

Supervision as an appropriate Form of Internal Monitoring within EU Projects

*Possibilities for further Supervision Development
within European Development International
Cooperation Programmess*

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Aims of the presentation

- To explain why Supervision is appropriate as a Form of Internal Monitoring within International Cooperation Development Projects funded by EU.
- To present the application-oriented theoretical framework of Supervision as a form of Internal Monitoring.
- To identify and discuss the problematic issues related to the implementation of supervision as a form of Internal Monitoring within EU funded development projects.

Sustainable development

„Development that meets the needs of the present without compromising the ability of future generations to meet their own needs” (World Commission on Environment and Development (WCED). Our common future. Oxford: Oxford University Press, 1987 p. 43.)

- comprises three different spheres of action which have to be considered in equal measure on politic and policy level and should complement each other: **economic, social and environmental**;
- The connection and complementation among these three spheres is enabled through the **European Strategy for Sustainable Development**, adopted in 2001 and revised in 2009 (Commission of the European Communities, 2001).

EU Strategy for Sustainable Development

Guiding principles:

- *promotion and protection of fundamental rights;*
- *solidarity within and between generations;*
- *the guarantee of an open and democratic society;*
- *involvement of citizens;*
- *involvement of businesses and social partners;*
- *policy coherence and governance;*
- *policy integration;*
- *use of best available knowledge;*
- *the precautionary principle.*

EU Strategy for Sustainable Development

Key priority challenges:

1. *Decrease climate change;*
2. *Decrease the harmful effects of transport and regional differences;*
3. *Promotion of sustainable ways of production and consumption;*
4. *Sustainable management of natural resources;*
5. *Decrease the greatest threats to Public health;*
6. *Decrease the poverty and social exclusion;*
7. ***Fight against global poverty.***

EU Strategy for Sustainable Development

- The Strategy clearly defines the **EU international responsibility** for promotion and enhancement of sustainable development outside the EU borders
- The Revision of the strategy from 2009 additionally intensifies the foreign politics of development aid management and delivery, especially from the perspective of **international cooperation and social inclusion**.
- The foreign policy of sustainable development in Countries that are not part of EU is implemented through **Europe Aid – European Cooperation and Development**, which is in charge for the development of European foreign policies and aid delivery through programmes and projects all over the world.

EuorpeAid – European Cooperation and Development

https://ec.europa.eu/europeaid/home_en

- The Commission's Directorate-General for International Cooperation and Development (DG DEVCO) is responsible for designing **European international cooperation and development policy and delivering aid throughout the world.**
- DG DEVCO is responsible for formulating European Union development policy and thematic policies in order to reduce poverty in the world, to ensure sustainable economic, social and environmental development and to promote democracy, the rule of law, good governance and the respect of human rights, notably through external aid.
- EU is providing over 50% of all global development aid thus being the worl leader donor.

Policy of EU for Development Cooperation

Approved in November 2000, with following guiding principles:

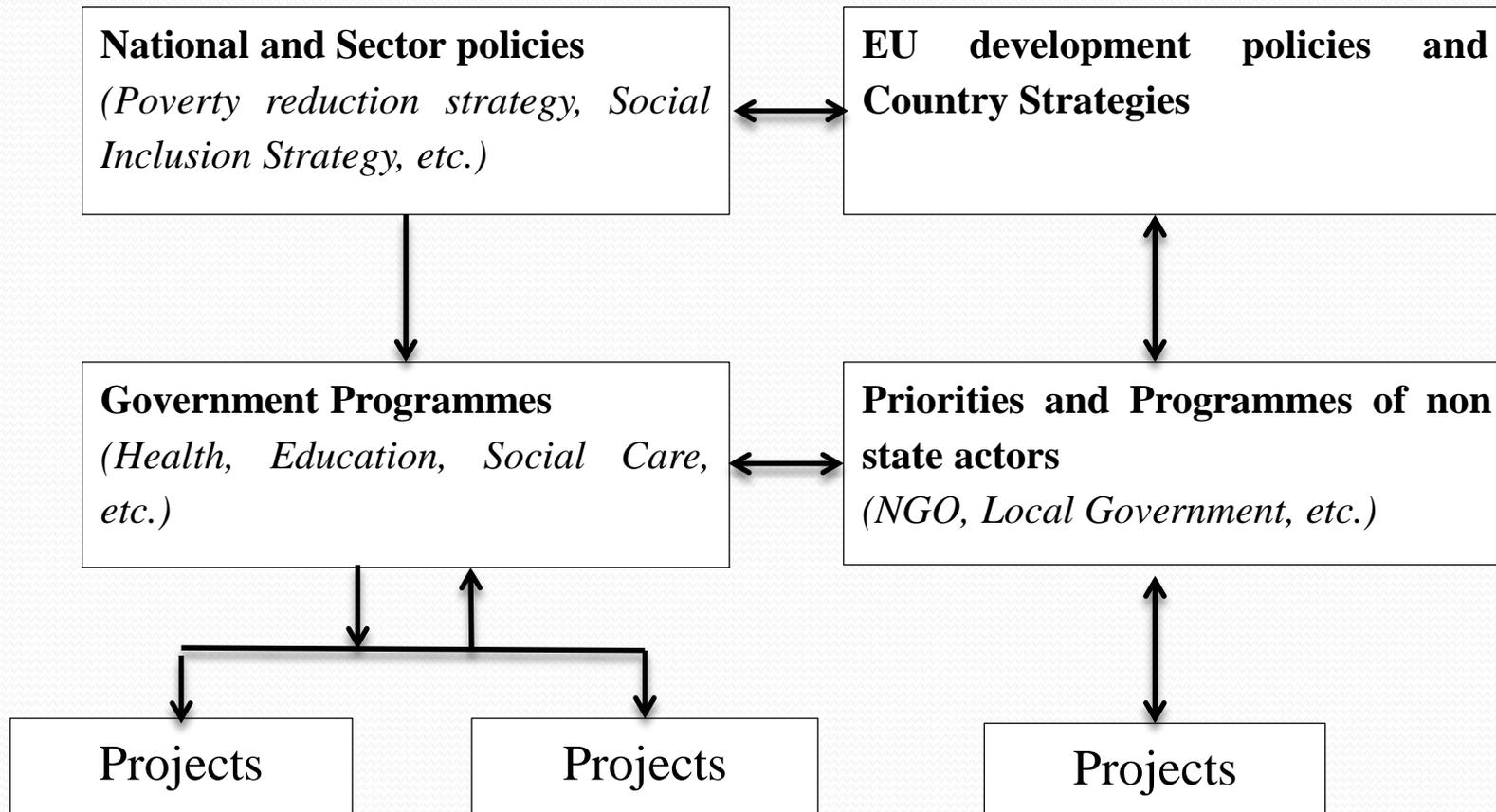
- *ownership by developing countries of their own development and change processes;*
- *increased attention at the **social dimension of growth and development**, with priority to poverty reduction and the needs of vulnerable groups (including children, women and the disabled);*
- *increased focus on ‘results’.*

Policy of EU for Development Cooperation

The main challenges in the implementation of guiding principles:

- *adjusting intervention modalities to promote 'local' ownership and the effectiveness of aid;*
- *more effectively focusing programmes and projects on poverty reduction.*

Relation between Policy, Programme and Project





A **project** is a series of activities aimed at achieving clearly specified objectives within a defined time-period and with a defined budget.

Development projects are a way of clearly defining and managing investments and change processes.

Project Cycle Management (PCM)

PCM is **management of activities and decision-making procedures used during the life-cycle of a project** (including key tasks, roles and responsibilities, key documents and decision options).

PCM helps to ensure that:

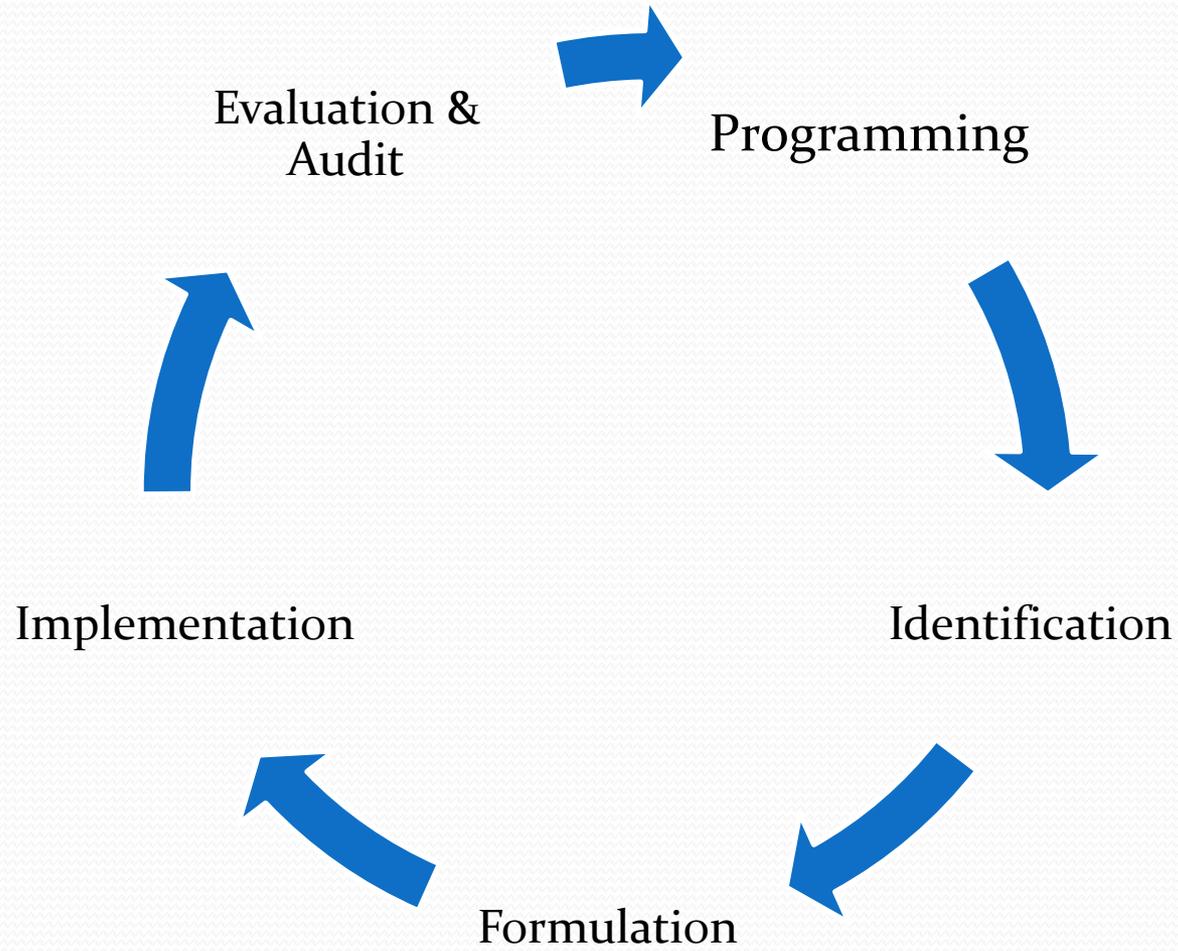
- projects are **supportive of overarching policy objectives of the EC and of development partners**;
- projects are **relevant** to an agreed strategy and to the real problems of target groups/beneficiaries;
- projects are **feasible**, meaning that objectives can be realistically achieved within the constraints of the operating environment and capabilities of the implementing agencies;
- benefits generated by projects are likely to be **sustainable**.

Project Cycle Management (PCM)

To support the achievement of its aims, among other things, PCM:

- requires the **active participation of key stakeholders and aims to promote local ownership;**
- incorporates **key quality assessment criteria** into each stage of the project cycle;

Stages of PCM



Problematic issues

- **Inadequate local ownership** of projects, with **negative implications for sustainability** of benefits;
- The huge number of **different development projects**, funded by different donors each with their own management and reporting arrangements;
- The establishment of separate management, financing and monitoring/reporting arrangements has often undermined local capacity and accountability, rather than fostering it;
- The project approach has encouraged a narrow view of how funds are being used, without adequate appreciation of the 'fungibility' issue.

Ownership and Participation

- **Local ownership** of development programmes and projects as well as of change and development processes management is a key theme of EC Development policy. **Active participation** is one of the key elements for enhancing ownership of local stakeholders on their development and change processes.
- Participation and ownership are fundamental to ensuring **relevance, effectiveness and sustainability** of projects (of development and change processes)

Ownership and Participation

In PCM Guideliness (EuropeAid, 2004) are clearly defined practical ways of ownership promotion:

- Use participatory working techniques and respect local knowledge and skills.
- Ensure local stakeholders take a lead role in the identification and formulation stages, including use of local expertise/TA where possible.
- Ensure local partners have a lead role in decision making, including as part of management/coordination committee structures.
- Promote *monitoring as a learning process*, not an 'auditing' tool.

Internal Monitoring

- Systematic and continuous collection, analysis and use of management information to support effective decision-making.
- Project progress in terms of expenditure, resource use, implementation of activities, delivery of results and the management of risks.
- Part of the implementation stage of PCM and it is an internal management responsibility, although it may be complemented by 'external' monitoring inputs.

Differences between Monitoring, Evaluation and Audit

	MONITORING AND REGULAR REVIEW	EVALUATION	AUDIT
WHO?	Internal management, at all levels	External, at different levels	External
WHEN?	Ongoing	Periodic, mid term, ex post, ongoing, upon	Ex ante
WHY?	Check progress, manage risks, update/develop plans, develop implementation strategies, etc.	Lessons learnt, inputs for policy review, guidelines for development of project/activity implementation strategy, etc.	Provide assistance and accountability to stakeholders, recommendations for improvement of future actions, etc.

New tendencies in monitoring development

- The document “*Strengthening project internal monitoring*” (Europe Aid, Reference document number 3: European Commission: 2007) clearly points out the need of rethinking the general aims and purposes of Monitoring, focusing more on **enhancement of local ownership and participation** in development and change processes management.
- Besides primary „audit” function of monitoring, two other new functions emerge: the **educative and the supportive** one.

Functions of Monitoring and Supervision

FUNCTION	MONITORING	SUPERVISION (Kadushin, 1985)
Educative	Capacity building of project team members, stakeholders and beneficiaries (PCM, management of changes and development processes, etc.)	Professional development and improvement of skills and competencies.
Supportive	Empowerment and supervision of strategic management of project activities and of its political dimension. Supervision of problems occurred during all of the stages in PCM.	Supervision of cognitive and emotional dealing with professional problems, provides a different perspective on the everyday working practice problems.
Administrative	Supervision of the quality of professional work (planning and implementation of project activities, achievement of specific results, prevention of risks, reporting, etc.)	Supervision of the quality of professional work, evaluation of the work of professionals within an organization/institution in order to improve the Services.

According to the new functions of Monitoring, the following issues should be revisited:

- **Methodology** of monitoring (planning, implementation and evaluation stage);
- The **structure** of monitoring process (planning, implementation and evaluation stage);
- **Competencies and skills** of professionals in charge of monitoring.

Integrative supervision

- Monitoring is a process which implies a range of different situations/issues related to: project implementation and risks management, partner and stakeholders cooperation and collaboration, strategic planning, implementation of project activities, political dimensions of the project, project cycle management, etc.).
- Different aims and tasks of supervision process as well as combination of different supervision and counselling (consulting) approaches lead to the necessity to use **integrative supervision** model in a monitoring process.

Integrative supervision

Characteristics of the Integrative and generic model of supervision (Carroll, 2004):

- It is a-theoretical – it applies across counselling orientations.
- It is a process model – it allows the practitioner to follow supervision as underlying dynamic movement between supervisor and supervisee.
- It is a competency based model – supervisors are provided with a skill base against which they can measure their array of skill.
- It is compatible with developmental models of supervision – allowing opportunities for changing interventions and strategies according to the developmental needs of supervisee.
- It is grounded on the literature of the developmental and social role models of supervision.

Action Research Methodology

- Learning process and process of development and improvement of working practice that connects action and reflection, theory and practice and is based on presumptions of active participation.
- Reason in Bradbury (2001) define action research as participative, democratic process which aims towards development of practical knowledge among community interventions that are founded on participatory principles.
- Stringer (2008) points out that there is a tendency among practitioners of action research the effort to find ways to go beyond individual and local in order to influence social issues and development of policies on regional and national level.
- Lasič (2004) specifies that action research is not a method but a way of organization of a research and working practice. It is a way of organization of innovation processes and of development of new knowledge and changes in everyday working actions.

The structure of supervision process

Depending on the typology of the project and implementation/management structure, the supervision should be conducted at least on **two levels**:

- *Project team level*
- *Coordination Board level*

The supervision process should be organized in **cycles**. Within each supervision cycle different (intensive) supervision sessions with different groups should take place.

The structure of supervision process

Project team level – monitoring of the administrative part of the project:

- Solving of ongoing problems – administrative and strategic project management (including issues related to relations between project team members, and relations of project team with Coordination Board, donor, partners, stakeholders, public relations, etc.).
- Enhancement of ownership and participation, especially through activities of planning of the Coordination Board meetings).

Coordination Board level – monitoring of strategic management of project activities and of its political dimension.

- Monitoring and evaluation of achievement of project aims and results.
- Definition of action plans and project implementation strategies – enhancement of active participation of stakeholders and beneficiaries in change management and development process.

The structure of supervision process

Development project of three year duration should include:

- 9 cycles of supervision
- Each supervision cycle would have intensive supervision sessions and, depending on needs, there could be more sessions with the same supervision group.
- The first cycle should be dedicated to the definition of supervision agreement, aims, tasks.
- In the middle of the project (7th cycle) a mid term evaluation of supervision process will be made which will overlap with the mid term external project evaluation.
- The final cycle (evaluation of the supervision process) would overlap with the final external evaluation of the project.

The structure of supervision process

A single cycle would include three phases of supervisor's work:

1. Preparation (desk) phase – 7 days
2. Field phase - from 7 to 10 days
3. Reporting phase(desk) stage

The structure of supervision process

- *First day* – intensive session with Project team group aimed at analysis and definition of problems.
- *Second day* – intensive session with Coordination Board group aimed at analysis and definition of problems.
- *Third day* – interviews and focus groups with stakeholders, partners, beneficiaries in order to understand better the wide context of project implementation and related problems.
- *Fourth day* – interviews and focus groups with stakeholders, partners, beneficiaries in order to understand better the wide context of project implementation and related problems. Preparation of Supervisor for the upcoming sessions.
- *Fifth day* – intensive supervision session with the Coordination Board group.
- *Sixth day* – intensive supervision session with the Project team group.

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