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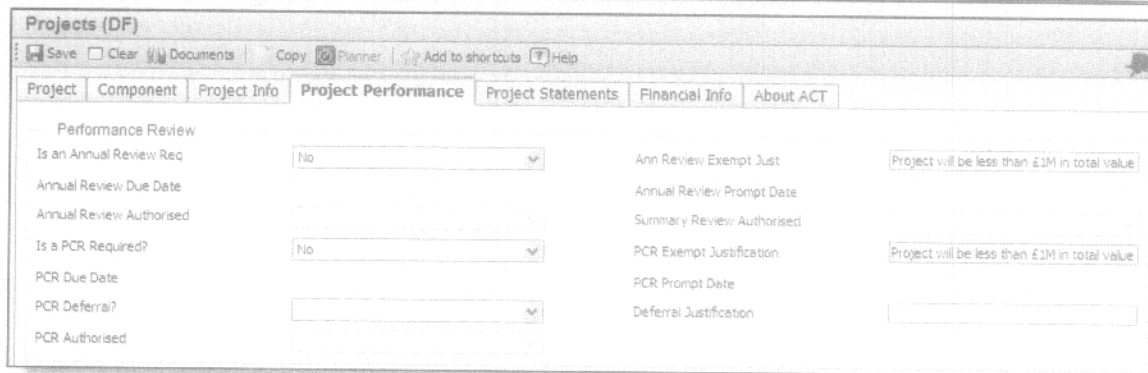# S17 Programme Management and Co-ordination in ARIES

R4 User Guide

Date of Issue 24 August 2009

Version 3.0

DFID Department for International Development

Programme Activities at Stage 0 – Prepipeline

Are Annual Reviews and a Project Completion Report (PCR) required?

At some point prior to **Stage 5 - Implementation**, you must record whether you will be required to record Annual reviews and a Project Completion Report (PCR) for the project.

Although you do not *have to* record this information at the earlier stages, it makes sense to do so to ensure that you do not forget to at a later date, and to allow the system to accurately create necessary prompt dates for future activities.

By default, ARIES assumes that you will be required to record Annual Reviews and a PCR; therefore, if this is the case, you need take no action before you save the project for the first time (see next page).

However, if you do **NOT** need to record Annual reviews and PCRs for the project, carry out the following procedure:

1. In the open project record, click on the Project Performance tab.

2. Click into the first field on this tab, **Is an Annual Review Req?**

3. Select either *Yes* or *No* from the drop-down list.

4. If you select *No*, you must record a valid reason as to why an Annual Review is not required. Type this directly into the **Ann Review Exempt Just** field.

5. Repeat this process for the **Is a PCR Required?** field. Once again if the answer is *No*, record the reason in the **PCR Exempt Justification** field.

> If you have been given offline director-level approval giving an exemption to a project which would normally require ARs/SRs/PCRs, the relevant documentation should be stored in the Project folder in QUEST and the QUEST number can be included in the exemption justification details on the Project Performance tab.

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Programme Activities at Stage 3 – Appraisal & Design

Recording Log Frame Outputs in ARIES

Output Scoring		
	Outputs	Impact Weight %
☐	Decrease in Malaria Infection Rates	80
☐	Less Malaris patients at hospitals	20

➕ Add   ✖ Delete

Output Performance	Impact Weighted Score	Risk	
2 Likely to be largely achieved	60.00	2. Medium	
1 Likely to be completely... ▾	20.00	2. Medium ▾	✔

The procedure for recording Log Frame Outputs has changed since March 2008. You will obviously need to include your Log Frame Outputs as part of the Project Document.

To record Log Frame Outputs in ARIES:

1. Retrieve the Project Record as shown previously.

2. Click on the **Project Performance** tab.

3. In the **Output Scoring** section click on the ➕ Add button. This will create a new line.

4. Type in a brief description of the first Output you have decided upon in the **Outputs** field.

5. **Impact Weighted %** - In this field type in as a percentage value the importance / impact of this particular output on the project as a whole when compared to any other outputs you have listed – e.g. if you have only one output, the value should be 100%. Alternatively if you have two outputs, the most significant one might have an Impact Weight % of 80% and the other would therefore have a value of 20%. The sum of all the values in this column should always be 100.

6. **Output Performance** – When you are first recording the log frame outputs, ensure that for each line you record **X Too early to be judged.** You are not actually scoring the project at this stage, merely recording the outcomes. When you record the scores for the project later, this can then be amended before the review is sent for approval.

7. **Impact Weighted Score** – This is automatically calculated based on the values you entered for the previous two fields. It will play an important role in the scoring of the project for reviews and at project completion.

8. **Risk** – State the risk of the output not being achieved.

Once you have completed the first output line, enter all other outputs that you have on separate lines. Remember to 💾 Save your changes when finished!

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Programme Activities at Stage 5 – Implementation

Project Scoring for Reviews (Part 1)

Output Scoring				
☐ Outputs	Impact Weight %	Output Performance	Impact Weighted Score	Risk
☐ 5% increase in primary attendance	70	3 Likely to be partially achieved	40.00	2. Medium
☐ 10% increase in teacher numbers	30	2 Likely to be largely achieved	22.50	2. Medium

Project Scoring			
Review Date	28/08/2008	Total Impact Score	75.00
Output Risk		Project Purpose Score	2 Likely to be largely achieved
Purpose Justification		Overall Risk Score	2. Medium

For every type of review that you perform on a project (e.g. Annual Review) you must score the project and provide details of lessons learned. The full details of the scoring and the lessons learned will be in the review document itself which is saved into the QUEST folder. However, you must also record a summary of the scoring details on the Project Record in ARIES. The process is exactly the same for each type of review. There are several sections within the ARIES Project Record that you should complete for each review:

Output Scoring

Having entered Log Frame details into ARIES at the outset of the project, it is now necessary to enter Output Performance details, which will have been a part of any review. At this point, the previously entered Output Performance values of *X Too Early to be Judged* should be changed to reflect the actual scores given in the review.

The established 5 point sliding scale is used and you are presented with 5 options in the dropdown list:
- 1 Likely to be completely achieved
- 2 Likely to be largely achieved
- 3 Likely to be partially achieved
- 4 Likely to be achieved to a limited extent
- 5 Unlikely to be achieved

Project Scoring

Complete the following fields:

1. **Review Date** – Enter the date of the review using the calendar button.
2. **Total Impact Score** and **Output Risk** will be automatically populated from the Outputs section.
3. **Project Purpose Score** – State how likely it is that the Project Purpose will be achieved based on the situation at the time of the review. Choose value from drop-down list.
4. **Purpose Justification** – Provide the reasons/justification for the score given in the Project Purpose Score field. This is free text.
5. **Overall Risk Score** – State the risk of project failure based on the situation at the time of the review. Choose value from drop-down list.

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Programme Activities at Stage 5 – Implementation

Project Scoring for Reviews (Part 2)

Method of Scoring

The next section you should complete for scoring is the **Method of Scoring** section. This will contain basic details about how you scored the project.

1. Click on the [Add] button in this section. This will create a new line.

2. Choose the first method you used for scoring from the drop-down list on the right hand side.

3. Repeat the process for all different methods of scoring that you have used.

Scoring Responsibility

This section should show who is responsible for scoring the project for the current review.

1. Click on the [Add] button to create a new line.

2. Use the drop-down arrow Ⓐ on the right hand side to choose the correct value.

3. You can repeat the process for any extra rows.

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Programme Activities at Stage 5 – Implementation

Project Scoring for Reviews (Part 3)

Knowledge Sharing/Lessons			
☐ Date	Lesson Category		Notes
☐ 30/04/2008	Best Practise/Innovation		Best Practise Notes
☐ 30/04/2008	Project/Program Management		Lessons Learned
☐ 30/04/2008	Working with Partners		Partnerships

☐ Add ☒ Delete ☐ Show Full Notes

Knowledge Sharing / Lessons learned

There are three categories of Knowledge Sharing / Lessons Learned. When reviewing a project you should try to record at least one lesson for each category.

1. Click on the ☐ Add button to create a new line.

2. At the **Date** of the review in the first field. Use the calendar to choose the date quickly.

3. Choose the appropriate **Lesson Category** from the drop-down list. You can choose from:

    a. Best Practise / Innovation

    b. Project/Program Management

    c. Working with Partners

4. Type in the details of the lesson in the **Notes** field.

5. Repeat the procedure for each lesson you need to record.

Once you have finished recording the Scoring data, remember to ☐ Save the Project Record.

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Programme Activities at Stage 5 – Implementation

Annual Reviews (ARs) and Summary Reviews (SRs)

Workflow approval		A

17	WORKFLOW APPROVAL	Send the ESN for Approval
19	WORKFLOW APPROVAL	Send the Project for Prepipeline to Implementation Approval
20	WORKFLOW APPROVAL	Send the Project for Approval
22	WORKFLOW APPROVAL	Send the Project for Re-approval
25	WORKFLOW APPROVAL	(B) Send the Summary Review for Approval
30	WORKFLOW APPROVAL	Send the Annual Review for Approval (C)

There are two instances when you need to send the project record to have a review of the project approved:

a. **Annual Review (AR)** – As the name suggests, a full review of the project is required every year from the date the project first hit **Stage 5 – Implementation**. If the review has not been completed and approved by the due date on the ARIES system, a spending block will be imposed against the project and component and you will not be able to raise requisitions or make payments against then project budget.

b. **Summary Review (SR)** – This should be carried out when an Annual Review is due but you are not ready to carry it out yet. You must carry out the full annual review within six months of the original annual review date, and you cannot record two summary reviews in a row. There will be a spending block imposed if the AR is not then carried out and approved in time.

When a Summary Review is approved 6 months will be added to the AR Due date. When the AR is then done and approved within that 6 month period, one year is added to the new AR Due Date.

Example Scenario:

A Project has an AR Due Date of 31/01/2009, but this deadline is missed. A Summary Review is subsequently carried out and approved on 15/02/2009. The result is that a new AR Due Date is generated by the system – this date is 31/07/2009, i.e. 6 months after the initial AR Due Date.

If the AR is then done and approved on 25/05/2009, the system will generate a new AR Due Date, and it will be in this case 31/07/2010, i.e. 12 months after the *current* AR Due Date.

The process of sending the project record for approval is virtually the same for both Annual and Summary reviews:

1. Retrieve the Project Record and click on Field Help in the Workflow Approval field. (A)

2. Choose the Workflow approval task 25 (B) if you are sending the SR for approval
~ Or ~ Choose Workflow approval task 30 (C) if you are sending the AR for approval.

3. You must then choose the Project Approver for this approval task, usually Head of Department.

4. Finally, click on Save to send the project record into the workflow.

If a Spending Block has been imposed on a project, once the Annual Review or Summary Review is approved, the spending block will automatically be removed.

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Programme Activities at Stage 5 – Implementation

Conditionality Review

Conditionality Review				
Disbursement Suspended	1 - Y		Cause	Conditions not met
Date Suspended	01/05/2008		Consequences	Impact on health

Show Full Cause   Show Full Consequences

There may be projects you are working on with specific conditions linked to the provision of funds. If you have to suspend the funds as a result of those conditions not being met, you must complete the Conditionality Review:

1.   Retrieve the Project Record.

2.   Click on the **Project Performance** tab.

3.   In the **Conditionality Review** section, use the **Disbursement Suspended** drop-down arrow to choose the code *1 – Y*.

> If conditions were applied and disbursement suspended select *1-Y* from the drop down menu. If conditions were attached but not applied select *2-N*, or if no conditions were attached then select *3-Not Applicable*.
>
> See the section in this User Guide entitled Input Initial Project Risk and Conditionality for further information on the definition of Conditionality.
>
> For further, more in-depth information, refer to the **ARIES Project Management Guidance** in the Corporate Performance area on Teamsite.

4.   Cause – Type in a description of the reason for the suspension of funds.

5.   Date Suspended – Use the calendar button to choose the date funds were suspended.

6.   Consequences – Type in a description of the consequences of the suspension.

Remember to [Save] the Project Record after you have made the changes.

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Programme Activities at Stage 5 – Implementation

Sending the Project for Closure

Attr.value	Attribute	Description
35	WORKFLOW APPROVAL	Send the PCR Deferral Request for Approval
40	WORKFLOW APPROVAL	Send the Project for Closure

|< < 1 2 > >|

Close

Once you have reduced the programme budget (taking into account outstanding committed spend), the project is nearly ready to be sent for closure. If a Project Completion Report (PCR) is required for your project (follow the Blue Book guidelines), you must save it into the relevant QUEST folder for the Project, selecting the appropriate Content Type, and declaring it as a record. Then send the Project for Closure.

To send the Project for closure:

1. Retrieve the Project Record.

2. If a PCR is required, store the PCR in QUEST and record the project scores on the Project Performance tab on the Project Record (in much the same way as you would for an Annual Review - see the relevant section in this User Guide).

3. In the Workflow Approval field, choose workflow *40 – Send the Project for Closure.*

4. Select the appropriate Project Approver for this task – the shortlist of available approvers for project closures in ARIES will usually be restricted to just one individual – the Head of Department or Head of Office.

5. Click on the Save button.

> If you are not ready to complete a Project Closure Report, you can request a deferral. To do this, leave the scoring section of the project record blank, and then in the Workflow Approval field, choose the task: *35 – Send the PCR Deferral Request for Approval.* When you save the project record, the request will be workflowed in the normal way. When the deferral is approved, a 3 month extension is added to the PCR due date.

> Note that according to Blue Book guidance, a PCR should be completed for all projects including Programme Based Approaches (PBAs) with an approved lifetime budget of £1 million or more, regardless of project duration.
>
> A PCR must also be completed even where DFID is operating as part of a multi-donor funded project. Performance reports produced by other partners can be used as the basis for the assessment of project performance.
>
> Approval to exempt any such project from the requirement for a PCR should only be given by Head of Department/Overseas Office and will be rare. If an exemption is given, this should be clearly recorded on the Project Performance tab after selecting "No" to the question regarding whether a PCR is required.

Viewing a Project Record

The Project Performance Tab (part 1)

The next tab within the Project Record is the Project Performance tab. Like the Project Info tab, this is divided into various sections, each of which will be explained in the next few pages of this guide.

Performance Review Ⓐ

This section contains information about the Annual or Summary Reviews and Project Completion Report (PCR), as well as justification for exemption or deferral where appropriate. The section includes the following fields:

- **Is an Annual Review Req** – Whether or not an annual review is required. If *not*, then:
- **Ann Review Exempt Just** – will contain the reason.
- **Annual Review Due Date** – contains the date the annual review is due.
- **Annual Review Prompt Date** – The date on which the automatic prompt was/will be sent to the Inputter prior to the Annual Review Due Date, by default 3 months before.
- **Annual Review Authorised** – Whether the project's latest annual review was approved.
- **Summary Review Authorised** – When an annual review is deferred, a summary review must be completed and authorised. This field will contain a "Y" if an Summary Review has been authorised, otherwise the field will be blank.
- **Is a PCR Required?** – Whether the project requires/required a PCR at completion. If *not*, then:
- **PCR Exempt Justification** – will contain the reason.
- **PCR Due Date** – contains the date the PCR is due.
- **PCR Prompt Date** – The date on which the automatic prompt will be sent to the Inputter prior to the PCR Due Date.
- **PCR Deferral** – Whether the project's PCR has been/will be deferred. If so, then:
- **Deferral Justification** – will contain the reason.
- **PCR Authorised** – Whether the project's PCR was approved.

You will notice that for the three "Justification" fields Ⓑ, each one has a scroll bar on the right hand side. If you cannot see all the text in any of these fields, simply click and drag the scroll bar and you will able to view the rest.

Viewing a Project Record

The Project Performance Tab (part 2)

Output Scoring

	Outputs	Impact Weight %	Output Performance	Impact Weighted Score	Risk
☐ Decreased Malaria Infections		80	2 Likely to be largely achieved	60.00	2. Medium
☐ Less Malaria Medication required		20	2 Likely to be largely achieved	15.00	2. Medium

➕ Add ❌ Delete

Project Scoring

Review Date	27/05/2008		Total Impact Score	75.00
Output Risk	ⒶＭedium		Project Purpose Score	2 Likely to be largely achieved ⌄
Purpose Justification	There is a risk that the project will not have as great an impact as was hopep for.			
Overall Risk Score	2. Medium ⌄			

The sections **Output Scoring** and **Project Scoring** relate specifically to the project scoring that occurs as part of the Annual and/or Summary reviews and for Project Completion Reports (PCR). They display the risk of all the outputs not being achieved, as well as the overall risk of the project failing, *at the time of the last review*. The scores are displayed after they have been input, but before it has been approved. Once it is then approved, the scores will be archived.

Output Scoring

This section contains all the outputs for the project and their impact weight set as a percentage of all the outputs. In the example above, there are two outputs, with **Impact Weight %** set to 80% and 20%. There will often be more than one output and the impact weights of each will vary depending on the significance of the output to the project. The total impact weight of all the outputs should always be 100%.

The **Output Performance** column shows how likely it is that the output will be achieved. A calculation is carried out to show the **Impact Weighted Score**. There is then a further calculation based on all the **Impact Weighted Scores** and the risk of each output not being achieved which ultimately provides the total **Output Risk** value Ⓐ in the **Project Scoring** section. Note that the **Impact Weighted Score**, the **Total Impact Score** and the **Output Risk** are calculated fields.

As scoring is not fully completed until each review is due, it is likely that most of the time (in particular before the very first review) the Outputs will be listed with an **Output Performance** score of *X Too early to be judged.*
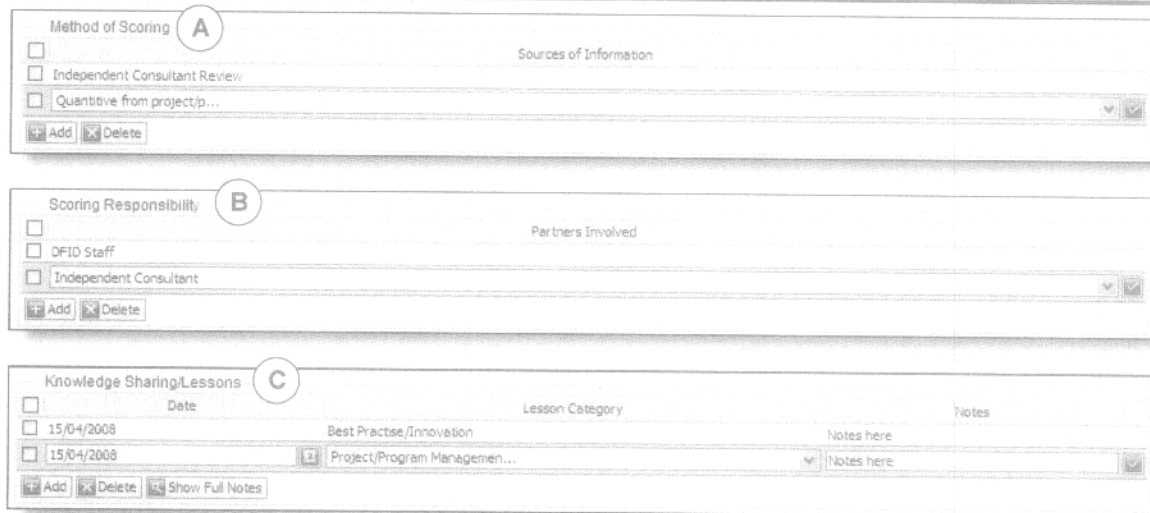
Project Scoring

This section will only show the most recent project scores before they have been approved as part of the Project Review (Annual, Summary or Project Completion Report). Once the review has been approved, the scores will be cleared from this section and all the data will be archived within ARIES Web Reporting in Insight.

- **Review Date** – When the review took place.

- **Total Impact Score** – The impact weighted score of all the outputs combined (automatically calculated)

- **Output Risk** – The risk of the outputs not being achieved.

- **Project Purpose Score** – The likelihood of the Project Purpose being achieved.

- **Purpose Justification** – Text justification for the score recorded in the Project Purpose Score field. Note that if the text entered here cannot all be seen at once, use the scroll bar on the right of the field.

- **Overall Risk Score** – This is the overall risk that the project will not succeed.

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Viewing a Project Record

The Project Performance Tab (part 3)

Method of Scoring (A)

☐
☐ Independent Consultant Review
☐ Quantitive from project/p...

Sources of Information

Add   Delete

Scoring Responsibility (B)

☐
☐ DFID Staff
☐ Independent Consultant

Partners Involved

Add   Delete

Knowledge Sharing/Lessons (C)

	Date	Lesson Category	Notes
☐	15/04/2008	Best Practise/Innovation	Notes here
☐	15/04/2008	Project/Program Managemen...	Notes here

Add   Delete   Show Full Notes

Method of Scoring (A)

In this section you will see a list of the various methods used for scoring the project when there is a review, e.g. Independent Consultant Review. There can be more than one method for each review.

Scoring Responsibility (B)

As the name of the section suggests this shows who was responsible for scoring the project.

Knowledge Sharing Lessons (C)

After each review, the inputter should record all lessons learned up to this point on the project. They fall into three main categories:

- Best Practise / Innovation
- Project / Programme Management
- Working with Partners

For each category, there is a free text **Notes** field for the details of the lesson learned.

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Viewing a Project Record

The Project Performance Tab (part 4)

```
Conditionality Review
Disbursement Suspended        2 - N                    ▼
Cause


Date Suspended                              📅
Consequences




Notes
☐                                     Notes
                          This table is currently empty
➕ Add  ❌ Delete  🔍 Show Full Notes
```

Conditionality Review

This section gives the details of any suspension of funding that has been imposed, based on the failure of the project partner to meet pre-set conditions.

You can see in this section whether the disbursement has been suspended, and when. You can also see the causes and consequences of the suspension.

> 💡 If conditions were not met and disbursement suspended you will see *1-Y* in the **Disbursement Suspended** box. If conditions were met and no suspension took place you will see *2-N*. If there were no conditions, *3-Not Applicable* should be displayed in the box.
>
> If *2-Y* was selected by the Inputter in the Conditionality Review, then the **Cause**, **Consequences** and **Date** will have become mandatory and therefore will have been filled in too.
>
> See the section in this User Guide entitled Input Initial Project Risk and Conditionality for further information on the definition of Conditionality. And for further, more in-depth information, refer to the **ARIES Project Management Guidance** in the Corporate Performance area on Teamsite.

Notes

You can also see a notes section at the bottom of the tab. This will show any notes about the project that are not specific to any other area of the project record. Where the note is too large for the text box, you can use the 🔍 Show Full Notes button.