Results-based management and core operating processes at GGGI

Board Presentation
May 2012

GGGI adopted a results-based management approach to align the organization and its activities to focus on improving results. Results-based management provides GGGI with a coherent framework for strategic planning and programmatic activities based on learning and accountability. GGGI's Theory of Change is now encoded in a logical framework.

GGGI has designed and developed a set of core operating processes to support and strengthen its results-based management. These processes provide clarity and structure on decisions-making throughout a project cycle and have two broad categories: Program Processes (PP) and Learning and Performance Processes (LPP).

PP define the mechanics from scoping, through preparation and planning, execution, monitoring, culminating in the closing and completion of a project. LPP, one of the key components to establish GGGI as a learning organization, facilitate the dissemination of knowledge, training, skills and lessons from project work within the organization and with relevant stakeholders outside of GGGI.
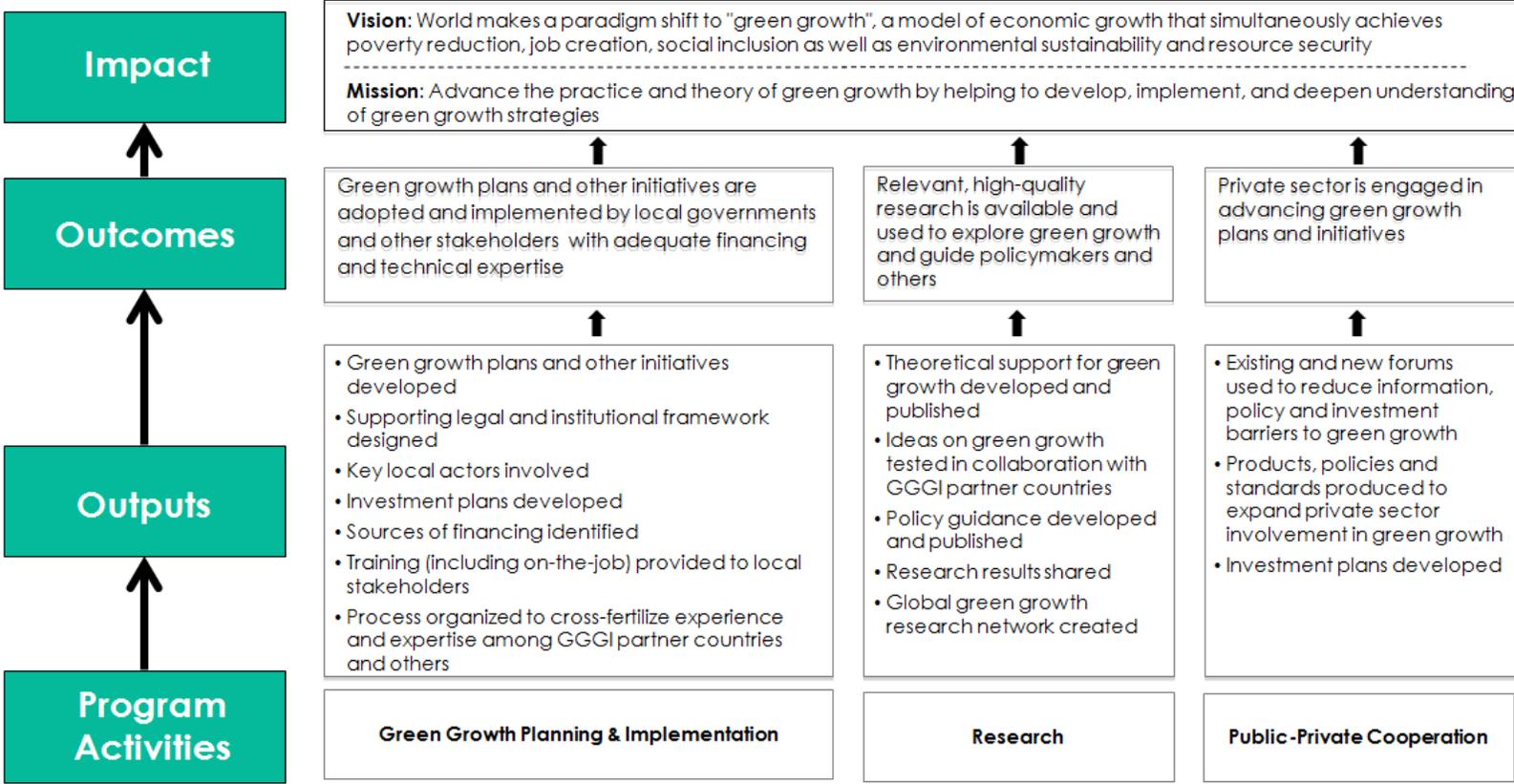
GGGI management and staff are both designer and users of these core operating processes. In collaboration with Dalberg Global Development Advisors, GGGI produced a suite of materials to roll-out these processes, including a comprehensive manual, practical toolkit (e.g., forms and process maps), and user-friendly guidance (e.g., user memos and checklists). Country program directors, and research director in the future, have the overall responsibility for the processes' design, structure, implementation and roll-out.

May 16, 2012 is the "launch date" of GGGI's core operating processes. New programs will adhere to the latest processes afterwards. The launch date also coincides with a full-day mandatory training for GGGI staff, the last session of a series of training workshops since February 2012.

- **Results-based management** provides GGGI with a coherent framework for strategic planning and programmatic activities based on learning and accountability

- **A Theory of Change is encoded in a logical framework**:

Impact	**Vision:** World makes a paradigm shift to "green growth", a model of economic growth that simultaneously achieves poverty reduction, job creation, social inclusion as well as environmental sustainability and resource security ------ **Mission:** Advance the practice and theory of green growth by helping to develop, implement, and deepen understanding of green growth strategies		
Outcomes	Green growth plans and other initiatives are adopted and implemented by local governments and other stakeholders with adequate financing and technical expertise	Relevant, high-quality research is available and used to explore green growth and guide policymakers and others	Private sector is engaged in advancing green growth plans and initiatives
Outputs	• Green growth plans and other initiatives developed • Supporting legal and institutional framework designed • Key local actors involved • Investment plans developed • Sources of financing identified • Training (including on-the-job) provided to local stakeholders • Process organized to cross-fertilize experience and expertise among GGGI partner countries and others	• Theoretical support for green growth developed and published • Ideas on green growth tested in collaboration with GGGI partner countries • Policy guidance developed and published • Research results shared • Global green growth research network created	• Existing and new forums used to reduce information, policy and investment barriers to green growth • Products, policies and standards produced to expand private sector involvement in green growth • Investment plans developed
Program Activities	**Green Growth Planning & Implementation**	**Research**	**Public-Private Cooperation**

GGGI has designed and developed a set of core operating processes to support and strengthen its results-based management

- **Core operating processes enable results-based management by providing clarity and structure on decisions-making throughout a project cycle**
  - Enable projects to systematically develop and track indicators from the inception for learning and reporting
  - Codify the mechanics of project management with procedures on how to select, plan, deploy, manage, monitor, complete and learn from a project
  - Apply to all types of programs (green growth planning and implementation, research and public-private cooperation)

- **There are two broad categories: Program Processes (PP) and Learning and Performance Processes (LPP)**
  - PP define the mechanics from scoping, through preparation and planning, execution, monitoring, culminating in the closing and completion of a project
  - LPP facilitate the dissemination of knowledge, training, skills and lessons from project work within the organization and with relevant stakeholders outside of GGGI
  - These process are *not* intended to restrain project execution and day-to-day activities, which are at the purview of project managers

- **GGGI management and staff are both designer and users of these processes**

Overview of GGGI's Programming Processes (PP)

	PP1: Scoping and set-up	PP2: Project resource deployment	PP3: Project management and monitoring	PP4: Project completion
Objective	*Design, detail and formally launch a new project*	*Identify and allocate the human resources and local partnerships needed for a project*	*Provide a framework to manage the project resources and monitor project progress and results*	*Evaluate a project upon its completion and ensure that ownership is effectively transitioned to counterpart*
Activities	▪ Identify and select projects to pursue ▪ Define project scope, project design and identify key counterparts ▪ Develop workplan ▪ Allocate budgetary resources ▪ Draft and finalize agreement with counterpart	▪ Allocate GGGI staff based on skills and availability ▪ Draft standard invitation to tender to identify external consultant ▪ Draft partnership agreement with local institutional partner	▪ Monitor project progress and adjust project course as necessary ▪ Collect indicators as laid out in the project logframe ▪ Report every 2-3 months on the project progress against the indicators ▪ Review interim/final outputs (i.e., a consultant deliverable) and ensure it meets expectations	▪ Conduct an internal evaluation to assess project results and learnings ▪ Draft a transition report and results monitoring guide in order to facilitate transition of ownership to the project counterpart
Associated processes	Scoping Project design and workplan development (set-up) Counterpart agreement development & approval	Staff deployment Consultant deployment Local institutional partner deployment Staff assignment*	Management of resources Collection of indicators Regular reporting Review of final outputs	End-of-project evaluation Transition of project to counterpart

* *OSP5-X: Staff assignment is an operations support process. It is included because of its close linkage to PP1-A and PP2-A.*

Process name	Description	Documents produced	Key management roles
Scoping	Based on strategic planning process, conduct research to scope potential projects and once approved, allocate resources to design, plan and set it up	• Project scope and description*	Review and approve project scope and description in order to launch project set-up phase
Project design and workplan development (set-up)	Conduct detailed research and analysis on a project in order to develop a develop and approve a project's logical framework, workplan and budget in order to launch to project	• Project proposal* to include: - Project logframe* - Project workplan* - Budget* - Targets for results indicators*	Review and approve project logframe, detailed project proposal and workplan, budgets and targets in order to launch substantive project work
Counterpart agreement development & approval*	Draft, approve and sign a formal agreement with the primary counterpart	• Completed MoU	Review, approve and sign MoU to formalize relationship between GGGI and counterpart

Mandatory forms for all projects

Process name	Description	Documents produced	Key management roles
Staff deployment	Work through HR staff assignment process to assign staff to work on a project	N/A	N/A

Consultant deployment	Submit an invitation to tender for an external consultant and work through HR/procurement processes to identify and contract a well qualified candidate	• Standard invitation to tender (ITT) to include:
		  - Standard financial forms
		  - Standard technical forms
		• Assessment criteria for ITT
			See procurement guidelines

Local institutional partner deployment	Identify a local institutional partner (i.e., research institute, university, etc.) and draft, approve and sign an agreement to formalize the relationship	• Partnership agreement	If requested by the relevant director, management team to review and approve partnership agreement
Staff assignment	Identify and assign staff to projects based on specific requests, availability and specific skills required (HR process, not a program process)	N/A	Review and decide on staffing assignments if there is a conflict in requests or if requested staff is not available

Process name	Description	Documents produced	Key management roles
Management of resources	Monitor project progress and take any necessary decisions to ensure timely project delivery	• Task assignments (optional) • Standard progress update form (optional)	If project is non-performing, review director's recommendation to terminate project. If confirmed, inform Board of decision.
Collection of indicators	Collect indicators regularly to measure project results and outcomes, per the logical framework	• Completed data collection form*	N/A
Regular reporting	Draft and review reports at frequent intervals outlining project progress in achieving milestones	• Quarterly report*	If project is non-performing, review director's recommendation to terminate project. If confirmed, inform Board of decision.
Review of final outputs	Review final outputs of project team to ensure they meet expectations	N/A	Review decision to terminate contract t if director recommends based on review of final outputs. If confirmed, inform Board of decision.

Mandatory forms for all projects

Process name	Description	Documents produced	Key management roles
End-of-project evaluation	Internally evaluate a project at its completion to assess project progress and results achieved	• Evaluation report*	Review report once finalized, discuss lessons learned, and incorporate them into the strategic planning process
Transition of project to counterpart	Guide the transition of a project to a counterpart (or partner), with a focus on ensuring that necessary indicators are collected in the long-term	• Transition report and results monitoring guide (optional)	Jointly review the final transition report with the counterpart and identify areas for further collaboration and cooperation

* Mandatory forms for all projects

Overview of GGGI's Learning and Performance Processes (LPP)

Process name	Description	Documents produced	Key management roles
Internal knowledge capture & dissemination	Share relevant knowledge products and pieces within the organization to encourage cross-project learnings	• Project documents, research, etc.	N/A
Learning, training and skills building	Develop the skills and content knowledge of staff through a defined learning agenda which is aligned with the organization's priorities	• Learning agenda and calendar • Learning report and recommendations (to include summary of individual evaluations)	Participate in and lead training activities Review annual learning report & include lessons in strategic planning
Long-term impact assessment	Hire an external firm/individual to conduct in-depth impact assessment of projects or portfolio of projects	• Impact assessment	Review final assessment report and draft reactions and decide how best to disseminate key learnings
Annual donor and public reporting	Develop annual donor-specific and public domain reports which present GGGI's activities, results achieved and a strategic view for the coming year	• Project-level report* • Board report* (to be separated into a public domain report and donor report)	Review and approve the Board report and draft a note outlining GGGI's role in the sector and upcoming strategy to share with Board. Based on edits from Board discussion, review and approve final report(s)

Mandatory forms for all projects

Notes on Learning and Performance Processes (LPP)

GGGI's learning and performance processes are only one of the components needed to develop a learning organization. Other components include:

a. <u>Clear vision and goals</u> for organizational learning and a "champion" to take it forward

b. <u>Incentives in professional development</u> to encourage learning

c. <u>A dedicated resource</u> focused on developing and implementing the learning agenda in the form of a "learning manager" (or a similar position)

d. <u>IT infrastructure</u> to support knowledge sharing and dissemination

e. <u>Established and accessible networks</u> within and outside the organization to encourage learning

GGGI staff, in collaboration with Dalberg Global Development Advisors, produced a suite of materials to roll-out its core operating processes

Comprehensive Manual

Core Operating Process Manual

Practical Toolkit

Forms

References

Process maps

User-friendly Guidance

User Memos

Checklists

- <u>New programs will adhere to the latest</u> core operating processes after the "launch date"

- Directors of Country Program, Myung Kyoon Lee (Seoul) and Mattia Romani (London), have the <u>overall responsibility and authority</u> for the design, structure, implementation and roll-out of the core operating processes

- Two Senior Program Managers (SPMs), Joo Sueb Lee (Seoul) and Jason Eis (London), are <u>managing the roll-out</u> of these processes

- The launch date also coincides with a <u>full-day mandatory training</u> for GGGI staff, the last session of a series of training workshops since February 2012

Note: In the future, Research Director will share the responsibility on core operating processes with Country Program Directors. The Country Program Directors and SPMs will deliver the full-day training on May 16, 2012. An expert is also invited to share core operating processes implementation experiences from other organizations.