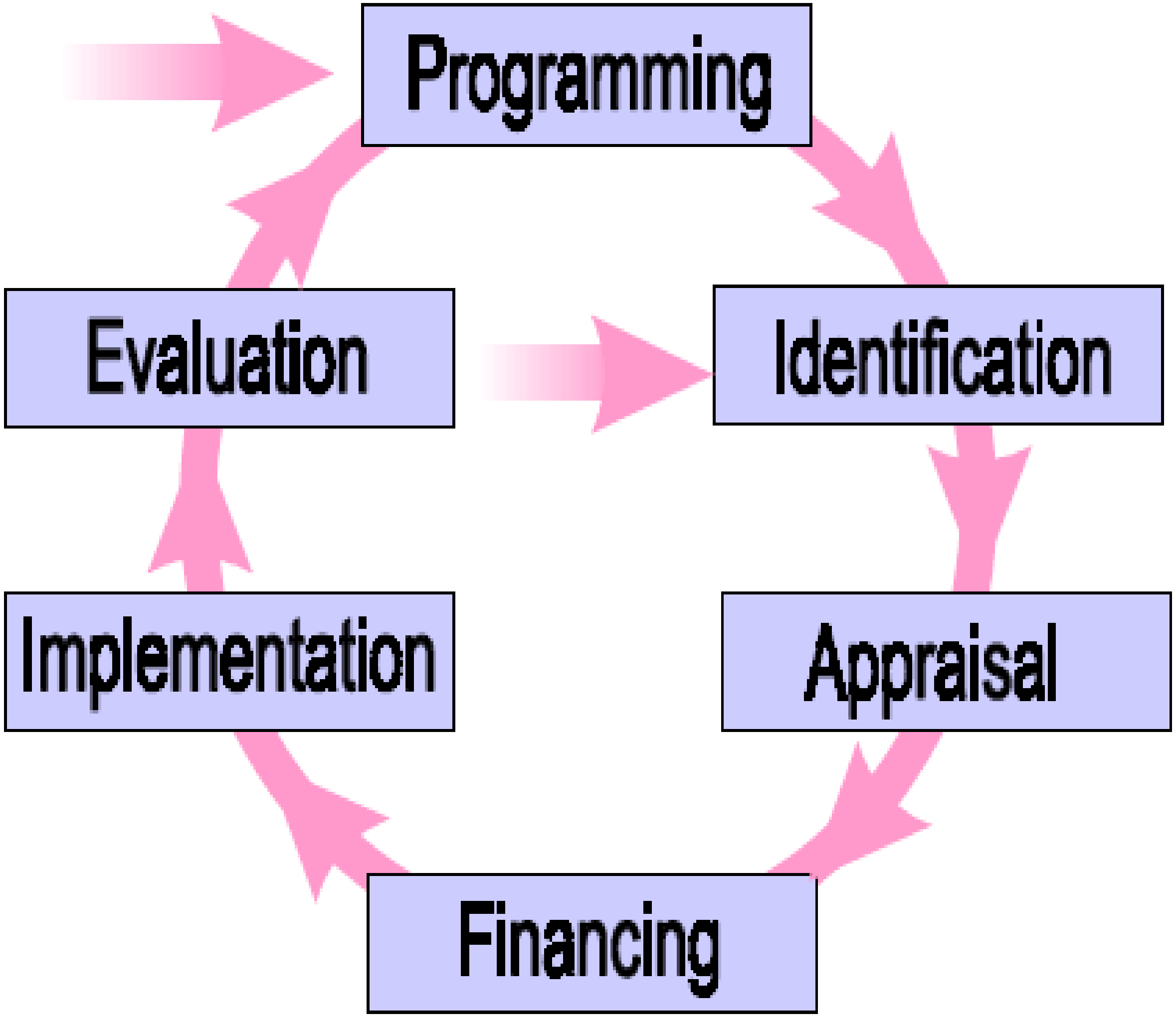
Toolkit for development planners

project cycle management


Programming
Identification
Appraisal
Financing
Implementation
Evaluation

Identifikace – zhodnocení potřeb

IDENTIFICATION To identify what a project will focus on, we need to find out who should benefit and what their needs are. A 'needs assessment' will give an overview of community problems. A 'capacity assessment' will help identify which problem the project should address.

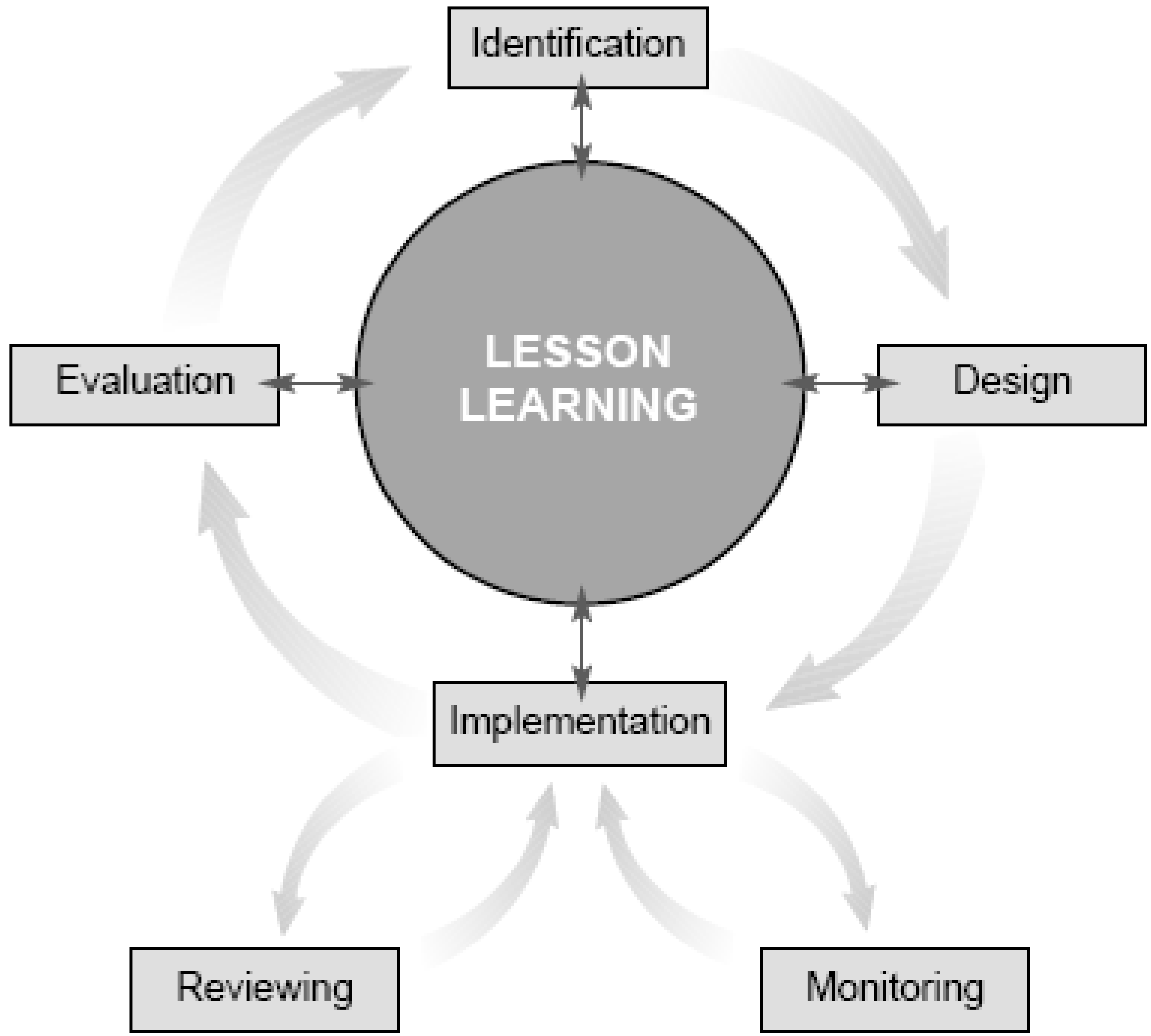
design

DESIGN Once it is decided to go ahead with the project, we can start to think about the detail. This involves carrying out further research into the people affected by a problem and how they are affected by it. We also need to consider the risks to the project and how we will measure the project's performance.

IMPLEMENTATION During the implementation of the project it is important to monitor and review the progress of the project and any outside changes that affect it. The project plans should be adjusted where necessary.

EVALUATION Evaluation should be carried out at or after project completion. Evaluation could be carried out a few months or years after the project has finished in order to assess its long-term impact and sustainability.

LESSON LEARNING While the project cycle is a useful way of outlining the stages of a project, it has one drawback: it makes it look as though one tool follows another. In fact, many of the planning tools can be used at any stage of the project. They should be repeated throughout the project's life to ensure that any changes that might affect project success are accounted for. Findings should also be used for organisational learning and to improve other projects.


Identification
LESSON LEARNING
Design
Evaluation
Implementation
Reviewing
Monitoring

Zásady PCM

- Klíčové rozhodnutí, požadavky a informace jsou definovány v každé fázi
- Fáze projektového managementu jsou progresivní – dokončení předchozí fáze podmiňuje započatí další
- Snaha zapojit evaluaci jsou součást kontinuálního učení

Obstacles to planning

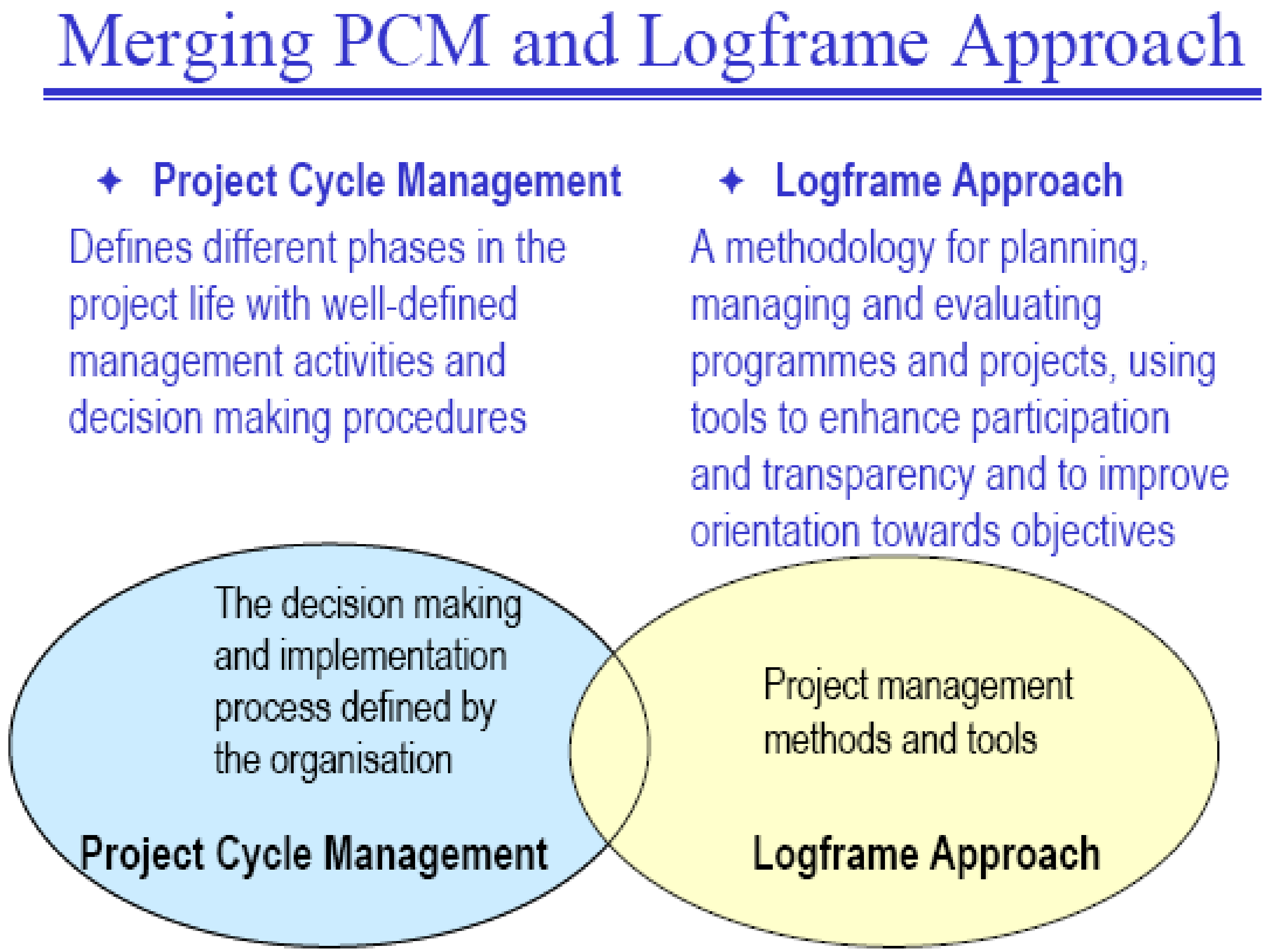
- lack of time, or not making time to plan
- not knowing how to plan
- difficulty in getting the right people together
- finding it difficult to plan because the future is so uncertain
- wanting to do things immediately because the need is urgent, rather than think about them.

Příklady nedostatečného plánování

- Program zlepšení sanitárních zařízení; cílová komunita se domnívá, že průjem je způsobem zlými duchy, proto nechápou důležitost projektu
- Zemědělský projekt zaměřený za zlepšení výnosnosti – úrody; nejchudší neprofitují, protože nemají půdu

- A fisheries project digs ponds, but they do not hold enough water because the soil does not contain enough clay. Not enough technical information was obtained.
- A handicraft project helps people to make shoulder bags. A year later there are large stocks of unsold bags because not enough research had been done into the marketing aspects of the project.
- A project builds latrines, but the women do not use them because the area is badly lit and they fear attack by men. Social and cultural factors have not been taken into account.

Figure 2: Merging PCM and Logframe Approach



Vztah PCM a LFA

- PCM – **rozhodovací a implementační procesy**;
- zajišťuje, že stakeholders – podporují rozhodnutí a že rozhodnutí jsou založena na relevantních informacích
- LFA – **logical framework analysis – metodologie pro řízení, hodnocení a plánování**

PCM tries to ensure that:

1. projects respect and contribute to *overarching policy objectives of the EC* such as respect of human rights, poverty alleviation and to *cross-cutting issues* such as gender equality, protection of the environment (relevance to and compatibility with theses issues in the broad sense);
2. projects are *relevant* to an *agreed strategy* and to the real problems of target groups / beneficiaries;
3. projects are *feasible*, meaning that *objectives* can be realistically achieved within the constraints of the operating environment and the capabilities of the implementing agencies;
4. *benefits* generated by projects are *sustainable*.

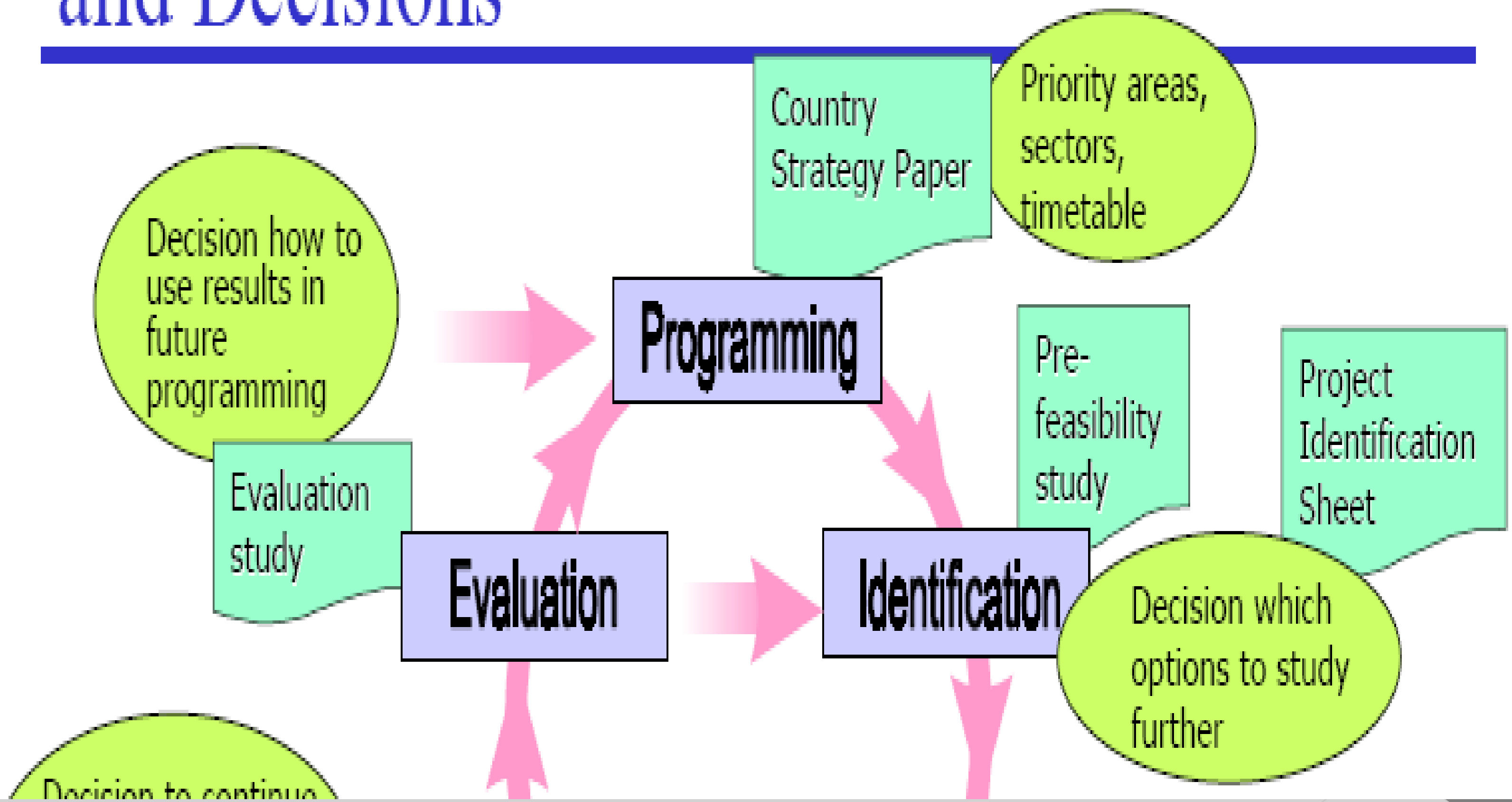
For that purpose, PCM

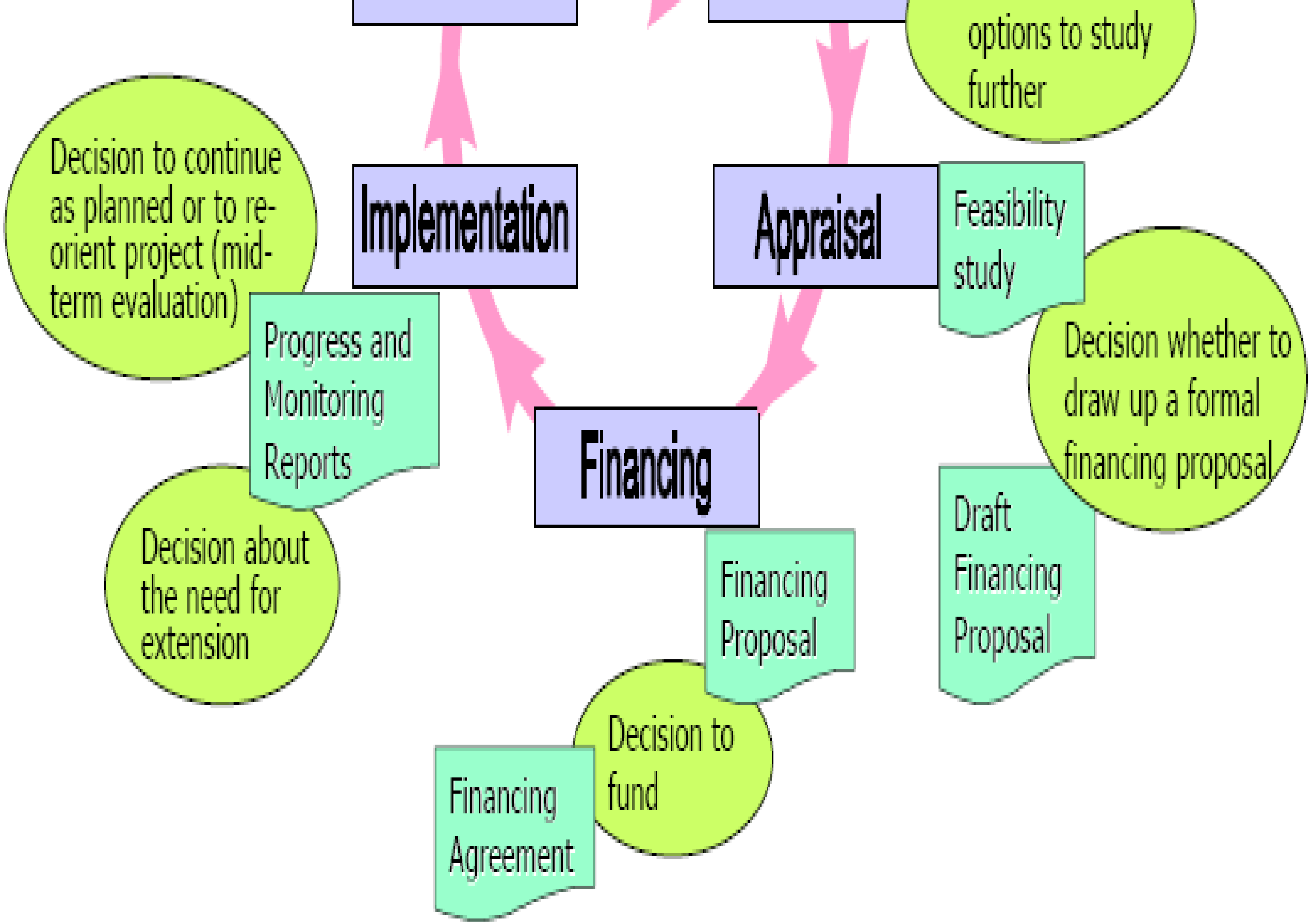
1. uses the *Logical Framework Approach* to analyse the problems, work out suitable solutions – i.e. project design, and successfully implement them.
2. requires the production of *good-quality key document(s)* in each phase, to ensure structured and well-informed decision-making (integrated approach).
3. requires consulting and involving *key stakeholders* as much as possible.
4. puts emphasis on a clear formulation and focus on one Project Purpose, in terms of *sustainable benefits for the intended target group(s)*.
5. incorporates *key quality issues* into the design from the beginning.

Užití LFA v PCM

- K naplnění cílů PCM je užívána LFA
- Analýza problémů, nalezení vhodného řešení
- Potřeba kvalitních dokumentů v každé fázi k zajištění informačně nasyceného rozhodování
- Zapojování v co největší míře klíčových stakeholders
- Sustainable benefits for the intended target groups

The Project Cycle: Major Documents and Decisions




options to study further
Decision to continue as planned or to re-orient project (mid-term evaluation)
Implementation
Appraisal
Feasibility study
Progress and Monitoring Reports
Decision whether to draw up a formal financing proposal
Financing
Decision about the need for extension
Draft Financing Proposal
Financing Proposal
Decision to fund
Financing Agreement

Project identification

- By talking to different people, we will be able to understand how problems affect people differently. For example, poor access to clean water may affect women more than men because women have to walk a long way to fetch water.
- Circumstances change:
  - There may be new people in the community.
  - There may be new needs.
  - Old needs might have been addressed.
  - Problems might be affecting people differently.
- Needs assessment gives people an opportunity to prioritise their needs, which leads to a more sustainable development project.

Užívejte otevřené otázky

Use open-ended questions such as:

- What are the main problems you face in your area of work?
- What are the main pressures that people in the community face?
- What simple things could be done to improve the situation?

Focus groups

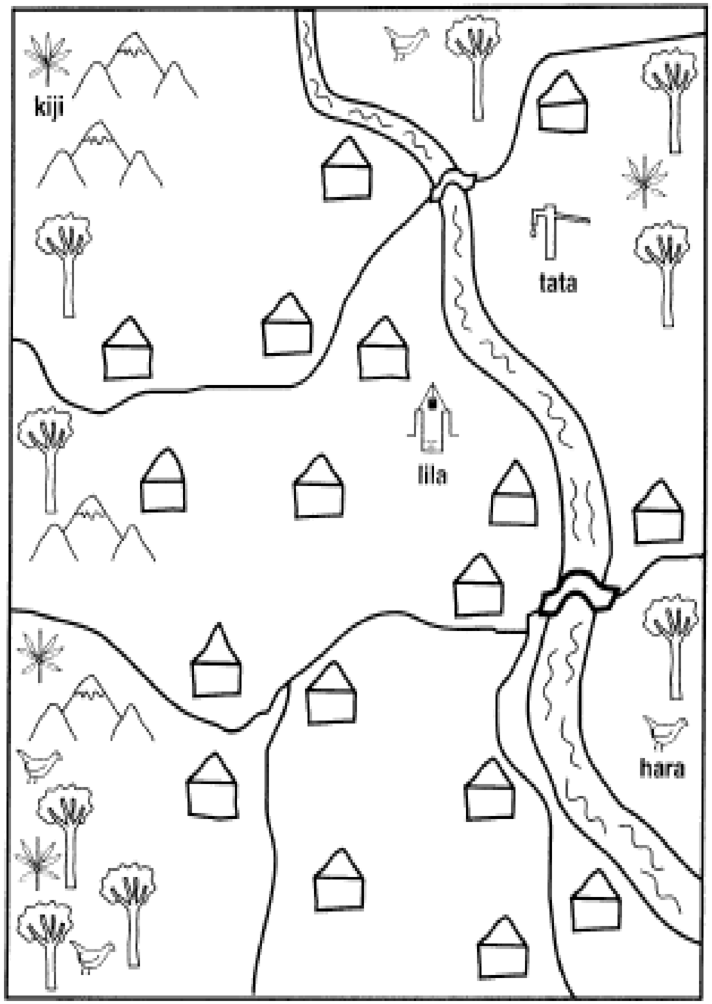
This tool is used with a group of 10–20 people. It helps them to understand and voice some of the problems they face and the needs they have. A focus group enables people with different views to discuss their differences, challenge assumptions and come to a collective understanding of the needs of the community. By exploring issues together from the start, communities start to own the development intervention.

Questions to stimulate discussion could include the following:

- What are the main pressures that people in the community are facing?
- What simple things could be done to improve the situation?
- If you could change one thing in this community, what would it be? Why?

Community mapping

This tool involves community members drawing a map of their community to tell their story together. They draw either on paper or outside on the ground, using whatever resources are available. They are given little guidance of what to include. The important point of the exercise is to discuss what people have drawn. The map might show the natural and physical resources in the area – forests, rivers, roads, houses, wells. It might show important people and organisations.



Once the map has been drawn, encourage discussion by asking questions such as:

- How did you decide what to include? What was excluded?
- What was emphasised? Which are the most important parts?
- What was difficult to represent?
- What were the areas of disagreement?
- What can we learn from the map about the needs of the community?

To gain greater understanding of the issues facing different groups within the community, the groups should work separately. A map by young people may show very different information from that of older women.

Questions for discussion could include:

- What differences are there between the maps?
- Why are there differences?
- How does the information from each map help to make a more complete picture of the community?

Agreeing priority needs

Once the needs have been identified, community members should be given the opportunity to say which needs they feel are a priority. Ask them to group their needs into general issues such as water, health, land and food. It does not necessarily matter how they are grouped, but it is important that people can see how their concerns have been included.

priorities

Once the needs have been grouped, community members can decide which of the issues should be given priority. Write all of the issues onto separate pieces of paper. Community members then place them in order in a line from the most important to the least important. Encourage them to discuss and negotiate with each other and to move the pieces of paper around until they all agree.

Capacity assessment

Communities should be encouraged to use their own capacities and resources to address the problems they face. It is therefore important to carry out a capacity assessment after needs assessment to identify strengths that the community could use to address the problems they identified earlier. The project, if needed, should focus on strengthening the community's capacities to address their problems. By doing this, we are facilitating the community to address their problems rather than addressing their problems for them.

Capacity assessment

HUMAN These enable people to make use of their other resources. They include skills, knowledge, ability to work and good health.

SOCIAL These are based on relationships and include organisations and groups within the community, political structures and informal networks.

NATURAL These form the local environment and include land, trees, water, air, climate and minerals.

Capacity assessment

PHYSICAL These are man-made, such as building, transport, water supply and sanitation services, energy sources and telecommunications.

ECONOMIC These are things that people can use to sustain their livelihoods, such as money and savings, grain stores, livestock, tools and equipment.

SPIRITUAL These include faith, scripture, guidance and prayer.

Use of capacities

Write the capacities onto a large piece of paper and ask community members to identify how they could be used to address the problems identified during the needs assessment. Then ask community members to think about which capacities should be strengthened so that they can start to address their priority problems themselves. This is what the project should focus on.

Decide whether it is realistic for our organisation to strengthen the community's capacity to meet the priority need:

- Does meeting the need fit in with our mission?
- Does meeting the need agree with our values?
- Does meeting the need fit into our strategy?
- Will meeting the need be too risky?
- Do we have enough experience?
- Do we have enough resources?

ASSET TYPE	CAPACITIES
Human	Construction skills Strong self-help tradition Women make local handicrafts
Social	Community centre Church building Local primary school
Natural	River

Physical	Good access to city centre Internet café nearby Water standpipes
Economic	Revolving fund Income from trading in city centre
Spiritual	Servant leadership Unity among church members

Concept notes

Once a need has been identified which a project can address, write a concept note. A concept note outlines the project idea. It does not have to contain a lot of detail and may only be about two pages in length. The reason for writing a concept note before a full proposal is so that our organisation's leadership or a donor can gain an idea of what we hope to do. They can ensure it fits with strategy, check its relevance and quality and give feedback before a lot of time, effort and resources are spent planning the project. If an organisation does not have a process for checking projects at this stage, it should consider setting one up. The members of staff responsible for appraising concept notes should ask the questions at the top of this page.

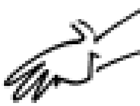
Concept notes

- Outline of the project idea
- 2 pages long
- Purpose – organization or donor can get the idea of what we plan to do a hope to achieve
- CN ensure it fits with the overall strategy
- Check the relevance and quality
- Give feedback

Concept notes should outline:

- background information
- why the project is necessary
- who will benefit from the project
- how they will benefit
- an estimate of both the total budget and the resources needed for design.

Once a priority community need has been identified, we can start to think about how it can be addressed. Project design consists of:



- stakeholder analysis
- research, including problem analysis
- log frame
- risk analysis
- action planning
- budgeting.

Stakeholder analysis

'Stakeholders' are:

- people affected by the impact of an activity
- people who can influence the impact of an activity.

Stakeholders can be individuals, groups, a community or an institution.

Subgroups of stakeholders

Stakeholder groups are made up of people who share a common interest, such as an NGO, church leaders and the community. However, such groups often contain many sub-groups. Seeing the community as one stakeholder group can be meaningless because some people may have very different interests from others in the same community. It may be necessary to divide the community into a number of sub-groups according to aspects such as status, age, gender, wealth and ethnicity. These sub-groups may be affected by the project in different ways, and some sub-groups may have a lot more influence on the impact of the project than others.

Government as stakeholders

It might also be unwise to view the government as one stakeholder group. It may be necessary to list government ministries as different stakeholder groups if they have different, and even conflicting, opinions about a development proposal. Government at national, state and local levels may also have very different interests.

- **USER GROUPS** – people who use the resources or services in an area
- **INTEREST GROUPS** – people who have an interest in, an opinion about, or who can affect the use of, a resource or service
- **BENEFICIARIES** of the project
- **DECISION-MAKERS**
- **THOSE OFTEN EXCLUDED** from the decision-making process.

Stakeholders could belong to one or more of these groups. For example, someone might be a user of a handpump (user group), and also involved in the water user association that manages it (interest group, decision-maker).

Stakeholders are not only those who shout the loudest. Those who are often excluded from the decision-making process due to age, gender or ethnicity are those who are most likely to lose out if they are not included in the project planning. What methods could be used to ensure these stakeholders are involved?

Primary stakeholders

Stakeholders can be divided into two main types:

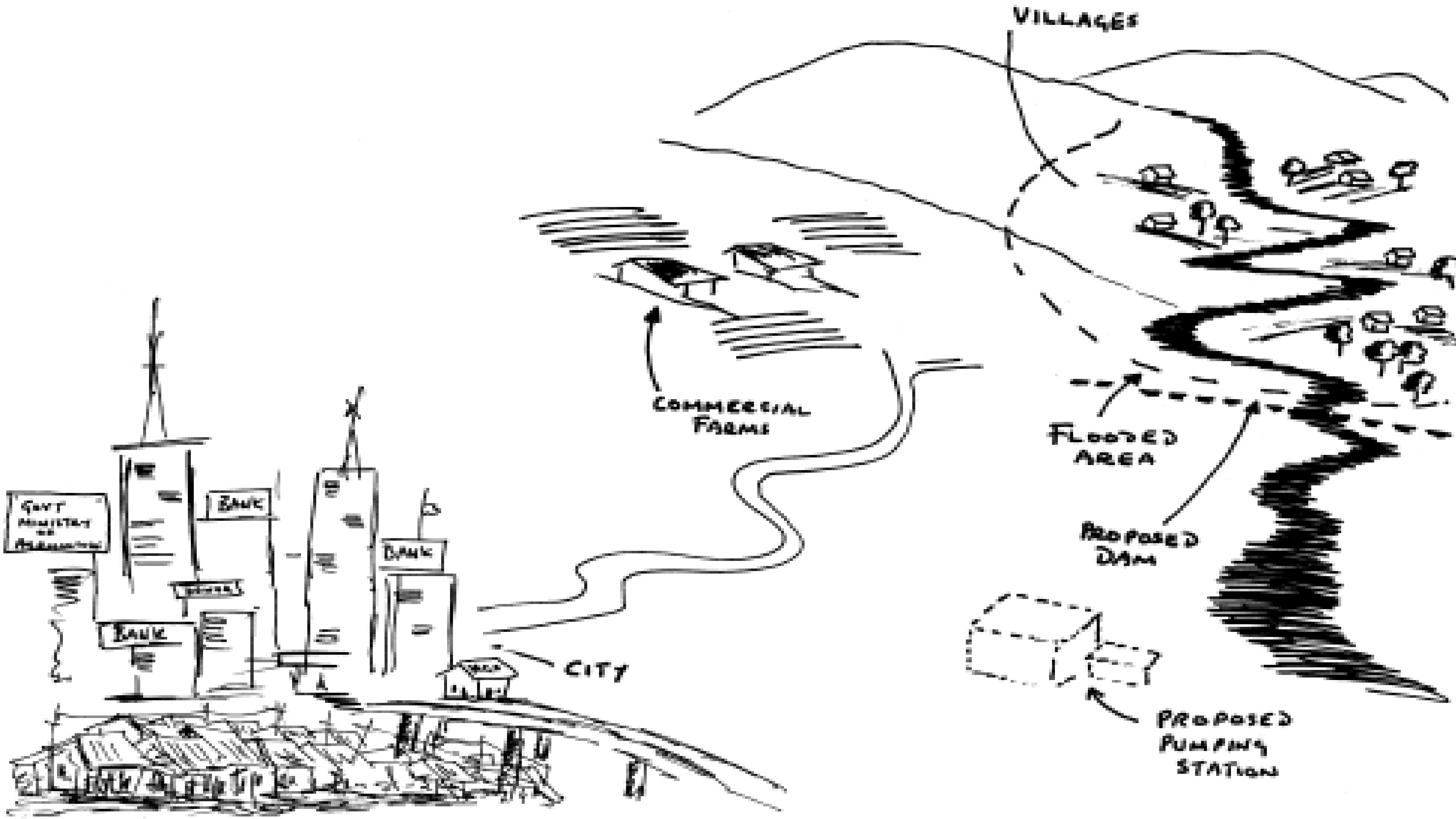
- **PRIMARY STAKEHOLDERS** who benefit from, or are adversely affected by, an activity. This term describes people whose well-being may be dependent on a resource or service or area (eg: a forest) that the project addresses. Usually they live in the area or very near the resources in question. They often have few options when faced with change, so they have difficulty adapting. Primary stakeholders are usually vulnerable. They are the reason why a project is carried out – the end users.

Secondary stakeholders

- **SECONDARY STAKEHOLDERS** include all other people and institutions with an interest in the resources or area being considered. They are the means by which project objectives can be met, rather than an end in themselves.

If stakeholders are not identified at the project planning stage, the project is at risk of failure. This is because the project cannot take into account the needs and aims of those who will come into contact with it.

Study the picture below. Villagers are concerned about a new dam which has been proposed in their valley. The dam will help provide drinking water for the city. It is decided that the project should focus on ensuring that the views of villagers are listened to so that their livelihoods are not adversely affected. Identify the different stakeholders of the proposed dam, saying whether they are primary or secondary.



Stakeholders analysis/podílníků

Stakeholder analysis is a useful tool for identifying stakeholders and describing the nature of their stake, roles and interests. Stakeholder analysis helps to:

- improve the project's understanding of the needs of those affected by a problem
- reveal how little we know as outsiders, which encourages those who do know to participate
- identify potential winners and losers as a result of the project
- reduce, or hopefully remove, potential negative project impacts

- identify those who have the rights, interests, resources, skills and abilities to take part in, or influence the course of, the project
- identify who should be encouraged to take part in the project planning and implementation
- identify useful alliances which can be built upon
- identify and reduce risks which might involve identifying possible conflicts of interest and expectation among stakeholders so that conflict is avoided.

Stakeholder analysis should be done when possible projects are identified. It should be reviewed at later stages of the project cycle to check that the needs of the stakeholders are being adequately addressed.

It is important to be aware that there are risks in doing a stakeholder analysis:

- The analysis is only as good as the information used. Sometimes it is difficult to get the necessary information, and many assumptions will have to be made.
- Tables can oversimplify complex situations.

A community identified their priority need as improved access to safe water and produced the following table.

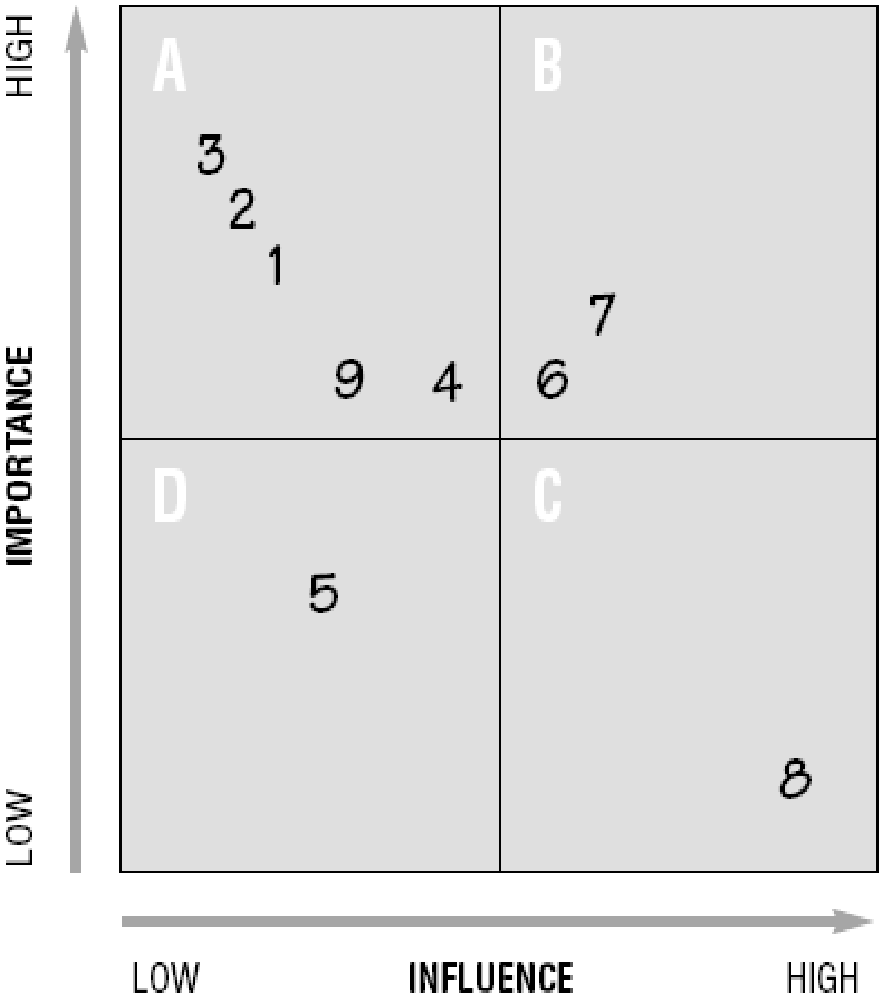
STAKEHOLDERS	INTERESTS	LIKELY IMPACT OF THE PROJECT	PRIORITY
Primary			
Local community	Better health	+	1
Women	Better health	+	1
	Walk less far to collect water	+	
	Opportunity to socialise	–	
	Safety while collecting water	+	
Children	Better health	+	1
	Walk less far to collect water	+	
	Time to play	+	

Secondary			
Water sellers	Income	–	2
Community health workers	Reduced workload Income	+ –	2
Local church	Involvement of church workers in project	+	3
Health NGOs	Better health	+	3
Ministry of Health	Achievement of targets	+	4
Donors	Effective spending of funds Achievement of health objectives	+ +	4

INFLUENCE is the power that stakeholders have over the project.

IMPORTANCE is the priority given by the project to satisfying the needs and interests of each stakeholder.

The community identified their priority need as improved access to safe water, and produced the following table.



PRIMARY STAKEHOLDERS

1 Local community
2 Women
3 Children

SECONDARY STAKEHOLDERS

4 Water sellers
5 Community health workers
6 Local church
7 Health NGOs
8 Ministry of Health
9 Donors

Impact of stakeholders participation

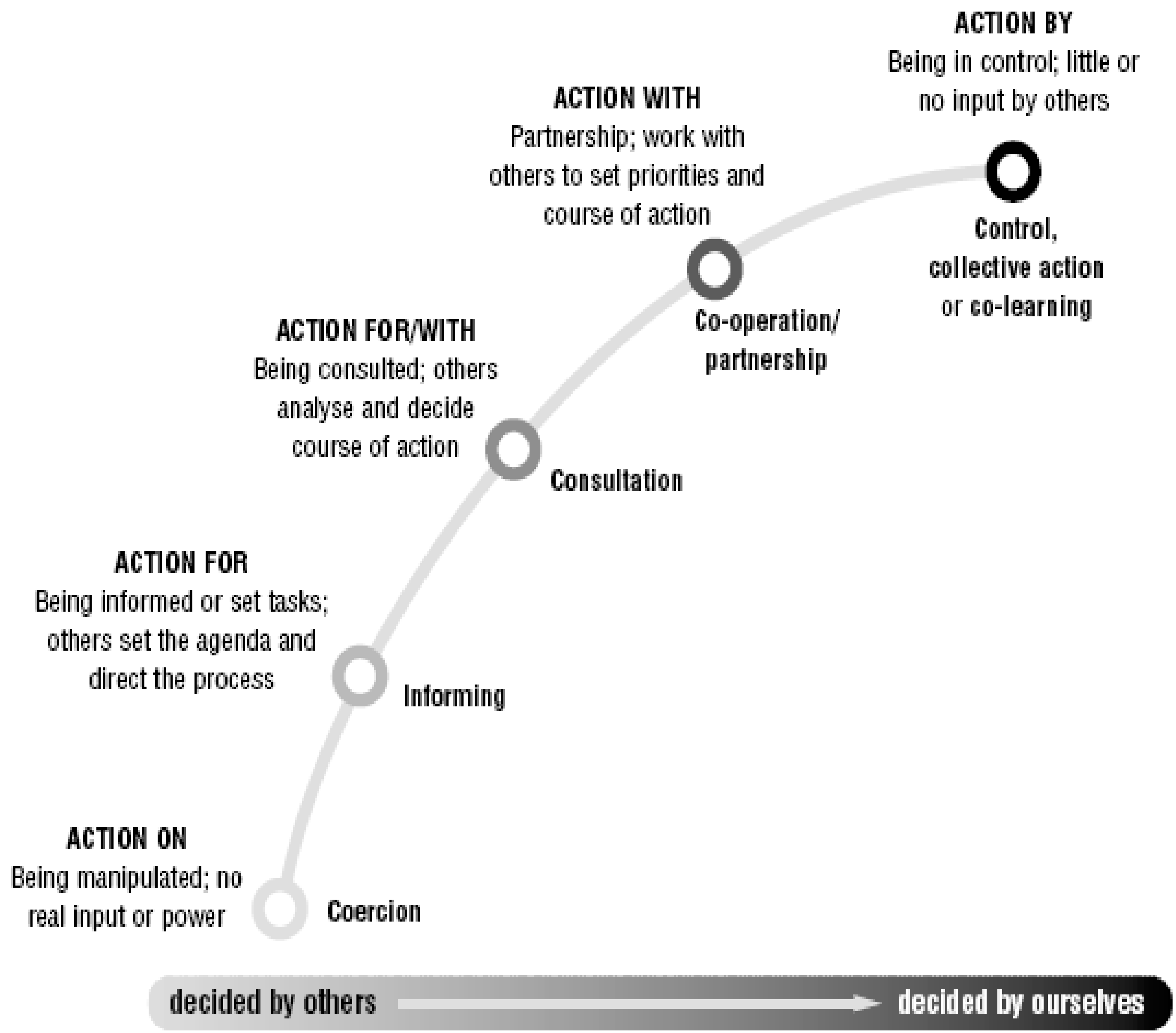
evaluation) is likely to result in:

- **IMPROVED EFFECTIVENESS** Participation increases the sense of **ownership** of the project by beneficiaries, which increases the likelihood of project objectives being achieved.
- **ENHANCED RESPONSIVENESS** If people participate at the planning stage, the project is more likely to target effort and inputs at perceived needs.
- **IMPROVED EFFICIENCY** If local knowledge and skills are drawn on, the project is more likely to be good quality, stay within budget and finish on time. Mistakes can be avoided and disagreements minimised.

- **IMPROVED SUSTAINABILITY AND SUSTAINABLE IMPACT** More people are committed to carrying on the activity after outside support has stopped.
- **EMPOWERMENT AND INCREASED SELF-RELIANCE** Active participation helps to develop skills and confidence amongst beneficiaries.
- **IMPROVED TRANSPARENCY AND ACCOUNTABILITY**, because stakeholders are given information and decision-making power.
- **IMPROVED EQUITY** if the needs, interests and abilities of all stakeholders are taken into account.

Levels of participation

Adapted from *Introduction to the Programme and Project Cycle: training handbook* CIDT (2002) University of Wolverhampton



Participation matrix

		TYPE OF PARTICIPATION			
		Inform	Consult	Partnership	Control
STAGE IN PROJECT	Identification				
	Design				
	Implementation and Monitoring				
	Reviewing				
	Evaluation				

TAGE IN PROJECT	TYPE OF PARTICIPATION			
	Inform	**Consult**	**Partnership**	**Control**
IDENTIFICATION		Health NGOs Donor	Cross section of community	
DESIGN	Donor	Community Women Children Water sellers Health workers	Health NGOs Ministry of Health Local church	Project staff
IMPLEMENTATION AND MONITORING	Donor		Women, children Water sellers Local church Health workers	Project staff

ST	**REVIEWING**	Donor		Women, children Water sellers Local church Health workers	
	EVALUATION	Donor		Ministry of Health Health NGOs Community	

research

- understand the context in which the project is taking place
- understand the causes and effects of the issue that is being addressed
- understand what others are doing in order to avoid duplication and to work together if appropriate
- ensure that the response takes into account all factors and is the most appropriate and effective for the situation
- understand how the context is changing so the response can address potential future needs or prevent problems from arising

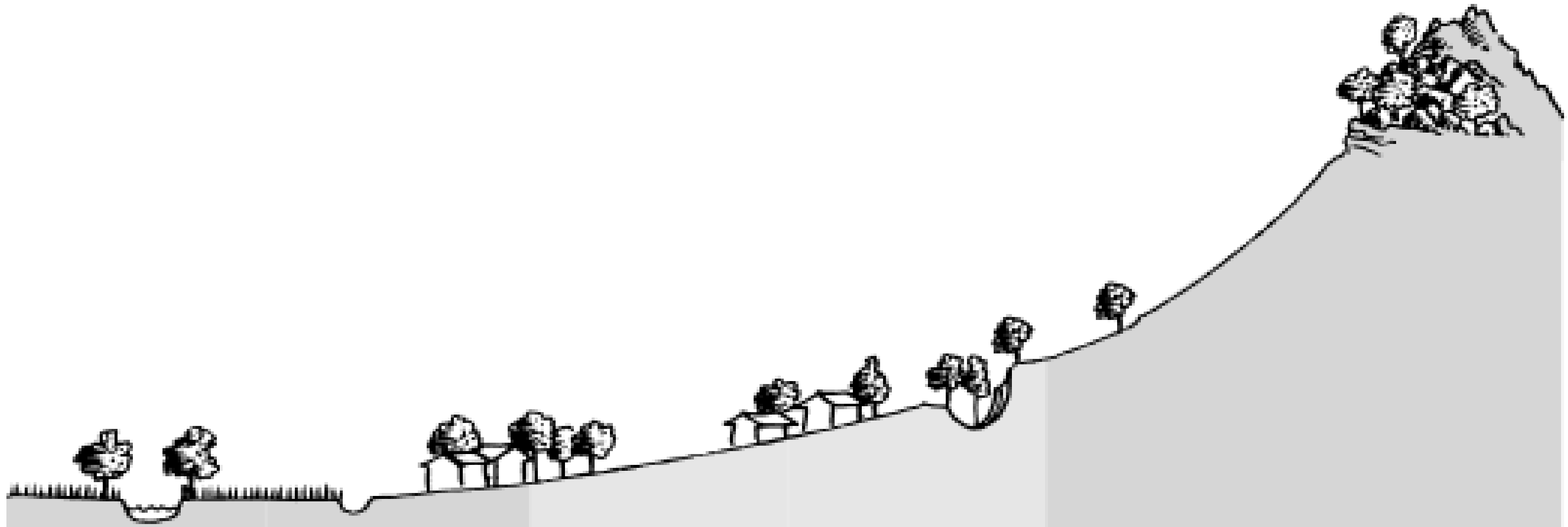
- justify the course of action to our organisation, beneficiaries, donors and others we are working with
- learn from past successes and mistakes
- provide good evidence for the response.

research

- the area's history
- geography, climate, environment, eg: main features, map, communication, area, seasonal problems
- population – numbers, age and sex profile
- social systems and structures – religious divisions, status of women, social institutions

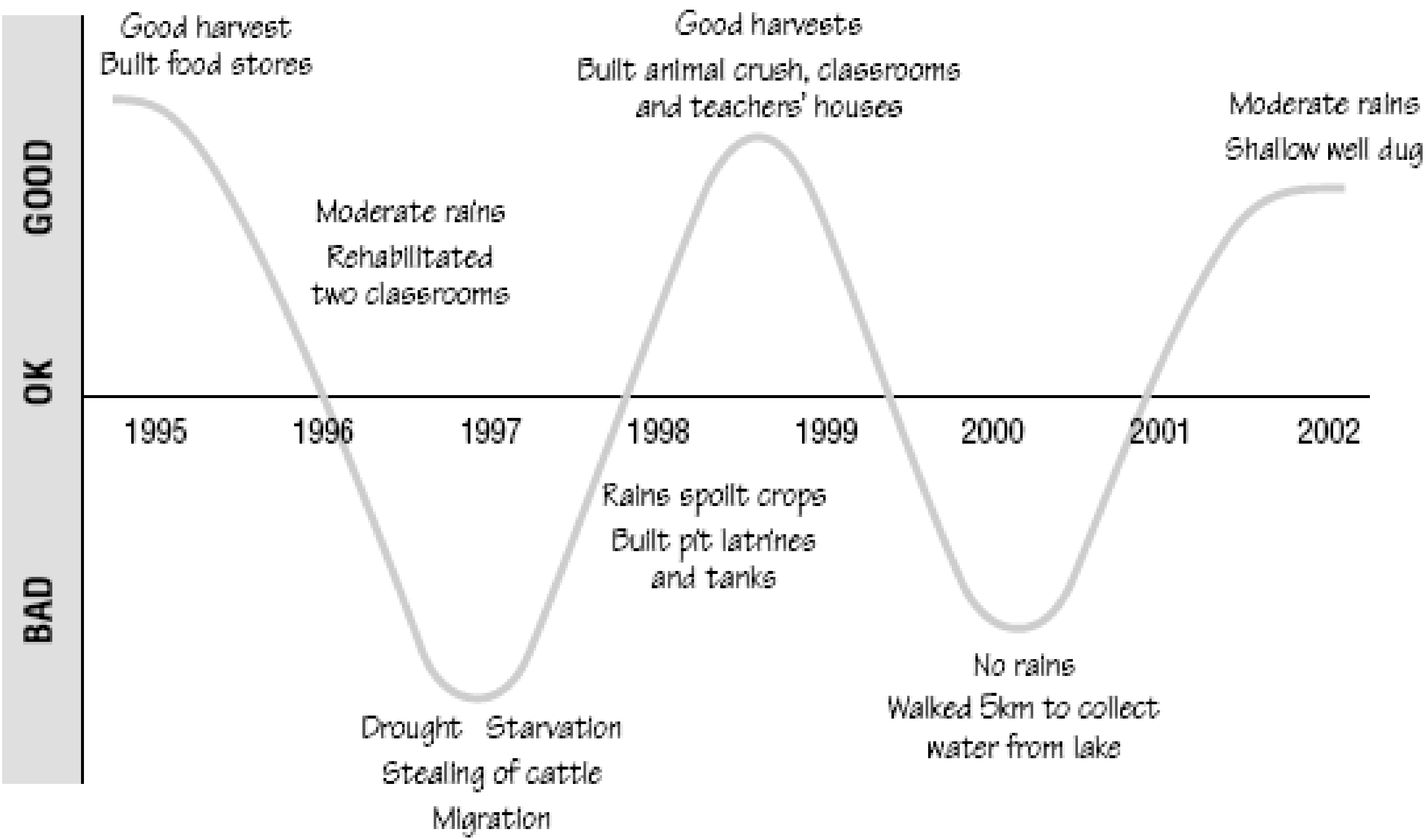
- politics – local political hierarchies; effects of central government, eg: stability, policies on food prices
- religion and world view – religious beliefs, groups and churches
- culture – norms and practices, other cultural groups in the area, languages
- living conditions – types of housing, water and sanitation
- economics – sources of income, crops, landholding, average daily wage
- education – schools, literacy rates
- health – mortality rates, causes of death and illness, local health services
- services and development programmes – government or NGO, community's previous experience.

- **What is the situation now?** For example, if the community has identified water as their priority need, we might want to ask them questions like 'How many people live in the area?', How much water does each person have now?', 'Where does the water come from?', 'How is the water collected now?', 'Who collects the water now?', 'How long does it take to collect the water?', 'How clean is the water now?'
- **How will the need grow? What are the future implications if the need is not met?** For example, 'How many people will be in the area in five years time?'
- **How should things be?** Government departments or books can provide some information. For example, 'How much water does each person need for a healthy life?'
- **What possible improvements could be made?** This might involve approaching government departments and technical experts. The community should also be given an opportunity to put forward options. For example, 'What other sources of clean water are available in the area?', 'Who owns or controls the other sources?', 'What technical options are there?'
- **What other local organisations are working on the issue?** Who are they? Can we work together?



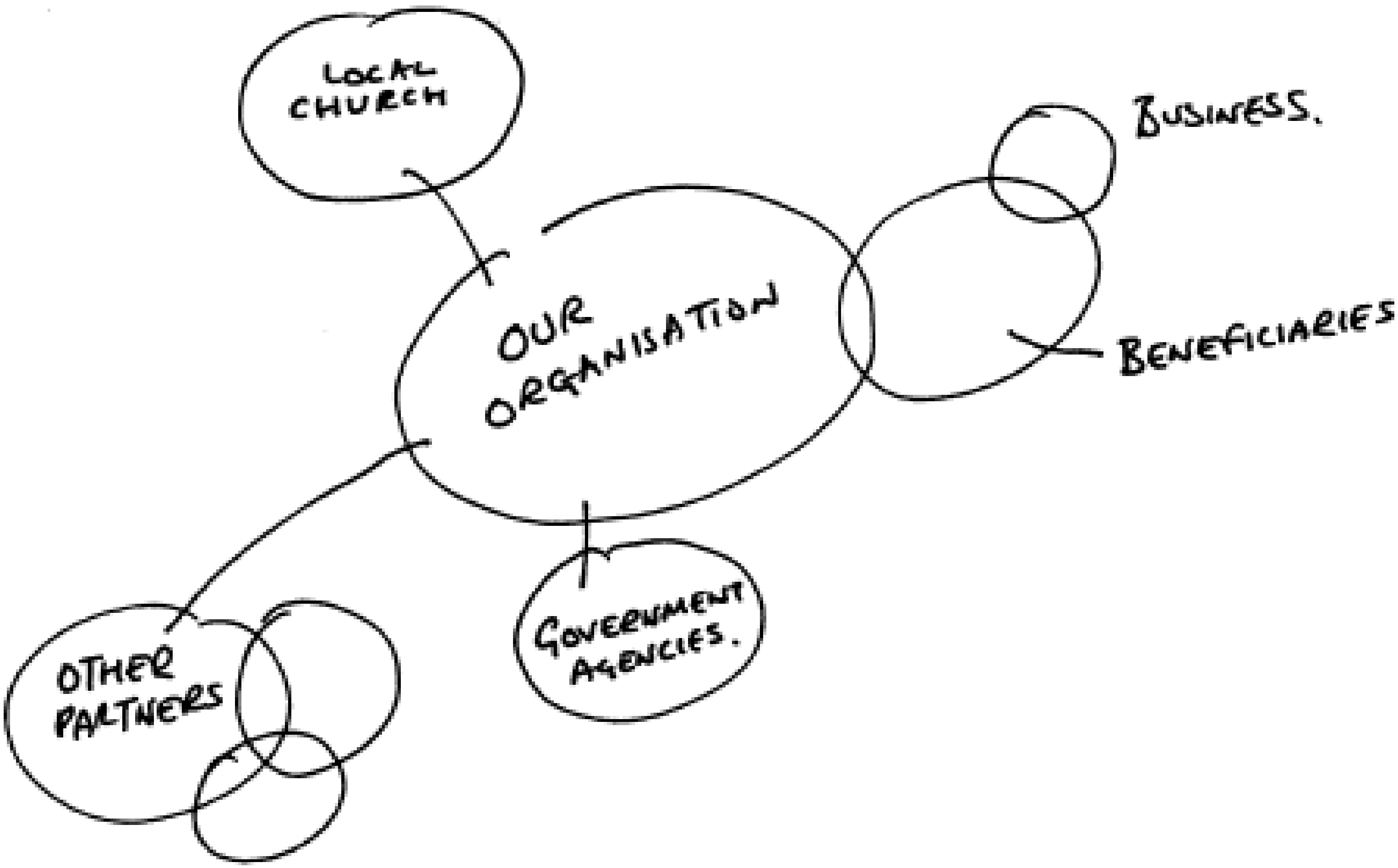
	Lower slope	Middle slope	Mountain
Crops	• sorghum • maize • pigeon peas	• sorghum • maize	• trees
Land use	• farming • grazing	• farming • grazing	• grazing • cutting trees
Problems	• land shortage	• erosion • low soil fertility • no nearby water	• deforestation
Opportunities	• paid labour on estates • tree nursery	• erosion control • use of manure • tree planting	

Time line

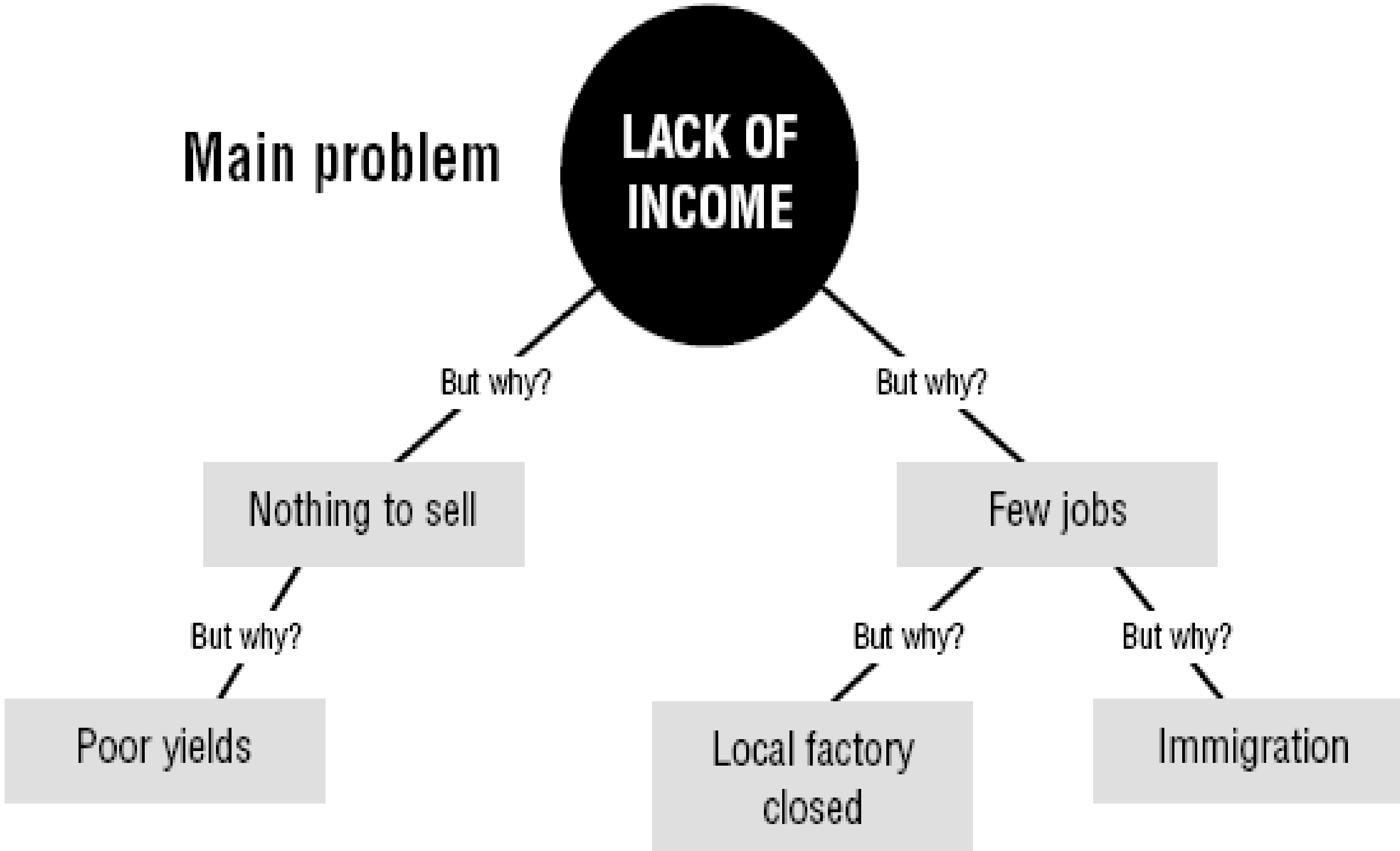


GOOD
OK
BAD
Good harvest
Built food stores
Moderate rains
Rehabilitated two classrooms
Good harvests
Built animal crush, classrooms and teachers' houses
Moderate rains
Shallow well dug
1995
1996
1997
1998
1999
2000
2001
2002
Rains spoilt crops
Built pit latrines and tanks
Drought Starvation
Stealing of cattle
Migration
No rains
Walked 5km to collect water from lake

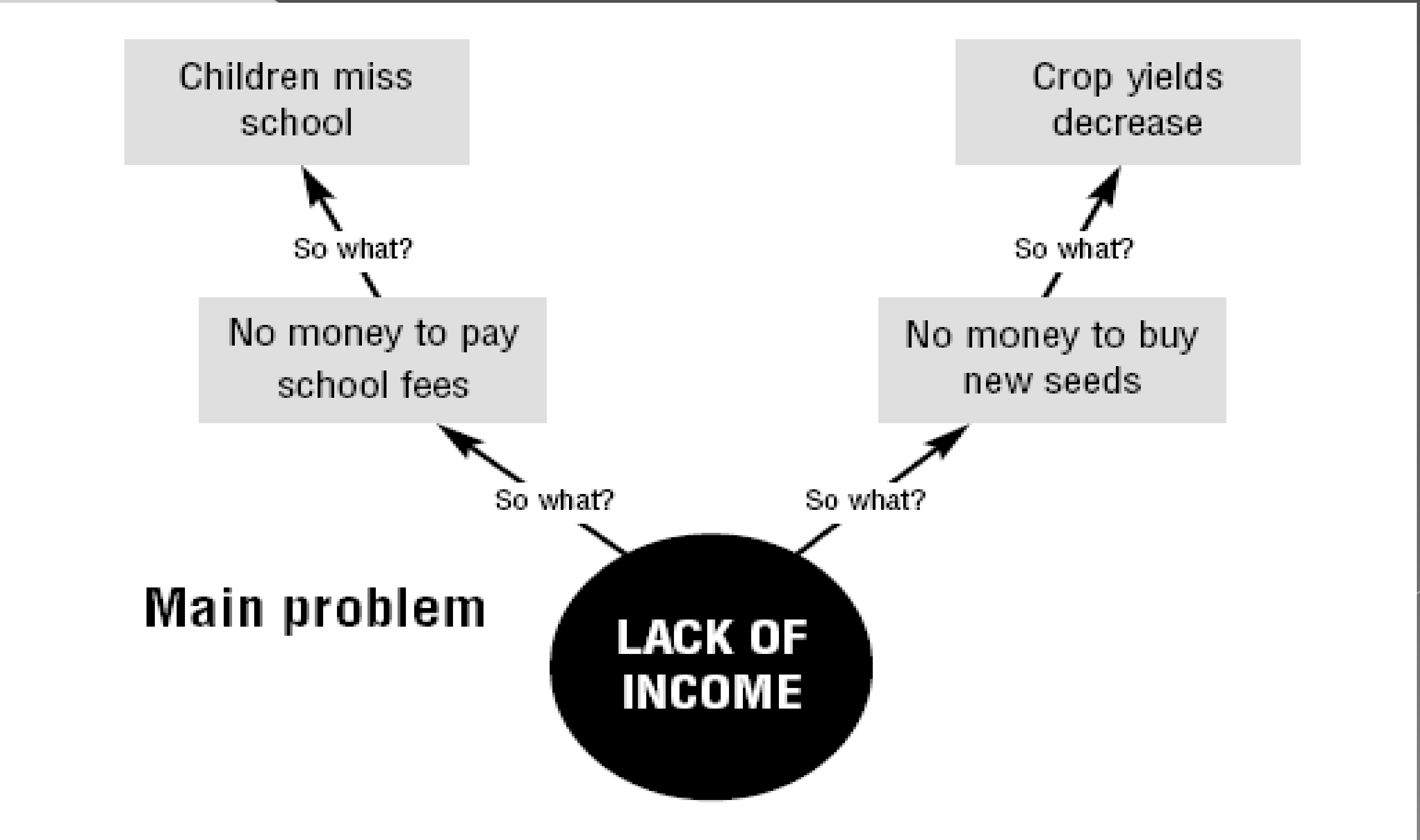
VENN DIAGRAMS These use circles to represent people, groups and institutions. The larger the circle, the more important they are. The way the circles overlap shows what the relationships between them are.

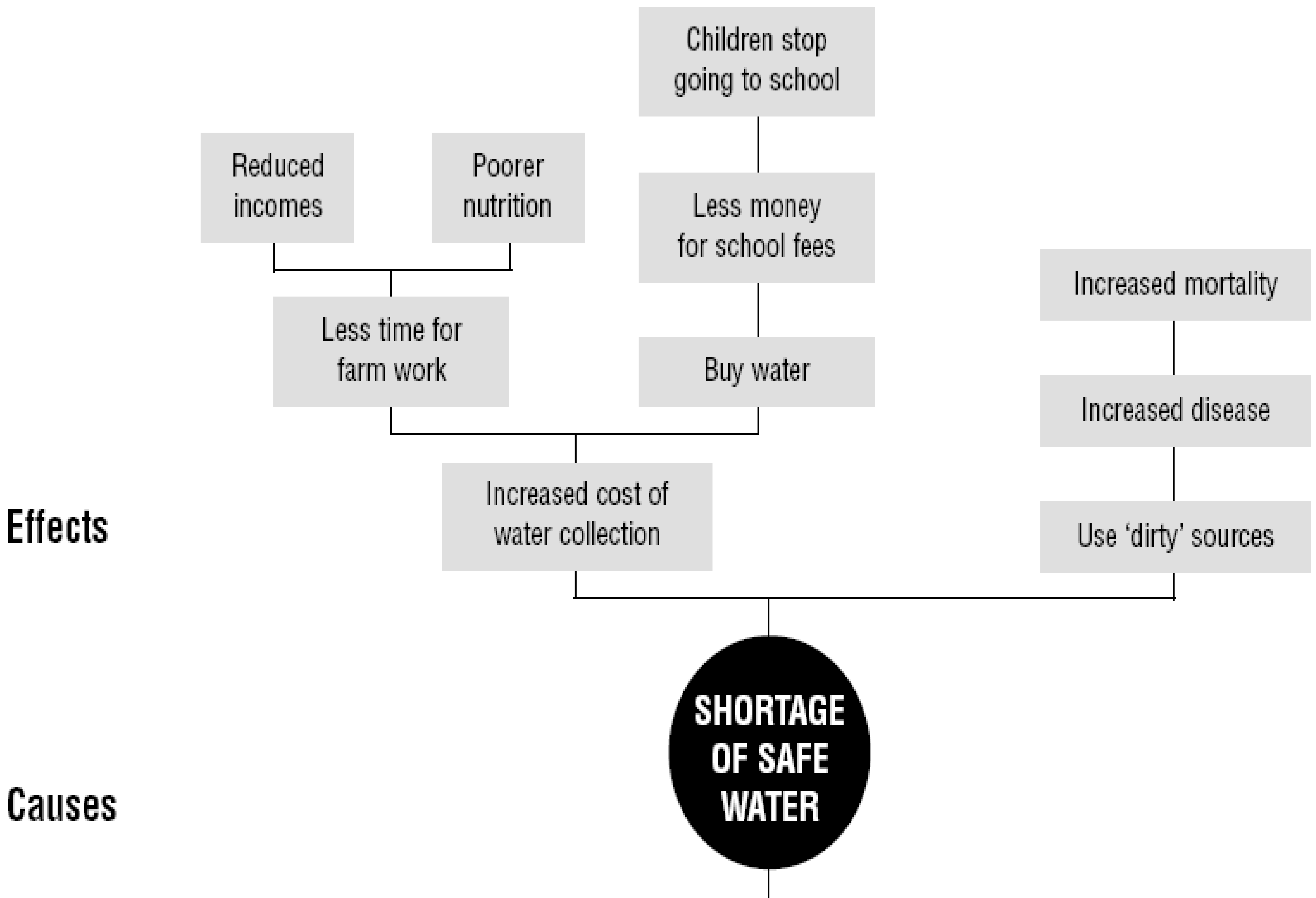


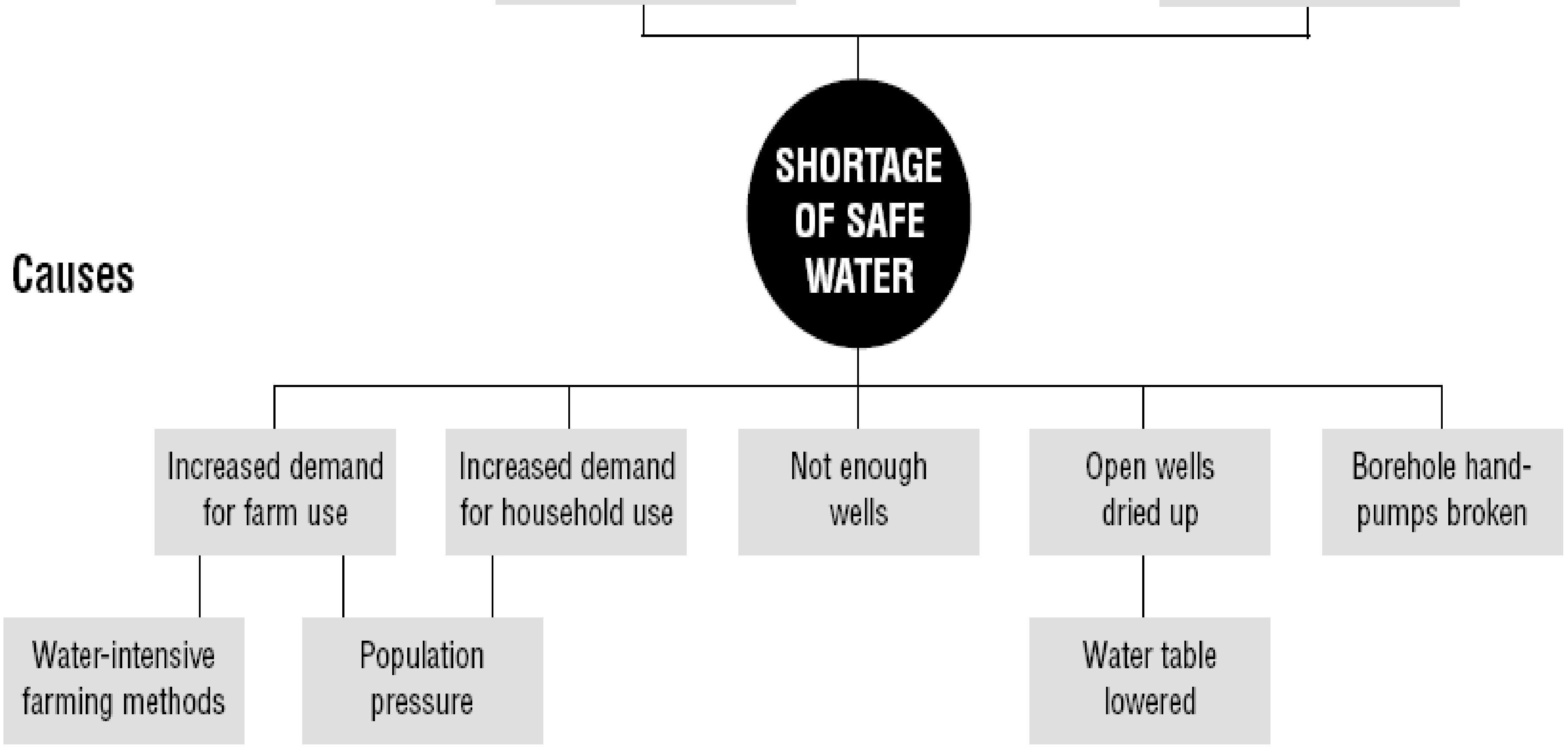
Problem tree



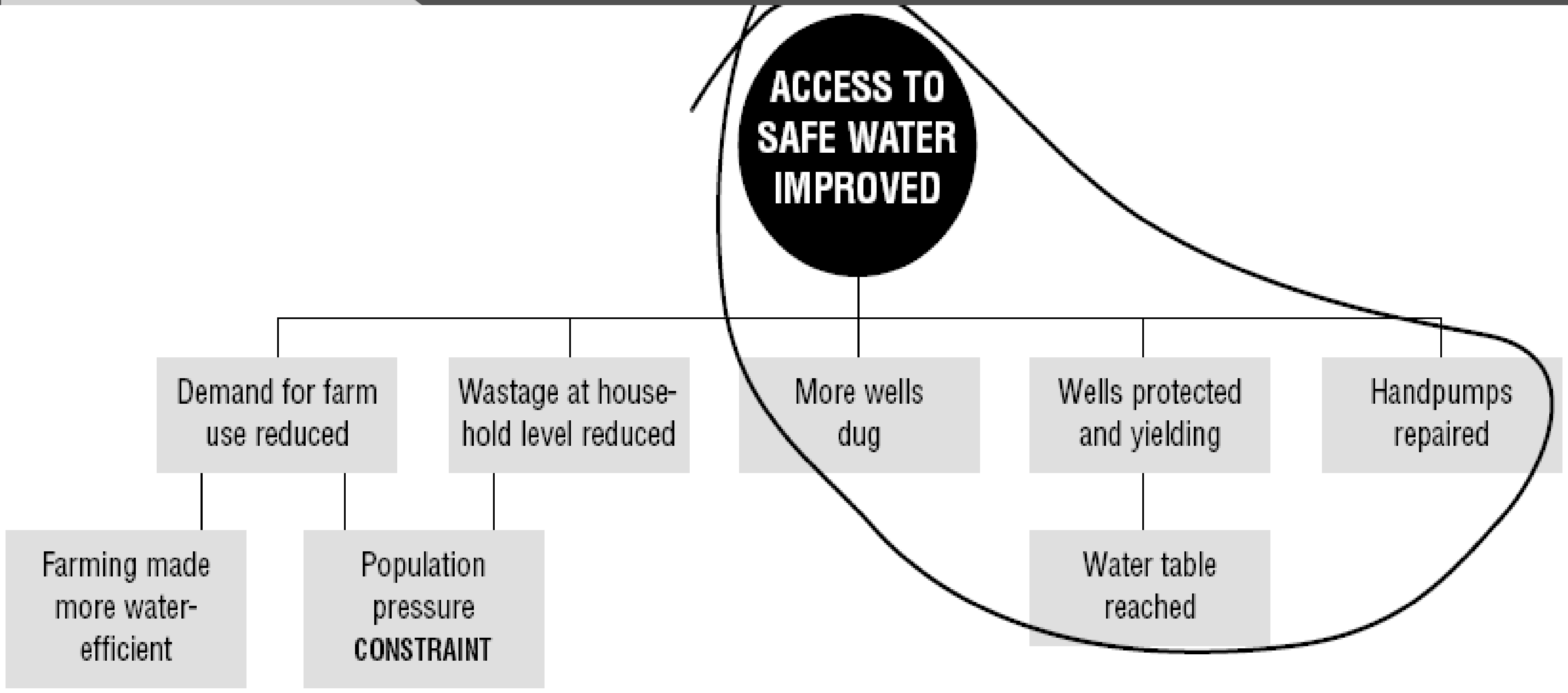
Tree - effects




Children stop going to school
Reduced incomes
Poorer nutrition
Less money for school fees
Increased mortality
Less time for farm work
Buy water
Increased disease
Effects
Increased cost of water collection
Use 'dirty' sources
SHORTAGE OF SAFE WATER
Causes


SHORTAGE OF SAFE WATER
Causes
Increased demand for farm use
Increased demand for household use
Not enough wells
Open wells dried up
Borehole hand-pumps broken
Water-intensive farming methods
Population pressure
Water table lowered

Example of the objectives within the tree



What is a log frame?

The log frame is a tool used to help strengthen project design, implementation and evaluation. Although it is constructed during the planning stage of a project, the log frame is a living document, which should be consulted and altered throughout the project's life cycle.

Logical frameworkd analysis

	SUMMARY	INDICATORS	EVIDENCE	ASSUMPTIONS
Goal				
Purpose				
Outputs				
Activities				

The log frame asks a series of further questions:

- Where do we want to be? (**GOAL, PURPOSE**)
- How will we get there? (**OUTPUTS, ACTIVITIES**)
- How will we know when we have got there? (**INDICATORS**)
- What will show us we have got there? (**EVIDENCE**)
- What are the potential problems along the way? (**ASSUMPTIONS**)

2.2. The Basic Format or Structure of Project and Programme Documents

A basic ‘format’ is applied for all documents to be produced during the project cycle. It follows the core logic of the Logical Framework Approach.

1. **Summary**
2. **Background:** Overall EC and Government policy objectives, and links with the Commission’s country programme or strategy, commitment of Government to over-arching policy objectives of the EC such as respect of human rights
3. **Sectoral and problem analysis**, including stakeholder analysis and their potentials
4. **Project / programme description,** objectives, and the strategy to attain them
   - ⇒ Including lessons from past experience, and linkage with other donors’ activities
   - ⇒ Description of the intervention (objectives, and strategy to reach them, including Project Purpose, Results and Activities and main Indicators)

Základní formát – struktura programu a dokumentů programu

1. **Summary**
2. **Background:** Overall EC and Government policy objectives, and links with the Commission's country programme or strategy, commitment of Government to over-arching policy objectives of the EC such as respect of human rights
3. **Sectoral and problem analysis**, including stakeholder analysis and their potentials
4. **Project / programme description,** objectives, and the strategy to attain them
   - ⇒ Including lessons from past experience, and linkage with other donors' activities
   - ⇒ Description of the intervention (objectives, and strategy to reach them, including Project Purpose, Results and Activities and main Indicators)

5. **Assumptions, Risks**
6. **Implementation arrangements**
   - ⇒ Physical and non-physical means
   - ⇒ Organisation and implementation procedures
   - ⇒ Timetable (work plan)
   - ⇒ Estimated cost and financing plan
   - ⇒ Special conditions and accompanying measures by Government / partners
   - ⇒ Monitoring and Evaluation

⇒ Monitoring and Evaluation

7. Quality factors

⇒ Participation and ownership by beneficiaries

⇒ Policy support

⇒ Appropriate technology

⇒ Socio-cultural aspects

⇒ Gender equality

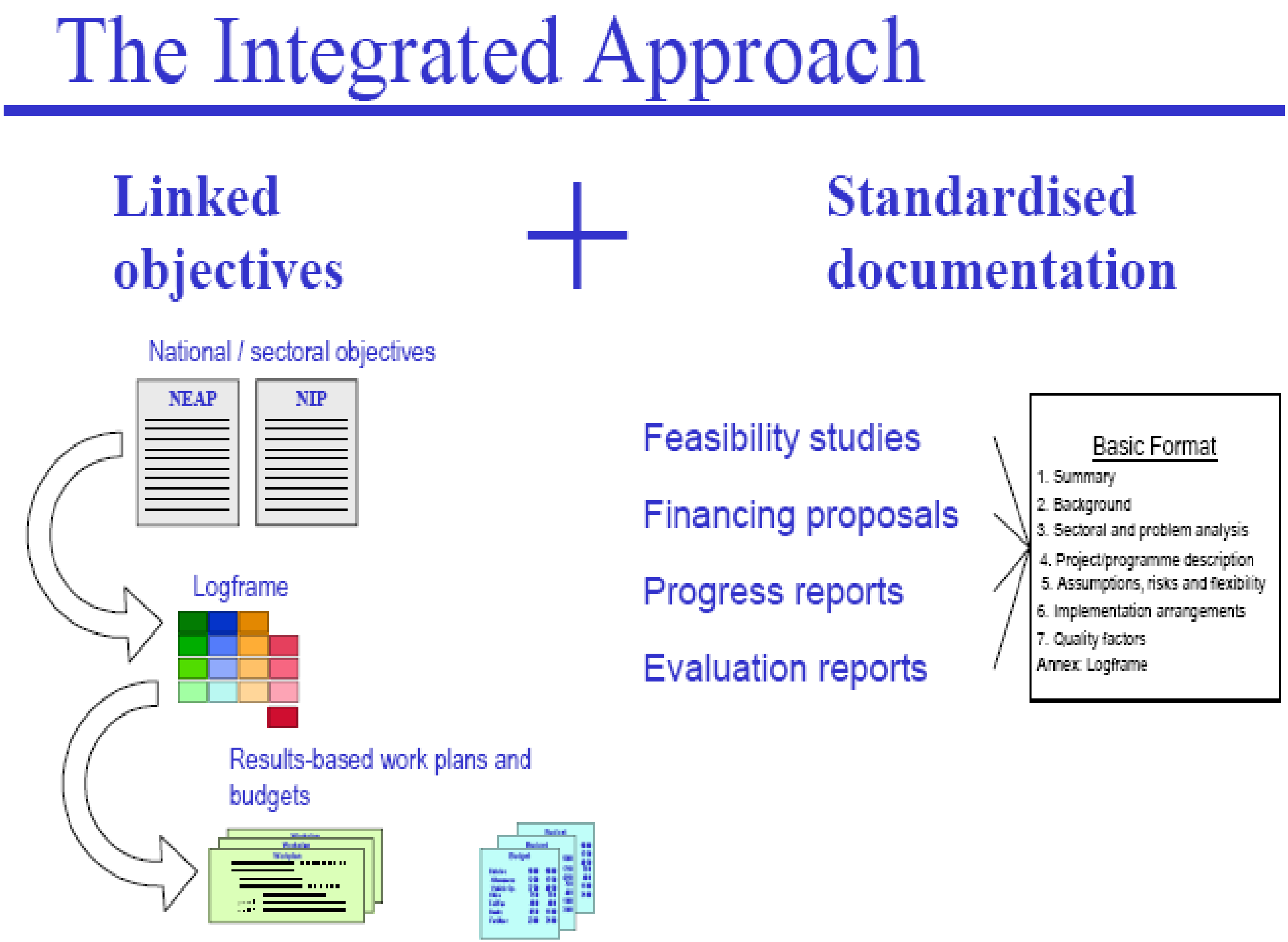
⇒ Environmental protection

⇒ Institutional and management capacities

⇒ Financial and economic viability

Annex: Logframe (completed or outline, depending on the phase)

Figure 4: The Integrated Approach



Fáze programování

- Identifikování situace na národní a sektorální úrovni k identifikování problémů, omezení, příležitostí a hrozeb
- Zahrnuje přehled socio-ekonomických indikátorů
- Priorit národních a donorů
- Poskytnutí relevantního a proveditelného rámce programování
- Zahrnutí předchozích zkušeností

Think through the following situations in terms of time, decision-making, conflict, responsibility, knowledge, ownership, resources and motivation:

- Imagine a manager in a relief and development organisation. What are the advantages of the manager planning a project alone? What are the disadvantages?
- Imagine a few members of staff of a relief and development organisation planning a project together. What are the advantages? What are the disadvantages?
- Imagine members of staff of a relief and development organisation planning a project with community members. What are the advantages? What are the disadvantages?

Which of these situations is best? Why? How can some of the disadvantages of that situation be overcome?

Návody a zásady

"Guidelines for the Implementation of the Common Framework for Country Strategy Papers" explaining the process in detail are available on the Internet[3]. Overall procedures and responsibilities for programming are described in the Interservice Agreement.

Obsah Country Strategy Papers

A CSP shall contain a series of *key elements and keep the following structure*:

1. A description of the EC co-operation objectives.
2. The policy objectives of the partner country.
3. An analysis of the political, economic and social situation, including the sustain-ability of current policies and medium-term challenges.
4. An overview of past and ongoing EC co-operation (lessons and experience), information on programmes of EU Member States and other donors.
5. The EC response strategy, identifying a strictly limited number of intervention sectors that is complementary to interventions by other donors.

National Indicative Program

- Po definování strategie je třeba ji přeložit do NIP
- NIP – manažerský nástroj, doba trvání 3-5-7 let, v závislosti na relevantní regulation/agreement
- Identifikuje a definuje cíle

Základní principy plánování

- 1) zaměřeno na chudobu
- 2) policy mix (all EC policies, instruments, resources)
- 3) country ownership – Country Poverty Reduction Strategies Papers (CPRSP)
- 4) work sharing and complementarity
- 5) comprehensive country analysis
- 6)

Základní principy programování

mental aspects of development.

6. *Concentration* of efforts on a limited number of areas: Six priority areas for EC co-operation are identified in the Overall Policy Statement: trade and development; regional integration, macroeconomic policies including support to the social sectors, transport, food security/rural development and institutional capacity building.

building.

7. *Cross-cutting and overarching policy issues:* At every stage of execution of the activities previously reviewed, a number of such concerns have to be considered: the promotion of human rights, equality between men and women, the environmental dimension, etc.). Also conflict prevention and crisis management require systematic attention.

8. *Other key aspects of EC development policy:* In addition to the areas of concentration and cross-cutting concerns, the statement recalls the importance of (i) accelerated action targeting the communicable disease situation (such as HIV/AIDS, malaria and tuberculosis), (ii) information and communications technologies and (iii) supporting research in developing countries.

9. Wherever possible, the focus on individual projects should gradually be replaced by a *sector programme* or *policy-based approach;* providing support to coherent national policies in each sector or co-operation area.
10. *Feedback:* Lessons of past experience and results of relevant evaluations shall systematically be taken into account and be fed back into the programming process.
11. *Focus on outcomes:* The programming, implementation and review process shall include systematic use of a few key outcome indicators, designed to show and measure the impact of the EC resources committed.
12. *Open partnership:* The co-operation partnership shall be extended to civil society, private sector and local authorities, which in many cases should be associated with the policy dialogue and the implementation of projects.

The Logframe: What should be Outlined at the End of Identification

Intervention Logic	Objectively Verifiable Indicators	Sources of Verification	Assumptions
Overall Objectives			
Project Purpose			
Results			
Activities	Means	Cost	
			Pre-conditions

major tasks:

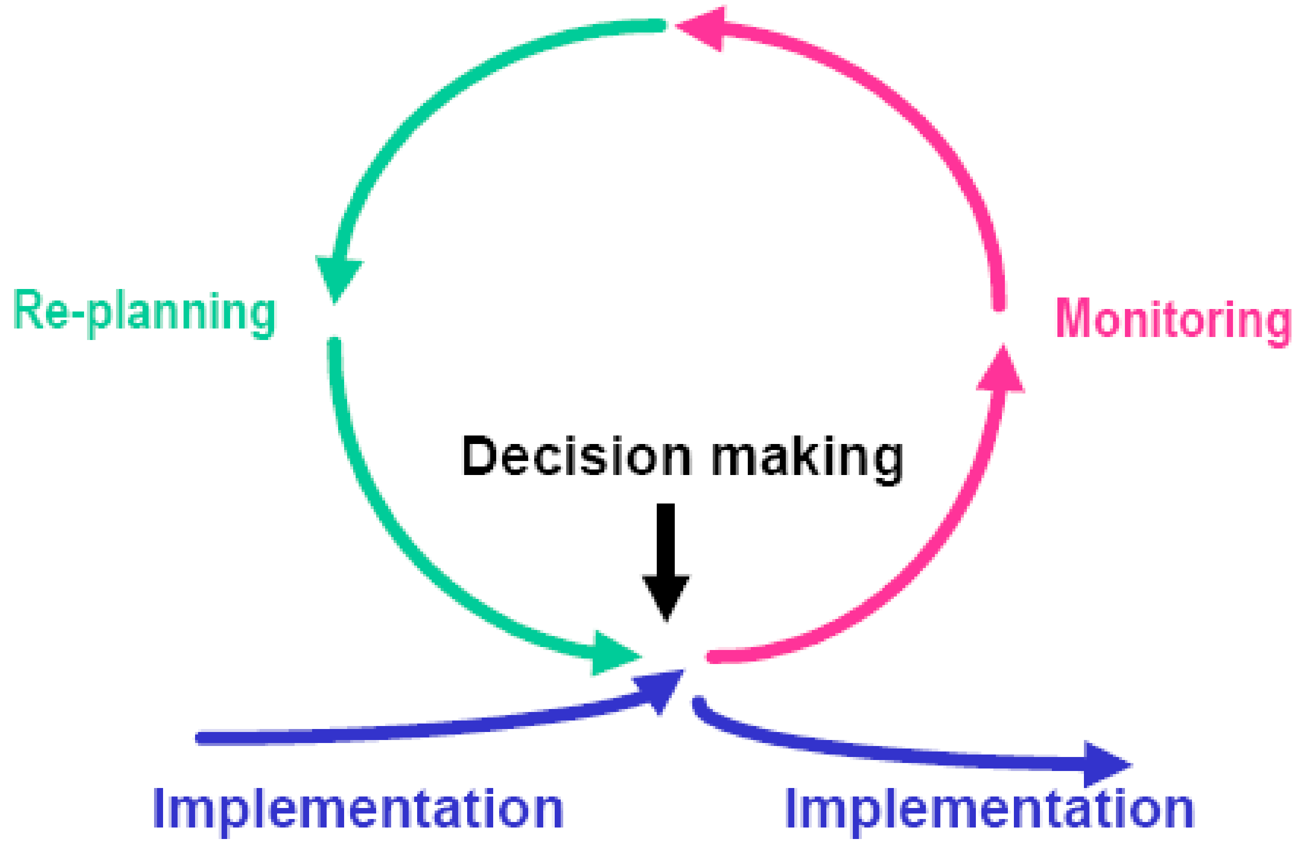
1. Organising consultations with other donors throughout the phase.
2. Drafting TOR for the pre-feasibility study (Standard TOR are available on the Intranet of EuropeAid – working tools), based on:
   - the Overall Objectives of co-operation with the concerned partner country,
   - background information about the country, sector, region concerned, including overall sector strategies or sector support programmes,
   - discussions with stakeholders likely to be concerned by the project,
   - experience in the country in the same or comparable sectors or regions,

1. To consult with proposed beneficiaries and target groups to assess their strengths and weaknesses and to check their likely commitment to a project. This consultation will take the form of individual and group meetings both with the potential partner institutions and the beneficiaries / target groups. It is recommended to hold a diagnosis workshop to run through the Analysis and parts of the Planning Phase of the LFA as described above.

Phase of the LFA as described above.

2. To ensure that potential project options are coherently defined with a logical analysis of problems, achievable objectives linked to (sub-)sector objectives and the objectives in the indicative programme as well as to the overarching policy objectives.
3. To define the Overall Objectives, Project Purpose and Results which are expected from project activities for the preferred option.
4. To identify assumptions on which the project would be based.

Implementation: A Learning Process



Major Principles of Evaluation

- *Impartiality & independence* of the evaluation process in its function from the process concerned with policy making, the delivery and management of assistance (= separation of evaluation and responsibility for the project/ programme/policy)
- *Credibility* depending on expertise and independence of the evaluators & *transparency* to be sought through an open process, wide availability of results, distinction between findings and recommendations

results; distinction between findings and recommendations

- *Usefulness*: relevant, presented in a clear and concise way, reflecting the interests and needs of the parties involved, easily accessible, timely and at the right moment → improved decision-making
- *Participation of stakeholders (donor, recipient...)*; if possible: views and expertise of groups affected should form integral part of the evaluation; involving all parties → capacity building

DAC 1991

Table 2: Quality Criteria for Assessment of Project Ideas

	Question	Quality assessment criterion
1.	***Relevance***	
1.1	Are the project objectives in line with the overarching policy objectives of strengthening good governance, human rights and the rule of law, and poverty alleviation?	Outline project objectives are compatible with the overarching policy objectives; they fully respect them in the approach and seek to contribute to their achievement. The proposal indicates which of them are most relevant and how they are linked to the project objectives.
1.2	Are the major stakeholders of the project clearly identified and described?	The stakeholders likely to be most important for the project have been consulted; and target groups and other beneficiaries have been identified. They have expressed their interest and expectations, the role they are willing to play, the resources and capacities they may provide, also in a gender-differentiated way. The other stakeholders have expressed general support for the likely objectives of the project. Conclusions are drawn on how the project could deal with the groups (alternatives are shown).

1.3	Are the beneficiaries (target groups and final beneficiaries) clearly identified?	Their socio-economic roles and positions, geographical location, organisational set-up, resource endowment, etc. are described in detail. Educational/skills level, management capacities and their specific potentials are also described in detail, especially for the target groups, providing a gender breakdown, where appropriate. The analysis addresses options how the project could take advantage of and support skills, potentials, etc. of the target groups.
1.5	Are the problems of target groups and final beneficiaries sufficiently described?	They are described in detail, including information on the specific problems faced by the target groups (including sub-groups) and the final beneficiaries. Problem description of possible project partners show their specific problems and relate them to the problems of the target groups.

1.6	Is the problem analysis sufficiently comprehen-sive?	The causes of the problems of target groups / final beneficiaries have been researched, and the problem analysis gives a clear indication of how these problems are related (cause – effect).
1.7	Do the outlined Overall Objectives explain why the project is important for sectoral development and society?	The proposals outlines • which longer term benefit the final beneficiaries find in the project, • how the project fits within the sectoral policies of the Government and the sectoral objectives stated in the Indicative Programme, Country Strategy Paper, etc., and • how the project fits within the overarching policy objectives of the EC.

1.8	Does the Project Purpose express a direct benefit for the target groups?	The Project Purpose describes a direct benefit to be derived from the project by the target groups at the end of the project as a consequence of achieving the Results.
1.9	Does the EcoFin (Financial and Economic) Analysis provide adequate information on the questions raised above?	The EcoFin Analysis provides data on the possible incremental net benefit of the beneficiaries as well as on the contribution to the achievement of national and EU policy priorities, if possible for various project alternatives.

2. *Feasibility*		
2.1	Will the Project Purpose contribute to the Overall Objectives (if the Assumptions hold true)?	Previous experience (in other projects or regions) has shown a strong causal relationship between the Project Purpose and Overall Objectives.
2.2	Are Results products of the implementation of Activities?	All Results are a consequence of undertaking the related Activities.
2.3	Will the Project Purpose be achieved if the Results are attained?	There is evidence that there is a direct and logical link between the Results and the Purpose in terms of means-ends relationship, i.e. the achievement of the Results will remove the main problems underlying the Project Purpose.

2.4	Can the Results and Purpose realistically be achieved with the Means suggested (first estimate)?	Indicators for Results and Purpose are 'specific' and are at least partly described with measurable quantities, time frame, target group, location and quality. There is also evidence that Indicators of the Results and Purpose are realistic given the time frame set for the project.
2.5	Have important external factors been identified?	Given the experience in the country and sector, and based on the analysis of objectives, major external factors have been identified at the relevant levels in the logframe.
2.6	Is the probability of realisation of the Assumptions acceptable?	For each Assumption, some evidence is provided that the probability of realisation is acceptable.

2.7	Will the suggested project partners and implementing agencies be able to implement the project?	The potential partners have actively participated in the identification phase and have relevant implementing experience. If they do not have this experience outline capacity building measures are already suggested to enhance implementation capacity.
2.8	Does the EcoFin Analysis provide adequate information on the questions raised above?	Efficiency is assessed roughly according to the EcoFin guidelines. Relevant alternatives were analysed. The impact of main risks was assessed.

Only if each criterion is met fully or at least fairly, it is recommendable to continue with the appraisal of the project. Otherwise,

- satisfactory clarification of the issue under consideration should be sought, i.e. complementary information should be gathered from concerned parties, or
- additional studies may be launched, etc. before deciding to continue with the appraisal of the project by drafting TOR for the feasibility study – or
- the project idea should be completely rejected.