

Monitoring and Evaluation within ESPA: ESPA Directorate Key Performance Indicators (KPIs)

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ESPA Directorate

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Table of Contents

Table of Contents.....	i
Abbreviations.....	ii
1 Introduction.....	1
2 Understanding the Core Functions and Value of the EPSA Directorate	2
2.1 The EPSA Directorate's Vision, Objectives and Core Functions.....	3
3 Defining Indicators for Each Performance Dimension.....	4
1 Directorate provides intellectual leadership to EPSA.....	4
2 Directorate plans and co-ordinates EPSA communications and knowledge exchange between researchers and research users.....	5
3 Directorate supports capacity strengthening for EPSA researchers to enhance the programme's outcomes.....	6
4 Monitoring and evaluation	7
5 Effective programme management and contributions to programme governance by the Directorate	8

Abbreviations

Abbreviation	Definition
ES	Ecosystem Services
ESPA	Ecosystem Services for Poverty Alleviation
I-PAC	International Programme Advisory Committee
KPI	Key Performance Indicators
PA	Poverty Alleviation
PEB	Programme Executive Board
PMU	Programme Management Unit
ROS	Research Outcomes System
TOC	Theory of Change
ToR	Terms of Reference

1 Introduction

The Ecosystem Services for Poverty Alleviation (ESPA) programme's research will improve the lives of poor people in developing countries by generating knowledge to understand how ecosystem services contribute to the alleviation of poverty. ESPA will achieve both excellent science and development impact.

The Key Performance Indicators (KPIs) detailed in this report give direction to the ESPA Directorate and its activities. The Programme Executive Board (PEB) and the International Programme Advisory Committee (I-PAC) use the KPIs for the purpose of monitoring the Directorate's performance.

The KPIs address the core functions and the measurable 'value-added' functions of the Directorate. The dimensions of performance detailed in this report closely reflect the original Directorate Terms of Reference (ToRs) and the Logical Framework (the programme's monitoring framework). The KPIs also complement the current ESPA Theory of Change (TOC).

Where reporting by the ESPA Directorate already exists that can be used to assess performance, additional KPI-specific reporting will be minimised (i.e. KPI reporting is a sub-set of reporting requirements).

2 Understanding the Core Functions and Value of the ESPA Directorate

The core functions of the ESPA Directorate were first outlined in the tender documents issued by the funders in 2010. These were derived from the ESPA Programme Memorandum, published in December 2009. The Invitation to Tender requested that the Directorate deliver the following main themes:

Responsibilities of the Directorate

“The Directorate will be responsible for driving the intellectual, communications, knowledge management and capacity building components of ESPA. ...

Under the leadership of the Director, the Directorate will be responsible for managing the elements of the ESPA programme listed below, and undertaking a number of key activities to ensure the delivery of ESPA's objectives.

The responsibilities of the Directorate are summarised below.

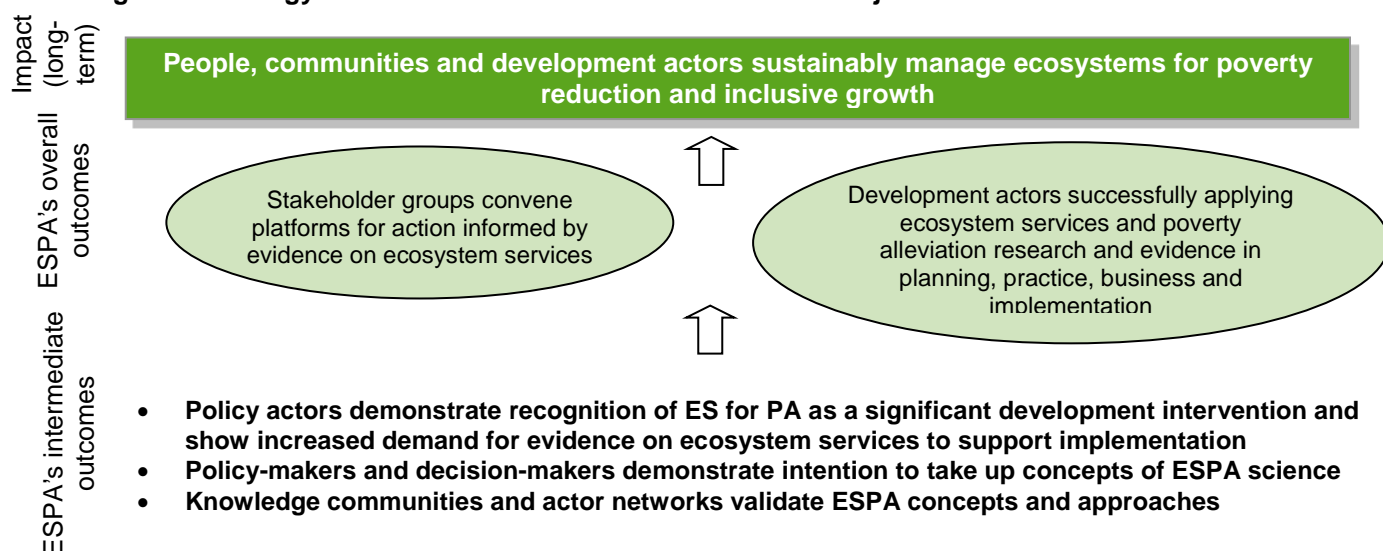
- Management and Governance
- Data Management
- Monitoring and Evaluation
- Liaison
- Promotion and Communication
- Facilitating and Promoting Research into Use
- Supporting Capacity Building Processes
- Integrative Research and Synthesis”

On this basis, the core functions of the Directorate are defined as follows:

- Intellectual Leadership
- Knowledge Exchange
- Capacity Strengthening
- Monitoring and Evaluation
- Management and Governance

Each of these is a dimension of performance which is measured by the Directorate KPIs. Under each of these dimensions, a series of indicators has been identified. A ‘Strategy Tree’ is presented below in Figure 1. The evidence bases that are already being measured and/or reported on through regular programme monitoring have been identified, in order to minimise additional reporting burden.

Figure 1: Strategy Tree of Directorate KPIs in relation to its objectives and ESPA's outcomes



2.1 The ESPA Directorate's Vision, Objectives and Core Functions

The vision of the ESPA Directorate is that ESPA's world-class research will provide new knowledge demonstrating how ecosystem services can alleviate poverty and enhance well-being for the world's poor.

The ESPA Directorate's objectives (derived from the [ESPA Theory of Change](#)) are:

- To support ESPA-funded projects to deliver excellent research in ways that will change lives
- To provide intellectual leadership for the programme by identifying gaps in knowledge and bringing together results from individual projects and wider literature
- To ensure that the programme provides and disseminates the best possible evidence and advice to potential users of ESPA's research
- To establish and grow a community of ESPA researchers and research users to enhance the capacity of ESPA researchers and the relevance, quality and impact of ESPA research
- To develop strategic partnerships with research funders, policy-makers, NGOs and the private sector from around the world to enhance the overall reach and impact of ESPA

The ESPA Directorate's key activities under each of its core functions are:

1. Intellectual Leadership	2. Communication and Knowledge Exchange	3. Capacity Strengthening	4. Monitoring and Evaluation	5. Management and Governance
ESPA knowledge base advanced	ESPA website and Global Forum	ESPA Future Research Leader Fellowships	Programme and project monitoring and reporting	Directorate operational management
ESPA's high quality inter-disc research portfolio	ESPA Regional Opportunities Fund	Guidance and support tools/materials for researchers	Directorate synthesis of programme outcomes	Directorate support for programme governance
Directorate Research	Science events and outreach to ESPA research community			
Influencing the wider research agenda	Knowledge/ Impact Exchange Events			
ESPA Early Career Research Grants	Communication with research users and policy-makers			

3 Defining Indicators for Each Performance Dimension

The Directorate takes a balanced approach to measuring performance. Organisational performance is measured across a range of dimensions, with a stronger focus on the Directorate's core functions.

The core functions of the Directorate are defined in the following sections (sections 1–5).

1. Directorate provides intellectual leadership to ESPA

- **Indicator 1.1:** ESPA Directorate ensures that ESPA's research portfolio advances the knowledge base on ecosystem services for poverty alleviation

Evidence:

1.1.1 Directorate's review of ESPA science identifies emerging research priorities and places ESPA's science in a global context.

Measured: 6-monthly

1.1.2 Directorate reports on its annual knowledge strategy review, which shapes the focus of the ESPA research programme.

Measured: Annually

1.1.3 Directorate reports on their synthesis reviews of the outcomes of ESPA-funded research.

Measured: Annually

- **Indicator 1.2:** ESPA Directorate supports the development and delivery of a research portfolio that is relevant, high-quality and inter-/multi-disciplinary

Evidence:

1.2.1 Directorate reports on its interactions with projects through review meetings and Global Forum events.

Measured: Annually

1.2.2 Directorate reports on its interactions to facilitate inter-/multi-disciplinary collaboration in the ESPA research community.

Measured: Annually

1.2.3 Directorate reports on strategic interactions with key research users and policy-makers on information needs.

Measured: Annually

- **Indicator 1.3:** Directorate and Directorate-commissioned research

Evidence

1.3.1 Directorate reports on the progress and outcomes of research undertaken by Directorate staff or research commissioned by the Directorate.

Measured: Annually

1.3.2 Integrative research and synthesis papers prepared and published as a result of Directorate activities or research commissioned by the Directorate.

Measured: Annually

1.3.3 Number of Early Career Research Grants awarded.

Measured: Annually

1.3.4 Number of outcomes reported through the Research Outcomes System (ROS) by recipients of Early Career Research Grants.

Measured: Annually

- **Indicator 1.4:** ESPA Directorate influencing the wider research agenda

Evidence

1.4.1 Directorate reports on its interactions, joint events or joint funding initiatives with similar research programmes or ESPA-related development programmes.

Measured: Annually

1.4.2 Invitations for the Directorate to present at/share ESPA research evidence and other lessons learnt from the programme with international research and policy processes.

Measured: Annually

- **2. Directorate plans and co-ordinates ESPA communications and knowledge exchange between researchers and research users**

- **Indicator 2.1:** Global Outreach

Evidence

2.1.1 Number, source and target of ESPA website hits, twitter followers and ESPA blog hits.

Measured: Quarterly

2.1.2 ESPA Forum (ESPA researchers, people on the ESPA mailing list, participants at ESPA events) increasing in membership.

Measured: Quarterly

- **Indicator 2.2:** Outreach to the ESPA research community

Evidence

2.2.1 Regular communication to the ESPA research community measured by the number of ESPA Research Newsletters published and the number of recipients it is distributed to.

Measured: Annually

- **Indicator 2.3:** Communication with research users and policy-makers

Evidence

2.3.1 Regular communication to potential users of ESPA research measured by the number of ESPA Highlights Newsletters published and the number of recipients it is distributed to.

Measured: Annually

- **Indicator 2.4:** Knowledge exchange events organised and commissioned by the Directorate or in collaboration with other programmes.

Evidence

2.4.1 Directorate reports on the number of science and impact knowledge exchange events organised by the Directorate, or through work commissioned by the Directorate, and their proceedings and outcomes.

Measured: Annually

2.4.2 Participation levels (record of numbers and representation) for ESPA science and impact events organised by the Directorate or through work commissioned by the Directorate.

Measured: Annually

- **Indicator 2.5:** Directorate publishes knowledge exchange documents or electronic content

2.5.1 Directorate reports on the number and content of impact notes, policy briefs and related publications documenting ESPA research outcomes and impacts prepared and disseminated by the Directorate or through work commissioned by the Directorate.

Measured: Annually

- **Indicator 2.6:** Directorate interactions with potential ESPA research users to exchange knowledge derived from the ESPA programme

2.6.1 Directorate reports on interactions with actual and potential ESPA research users and policy-makers.

Measured: Annually

3. Directorate supports capacity strengthening for ESPA researchers to enhance the programme's outcomes

- **Indicator 3.1:** ESPA Future Research Leader Fellowships Scheme commissioned and managed by the Directorate

Evidence

3.1.1 Number of ESPA Future Research Leader Fellowships commissioned.

Measured: Annually

3.1.2 Number of outcomes reported through ROS by ESPA Future Research Leader Fellows.

Measured: Annually

3.1.3 Directorate reports on the number of capacity strengthening events organised for ESPA Fellows by the ESPA Directorate and their outcomes.
Measured: Annually

- **Indicator 3.2:** ESPA Directorate provides capacity strengthening guidance and support to ESPA researchers and projects covering research methods, project design, inter-disciplinary collaboration, research dissemination and interaction with research users.

Evidence

3.2.1 Directorate's record of capacity building events and materials: topics, participants and download details for electronic materials.
Measured: Annually

3.2.2 Directorate guidance materials for project applicants and grantees updated annually based on feedback of capacity strengthening needs.
Measured: Annually

4. Monitoring and evaluation

- **Indicator 4.1:** Internal programme monitoring and reporting on projects

Evidence

4.1.1 Periodic (6-monthly) reporting of ESPA projects is on time and meets the Directorate's requirements.
Measured: 6-monthly

4.1.2 Directorate reports on their review of ESPA projects' progress reports and outputs submitted via ROS.
Measured: 6-monthly

4.1.3 Directorate reports on liaison visits and meetings with project leaders, project teams and local stakeholders.
Measured: Annually

- **Indicator 4.2:** Effective programme monitoring and risk management

Evidence

4.2.1 Demonstrated progress of the ESPA programme against its work plan milestones and the Programme Monitoring Framework (Log Frame) as reported in Directorate quarterly and annual reports.
Measured: Quarterly (reported annually)

4.2.2 The Directorate's programme risk assessment and management systems are reviewed and maintained at least annually.
Measured: Annually

5. Effective programme management and contributions to programme governance by the Directorate

- **Indicator 5.1:** Directorate management of the ESPA programme (excluding financial management) and its contribution to ESPA's governance.

Evidence

5.1.1 The Directorate's contribution to programme management and governance documented through reports from meetings with the PEB, PMU and the ESPA I-PAC.
Measured: Quarterly (reported annually)

- **Indicator 5.2:** Effective Directorate Operational Management

Evidence

5.2.1 Directorate effectively manages its resources to deliver its work programme as agreed by the PEB and as documented in the Directorate's annual and quarterly reports.
Measured: Quarterly (reported annually)

5.2.2 Optimal staffing complement of the Directorate is maintained with staff management and retention systems in use.
Measured: Annually

5.2.3 The Directorate's quality management systems are applied and processes documented.
Measured: Annually

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