order to perform his/her function, the NO Thematic focal point chairs and is supported by a **standing** "*Thematic Programme Coordination Support Team***" (TPCST)**, comprising representatives from F&A and M&E. The TPCST has the following roles and responsibilities:

- Customize GWP standard templates (project documents, logframe, etc.) and management tools according to the specific requirements of thematic programme /projects
- Check and review all projects documents to ensure compliance with thematic, financial and M&E requirements (in the context of the development of new projects).
- Compile regular summaries of data and information on progress and financial management of all projects and activities included within the theme. In particular:
  - o Prepare a **Quarterly Thematic Synthesis Report** on <u>all projects</u> and activities included within the theme, based on the Quarterly Project Reports prepared by the Project Promoters for all projects;
  - o Prepare an **Annual Thematic Synthesis Report** to be included in GWP Annual Progress Review.

Figure 2 shows how the different units and individuals work together to coordinate the projects under the different thematic programmes.
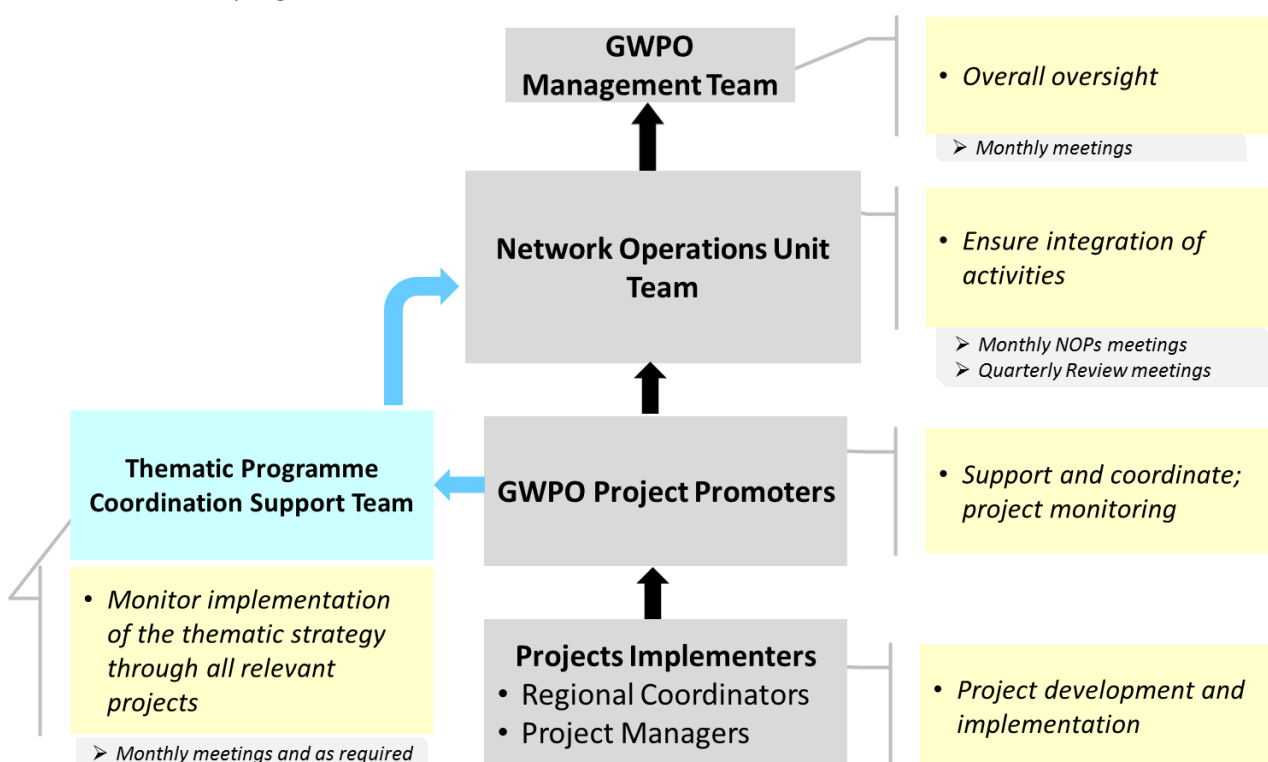
Figure 2: Management and coordination of thematic programmes

Box: The quarterly thematic reports

The overview provided by the quarterly thematic reports forms the basis for discussing progress across all projects under the thematic area, including the possible reallocation of GWPO raised funding among projects within the overall approved Thematic Programme budget. The report is presented at the Network Operations Quarterly Programme review meeting

Roles and responsibilities:
- *Global level:*
  - − Finance and Administration – Compilation of financial data for all projects
  - − GWPO M&E – Compilation of information received through the Regional Monthly Reports

> – GWPO project promoters – Compilation of information received from Regional Quarterly Project Reports
> – Global thematic coordinator – Preparation of programme overview report based on information provided by Finance & Admin., M&E and GWPO project promoters
>
> **Sources of information:**
> - Quarterly Project Reports
> - Monthly Reports
>
> **Templates:**
> - Template Ref. 3.2: Quarterly Thematic Overview Report

2. Developing projects under Thematic Programmes

Globally funded projects initiated under thematic programmes are developed and implemented through the following two stages:
- Stage A – Project development
- Stage B – Project implementation

The different steps associated with Stage A, project development, are described in this section.

Description of the different steps & documents

Project ideas under thematic programmes are further developed through a defined project Development Phase referred to as 'Stage A – Project Development'. Following successful completion of this Development Phase, projects move into 'Stage B – Project Implementation'.

Initiated by the project implementer in consultation with the global thematic coordinator, Stage A consists of the following:

- Application for funds to finance the project Development Phase
- Hiring of a project manager (optional)
- Preparation of a comprehensive project document detailing project implementation

The process is anchored to two key documents, namely:

- *Project document for the Development Phase (DOC A)* – DOC A is used to outline the activities and resources required by the project implementer to develop a comprehensive project document for the Implementation Phase. The review of DOC A determines whether funding will be allocated to finance the project Development Phase (i.e. the preparation of DOC B).
- *Project document for the Implementation Phase (DOC B)* – DOC B provides a comprehensive description of project implementation including a detailed list of activities and associated budget. This is the main output of Stage A and, if successfully reviewed, forms the basis for the implementation of the project itself under Stage B.

Stage A involves a number of steps that are followed to prepare and review the DOC B with the aim of gaining approval to initiate the project Implementation Phase (Stage B). These steps, including associated responsibilities and support materials, are shown in Figure 3 below.

Step	Project Implementer (a GWP entity; RWP, GWPO)	Overall GWP Programme Management	Support materials[2]
Step 1: Preparation of project document for the Development Phase (DOC A)	**Main output:** *DOC A* **Responsible:** *Project implementer in consultation with the global thematic coordinator*		
Step 2: Review of DOC A		**Main output:** *Completed review checklist* **Responsible:** *Head of Network Operations in consultation with the global thematic coordinator and global finance officer*	
Step 3: Approval of DOC A and allocation of Stage A funding		**Main output:** *Approved Stage A decision* **Responsible:** *Head of Network Operations*	• Template Ref. 2.3
Step 4: Hiring of project manager (Optional)	**Main output:** *Project manager recruited* **Responsible:** *Project implementer in consultation with Regional Chair*		• Template Ref. 1.5
Step 5: Preparation of project document for Implementation Phase (DOC B)	**Main output:** *DOC B* **Responsible:** *Project manager in consultation with Regional Secretariat and GWPO Project Promoter*		• Template Ref. 1.1, 1.2, 1.3 • Guidelines Ref. 1.4
Step 6: Review of DOC B		**Main output:** *Completed review checklist* **Responsible:** *Thematic Programme Coordination Support Team*	• Checklist Ref. 2.1
Step 7: Review recommendation sent to Head of Network Operations		**Main output:** *Review note* **Responsible:** *Thematic Programme Coordination Support Team*	• Template Ref. 2.2
Step 8: High level review		**Main output:** *Revised review note* **Responsible:** *Head of Network Operations in consultation with the full NOPs Unit Team*	
Step 9: Approval of Stage B Decision		**Main output:** *Approved Stage B decision* **Responsible:** *GWP Executive Secretary in consultation with Head of Network Operations*	• Template Ref. 2.3

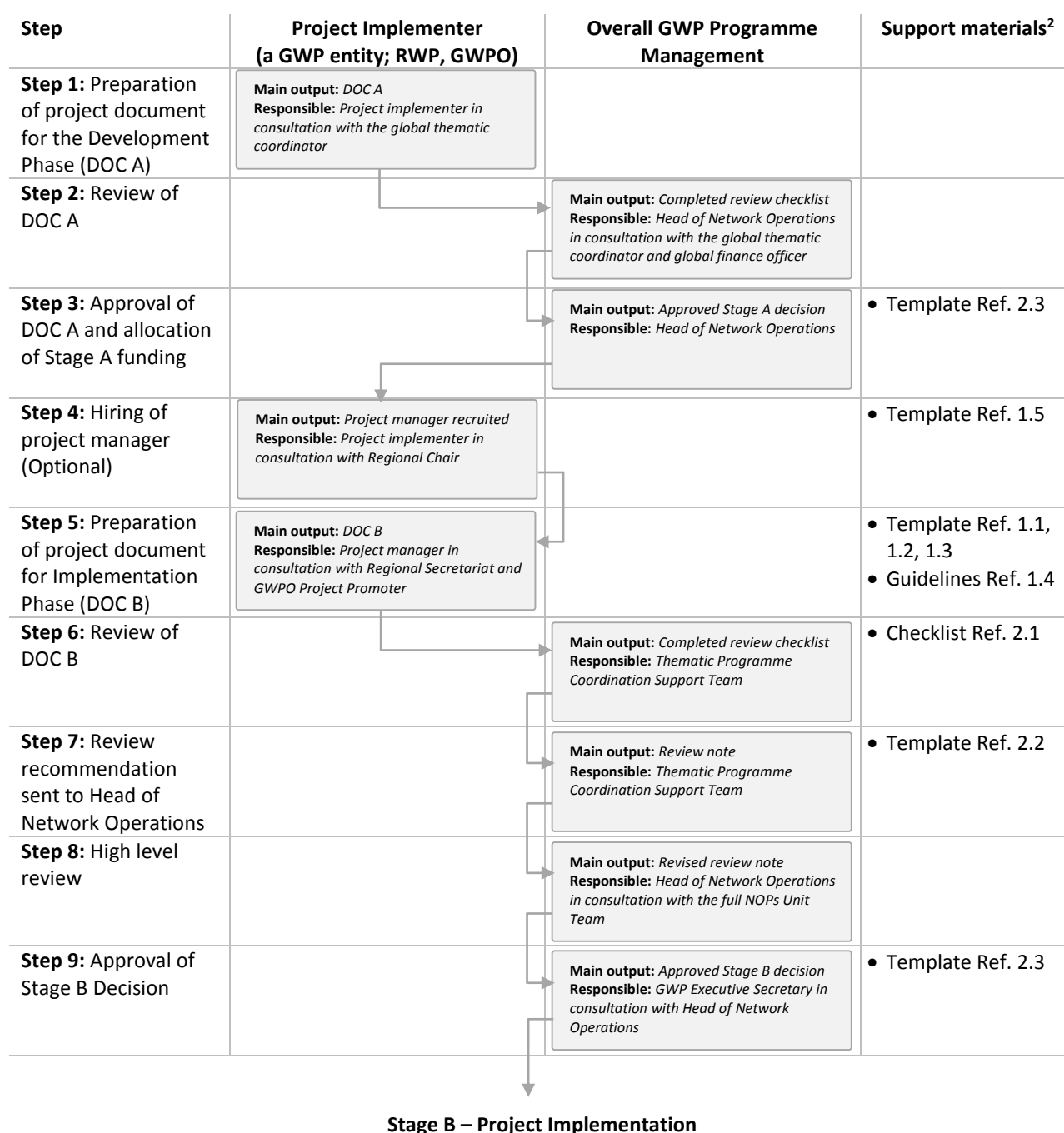**Stage B – Project Implementation**

Figure 3: Project development process (Stage A)

A number of documents accompany the different Stage A steps described above. The complete list is provided in the Table 1 below.

Document	Description	Responsible	Relevant step in the process
Project document for the Development Phase (DOC A)	Description of activities needed for developing DOC B and related budget.	Project implementer	Step 1

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[2] See Annex 1: List of Guidelines and Templates for details

DOC A Checklist	Checklist to assist the review of Project document for the Development Phase (DOC A)	Head of Network Operations	Step 2
Stage A decision	Decision to approve the Project document for the Development Phase (DOC A) and allocation of initial funds	Head of Network Operations	Step 3
Project document for Implementation Phase (DOC B)	Full project proposal including project background, objectives and detailed breakdown of activities and expected results. Annexes include a Logical Framework, Activities Gantt Chart, Personnel Gantt Chart and detailed project budget	Project manager	Step 5
DOC B Checklist	Checklist to assist the review of the Project document for the Implementation Phase (DOC B)	Thematic Programme Coordination Support Team	Step 6
DOC B Review note	Summary of thematic, financial and M&E related comments and recommendations. The note provides an overall recommendation to the Head of Network Operations	Thematic Programme Coordination Support Team	Steps 7 and 8
Stage B decision	Decision to approve the Project Implementation document (DOC B) and allocation of funds	GWP Executive Secretary	Step 9

Table 1: Stage A documents

Review process for approving funding of the Project Development Phase

Note: The following information refers to the approval of funding to complete the project Development Phase (Steps 2 & 3 in Figure 3)

- The Head of Network Operations will review Stage A documentation and request additional information or clarification if required. Ideally the Stage A project document (DOC A) should be prepared in consultation with the Thematic Focal Point (to ensure alignment with the overall thematic programme) and the Finance Officer (to ensure adequate financial information is presented). When acceptable, The Head of Network Operations will create a **decision** in the decision archive. ==**The final approval of all Stage A decisions provided they are within the approved annual workplan rests with the Head of Network Operations.**==

Review process for approving funding of the Project Implementation Phase

Note: The following information refers to the approval of funding to initiate implementation of the project itself (Steps 6-9 in Figure 3)

- The Head of Network Operation will send Stage B project document (DOC B) to the TPCST for review and recommendations.
- The TPCST is chaired by the Network Officer responsible for coordination of the thematic area under which the project is funded/implemented. The TPCST comprises a member from F&A and the M&E Officer. It may include a member from Communications if deemed relevant by the Head of Network Operations.
- The TPCST chair sends a review note within 7 working days to the Head of Network Operations. The note covers thematic, financial and M&E[3] related comments and recommendations. The note provides an overall recommendation to the Head of Network Operations. The Head of Network Operations may seek clarifications.
- The Head of Network Operations circulates the edited review note to the full NOPs Unit Team. He seeks further views and recommendations from the full NOPs Unit Team either:

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[3] Possibly also coms/knowledge management

- o   at the next planned Quarterly NO programme review meeting, or
- o   at an ad-hoc dedicated NOPs meeting (physical or Skype).
- Based on the views and recommendations of the NOPs Unit Team, the Head of Network Operation may then recommend approval and create a **decision** in the decision archive. ==**The final approval of Stage B decisions rests with the GWP Executive Secretary.**==
- **The Management Team should be alerted to all major changes and new activities from those approved in the GWP Annual Workplan. The Management Team is required to approve all re-allocations of budgets within the overall approved annual programme budget.**

3. Reporting requirements from Projects

Projects may have specific reporting requirements (i.e. contractual requirements from donors). As much as possible, these requirements are mainstreamed within the overall GWP Programme Management in order to keep the integrity of the system.

This is best achieved through close coordination between the reporting of core and project specific activities, both of which should ultimately be contributing to the achievement of the GWP strategic goals. The overall GWP reporting framework is shown in Figure 4 below.
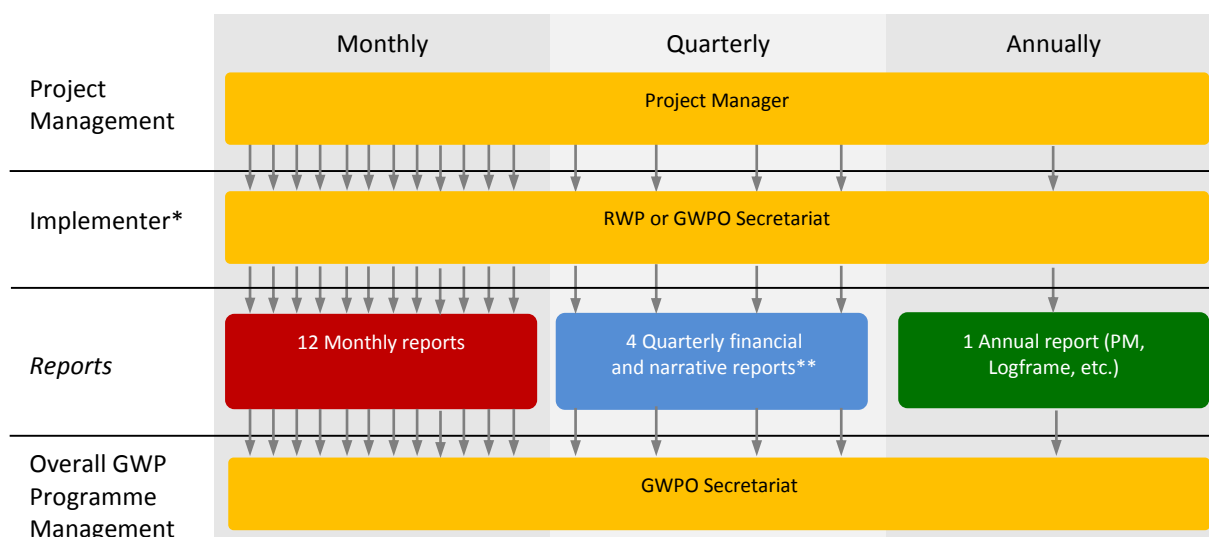
*RWP in the case of regional projects, GWPO level in the case of global projects
**Currently only requested for projects under the Water & Climate Programme

Figure 4: GWP Reporting Framework

Project specific reporting is incorporated into the reporting framework for the GWP Programme Monitoring as a whole. The information contained in this section explains how this is achieved from a project perspective without going into detail about overall reporting requirements. Comprehensive information on the GWP reporting framework as a whole can instead be found in the 'GWP Work Programme Management Manual'[4].

The reporting requirements for individual projects (exclusive of specific monitoring needs) include contributions to the GWP entities monthly reports, quarterly reports and annual report as shown in Figure 4. Further details on these contributions can be found below.

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[4] GWP Work Programme Management Manual, August 2013

Contribution to GWP Monthly Report

The monthly communication and monitoring reports aim to capture a summarised account of notable achievements from across an entire region, or at global level, including those resulting from project specific activities. Project information is therefore incorporated into the reports in order to give a complete picture of regional progress. The contribution of a project to the Monthly report is called the Project Monthly Report.

Content:
- See GWP Work Programme Management Manual for detailed template. The main project outputs, outcomes and overall achievements have to be reported.

Roles and responsibilities:
- Project manager – Provision of the required information to the regional or global communications officer for inclusion in regional or global monthly report

Sources of information (from a project perspective):
- Day-to-day project management

Templates:
- Request D: Monthly narrative reports (see GWP Work Programme Management Manual)

Contribution to GWP Quarterly Report

The quarterly project reports contain a combination of project specific information (financial and narrative[5]) and overall regional information (financial only) from the preceding three month period. The contribution of a project to the Quarterly report is called the Project Quarterly Report.

Content:
- Progress made in the previous quarter with the specific aims of:
    – Justifying reported expenditure (or lack thereof)
    – Clarifying divergence from the project work plan (e.g. project delays, changes to activities, etc.)
    – Highlighting obstacles and lessons learned.
    – Detailing upcoming project activities (forecast expenditure and planned activities)

Roles and responsibilities:
- Project manager – Compilation of all project specific information (financial and narrative)

Sources of information:
- Quarterly accounting data broken down by activity
- Monthly Communication and Monitoring Reports (see above).

Templates:
- Template Ref. 3.1: Quarterly Project Report

Note: The Quarterly reports are not intended to be a simple compilation of the information included in the monthly reports (although the information contained within the monthly reports should certainly be made use of when justifying expenditure incurred within the quarter). Rather the information contained should reflect on project progress objectively, highlighting challenges encountered and delays that have occurred as well as results gained.

Contribution to GWP Annual Progress Review Report

The project manager compiles the information of the four Quarterly Project Reports and sends the compilation to the implementer (Global or Regional Secretariat) as a contribution to the Annual Progress

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[5] Currently required for projects under the Water and Climate Programme only

Review (see the GWP Work Programme Management Manual for details). In addition the project manager provides an assessment of results achieved by the project during the year against the targets set in the project logframe. This combined contribution is called the Project Annual Report.

Overall Perspective on GWP reporting

The full list of the GWP documents relating to the GWP Work Programme Management is detailed in the GWP Work Programme Management Manual. The figure below provides an overview with the specific elements relating to project management highlighted in yellow
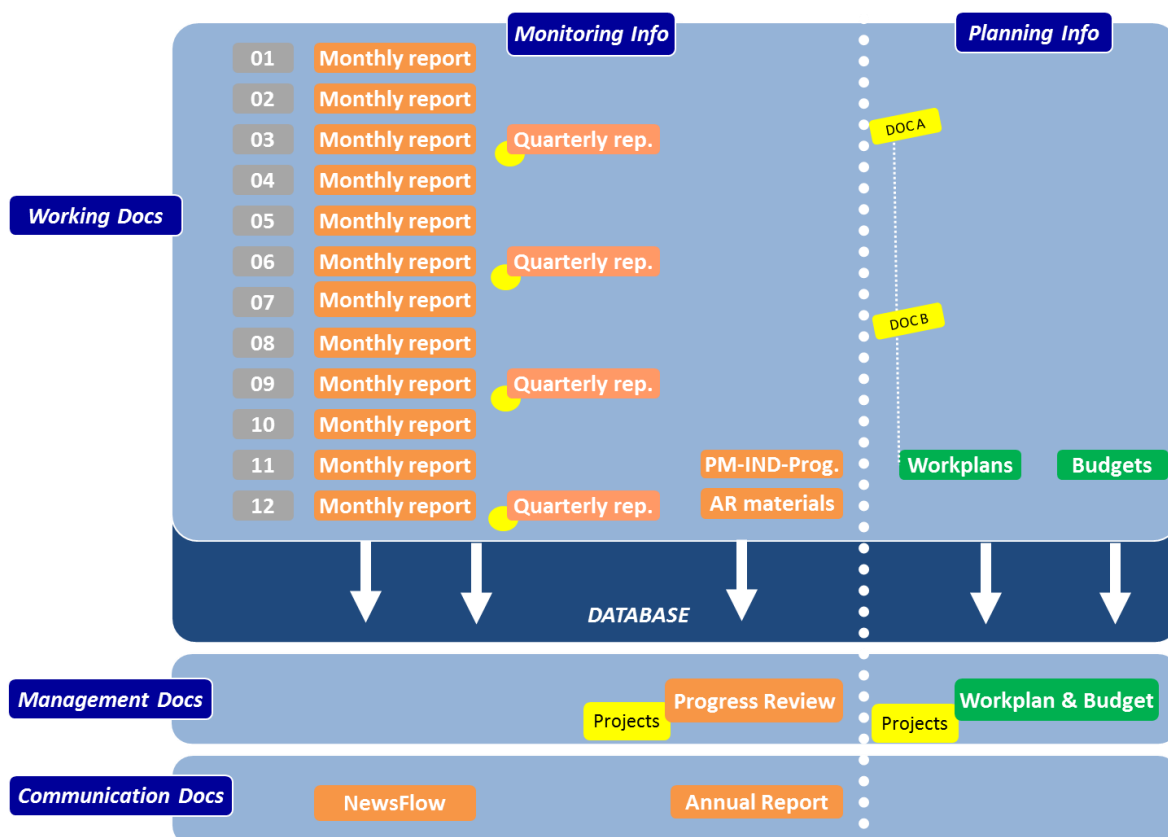

Figure 5: Project documents within the overall set of GWP management documents.

Annexes

1. List of Guidelines and templates

The Thematic Programme Coordination Support Teams oversee the development of a set of documents, available to support project development and management.

The M&E Officer and the Finance Officer, members of the Thematic Programme Coordination Support Teams, ensure that all Guidelines and Templates are fully aligned with GWP overall standards.

These documents are used as:
- guidance and inspiration for the development and management of particular projects within a given programme.
- reference in the review process of project proposals
- management tools during project implementation

The list of documents provided below refers to the full set of templates, guidelines and checklists that exist to support the development and monitoring of projects. It should be noted that each of the documents has been/will be adapted according to thematic programme under which the project is being implemented. The extent to which this has been accomplished to date is shown through the addition of crosses under the different themes listed in the table.

REF.	TEMPLATE/GUIDELINE	DESCRIPTION	GEN	CLIM	FOOD	URB	TB	ENER	ECO
1.	THEMATIC PROGRAMME MANAGEMENT								
1.1	GUIDELINES: Operational Strategy	Provides the strategic framework for developing the portfolio of projects under a given theme.		X	X	X	X		
1.2	GUIDELINES: Generic guidance on the work package framework	Overall guidelines providing generic information on the content of thematic specific work packages.		X					
1.3	TEMPLATE: Quarterly Thematic Overview Report	Standard format for monitoring and reporting financial and narrative progress at the *thematic programme* level		X					
2.	PROJECT DESIGN								
2.1	TEMPLATE: GWP Project Document	Supports project development under a thematic programme while maintaining compatibility with the overall GWP results framework.	X	X					
2.2	TEMPLATE: GWP Project Logframe	Framework for setting project specific targets against indicators derived from the overall GWP Work Programme.	X	X					
2.3	TEMPLATE: GWP Project Budget	Standard format for developing the overall project budget which is compatible with global accounting requirements.	X	X					
2.4	TEMPLATE: ToR for recruitment of project manager	Generic template for preparing a Terms of Reference (ToR) for recruiting a project manager		X					
3.	PROJECT APPLICATION REVIEW								
3.1	CHECKLIST: Project document review	Checklist to support the review of project document submissions as carried out by the Thematic Programme Coordination Support Team		X					

3.2	TEMPLATE: Project review note	Standardised project document review template prepared by the Thematic Programme Coordination Support Team and presented to the Head of Network Operations as the basis for project approval		X							
3.3	TEMPLATE: Content of decisions relating to project approval	Information needed in order to submit decisions for project approval as prepared by Head of Network Operations									
4.	PROJECT REPORTING[6]										
4.1	TEMPLATE: Monthly Project Report	Ref. standard template for GWP entities	X								
4.2	TEMPLATE: Quarterly Project Report	Ref. standard template for GWP entities	X								
4.3	TEMPLATE: Annual Project Report	Ref. standard template for GWP entities	X								

2. Glossary of key terms

Term	Definition
Core income	Income that can be used for any agreed activities in GWPO or the GWP Network in accordance with approved GWP Strategy and workplans. Examples include present core funding by SIDA, Danida, the Netherlands, DFID, etc.
Designated income	Income that is used and accounted for separately for a specific programme, project or activity as stipulated by the donor. Examples include present designated funding by the EC for the SITWA Project.
Earmarked income	Income that comes in as Core but where the donor explicitly or implicitly wants the funds to be used and accounted for primarily for a specific programme, project or activity in accordance with approved GWP Strategy and workplans. Examples include present earmarked funding for WACDEP in Africa provided by Austria.
Project Development – Stage A	The purpose of this stage is to: i. confirm the relevance and feasibility of the project idea; ii. prepare a Stage B Project Implementation document , including the management and coordination arrangements, financing plan, cost-benefit analysis, risk management, monitoring, evaluation and audit arrangements; and
Project Implementation – Stage B	The phase during which the project is implemented, and progress towards achieving objectives and results identified is monitored.
Project Inception phase	The first period of *project implementation* from start-up until the writing of the inception report, often two to three months. The Inception Report is usually the first report produced at the end of the inception period, which updates the project design document and/or the terms of reference and sets the implementation work plan for the rest of the project.

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[6] Note: For the full list of standard reporting templates see the 'GWP Work Programme Management Manual'