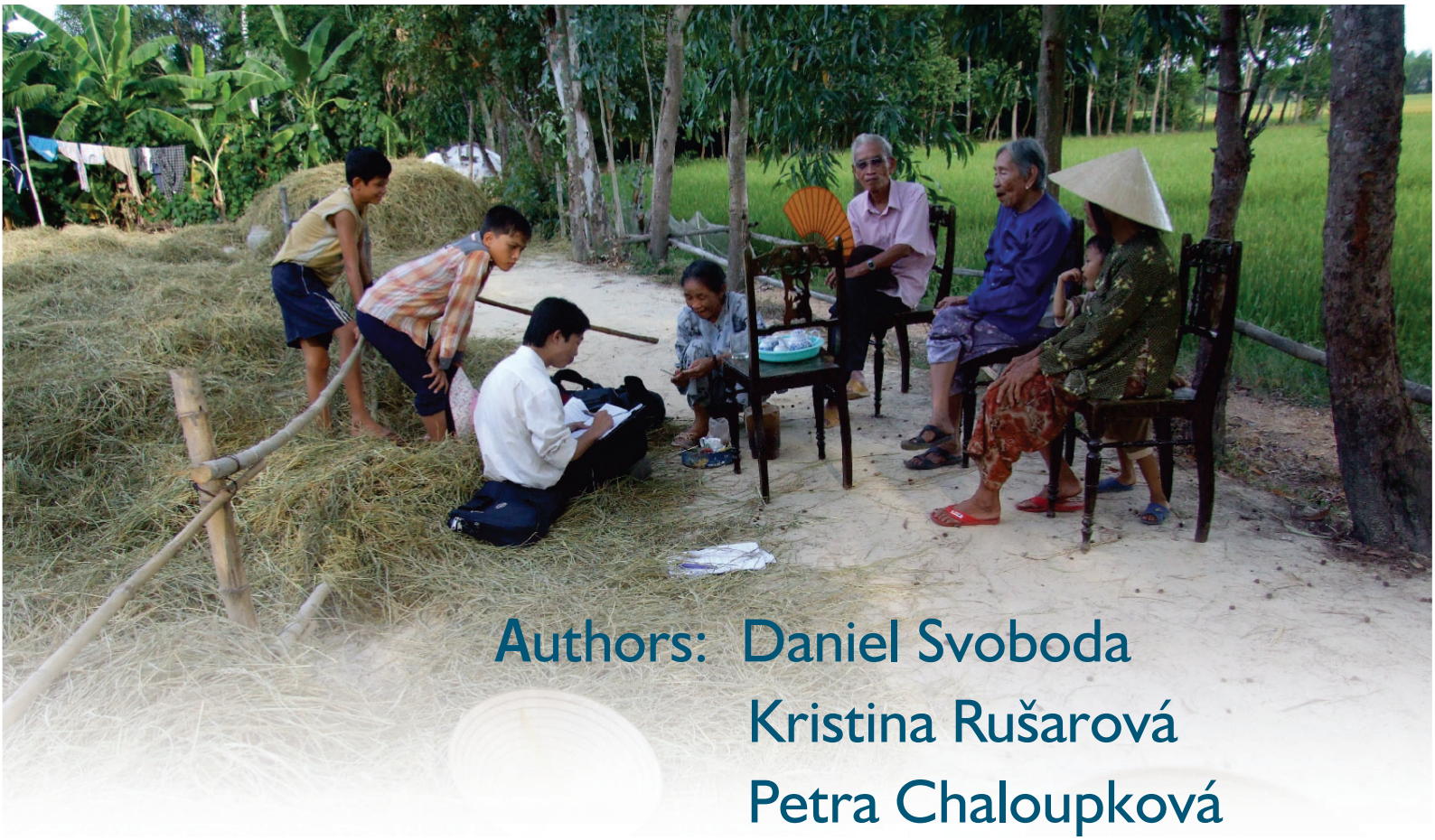
Handbook on Project Cycle Management of Development Projects



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CZECH REPUBLIC
DEVELOPMENT COOPERATION

Czech University of Life Sciences Prague
Faculty of Tropical AgriSciences

2018

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Title: Handbook on Project Cycle Management of Development Projects
Authors: Svoboda D., Rušarová K., Chaloupková P., and Banout J.
Publisher: Czech University of Life Sciences Prague
Edition: 1st edition
Publication date: 2018

ISBN 978-80-213-2881-5

How to cite this book:
Svoboda D., Rušarová K., Chaloupková P., and Banout J. 2018. Handbook on Project Cycle Management of Development Projects. Czech University of Life Sciences Prague, Czech Republic. p 113. ISBN 978-80-213-2881-5.

This Handbook is the output of the project „Support of enhancing science and research at the Royal University of Agriculture" No. 22/2017/10 and was co-financed by the Czech Republic Development Cooperation program.

PREFACE

The Handbook on Project Cycle Management for Development Projects is primarily intended for the one-semester course Project Cycle Management (PCM) at the Faculty of Tropical AgriSciences, Czech University of Life Sciences Prague and PCM course organised at the Royal University of Agriculture in Phnom Penh, Cambodia, with financial support of the Czech Development Agency. The chapters thus correspond to the key lectures of this course. During the related interactive seminars, the students should work in small groups and prepare a Theory of Change of their own projects, a Concept note of project proposal and Evaluation design matrix for evaluation of the group project. Several brief exercises and tests are included in the Handbook as well.

However, the Handbook can be also used as a textbook for any other PCM training course and practical guide for managers, experts, project implementers or evaluators of development projects.

It is important to mention that the architecture of international development cooperation is a vibrant system which must adequately respond to evolving conditions and needs in developing and transition countries as well as to lessons learned by donors, governments, civil society organisations (CSOs) and all other development actors. Communication and exchange of experience among all stakeholders is thus the key precondition for effective use and for timely updating of guidelines and practices.

CONTENTS

1. OFFICIAL DEVELOPMENT ASSISTANCE IN THE GLOBAL CONTEXT

Official Development Assistance (ODA) is defined as flows to countries on the Development Assistance Committee (DAC) List of ODA recipients of the DAC (DAC) of the Organisation for Economic Cooperation and Development (OECD), and to multilateral institutions for flows to aid recipients which are:

i. Provided by official agencies, including state and local governments, or by their executive agencies; and

ii. Each transaction of which:

   a) is administered with the promotion of the economic development and welfare of developing countries as its main objective; and

   b) is concessional in character and conveys a grant element of at least 25 per cent (calculated at a rate of discount of 10 per cent).

It should be noted that flows to countries on the DAC List and to multilateral institutions are recorded as „Official aid" if they meet points i. and ii. mentioned above. Other official non-military flows to aid recipients are recorded as „Other official flows".

The DAC list of ODA recipients is available at https://www.oecd.org/dac/financing-sustainable-development/development-finance-standards/DAC_List_ODA_Recipients2018to2020_flows_En.pdf.

1.1 International Commitments

The international development cooperation (or Official Development Assistance – ODA) has been framed by a number of global commitments of which the following ones can be considered as the most important:

- **'Cotonou Agreement'** – the Partnership Agreement between the members of the African, Caribbean and Pacific Group of States (ACP) and the European Community and its Member States was signed on 23rd June 2000 in Cotonou, Benin (seehttps://ec.europa.eu/europeaid/regions/african-caribbean-and-pacific-acp-region/cotonou-agreement_en). It was concluded for a twenty-year period from March 2000 to February 2020, entering into force in April 2003. It was revised for the first time in June 2005, with the revision entering into force on 1st July 2008. Compared to preceding agreements and conventions shaping European Commission's development cooperation, the Cotonou Agreement represents further progress on a number of aspects. It is designed to establish a comprehensive partnership, based on three complementary pillars:
  - Development cooperation,
  - Economic and trade cooperation, and
  - The political dimension.

  The fundamental principles of the Cotonou Agreement are:
  - Equality of the partners and ownership of the development strategies,
  - Participation (central governments as the main partners, partnership open to different kinds of other actors),
  - Pivotal role of dialogue and the fulfilment of mutual obligations,
  - Differentiation and regionalisation.

The actors of the Cotonou Agreement are States (authorities and/or organisations of states at local, national and regional level) and Non-state actors (private sector; economic and social partners, including trade union organisations, civil society in all its forms according to national characteristics).

The European Development Fund (EDF) is the main instrument for providing Community assistance for development cooperation under the Cotonou Agreement. The EDF is funded by the EU Member States on the basis of specific contribution keys. Each EDF is concluded for a multi-annual period. The 11th EDF should run between 2014 and 2020: it amounts to € 30.5 billion and an additional € 2.6 billion will be made available by the European Investment Bank in the form of loans from its own resources (https://ec.europa.eu/europeaid/funding/funding-instruments-programming/funding-instruments/european-development-fund_en).

The Cotonou agreement is due to expire in February 2020. The negotiations for a new partnership agreement with 79 countries in Africa, the Caribbean and the Pacific have already begun.

- In September 2000, world leaders came together at United Nations Headquarters in New York to adopt the **'United Nations Millennium Declaration'**, committing their nations to a new global partnership to reduce extreme poverty and setting out a series of time-bound targets – with a deadline of 2015 (or 2020 in some cases) – that have become known as the **Millennium Development Goals** (MDGs, see http://www.un.org/millenniumgoals/):

  1. Eradicate Extreme Poverty and Hunger;
  2. Achieve Universal Primary Education;
  3. Promote Gender Equality and Empower Women;
  4. Reduce Child Mortality;
  5. Improve Maternal Health;
  6. Combat HIV/AIDS, Malaria and other Diseases;
  7. Ensure Environmental Sustainability;
  8. Develop a Global Partnership for Development.

  MDGs were annually assessed (see http://www.un.org/millenniumgoals/news.shtml).

- **'Monterrey Consensus on Financing for Development'** adopted the commitments agreed by the heads of State and Government gathered in Monterrey, Mexico in March 2002 (see http://www.un.org/esa/ffd/monterrey/MonterreyConsensus.pdf). The document embraces six areas of Financing for Development:

  - Mobilising domestic financial resources for development;
  - Mobilising international resources for development: foreign direct investment and other private flows;
  - International trade as an engine for development;
  - Increasing international financial and technical cooperation for development;
  - External debt;
  - Addressing systemic issues: enhancing the coherence and consistency of the international monetary, financial and trading systems in support of development.

  Monterrey Consensus among others urges developed countries that have not done so to make concrete efforts towards the target of 0.7 % of gross national product (GNP) as ODA to developing countries.

- The **'Doha Declaration'** (Doha, Qatar, November–December 2008) reaffirmed the Monterrey Consensus and calls for a United Nations conference at the highest level on the world financial and economic crisis and its impact on development (Doha Declaration is available at http://www.un.org/esa/ffd/doha/documents/Doha_Declaration_FFD.pdf).
- **'European Consensus on Development'**, published in 2006 (see https://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ%3AC%3A2006%3A046%3A0001%3A0019%3AEN%3APDF), is a policy statement that reflects the EU´s willingness to eradicate poverty and build a more stable and equitable world Consensus identifies shared values, goals, principles and commitments which the European Commission and EU Member States will implement in their development policies, in particular:
  - Reducing poverty – particularly focusing on the Millennium Development Goals. This will help meet other challenges such as sustainable development, HIV/AIDS, security, conflict prevention, forced migration, etc., to bring about equitable globalisation.
  - Development based on Europe's democratic values – respect for human rights, democracy, fundamental freedoms and the rule of law, good governance, gender equality, solidarity, social justice and effective multilateral action, particularly through the United Nations (UN).
  - Developing countries are mainly responsible for their own development – based on national strategies developed in collaboration with non-governmental bodies, and mobilising domestic resources. EU aid will be aligned with these national strategies and procedures.

  The consensus includes commitments to provide more and better European Union aid:
  - The EU (which already provides over 50 % of all development aid worldwide) has agreed to increase its official development assistance to an intermediate collective target 0.56 % of gross national income of EU members by 2010 (on the way to achieving the UN target of 0.7 % by 2015). Member States, which have not yet reached a level of 0.51 % ODA/GNI, undertake to reach, within their respective budget allocation processes, that level by 2010, while those that are already above that level undertake to sustain their efforts. Member States, which have joined the EU after 2002, and that have not reached a level of 0.17 % ODA/GNI, will strive to increase their ODA to reach, within their respective budget allocation processes, that level by 2010, and to increase by 2015 their ODA/GNI to 0.33 %.
  - Half of the additional aid will go to Africa – with special attention to fragile states, countries with low numbers of donors and poor people in middle-income countries.
  - The EU and its member countries are committed to making the aid they provide more effective, particularly through better coordination and ensuring it complements other development support and work in the beneficiary country.
- **'Paris Declaration on Aid Effectiveness'** endorsed on 2nd March 2005 (see http://www.oecd.org/dataoecd/11/41/34428351.pdf) is an international agreement to which over one hundred Ministers, Heads of Agencies and other Senior Officials adhered and committed their countries and organisations to continue to increase efforts in harmonisation, alignment and managing aid for results with a set of monitorable actions and indicators. Paris Declaration formulates five effectiveness principles and related targets:
  - Ownership – Developing countries set their own strategies for poverty reduction, improve their institutions and tackle corruption;
  - Alignment – Donor countries align behind these objectives and use local systems;
  - Harmonisation – Donor countries coordinate, simplify procedures and share information to avoid duplication;

  - Results – Developing countries and donors shift focus to development results and results get measured;
  - Mutual Accountability – Donors and partners are accountable for development results.

- The mid-term results of the Paris Declaration were evaluated in 2008 and the lessons learned were responded in the **'Accra Agenda for Action'** (September 2008) which updates the governments´ and donors´ commitments to accelerate progress in aid effectiveness (see http://www.oecd.org/dac/effectiveness/34428351.pdf), among others in the fields of:
  - Predictability – donors will provide 3-5 year forward information on their planned aid to partner countries;
  - Country systems – partner country systems will be used to deliver aid as the first option, rather than donor systems;
  - Conditionality – donors will switch from reliance on prescriptive conditions about how and when aid money is spent to conditions based on the developing country's own development objectives;
  - Untying – donors will relax restrictions that prevent developing countries from buying the goods and services they need from whomever and wherever they can get the best quality at the lowest price.
- **'Code of Conduct on Complementarity and the Division of Labour in Development Policy'** (see http://register.consilium.europa.eu/pdf/en/07/st09/st09558.en07.pdf) was approved by the Council of the European Union on 15th May 2007. According to the Code, the donors should:
  - Concentrate on a limited number of sectors in-country (three sectors + general budget support + support to civil society);
  - Ensure responsible exit strategies by redeployment for other in-country activities;
  - Establish lead donor arrangements;
  - Enter into delegated co-operation/partnership with other donors;
  - Ensure an adequate donor support (minimum one donor, maximum 3–5 per strategic sector);
  - Replicate in-country division of labour practices at regional level;
  - Establish a limited number of priority countries to reinforce the geographical focus;
  - Address the problem of „orphaned" and neglected countries by redeployment of resources;
  - Analyse and expand areas of strength through self-assessment of comparative advantages;
  - Pursue progress on other dimensions of complementarity (vertical and cross-modalities and instruments);
  - Deepen the reforms.
- In preparation for the High-Level Forum in Accra, 2008, a global process of civil society organisations (CSOs) was launched in 2008 – **Open Forum for CSO Development Effectiveness** complemented the efforts of donors and governments and also challenged them to engage in multi-stakeholders' debate on looking beyond technical aspects of aid management and focusing on enabling environment where all actors can effectively contribute to development. This process was officially recognised in the Accra Agenda for Action (see §§ 19, 20).
- In 2011, the global aid effectiveness process culminated in Busan, South Korea, by establishing the **Global Partnership for Effective Development Cooperation** (GPEDC) (see

http://www.oecd.org/dac/effectiveness/busanpartnership.htm). At the same time, the civil society process was transformed to the **CSO Partnership for Development Effectiveness** (CPDE) (see http://www.csopartnership.org/). There were two High Level Meetings of GPEDC since then –Mexico, 2014 and also in Nairobi, Kenya, 2016. During the later one, around 1000 representatives of Civil Society Organisations, governments, development agencies, trade unions, foundations, and private sector confirmed their commitment to effective development co-operation as a means to achieve the Sustainable Development Goals (SDGs) and reaffirmed the spirit of partnership created in unity of purpose, inter-dependence and respective responsibilities (http://effectivecooperation.org/events/2016-high-level-meeting/).

- The principles of development effectiveness (including democratic ownership, inclusive partnership, transparency, accountability and results) were also confirmed in the **'Addis Ababa Action Agenda'**, approved during the Third UN Conference on Financing for Development in July 2015. These principles should be applied by all development actors. See more at http://www.un.org/ga/search/view_doc.asp?symbol=A/CONF.227/L.1.
- The consecutive UN Summit in September 2015 in New York approved 17 Sustainable Development Goals (SDGs) in the document **'Transforming our World: The 2030 Agenda for Sustainable Development'** (https://sustainabledevelopment.un.org/). The main motto of this document is that no one must be left behind. The Goals and their 169 specific targets will stimulate action over fifteen years in areas of critical importance for humanity and the planet:
  - **People** („We are determined to end poverty and hunger, in all their forms and dimensions, and to ensure that all human beings can fulfil their potential in dignity and equality and in a healthy environment");
  - **Planet** („We are determined to protect the planet from degradation, including through sustainable consumption and production, sustainably managing its natural resources and taking urgent action on climate change, so that it can support the needs of the present and future generations");
  - **Prosperity** („We are determined to ensure that all human beings can enjoy prosperous and fulfilling lives and that economic, social and technological progress occurs in harmony with nature");
  - **Peace** („We are determined to foster peaceful, just and inclusive societies which are free from fear and violence. There can be no sustainable development without peace and no peace without sustainable development"); and
  - **Partnership** („We are determined to mobilise the means required to implement this Agenda through a revitalised Global Partnership for Sustainable Development, based on a spirit of strengthened global solidarity, focused in particular on the needs of the poorest and most vulnerable and with the participation of all countries, all stakeholders and all people")

- The new **European Consensus on Development – 'Our world, our dignity, our future'**, approved in 2017 (https://ec.europa.eu/europeaid/sites/devco/files/european-consensus-on-development-final-20170626_en.pdf), constitutes a comprehensive common framework for European development cooperation. For the first time, it applies in its entirety to all European Union Institutions and all Member States, which commit to work more closely together. The new Consensus strongly reaffirms that poverty eradication remains the primary objective of European development policy. It fully integrates the economic, social and environmental dimensions of sustainable development. In doing so, it aligns European development action with the 2030 Agenda for Sustainable Development which is also a cross-cutting dimension for the EU Global Strategy.

All the commitments and challenges above are supported by and projected into concrete ODA programs of international and national donors. Besides the programs of specialised UN agencies (like UNDP – United Nations Development Program, and others), multinational financing institutions (like the World Bank, Asian Development Bank, European Investment Bank and many others) or special global funds, programs or organisations (like the UNDP GEF – Global Environmental Facility, World Food Program, World Health Organisation, etc.), a particular importance belongs to the programs funded from the budget of the European Commission (EC) and from the European Development Fund.

Brief exercise:
Check one of the links above and prepare a brief summary of the key messages from your point of view.

1.2 European Development Instruments and Programs

EU development policy (see https://ec.europa.eu/europeaid/policies/european-development-policy_en) seeks to foster the sustainable development of developing countries, with the primary aim of eradicating poverty. It is a cornerstone of EU relations with the outside world and contributes to the objectives of EU external action – alongside foreign, security and trade policy (and international aspects of other policies like environment, agriculture and fisheries).

Providing over 50 % of all global development aid, the EU and its Member States are collectively the world's leading donor.

EU action on development is based on the EU treaties and on the 2006 European Consensus on Development, which commits the EU Council, European Parliament and Commission to a common vision. In 2011, the Commission set out a more strategic EU approach to reducing poverty, including a more targeted and concentrated allocation of funding; the Agenda for Change. Since the adoption of the 2030 Agenda for Sustainable Development by the international community at the UN Summit in September 2015, a new European Consensus on Development was approved as a new common vision for development policy for the EU and its Member States.

The Millennium Development Goals (or MDGs), which expired at the end of 2015, made an enormous contribution in raising public awareness, increasing political will and mobilising resources to end poverty.

The 2030 Agenda for Sustainable Development builds on these successes of the MDGs but also goes further; incorporating follow-up from the Rio+20 Conference on Sustainable Development, and aiming to address poverty eradication together with the economic, social and environmental dimensions of sustainable development. Issues addressed by the MDGs have been integrated into the 2030 Agenda for Sustainable Development.

The EU also promotes Policy Coherence for Development, to maximise the development impact of other EU policies.

The EU is strongly committed to making aid more effective. The European Commission is part of the Steering Committee of the Global Partnership for Effective Development Cooperation.

Within the current financial perspectives (2014–2020) of the EU, and further to the efforts undertaken to simplify the ca. 30 previous legal bases applicable to external aid, 4 thematic and 5 geographical instruments (with 2 thematic programs) govern the external aid (besides the humanitarian assistance) financed from the general EU budget:

Thematic instruments:

- **European Instrument for Democracy and Human Rights (EIDHR)** – aims to help establish democracy, the rule of law, and the protection of human rights and basic freedoms.
- **Instrument contributing to Stability and Peace (IcSP)** – helps to prevent and respond to crises and create a safe and stable environment, to provide a swift-response in political conflicts, complement humanitarian relief and interventions when natural disasters occur, enhance the EU capacity for crisis preparedness, conflict prevention and peace building, and build capacity to address global and trans-regional security threats.
- **Partnership Instrument (PI)** – is an innovative instrument, with the objective to advance and promote EU interest by supporting the external dimension of EU internal policies and by addressing major global challenges.
- **Instrument for Nuclear Safety Cooperation (INSC)** – promotes a high-level nuclear safety, radiation protection and the application of efficient and effective safeguards of nuclear material in non-EU countries worldwide.

Geographical instruments:

- **Instrument for Development Cooperation (DCI)** – covers cooperation with partner countries and regions, namely: Latin America, Asia, Central Asia, the Middle-East and South Africa. The DCI is also the legal basis of two thematic programs which aim to address different global challenges:

  - **'Global Public Goods and Challenges' (GPGC)** – it supports actions in areas such as: environment and climate change, sustainable energy, human development, including decent work, social justice and culture, food and nutrition, security and sustainable agriculture, migration and asylum.
  - **'Civil society organisations and local authorities' (CSO-LA)** – provides greater support to civil society and local authorities to encourage them to play a bigger role in development strategies.
- **European Development Fund (EDF)** – provides aid for 79 African, Caribbean and Pacific (ACP) partner countries and for the Overseas Countries and Territories of Member States. It aims to stimulate economic, social and human development, regional cooperation and integration.
- **Instrument for Pre-accession Assistance II (IPA)** – provides assistance to countries in line to become members of the European Union (such as the Former Yugoslav Republic of Macedonia, Turkey and Croatia) and the Balkan countries (Albania, Serbia, Kosovo, Bosnia-Herzegovina and Montenegro). The IPA is managed by Directorate General (DG) NEAR.
- **European Neighbourhood Instrument (ENI)** – is the instrument for European Neighbourhood Policy (ENP) which covers cooperation with South Mediterranean countries (Algeria, Egypt, Lebanon, Libya, Jordan, Israel, Morocco, Syria, Tunisia, the occupied Palestinian territory) and East neighbourhood countries (Armenia, Azerbaijan, Belarus, Georgia, Moldova, Ukraine). It aims to encourage democracy and human rights, sustainable development and the transition towards a market economy. The ENI is managed by DG NEAR.
- **Instrument for Greenland (IfG)** – the partnership between the EU on the one hand and Greenland and the Kingdom of Denmark on the other hand aims to preserve the close and lasting link between the partners while supporting the sustainable development of Greenland. Also, it acknowledges the geostrategic position of Greenland in the Arctic region.

For the next long-term EU budget 2021–2027, the European Commission is proposing to increase the external action budget to € 123 billion, as well as significantly simplify its structure and make it more flexible and effective to address today's global challenges see https://ec.europa.eu/europeaid/news-and-events/eu-budget-making-eu-fit-its-role-strong-global-actor_en).

The new proposed instruments for EU external action:

- **Neighbourhood, Development and International Cooperation Instrument (NDICI)** with € 89.2 billion: This new streamlined instrument will consist of three pillars:
  1. A **geographic pillar**, with particular focus on the Neighbourhood area (€ 22 billion) and Sub-Saharan Africa (€ 32 billion), will be considerably increased to jointly address global challenges such as human development including gender equality, climate change, environmental protection, migration and food security; NDICI should also include the remaining regions from the current ACP countries supported from European Development Fund – Asia and the Pacific (€ 10 billion) and Americas and the Caribbean (€ 4 billion).
  2. A **thematic pillar** which will complement the geographic pillar through support for human rights and democracy (€ 1.5 billion), civil society organisations (€ 1.5 billion), stability and peace (€ 1 billion) in as much as they have to be addressed at global level, as well as other global challenges that would not be covered under the geographic pillar (€ 3 billion); and
  3. A **rapid response pillar** (€ 4 billion) which will allow the EU to swiftly respond to crises, as well as to support conflict prevention, strengthen the resilience of states, societies, communities and individuals, the linking of humanitarian aid and development action, as well as early action to address other foreign policy objectives.

The above pillars are supplemented by **emerging challenges and priorities cushion**, with € 10.2 billion.

The new instrument will furthermore contain:

- A new **European Instrument for Nuclear Safety**: With € 300 million, this will complement the activities under the new streamlined instrument on the basis of the Euratom Treaty.
- The **Instrument for Pre-Accession Assistance (IPA III)**: € 14.5 billion will offer increased support to EU candidate countries and potential candidates on their path towards fulfilling the EU accession criteria through deep and comprehensive reforms.
- The **Humanitarian Aid Instrument**: € 11 billion will allow for EU assistance on a needs-basis in order to save and preserve lives, prevent and alleviate human suffering and safeguard the integrity and dignity of populations affected by natural disasters and man-made crises.
- The **Common Foreign and Security budget**, with € 3 billion. This funding will be used to respond to external conflicts and crises, to build the capacity of partner countries and protect the EU and its citizens.
- **Cooperation with overseas countries and territories including Greenland**, with € 500 million. This funding will support and strengthen the economic, political and cultural ties between the EU and the 13 overseas countries and territories linked to the EU Member States.
- The remaining amount of approximately € 4.5 billion consists of the budgetary margin (€ 3.2 billion) and other budgetary items, such as macro-financial assistance grants, evaluation and audit measures or work related to international organisations and decentralised agencies.
- The Commission proposal includes an **investment framework for external action** with an increased fire-power of up to € 60 billion. Building on the successful experience of the EU's External Investment Plan, it will help to raise and leverage additional financial resources for sustainable development from the private sector.
- In addition, and outside the EU budget, the High Representative, with the support of the Commission, is proposing to establish a **European Peace Facility**, with € 10.5 billion. The European Peace Facility will fund operational actions under the Common Foreign and Security Policy that have military or defence implications, and therefore cannot be financed under the EU's budget. It will strengthen the Union's ability to preserve peace, prevent conflicts and strengthen international security, in line with the Treaty on European Union and the purposes and principles of the United Nations Charter.

The Czech Republic contributes to the EC budget (around 6.16 % of the mandatory contribution to the EC budget is reported as ODA) and to other multilateral organisations either on a mandatory or voluntary basis. These financial contributions mean both shared responsibility for effective use of these funds and the opportunity to actively participate in the European and other international ODA programs. However, the real Czech engagement in these programs is still limited, mainly due to a modest budget and limited predictability of the Czech ODA.

1.3 Specifics of the Emerging Donor Status

The Czech Republic and other „new member states" of the European Union as well as emerging donors from countries in the Global South have to face many constraints regarding their transition status. These are not only budgetary limits (vis-à-vis the needs of own development) but also lack of capacities, missing (or outdated) ODA systems and structures and absence of donor´s history. On the

other hand, these constraints can convert into comparative advantages if appropriately addressed – without prejudice and historically fixed procedures and approaches. There are many fields related to transformation of the society (changing minds, values, rights and duties, etc.) and systems (legal, institutional and financial frameworks) where emerging donors have specific experience and comparative advantage to old donor states.

Other specific added values relate to own experience with living in totality systems and/or in low-income countries. Such experience cannot be easily transferred to people not having faced such life conditions. There are several fields where such experience of new donors particularly matters:

- Better understanding of and empathy to living conditions, minds and problems of people in developing and transition countries.
- Genuine experience of being aid recipient in the recent past – facing ineffectiveness of donor schemes that (still) disregard principles of ownership and full participation, underestimate local needs and motivations, and ignore genuine local processes, structures and capacities. There is big potential amongst new donors not to repeat the same mistakes of the past.
- Historical cooperation within the former „Eastern bloc". Although there were mostly political motivations for such cooperation in the past, the concrete field experience and personal people-to-people relations are still firm and invaluable. The historical ties (with no colonial legacy) also help to reduce cultural and language barriers.
- Closed borders (forbidden travelling) and very limited exchange of information in the past has still been a strong motivation for new donors to work abroad.
- Emerging civil society organisations and movements with the need to create a space for their engagement in policy making and development actions have a lot in common with a similar situation in developing and transition countries. Finally, the need for advocacy at national level in order to persuade own governments, politicians and the general public, that strong civil society is a key precondition for sustainable development both at national and international level. The same challenge that developing and transition countries are facing.

It is important to note that the Czech Republic has been a member of the Development Assistance Committee of OECD, this elite club of donor countries, already since May 2013.

1.4 Czech ODA Policy Framework

The Czech development cooperation policy is coordinated by the Ministry of Foreign Affairs (MFA). The skeleton of the policy framework for the Czech International Development Cooperation consists of several documents of which the following two seem to be the most important:

Act on development cooperation and humanitarian aid (1st July 2010) creates the basic conditions for actual ODA system:

- Enables multiple-year financing and transfers to other countries;
- Establishes the Czech Development Agency;
- Specifies the single actors' powers and competences.

Development Cooperation Strategy of the Czech Republic 2018–2030 (August 2017) updates the principles and priorities for the Czech ODA in the coming years:

- Vision, foundation and principles;
- Objectives (sectoral priorities, Sustainable Development Goals);

- Main fields of cooperation (bilateral ODA, humanitarian aid, multilateral cooperation), priority countries;
- Modalities and partnership;
- Implementation of the Strategy (incl. monitoring and evaluation).

The Czech territorial priorities for bilateral cooperation in the coming years include priority countries (Bosnia and Herzegovina, Ethiopia, Georgia, Cambodia, Moldova, and Zambia), specific countries (Afghanistan, Palestine, Ukraine, and Syria) and phase out countries (Mongolia, Kosovo, and Serbia).

The sectoral priorities include peace, justice and strong institutions, good governance, water and sanitation, climate action, affordable and clean energy, decent work and economic growth, good health and well-being, and quality education.

Cross-section priorities then promote support to democracy and human rights, gender equality, democratic ownership and inclusive partnerships, capacity building, transparent and fair market, environment and biodiversity protection.

Within multilateral cooperation, the Czech Republic supports United Nations agencies & programs (e.g. FAO, ILO, WHO, UNDP, UNV, UNICEF, UNIDO, UNESCO, UNEP, IAEA, UNFPA, UN-Habitat, WFP), European Union, International financial institutions (EBRD, EIB, WB) and some activities of the OECD, or WTO.

1.5 Czech ODA Institutional Framework

Ministry of Foreign Affairs (MFA) is ODA coordinator, responsible for ODA policies and programs, for evaluations and ODA reporting as well as for management of multilateral aid, transformation cooperation and humanitarian aid.

Czech Development Agency (CzDA) is responsible for technical and financial management of bilateral and trilateral ODA projects.

Other central institutions – **line/sectoral ministries** closely cooperate with the MFA particularly in three specific fields:

- Advisory and consultancy roles for ODA policies, strategies and programs (through the Inter-ministerial Council for International Development Cooperation);
- Sharing responsibilities for ODA management – e.g. the Ministry of Education, Youth and Sports in cooperation with the Ministry of Health are responsible for the scholarship program, the Ministry of Finance is a national partner for Multinational Financial Institutions (MFIs), or the Ministry of Interior is responsible on specific ODA programs related to migration and security issues;
- Policy coherence.

There are many ODA tasks where other ministries can and should directly contribute to or participate in, such as:

- Providing expertise in specific sectors (e.g. advisory role within ODA programming, identification, formulation, and evaluation);
- Participation in Appraisal committees;
- Direct involvement in ODA interventions (either monitoring, public awareness or direct implementation of specific projects – in particular their own twinning schemes, which might be at least partially reported to OECD/DAC as contribution to national ODA if fully substantiated);

- Consultations with international partners in respective sectors;
- Participation in international/thematic bodies, meetings and fora.

Embassies in the partner countries have a significant role in:

- Project/program identification (assessing the relevance of the envisaged ODA interventions);
- Providing administrative and political support to implementing organisations (e.g. facilitating negotiations and meetings with local partners);
- Monitoring of development projects and programs;
- Consultations (and coordination) with local government and other donors (ODA alignment and harmonisation, division of labour).

External experts and expert bodies can be outsourced for specific task. These tasks may include:

- Expert support for tender formulation;
- Organisation and administration of the tenders;
- Participation in monitoring (independent experts);
- Evaluations of projects, programs and policies;
- Public opinion surveys and other specific surveys or studies;
- Public awareness actions.

Other national development actors include individual legal subjects and their associations from CSO, private and academic sectors, local and regional authorities, politicians, media and general public. Their engagement has many important roles, in particular:

- Policy consultations;
- Direct implementation of ODA interventions;
- Advisory and consultancy roles;
- Advocacy and lobbying in policy issues (at national and international level);
- Monitoring of ODA practice;
- Provision of specific services;
- Capacity building and experience exchange;
- Development education and awareness;
- Co-financing development interventions.

International partners include both formal and informal (ad hoc) partners at all levels, in particular:

- Other governments and donors (including EC and its structures, both headquarters and local delegations);
- Multinational agencies and Multinational Financial Institutions (MFIs);
- Local authorities and other partner organisations and institutions in the target countries;
- Academic and training institutions, e.g. IPDET – International Program for Development Evaluation Training (www.ipdet.org);
- International umbrella bodies – platforms and associations, e.g. CONCORD – European NGO Confederation for Relief and Development (www.concordeurope.org), IDEAS – International Development Evaluation Association (www.ideas-global.org), EES – European Evaluation Society (www.europeanevaluation.org), and many others.

Many of the actors above have an institutionalised position within the Czech ODA system (for example, the Czech national NGO platform FoRS – Czech Forum for Development Cooperation (www.fors.cz), the Platform of Entrepreneurs for International Development Cooperation (https://www.ppzrs.org/) and the Czech Evaluation Society (www.czecheval.cz) have seats in the Council for International Development Cooperation and/or in its Working Groups). The stronger is the cooperation among all development actors, the higher is the effectiveness and impact of ODA interventions. It is therefore highly recommended to engage as much relevant stakeholders as possible in all stages of ODA management.

1.6 Czech ODA Financial Framework

The financial framework for Czech ODA is given by the total allocation from the State budget any by its breakdown for specific ODA chapters and financial instruments.

The bilateral ODA includes:

- Bilateral and trilateral development programs and projects (including co-financing schemes with the EC and other donors) in the Czech Republic and in developing/transition countries; including core contribution for specific non-profit organisations, active particularly in the fields of development awareness, education and capacity building, or humanitarian aid;
- Humanitarian aid (projects and direct contributions);
- Technical assistance and sending the experts or teachers;
- Business to Business (B2B) grant scheme;
- Special program of Guarantees for investments in developing countries (launched in 2019);
- Scholarships, care of immigrants, debt relief and other specific ODA interventions like the civil/development parts of military missions to the conflict regions; these activities and their expenses can be only partially reported as ODA as they do not follow the basic principles of development cooperation (ownership, alignment, harmonisation, management for results and partnership among others) and they are usually considered as „inflated aid";
- Direct General budget support, Sectoral budget support or Pool funding for specific countries or programs (still limited in case of the Czech Republic).

Multilateral ODA consists of mandatory contributions (in particular to the EC budget of which 6.16 % is reported as ODA) and voluntary contributions to international organisations and funds. Only a part of voluntary contributions can be usually reported as ODA (a special exemption with 100 % eligibility is the EDF – European Development Fund). The amount of mandatory and voluntary contributions and payment procedures are agreed at international level. Special arrangements can be agreed for Trust Funds (typical example is the UNDP Trust Fund or the European Trust Fund for Africa) – they usually include conditions for preferential engagement of national experts and organisations. Another special modality is so-called delegated cooperation, where the Czech Republic can take a responsibility for joint management of the Czech and European or other donors´ funds.

Finally, an appropriate budget is allocated for **ODA management and administration** (including programming, identification, formulation, monitoring and evaluation).

The Czech Republic promised in 2005, jointly with other new member states of the EU, that they would strive to increase the ODA budget to 0.17% GNI by 2010 (later prolonged to 2015) and to 0.33% by 2015 (later prolonged to 2030). The reality in 2018 is 0.13% only and there is no prediction of any significant increase. The plan for 2019 allocates CZK 1.154 billion for bilateral ODA and CZK 4.543 billion for multilateral ODA:

- ODA projects (Czech Development Agency): CZK 525 mil.
- ODA projects (Ministry of Foreign Affairs / MFA): CZK 302.5 mil.
- Transformation cooperation (MFA): CZK 80 mil.
- Humanitarian aid (MFA): CZK 218 mil.
- Scholarships (Ministry of Education, Youth and Sports): CZK 125.5 mil.
- Scholarships (Ministry of Health): CZK 3 mil.
- Multilateral cooperation: CZK 4.543 mil.

The total amount of CZK 5.697 billion is a decrease from the CZK 5.854 billion budgeted in 2018.

There are three critical **assumptions for effective national ODA** and none of them have been fully met so far in the Czech Republic:

- Adequate budget for bilateral projects and programs (60/40 % ratio between bilateral and multilateral ODA can be recommended; however, the current ratio is 20/80 %);
- Predictability and transparency of budget allocations (effective aid needs predictable multiannual funding; however, the Czech ODA is still dependent on annual approvals of the State Budget);
- Gradual increase of ODA budget (while our commitment is providing for ODA 0.33 % of the Gross National Income in 2030, the current level and mid-term prediction is only 0.13 %).

1.7 Types of Czech ODA

Types of projects can be distinguished according to different contracting conditions (tenders for services, supplies and works, and grants) or according to operational specifics:

Projects in the Czech Republic

These are focused on development education and awareness, capacity building and networking, and can be used as core contributions for selected organisations (especially for the above-mentioned NGO or entrepreneurs' platforms and/or for associations of municipalities). These projects are an integral part of ODA as they are ensuring direct engagement of Czech citizens and organisations in development issues.

Bilateral projects in developing and transition countries

These projects usually differ according to the sectors or to the status of the partner country:

- Projects in priority partner countries are usually framed by mid-term programs;
- Projects in specific and phase out partner countries are usually backed up by direct presence of Embassies and/or by agreements with local governments or partner agencies (which should provide support for project identification, formulation or monitoring) and by stronger political support;
- Projects in other partner countries can be launched ad hoc as a response to priority/urgent needs or based on partnership schemes („right of initiative") and on the Czech comparative advantages (e.g. sharing transition experience);
- Projects within the Transition Program which is focused on fragile countries and states in transition from totalitarian to democracy regimes.

Trilateral projects

Trilateral (or triangular) projects are an innovative mechanism that allows cooperation and/or experience sharing between two (or more) donors and partner countries. These projects include:

a) Co-financing schemes with other donors (EC in particular) – in that case the Czech Republic can contribute financially (up to 50 % of the total budget) to the projects already approved by other donors;

b) Joint programs and matching funds (shared management, including delegated cooperation) with other donors – in that case the Czech contribution can either cover part of direct and administrative expenses or can be used for pool funding of specific projects;

c) Special arrangements can be prepared for joint programming or joint evaluations with other donors or partner countries and/or for other interventions related to better harmonisation of donors and partner countries.

Humanitarian Aid / Urgent Response

The projects of a humanitarian character cannot usually be planned in advance as their relevance depends on urgent needs (man-made catastrophes or conflicts, natural disasters, food crisis, epidemic outbreaks, etc.). There are three main options how to provide humanitarian aid:

- Direct financial contributions to the partner countries;
- Supplies of equipment or material; and
- Project based approach.

All these options call for a flexible decision-making process (rapid response). There is also an option to sign framework agreements with specialised organisations providing humanitarian assistance, and thus to have an opportunity to do a rapid selection from shortlisted implementing organisations (this option has not been fully used in the Czech Republic yet).

Reconstruction and Rehabilitation (post-crisis or lasting crisis situations)

These interventions have a lot in common with bilateral development projects; however, the specifics of crisis and fragility of local institutions calls for specific approaches including specific safety/security arrangements. Therefore, framework agreements with specialised organisations seem to be again the best option.

2. INTRODUCTION TO PROJECT CYCLE MANAGEMENT (PCM)

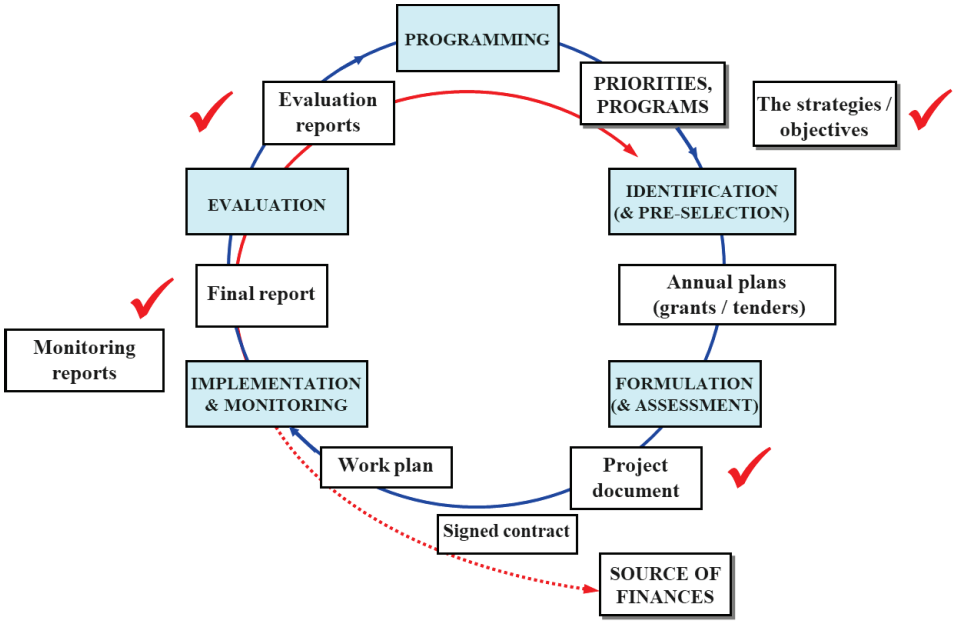
2.1 Phases of the Project Cycle

Each phase of the project cycle has specific priorities and requires specific inputs to produce relevant results for assuring sustainability of all consequent steps. The project cycle management is not only about the result chain of inputs – activities – outputs – outcomes – impacts or about documents demanded, but especially about the involvement of relevant key stakeholders in the decision-making process and in the implementation of a project. It is therefore necessary to set clear roles, competencies and personal responsibilities of all stakeholders from the very beginning.

The way in which projects and other interventions are planned and carried out follows a sequence beginning with an agreed strategy, which leads to an idea for a specific action, which then is formulated, implemented, monitored and evaluated with a view to improving the strategy and further actions. Project cycle management integrates all phases of development intervention and examines all issues in order to ensure that objectives and factors of sustainability remain in focus.

Although a specific project cycle can vary according to the project character and extent, to the type of its identification and to previous/contemporary activities or experiences, basically three fundamental stages of project processing are to be undertaken: **preparation** – **implementation & monitoring** – **evaluation**.

The fundamental phases of the project cycle for Official Development Assistance (ODA) projects and programs are usually formulated in the five steps as follows:



➢ **Project preparation**

1 Programming – analysis of the situation: problems, needs and opportunities at national level and in partner countries; preparation of policy documents outlining an overall Strategy (including a strategy for multilateral cooperation); and adoption of general guidelines and

principles for development co-operation with regard to donor's policies and fields of expertise and experience. Strategic (mid-term) plans for co-operation with priority partner countries or within specific sectors should be identified and outlined in country or sectoral strategies. The main responsible body is the Ministry of Foreign Affairs and its advisory Council for International Development Cooperation. The strategic documents are to be approved by the whole Government; the mid-term plans and budget allocations then must be also approved by the Parliament of the Czech Republic.

2 Identification – within the framework established by the Donor's ODA Strategy and Country or Sector Programs, specific objectives, expected results and necessary activity clusters are identified and analysed (pre-feasibility study) through assessment either of Concept notes submitted by applicants for grants or of Project identification forms (project ideas) submitted by beneficiary institutions in partner countries. There is a divided responsibility of the Ministry of Foreign Affairs (e.g. for Humanitarian aid or Transformation program) and the Czech Development Agency (for bilateral and trilateral cooperation, and national grant programs).

3 Formulation – approved project ideas (either Concept notes or Project identification forms) must be elaborated into detailed Terms of Reference with clearly specified results and indicators and/or Technical specifications (tender dossier) or into Full project proposal (grant schemes). During the appraisal process, the issues of relevance, effectiveness, efficiency, sustainability and likely impacts are explored as well as key assumptions and internal logic (theory of change / logic model) of the intervention. In case the project is approved, contracts or grant agreements are signed, usually after adjusting the work plan (time schedule, system of payments, reporting requirements, etc.). Like in the identification phase, there is a divided responsibility of the Ministry of Foreign Affairs and the Czech Development Agency regarding their respective programs.

- **Project implementation & monitoring**

4 Implementation of the project by using the resources agreed to achieve the desired results (outputs, outcomes and goals) of the project. The progress of the project has to be monitored (assessed) to enable pertinent adjustments to changing circumstances. Open and timely communication between implementing organisation and the Contracting authority and their joint responsibility for results are key preconditions for project success. This phase can be subdivided into the inception phase (updated Work plan and/or Inception report), main implementation phase (Progress monitoring reports) and completion phase (Completion report).

- **Project evaluation**

5 Evaluation – assessment, as systematic and objective as possible, of design, results and impacts of the project before, during, at the end and/or after implementation with a view to possible remedial action and/or framing recommendations/guidance for similar development interventions in the future. The findings, conclusions, recommendations and lessons learned are described in Evaluation reports.

Brief exercise:
Try to match the project cycle management stages (programming – identification – formulation – implementation and monitoring – evaluation) with „normal life" situations, e.g. for the project: „HOLIDAYS".

2.2 OECD/DAC and other Criteria

There are several basic principles and criteria that frame the successes and failures of development interventions. Many donors and evaluators still use the following basic criteria set by the Development Assistance Committee of the Organisation for Economic Cooperation and Development (OECD/DAC):

- **Relevance** – relation to priorities of both the target groups and the donor, the effects of the project on the addressed problems
- **Effectiveness** – setting the project's goals and logic („doing the right things")
- **Efficiency** – productivity of the intervention („doing the things right")
- **Impacts** – both positive and negative, planned and unplanned impacts on the target groups
- **Sustainability** – the continuation of benefits after the project ends (mostly dependent on conditions in the place of implementation)

However, the above criteria might not be sufficient or appropriate for all kinds and purposes of development interventions. Some other issues might be even more important for decisions on improvements or replication of the implemented interventions and/or for increasing impacts for the target groups. Other criteria may include:

- **Sustainable Development Goals** – relevance and/or specific contribution to SDGs (What are the relations with SDGs?)
- **Feasibility** – the project's quality and guarantees regarding time, people, sources, assumptions and risks, or overall context (Are there any lessons learned? Can we identify best practice examples?)
- **Crosscutting themes** – gender equality, human rights, good governance, environment and climate protection… (How are these aspects considered? Are there any adverse effects?)
- **Empowerment** – democratic ownership, capacity building, inclusiveness (How have been the local actors engaged?)
- **Networking** – synergies with other interventions, cooperation with other actors, cross-sectoral approaches (What are the key partners?)

2.3 Building Blocks of a Project

Project is an activity in which resources are expended in order to create assets from which benefits are derived. A project has specific objectives, a beginning, quantified resources and activities, and an end. When preparing a project, the following building blocks and other factors (including the budget and time frame) must be considered:

- **Goal / Impact** („to contribute to")

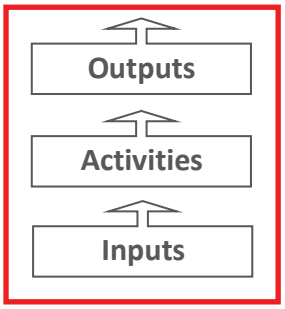
  Long-term positive impact for the target groups, to which the project is to contribute (usually within wider programs)

- **Mid-term Outcomes** / Purpose („to achieve")

  Behaviour or institutional change or significant improvement of the situation as a consequence of implemented activities and produced outputs, with the necessary external assumptions being fulfilled

- **Short-term Effects** („to use and apply the project outputs")

  Applied new skills, attitudes or approaches of project participants and target groups



- **Outputs** („to produce“)
  Clearly defined result of the project, identifiable in terms of time and subject-matter; they are guaranteed on the basis of available inputs and implemented activities
- **Activities** („to carry out“)
  Necessary activities transforming the project's inputs and means into the foreseen outputs
- The project's **inputs** („to provide or ensure“)
  All financial, human and material sources necessary to implement the activities and to achieve the project's outputs
- The project's **assumptions** („necessary conditions“)
  Important positive external factors which cannot be influenced easily (events, activities or conditions) and are necessary for the project's implementation and overall success
- The project's **risks** („possible threats“)
  Negative external factors which can influence the project's implementation or the overall success (and which, however, are not very probable or can be under partial control)
- Evaluation **indicators** („how to recognise a change“)
  Objectively measurable and verifiable indicators to assess implementation of the outputs and achievement of the project's effects, outcomes and goals (impacts)
- **Sources and means of verification** („where to find the necessary information”)
  Primary and secondary data and other sources of information necessary for verification of project results and/or lessons learned

3. LOGICAL FRAMEWORK APPROACH (LFA)

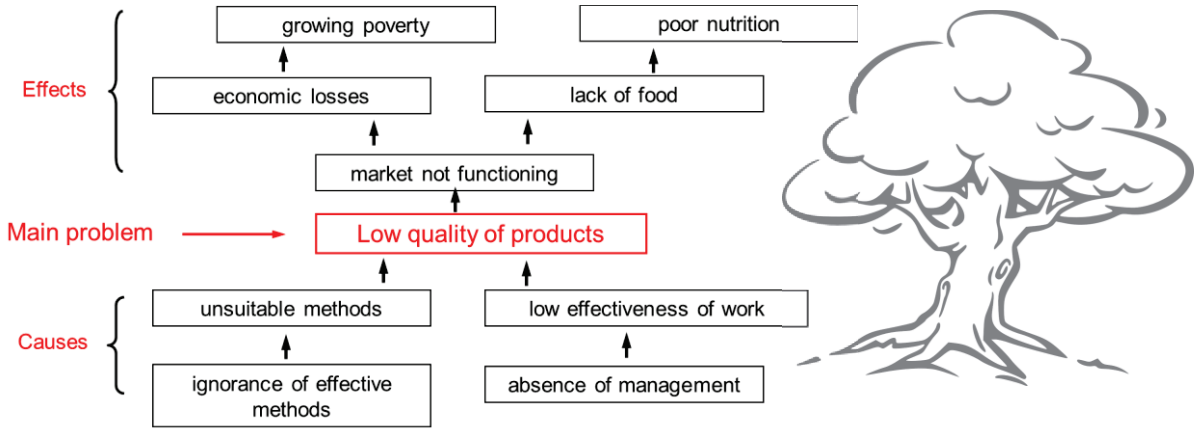
The original purpose of the Logical Framework Approach (LFA) was to support participative and inclusive planning – all key stakeholders and target groups should jointly:

- Assess the key problems and their causes to be solved (problem analysis);
- Identify all parties interested in the results or affecting the implementation or results of an intervention (stakeholder analysis);
- Agree the objectives of the intervention (objective analysis);
- Select the most appropriate strategy to reach the foreseen objectives (strategy analysis); and
- Identify the important assumptions, risks, and contextual factors.

3.1 Analysis of Problems

There are many approaches that can be used for identifying the problems and their root causes to be addressed by the intervention, among others, the problem tree, the SWOT analysis, or 5-Whys.

Problem tree approach usually starts with team brainstorming on all key problems identified in the given area (using both the scientific evidence and own observation). In further steps the team continues through grouping the problems, by identifying the most significant issues and by recognising the causal relations between these issues. The result should be a scheme of the central problem (the trunk of a tree), its causes (the roots of a tree) and the effects (the crown of a tree).



SWOT analysis is mainly used for identifying issues causing problems in an organisation or in applied processes. It reflects on and assesses the Strengths, Weaknesses, Opportunities and Threats of a particular strategy in order to discover how it can best be implemented. Therefore, it also anticipates the remaining analyses of stakeholders, objectives and strategies.

5-Whys analysis is asking the question „Why does it happen?" until the team can identify the cause-and-effect relationships including the root causes that create underlying problems. It usually takes at

least 5 steps and therefore the approach is called Five Whys. However, in a detailed breakdown of an issue, asking the same question may be needed many times – see an example about Titanic at https://www.youtube.com/watch?v=38RlXdr4Np0.

Brief exercise:
Prepare a problem tree (cause and effect relations) for a situation where the main problem is lack of safe water in rural areas.

Recommendations:

For recognising the causes of the problems and the real or potential effects, look for the keywords: BECAUSE, SINCE, SO, IF, THEN, BEFORE, AFTER.

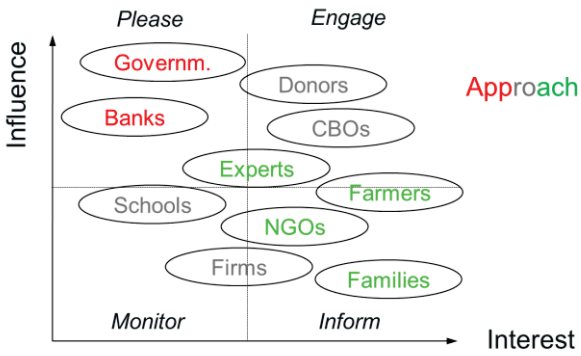
It is necessary to focus on problems that can really be solved by the project. However, insoluble problems and their effects on the project must also be considered.

All key stakeholders must be involved as early as during the project´s preparation (in identification of problems and priorities) – the ownership principle is crucially important.

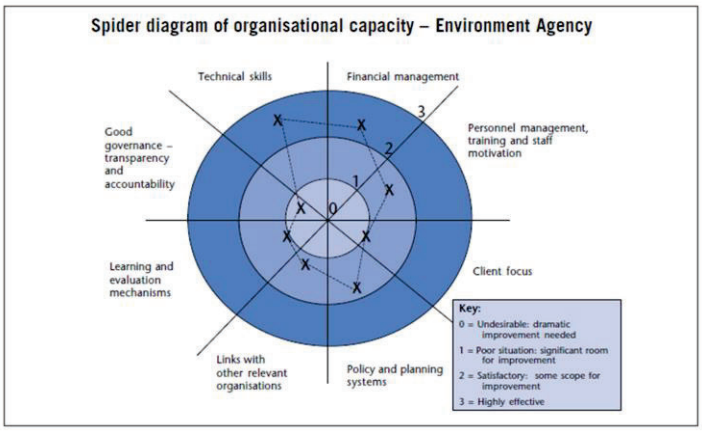
3.2 Analysis of Stakeholders

The stakeholders are all subjects which should or can influence the implementation or success of a project, or which should or can be influenced by the project´s implementation or results. A specific role belongs to the target groups and beneficiaries, which include project partners and directly engaged groups or people, special mediators of the benefits (e.g. the trained experts, teachers, or media), target groups on the level of the outputs and outcomes, and final beneficiaries on the level of the foreseen impacts. The analysis should focus on characteristics of key stakeholders, their interest and expectations, their relation to the project and to cross-cutting issues (like human rights, gender equality or environment protection), their capacities and drawbacks, and on their influence on the project. Besides the above SWOT analysis or a description in a table, many other approaches can be used.

One of them can be influence–interest–approach scheme, recognising for each stakeholder the foreseen level of influence and interest in the given intervention and also positive, neutral or negative approach to its implementation. The more key stakeholders with a positive approach there are in the right upper level of the scheme (big influence and big interest at the same time), the higher the probability of overall success when these actors are directly engaged.



Another possibility is to use the Spider diagram that can help identify the strengths and weaknesses of each group. This information is crucially important for the implementation of an intervention, especially if activities focused on strengthening the capacities in some fields are needed for reaching the foreseen results or for ensuring the sustainability of impacts. The analysis also helps in setting appropriate roles of each actor.

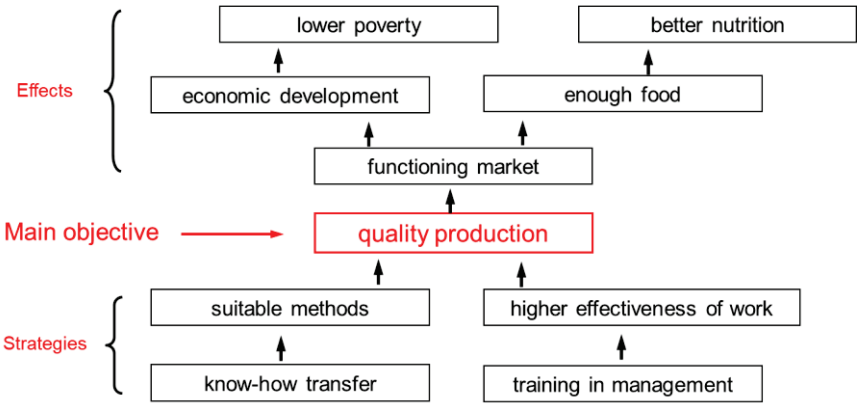


Another often used approach is the Venn diagram of stakeholder relationships from the perspective of influence (the bigger influence the bigger shape) and proximity (the closer are the relationships, the closer are the actors also in the diagram).

Brief exercise:
Identify the key stakeholders for an intervention focused on solving the problem of lack of safe water in rural areas. Distinguish the target groups (final beneficiaries) and other actors to be engaged in the intervention.

3.3 Analysis of Objectives

Whenever the problems and their causes are clearly identified, it is usually simple to get agreement on what should be the result of ODA intervention, i.e. on the idea how the negatives (problems) can be transformed into positives (objectives), using the same causal relations like in the problem analysis. However, the formulation of objectives is not so easy from the perspective that all stakeholders must understand them in the same way and that the results must be monitorable. The objective tree for the same problem tree above can be illustrated by the following picture.



Brief exercise:
Prepare an objective tree for an intervention focused on solving the problem of lack of safe water in rural areas.

Recommendations:

Like in the previous scheme, the arrows should be used to confirm the causal relations between the possible strategies and the foreseen effects of an intervention.

For setting the goals (positive impacts, benefits) and outcomes (behaviour/situation change), consider the following aspects:

Impact:

- *Usually, it is difficult to guarantee the achievement of impacts and their sustainability already at the end of the actual project.*
- *Indicators must be achievable and measurable (available national statistics, evaluation of impacts by the target groups, long-term monitoring of the situation, etc.).*

Outcome:

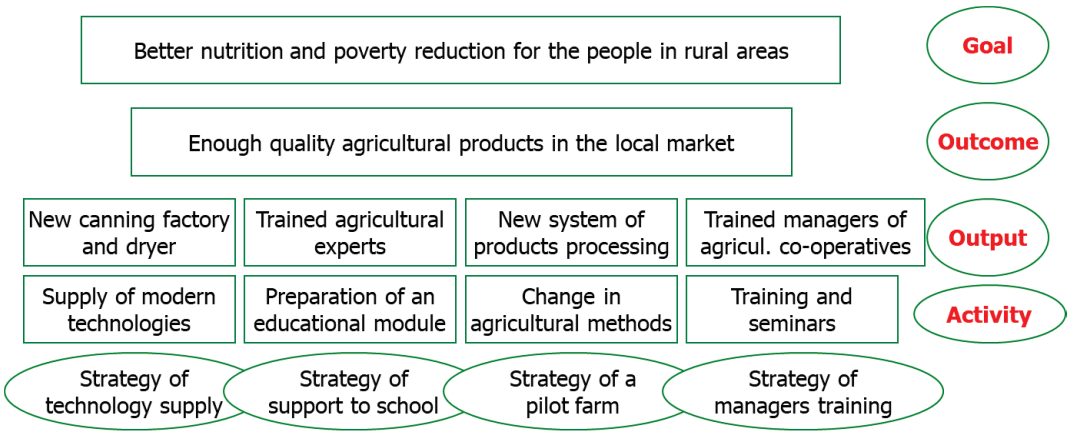
- *There should not be more than three outcomes (if the project has three topics), one outcome is best!*
- *The project´s name should correspond to the level of the outcome – as it expresses the main project´s purpose.*

3.4 Analysis of Strategies

For selecting the best appropriate strategy (or combination of several strategies) examine how the problems and their causes can be addressed to reach the objectives, the following steps can be recommended:

- Assessment of outcomes and goals achievable by the project (with considering previous or parallel interventions, local priorities and contextual factors);
- Setting criteria for the selection of strategies (these can include time or financial aspects, locally available technologies and services, legal requirements, verified best practices, etc.);
- Identification of alternatives (considering both infrastructural or technological issues and soft skills required, including awareness and education);
- Selection of the appropriate strategy (considering also synergies or overlaps with other local interventions, and gaps that must be solved by other actor outside the given intervention).

For the same example as above, a combination of four strategies can be considered for reaching the foreseen outcomes and goals:



Brief exercise:
Identify at least four possible strategies for solving the problem of lack of safe water in rural areas.

3.5 Assumptions and Risks

Finally, the project strategy must consider all external factors that might influence the project implementation or its results and that are outside the direct control of the project management but crucial for undertaking the activities and for achievement of outputs, short-term and mid-term outcomes and foreseen impacts.

While the **assumptions** should be formulated in a positive way – as the desired situation, the **risks** are the negative factors that can endanger progress or success of the project. The **preconditions** have a special position in intervention logic – these conditions must be satisfied before project activities can start up (e.g. official approval of organisational set-up). Therefore, all logic models of development project should include an assessment of:

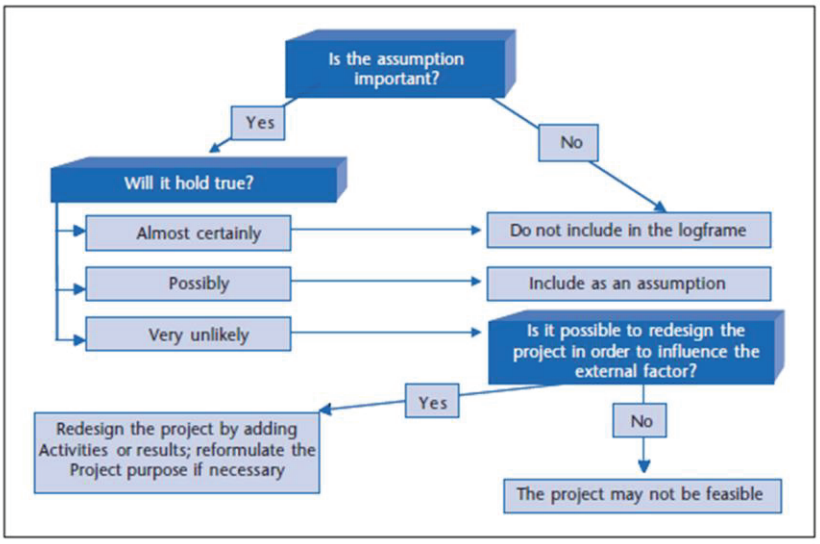
- Pre-conditions = factors that need to be in place before the intervention can start
- Assumptions
  - At activity level = external factors that must hold true for expected outputs to be achieved
  - At expected outputs level = continuing factors that must hold true to achieve the short-term effects and mid-term outcomes (specific objectives)
  - At outcome level = refer to use and long-term sustainability of the project results (benefits for the target groups) beyond period of the action
- Risks = possible threats at specific levels (including tools for managing these risks)

It is important to assess the importance and probability of all identified **assumptions** in the given context (place, time, socio-economic situation, political framework, historical consequences, security issues, etc.). For example, assuming that the government´s approach will change after the coming elections is a typical „killing" assumption in most cases and the project team cannot rely on such kind of fulfilled dreams.

On the other hand, it has no sense mentioning (and monitoring) assumptions that are already confirmed and in place until these are key preconditions that enabled the start of the project.

If external assumption is not important or will be almost certainly realised, it should not be included in logical framework.

If an important assumption will not be likely realised, it is necessary to redesign the project if possible, in order to influence the external factor (e.g. by added activities and/or results); if it is not possible, such an assumption is a „killing" one and the project is no more feasible.



If necessary external factor is likely to come but is still not confirmed, it should be included in logical framework as assumption.

The same approach is necessary for assessing the negative factors – **risks**. Only significant and only

Brief exercise:
List at least five key assumptions underlying a micro lending program (loans of 250-500 $) that aims to promote household well-being by helping poor rural women enter the labor force and build entrepreneurial skills.

probable risks should be included. The factors endangering the project progress that will definitely come have the same „killing" potential as an improbable assumption. The project team should assess the risk level (high – medium – low effect on the project) and probability that the risk will appear. Risk management strategy should be prepared already in the formulation stage. Both assumptions and risks should be then monitored during the project implementation, and relevant corrective actions must be taken in order to minimise any negative effect on the intervention.

3.6 Contextual Factors

Besides assumptions and risks, also contextual factors must be considered during preparation on any intervention and monitored during its implementation. These factors can include:

- Cultural and historical factors (gender issues, human rights, local habits, empathy, roles of community leaders, etc.);
- Economic factors (constraints and incentives, power distribution, financing for further operations, etc.);
- Environmental factors (for example, contamination of water, soil, or air & related health issues, access to safe water, limitations or benefits related to nature protection);
- Climate issues (appropriate timing of intervention; preparedness, adaptation and mitigation concerning the climate change, etc.);
- Administrative constraints (legal framework, permits, approvals, registrations, obligatory procedures and the related time frame, etc.);
- Security issues (dangerous locations or sites, or groups/sites with a complicated access);
- Language barriers, available or missing local capacities, quality of infrastructure, technical limitations (e.g., power or water supplies, access to internet), level and quality of education, and other aspects that can have positive or negative effect on the foreseen intervention;
- Other interventions, programs, and policies.

4. LOGICAL FRAMEWORK MATRIX (LFM) / THEORY OF CHANGE (TOC)

4.1 Logical Framework Matrix (LFM)

The originally foreseen participative planning (LFA) has been replaced by a requirement to „fulfil" the Logical Framework Matrix (LFM/Logframe), which is then used as a control tool:

- Instead of responsibility to the target groups, an accountability to donors is monitored and reported.
- The indicators are set in advance and agreed by donors, while flexibility in managing an intervention, best practice testing, experiments, or alternative approaches for reaching the foreseen change are mostly ineligible.
- Engagement of the target groups, effects of key external factors or unintended impacts are suppressed.

The vertical logic corresponds to the universal structure of the result chain (impacts – outcomes – short-term effects – outputs). The horizontal logic then includes indicators, sources and means of verification, and assumptions at specific levels of the result chain.

Logical Framework Matrix (LFM) – Simplified version

	Intervention logic	Objectively verifiable indicators of achievement	Sources and means of verification	Assumptions
Overall objective (Goal)				
Specific objective(s)				
Expected results (Outputs)				
Activities		*Means:*	*Costs:*	Pre-conditions

Logical Framework Matrix (LFM) – Full version

	Results chain	**Indicator**	**Baseline** (value & reference year)	**Target** (value & reference year)	**Current value*** (reference year) (* to be included in interim and final reports)	**Source and mean of verification**	**Assumptions**
Impact (Overall objective)	The broader, long-term change to which the action contributes at country, regional or sector level, in the political, social, economic and environmental global context which will stem from interventions of all relevant actors and stakeholders	Quantitative and/or qualitative variable that provides a simple and reliable mean to measure the achievement of the corresponding result To be presented, when relevant, disaggregated by sex, age, urban/rural, disability, etc.	The value of the indicator(s) prior to the intervention against which progress can be assessed or comparisons made. (Ideally, to be drawn from the partner's strategy)	The intended final value of the indicator(s) (Ideally, to be drawn from the partner's strategy)	The latest available value of the indicator(s) at the time of reporting (* to be updated in interim and final reports)	Ideally to be drawn from the partner's strategy	Not applicable
Outcome(s) (Specific objective(s))	The main medium-term effect of the intervention focusing on behavioural and institutional changes resulting from the intervention (It is good practice to have one specific objective only, however for large Actions, other short-term outcomes can be included here)	(see definition above)	The value of the indicator(s) prior to the intervention against which progress can be assessed or comparisons made	The intended final value of the indicator(s)	(same as above)	Sources of information and methods used to collect and report (including who and when/how frequently)	Factors outside project's control that may influence on the impact / outcome(s)
***Other Outcomes (*where relevant)**	Where relevant other short-term effect(s) of the intervention focusing on behavioural and institutional changes resulting from the intervention (e.g. intermediate outcomes can be accommodated here)	(same as above)	(same as above)	(same as above)	(same as above)	(same as above)	Factors outside project's control that may impact on the specific objective / other outcomes linkage

Outputs	The direct/tangible products (infrastructure, goods and services) delivered/generated by the intervention (*Outputs should in principle be linked to corresponding outcomes through clear numbering)	(same as above)	(same as above)	(same as above)	(same as above)	(same as above)	Factors outside project's control that may influence on the other outcome(s) / output linkage

The final part of the Logframe then describes activities and related means and costs in Activity matrix:

What are the key activities to be carried out to produce the intended outputs? (*activities should in principle be linked to corresponding output(s) through clear numbering)	**Means** What are the political, technical, financial, human and material resources required to implement these activities, e. g. staff, equipment, supplies, operational facilities, etc. **Costs** What are the action costs? How are they classified? (Breakdown in the Budget for the Action)	**Assumptions** Factors outside project management's control that may impact on the activities / outputs linkage

In order that the Logframe can fulfil its original role of participatory planning, the following requirements should be addressed:

- The main building blocks of the foreseen result chain (outputs – short-term and mid-term outcomes – impacts) should be identified and agreed in a participatory way.
- The chosen strategy should reflect the key external factors and the local context.
- The Logframe can indicate the foreseen Theory of Change, but this is possible only in case it is elaborated on one page (which is almost impossible regarding the two-page template).
- The original Logframe should be periodically revised according to the real-life situation and lessons learned.

However, there are still some logical problems in the matrix that cannot be easily overcome:

- The matrix is used mainly by donors and it is not easily understandable to the target groups.
- The things do not happen in a straight-line sequence and the intervention logic is usually not linear (the same activities cannot lead to the same results in different contexts).
- The format is very restrictive – only three or four levels of results are rarely sufficient.
- The matrix justifies the approach agreed in advance („so-that") and limits flexibility and accountability for real results – it fixes the plan and does not reflect the context, emerging issues, and sustainability factors („why things happen"). It is sometimes called „lockframe".
- The time dimension is missing, the interconnections between activities, outputs, short-term effects, outcomes and impacts are not visualised.
- Fetishisation of indicators leads to a focus on reporting the indicators instead of the real changes. In addition, the same indicators are often used at different levels of the result chain, which is an evidence that the causal hierarchy of the results is not correctly recognised.
- The most important results – the behaviour changes – are hardly measurable by quantitative indicators or by immediately achievable indicators as required by donors.

- The last column on Assumptions is often underestimated in planning and monitoring (key assumptions are not identified).

4.2 Theory of Change (ToC)

A program theory explains how an intervention (a project, a program, a policy, a strategy) is understood to contribute to a chain of results that produce the intended or actual impacts. It can include positive impacts (which are beneficial) and negative impacts (which are detrimental). It can also show other factors which contribute to producing impacts, such as context and other projects and programs.

Different types of diagrams can be used to represent a program theory. These are often referred to as logic models, as they show the overall logic of how the intervention is understood to work. Sometimes they are shown as a series of boxes (inputs – activities – outputs – outcomes – impacts), sometimes they are shown in a table, sometimes they are shown as a series of results, with activities occurring alongside them rather than just at the start.

Program theory can be used to provide a conceptual framework for monitoring, for evaluation, or for an integrated monitoring and evaluation framework. A program theory can be a very useful way of bringing together existing evidence about a program and clarifying where there is agreement and disagreement about how the program is understood to work, and where there are gaps in the evidence. A program theory is often developed during the planning stage. It can also be developed during implementation and even after a program has finished. When an evaluation is being planned, it is useful to review the program theory and revise or elaborate it if necessary.

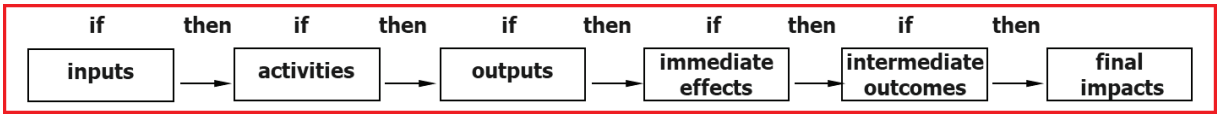
Theory of Change is a methodology for planning, participation, and evaluation in order to promote social change. Theory of Change defines long-term goals and then maps backward to identify necessary preconditions.

Theory of Change explains the process of change by causal linkages. The shorter-term, intermediate, and longer-term outcomes are mapped as a „result chain", showing each outcome in logical relationship and in chronological flow to all the others. The links are explained by rationales of why one outcome is thought to be a prerequisite for another.

There are several reasons for using the Theory of Change instead of the Logframe matrix:

- It visually shows how the intervention is supposed to work and flaws in logic model (results chain);
- The main concept is in identifying the causalities: the causes and the effects („if X then Y") and chronology („first A then B");
- Key assumptions and other external factors may indicate risks for achievement of the foreseen results;
- Without Theory of Change (understanding the causalities) it is impossible to explain WHY the objectives were or were not reached – project would stay a „black box".

The envisaged outcomes and mid-term and long-term impacts should be at the centre of attention since the very first moment of ODA planning. The project strategy must follow the theory of change – the cause-effect logic of the intervention. Project logic model must explain how projects are expected to lead to attainment of social, economic and other goals – how the activities will produce intended outputs and outcomes, noting important causal mechanisms. The logic can be in a simplified form described by the „if-then" scheme:



If the inputs are provided, then the activities can be undertaken and if activities are undertaken then the outputs must be produced and if outputs are produced then they should lead to immediate positive effects and if these effects take place then intermediate outcomes can be achieved and if these outcomes are achieved then the project can contribute to (sustainable) final impacts (overall goals).

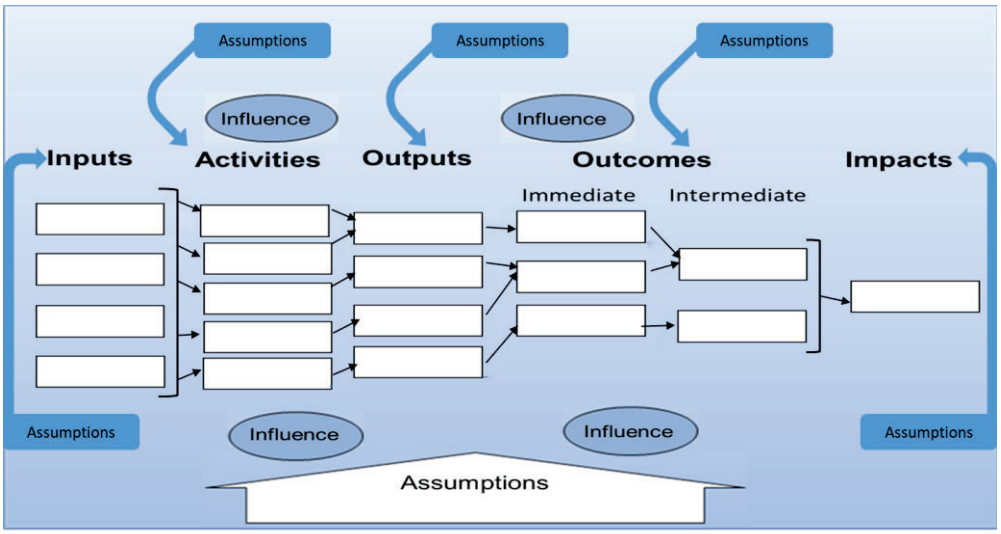
- **Inputs** are all resources – money, staff, volunteers, equipment, material and other supplies – used to perform activities;
- **Activities** are the tasks performed using resources and means in order to produce outputs; for example, vocational skills training, literacy education, counselling, construction works;
- **Outputs** are products and services produced directly as results of activities; for example, a manual for vocational training, the trainees completing the program, increased awareness, or a constructed school;
- **Short-term effects** are changes in skills, attitudes or approaches of project participants and target groups; for example, increased literacy, adopted new vocational skills or improved work attitudes;
- **Outcomes** mean changes in behaviour and performance of participants and target groups, or institutional changes (including enabling environment for these changes); for example, improved decision-making, or new policy introduced;
- **Impacts** are the long-term benefits from improved performance of the target groups; these can include for example higher standard of living, decent work for marginalised groups, reduced mortality rate, etc.

A similar logic is also followed by Logical Framework Matrix used by the European Commission and some other donors, however so-called vertical logic is simplified into five or six levels only: inputs – activities – outputs – short-term and mid-term outcomes – impacts. In reality, almost no project can be described in 5 or 6 elements only or in one line or one column. Doing separate Logframes for different components can improve their usefulness.

The Theory of change is usually much more complex, combining both horizontal interlinkages (parallel and complementary activities and outputs) and causal relations (step-by-step progress and consequent effects of the project). For its preparation, diverse processes can be used, for example:

- **Articulating mental models:** talking individually or in groups with key informants (e.g. program planners, implementors and clients) about how they understand an intervention works.
- **Backcasting:** working backward from a desirable future, to the present in order to determine the feasibility of the idea or project.
- **Five Whys:** asking questions in order to examine the cause-and-effect relationships that create underlying problems.

Whatever simplified matrix or scheme must demonstrate this complexity. The critical assumption underlying all development projects is that conditions will improve as a direct result / attribution (or at least contribution) of the project („What otherwise would happen without the project?"). Therefore, it is important to recognise and visualise the causal relations as well as the chronology.



Recommendations:

Theory of change is your mental image (understanding) of how the intervention is designed:

- *Do not limit the Theory of Change only to what is written in the proposal;*
- *It is not about depicting the planned in boxes;*
- *Use the arrows to demonstrate the causal relations.*

Use the Theory of Change in every presentation during the implementation or evaluation process so all parties can embrace the logic; sometimes people and organisations get stuck in technical details.

Sources of further information:

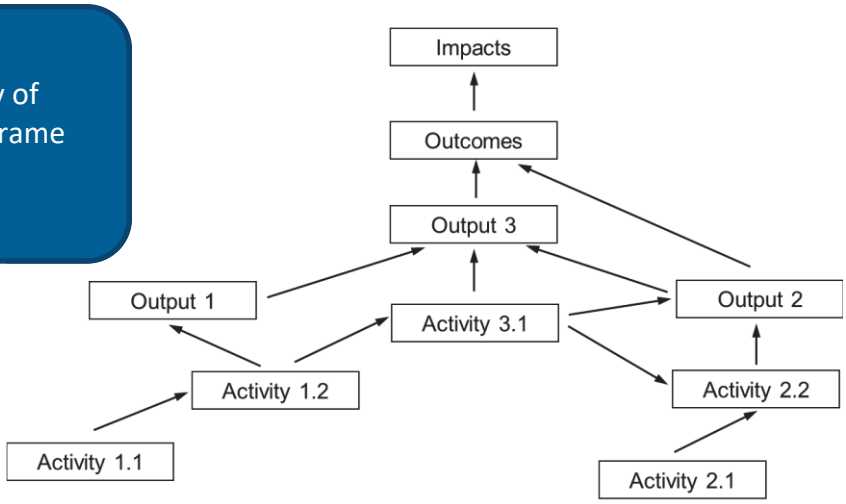
Theory of Change Explainer – Al Onkka (5:35): https://www.youtube.com/watch?v=BJDN0cpxJv4

Theory of Change Review (Comic Relief): http://www.actknowledge.org/resources/documents/James_ToC.pdf

Theory of Change Online (TOCO): Web-based software to design and edit and store a Theory of Change, learn the concepts, and capture outcomes, indicators, rationales and assumptions in an interactive graphical environment: http://toco.actknowledge.org/aboutus.php

Rainbow Framework: https://www.betterevaluation.org/plan

Brief exercise:
Prepare a simplified Theory of Change and simplified Logframe of your imaginary project.



Brief recapitulation test:

What are the four analysis within the Logical Framework Approach?

What can be the causes for a lack of safe water?

Is a constructed school output, outcome or impact?

Is an increased school attendance output, outcome or impact?

What assumptions are crucial for improved hygienic behaviour?

Can you identify at least 2 differences between Logical Framework Matrix and Theory of Change?

5. IDENTIFICATION STAGE

For all types of projects funded or co-financed from public funds, there are two general financial mechanisms – grants and tenders. Grants are used for projects identified and formulated by applicants („Right of initiative") while tenders are used for projects formulated by the Czech Development Agency and other Contracting authorities (and/or its collaborators). Depending on these forms, the roles in identification stage of the project cycle significantly differs.

In case of **tenders**, the Czech Development Agency (or similar Contracting authority) is fully responsible for project identification, including pre-feasibility studies and identification of appropriate partners and final beneficiaries. Embassies (or CzDA development officers) in the target countries and other ministries or donor agencies can participate in project identification. In some cases, co-called Project Identification Forms may be used. The forms are collected by the Embassies and pre-selected project ideas are then shared with headquarters (the MFA) and the Czech Development Agency which are then responsible for a decision on which proposal will advance to the formulation stage and what kind of funding mechanism will be used.

In case of **grants**, the applicant is fully responsible for project identification including selection of appropriate partner(s) and concrete target groups for project implementation. There are two basic roles of the Czech Development Agency (and similar institutions) within the identification stage:

- Setting conditions and general objectives for the Call for proposals (Guidelines for applicants);
- Assessing and selecting applications – the Concept notes – in case the restricted (two-stage) grant selection procedure is applied. Embassies in the target countries may provide feedback to the Concept notes, MFA and other ministries (or independent experts) can participate in evaluations of the Concept notes.

In specific cases, the MFA can also use a form of **direct donation** (either money or supply of material or equipment), especially for humanitarian aid.

5.1 General Options for Grants

Only non-profit and religion-based organisations can apply for grants while for profit-based subjects so-called „de minimis" principle is applied – one subject cannot get more than € 200,000 within a 3-year period. Grants can be awarded only for non-profit activities that started after the signature of the Grant contract, and co-financing by grant beneficiary (usually the minimum amount requested is 10 % of the total budget, minimum 50 % co-financing is requested for B2B and trilateral projects). Grants can be launched as:

Restricted Calls for proposals – simplified Concept notes corresponding to the objectives of the Call are evaluated in the first stage, and the shortlisted applicants are invited to submit Full project proposal. This in no case restricts the access of applicants as the restricted procedure also complies with the „right of initiative" principle as well as with the principles of transparency and effectiveness. It is highly recommended to consider this option particularly for trilateral projects co-funded by the EC and other donors, regarding their usual project selection procedures and also predictability of funding at the Czech side:

a) It is important to get the preliminary approval of the project by the CzDA before submitting full project proposal to other donors;

b) It is necessary to plan the budget requirements at the CzDA level in advance (the selection and evaluation of project proposals by the EC usually takes one year – from submitting the proposal to signing the contract);

c) The final application for the CzDA grant can be completed and awarded only after project approval by the other donor; but the annual Calls for proposals (one-year funding scheme) in the Czech Republic do not allow flexibility in releasing the funds;

d) Even some governments in partner countries need at least a preliminary approval of the international funding before confirming their co-financing (if needed);

e) Planning projects in developing countries usually require more time and evaluating of project proposals that have no chance to succeed means loss of time, money and energy both at side of implementing organisation and at side of the CzDA (and other donors).

Open Calls for proposals – applicants are invited to submit Full project proposal according to the objectives and specifications of the Call.

Calls for proposals for co-financing schemes with other donors (based on available financial allocation for this type of projects, there can be also options of Restricted or Open Calls for proposals). In some countries (like Austria), there has been a legal basis allowing non-restricted matching funding with CSOs (all project supported by the EC and other donors get also adequate national funding). However, this option needs an adequate ODA budget and multiyear funding schemes as well as clear regulations regarding eligible projects, applicants and donors.

Operational grants (core contributions) or long-term Framework agreements – these grants can be assigned for specialised non-profit organisations (e.g. the umbrella platforms or humanitarian organisations) according to specific ODA objectives and clear selection criteria.

Grants can be used both for development and humanitarian projects (the latter in a shortened selection and approval mode).

Grant programs must be approved within the ODA plan in advance. The Call for proposal should be launched at least 30 days before the time limit for submitting the proposal, or 15 days in case of emergency.

5.2 General Options for Tenders

There are different requirements for Calls for tenders regarding the financial thresholds (these differ for services, supplies and works) and related mechanisms that can be used according to public procurement/acquisition laws. In Europe, the basic procurement options are as follows:

Open procedure

Under the open procedure, any subject (in the EU usually any registered natural or legal person, i.e. including non-governmental organisations) wishing to tender, receives upon request the tender dossier (which may have to be paid for) in accordance with the procedures laid down in the procurement notice. When the tenders received are examined, the contract is awarded by conducting the selection procedure (i.e. verification of the eligibility and of the financial, economic, technical and professional capacity of tenderers) and the procurement procedure (i.e. comparison of tenders). No negotiation is allowed.

According to the European regulations, open procedure must be applied in the case when the estimated value of the procurement contract is bigger than € 300,000 for services or supplies or higher that € 5,000,000 for works.

Restricted procedure

Under the restricted procedure, all economic operators may ask to submit a tender but only those who satisfy the selection criteria may be invited to do so. The selection criteria and the tasks to be undertaken are described in the published contract notice. A 'long list' of all the candidates responding to the notice is cut down to a shortlist of the best qualified, on the basis of their replies. The selection procedure, by which the long list (all candidates responding to the published notice) is cut down to a shortlist, involves examining responses to a procurement notice, in which the selection criteria and a general description of the tasks to be undertaken are set out. In the second stage of the procedure, the Contracting authority invites the shortlisted candidates and sends them the tender dossier. In order to ensure fair competition, tenders must be submitted by the same service provider or consortium which has submitted the application form on the basis of which it was short-listed and to which the letter of the invitation to tender is addressed. No change whatsoever in the identity or composition of the tenderer is permitted unless the Contracting authority has given its prior approval in writing. A situation where such approval could be given is e.g. where a merger has taken place between a shortlisted candidate/member of a consortium with another company and where the new company is found to meet the eligibility and exclusion criteria and does not give raise to any conflict of interest or unfair competition. The successful tenderer is chosen by the procurement procedure once the tenders have been analysed. No negotiation is allowed.

Negotiation with prior publication of a contract notice / Competitive negotiated procedure or simplified procedure

Under this simplified procedure, the Contracting authority invites at least three candidates of its choice to submit tenders. At the end of the procedure, it selects the technically compliant tender which offers the best value for money in case of service tenders and the cheapest compliant offer in case of supplies or works tenders.

The Contracting authority has the right to apply this procedure in the following cases:

a) When, as a result of applying the open tender, the restricted tender, the competitive dialogue or the request for tender procedures, no tender has been submitted or only unacceptable or irregular tenders were submitted. The application of the negotiation procedure is possible in this case only after the annulment of the initial open tender, restricted tender, competitive dialogue or request for tender procedure and only if the initial requirements stipulated in the tender documentation were not substantially modified;

b) In exceptional situations, duly justified, when the nature of the works/products/services or the risks attaching thereto, do not allow a prior overall pricing of the future public procurement contract;

c) When the services that will be purchased, inter alia the special financial services or intellectual services, such as services involving the design of works, so that the terms of references cannot be elaborated with sufficient precision to permit the awarding of the contract by applying rules governing open or restricted procedures;

d) When the works that will be executed are needed exclusively for purpose of research, testing or technological development, and only if these are not carried out in order to obtain a profitability and do not aim at recovering the research and development costs.

The applied thresholds for this procedure are < € 300,000 for services or works, and < € 100,000 for supplies. Single tender can be used for contracts ≤ € 20,000 and a payment may be made against invoice without prior acceptance of a tender if the expenditure is ≤ € 2,500.

Framework contracts / Framework agreements

A framework contract is an agreement between one or more Contracting authorities and one or more economic operators the purpose of which is to establish the terms governing specific contracts which may be awarded during a given period, particularly as regards the duration, subject, price, implementation rules and the quantities envisaged. Specific contracts based on framework contracts shall be awarded in accordance with the terms of the framework contract and shall respect the principles of transparency, proportionality, equal treatment, non-discrimination and of sound competition. The duration of a framework contract may not exceed four years, save in exceptional cases duly justified in particular by the subject matter of the framework contract.

The Contracting authority has the obligation to conclude a framework agreement, as a rule, by applying the open or restricted procedures.

Competitive dialogue

In the case of particularly complex contracts, where the Contracting authority considers that neither direct use of the open procedure nor the arrangements governing the restricted procedure will result in the best value for money, it may use the competitive dialogue referred to in the EU Financial Regulation. A contract is considered to be 'particularly complex' if the Contracting authority is objectively unable either to specify the technical means of satisfying its needs or objectives or to specify the legal or financial makeup of the project. No specific threshold applies. This procedure is, however, exceptional and must be used with caution.

Contracting authorities must publish a contract notice setting out or attaching their needs and requirements. They must open a dialogue with the candidates satisfying the selection criteria in the contract notice. The dialogue may cover all aspects of the tender; however, it is conducted separately with each candidate on the basis of their proposed solutions and ideas. The Contracting authority must ensure equal treatment of tenderers and keep the tenders confidential. It is therefore not allowed to pick the best solutions from different tenderers (i.e. no „cherry-picking" is allowed). The contract shall be awarded to the technically compliant tender being most economically advantageous. The sole award criterion is the best value for money.

Negotiated procedure / Single tender procedure

A contract may be awarded directly in the following circumstances:

- Using the „single tender procedure" when the contract does not exceed € 20,000;
- Using the „negotiated procedure" whatever the value of the contract in exceptional and duly justified cases, provided the factual or legal circumstances are met. No specific threshold applies in such cases.

In the case of negotiated procedures, an evaluation committee must be nominated in order to proceed with the negotiation. However, depending on a risk analysis by the Contracting authority, appointing an evaluation committee might not be deemed necessary in the following cases:

- Extreme urgency not attributable to the Contracting authority;
- Crisis situation;
- Extension of service and work contracts with the repetition of similar activities as in the original contracts; the basic project shall indicate the extent of possible new services and the conditions under which they will be awarded (as soon as the basic project is put up for tender, the possible use of the negotiated procedure shall be disclosed, and the total estimated amount for the subsequent services shall be taken into consideration in applying the applicable thresholds);

- Additional supplies, provided that the additional deliveries are intended either as a partial replacement of supplies or installations or as the extension of existing supplies or installations, where a change of supplier would oblige the Contracting authority to acquire supplies having different technical characteristics which would result in incompatibility or disproportionate technical difficulties in operation or maintenance;
- Supplies quoted and purchased on a commodity market;
- Legal services which do not have mandatorily to be awarded through a simplified procedure.

When the contract does not exceed € 20,000 appointing an evaluation committee is never mandatory.

For all procedures, a negotiation report must be produced, explaining how participant(s) in the negotiations were chosen, how they met the selection criteria, how the price was set, and the grounds for the award decision. The aggregated value of the contracts awarded for additional works and services shall not exceed 50 % of the value of the initially awarded services/works contract. The Contracting authority has the right to apply this procedure within maximum three years from the awarding of the original contract.

Indirect or shared project management

Under **indirect management** the donor entrusts budget implementation to:

- Third countries (or to bodies designated by them);
- International organisations and their specialised agencies;
- Bodies set up under the Trust Funds (or the Euratom Treaty);
- Development agencies of EU Member States, or of third countries;
- Public law bodies, including Member States organisations.

Under **shared management**, the European Commission delegates the implementation tasks to the EU Member States. This mode is rarely used in the implementation of external actions, but there are a few cases such as joint operational programs on cross-border cooperation implemented by a joint managing authority – for instance under the European Neighbourhood Instrument (ENI) or the Pre-accession Assistance (IPA II).

Within so-called delegated cooperation, the Czech Republic contributes to the multinational funds and one of the partner organisations is the responsible Contracting authority (the CzDA is already accredited for this role as well). The partners can and should participate in project/program approval (ex-ante control) and/or in its monitoring and evaluation (ex-post control).

5.3 Concept Note (CZ)

The Concept notes usually have 4–6 pages as they should provide only the most important information for a decision whether to continue with preparation of the Full project proposal or not. Usually, the OECD/DAC criteria are used as a guidance for framing the templates for Concept notes, with a special focus on relevance.

Concept note (for „restricted procedure" – only shortlisted applicants invited to 2nd round)	
Name (and number) of grant program:	
Partner country (project's place): Official name of the country, region, town…	**Application number:** Assigned by the agency
Title of project: The title should correspond to the level of the project's outcome	
Expected start date: month / year	**Expected end date:** month / year
Expected budget in total:	**Own co-financing in total:**
Required amount (grant):	**Subsidies from other donors (if relevant):**

1. Relevance – Context and rationale (1½ pages max.)
Development problem: Problem analysis / description of the current situation – identification of major problems and their causes (problem tree) in the country in general and of needs and constraints of target groups and final beneficiaries in particular, stating the baseline, information on national development strategies and programs and on the role of other donors
Target groups, beneficiaries and key stakeholders: Stakeholders analysis – identification of key individuals, groups of people, institutions or firms that may have a relationship with the project (all likely to be positively or negatively affected by, or all that can affect the project)
Expected results: Analysis of objectives – defining the concrete problems to be addressed and a vision of an improved situation after the end of project completion, identification of desired outcome and the aspects that need to be changed („means – end" relationship)
Proposed project strategy: Analysis of strategies – based on comparison of different options to address a given situation (and/or best practices and lessons learned), the proposal and rationale of the most appropriate and feasible strategy

2. Effectiveness – Intervention logic (1½ pages max.)	
Goal/Impact (development objective): Contribution to a long term positive and sustainable impacts for the beneficiaries (in frame of other national development interventions)	**Prospective key indicators:** Mostly based on national statistical data (e.g. SDG indicators)
Outcomes (project purpose): Achievement of positive immediate and mid-term effects for the target group, based on combination and real use of the project outputs	**Prospective key indicators:** Should reflect the change that project itself is expected to bring about (and measure)
Outputs: Specific products resulting from project activities and leading to the project objectives, the outputs have to be clearly identifiable and measurable	**Prospective key indicators:** Quantitative and qualitative data that measure extent / amount, time and quality of „products"

Project logic – Theory of change or Logical Framework Matrix should be attached to this proposal

3. Efficiency (1 page max.)
Proposed activity clusters: Key clusters of actions to be undertaken by the project for producing the required outputs; it is recommended to mention expected duration and estimated budget for each activity here, if possible
Technical specifications, if relevant: When proposing specific service, supplies or works, basic quality or quantity parameters must be described here (e.g. technical specification for the supplies, key qualifications of experts, etc.)

4. Feasibility and sustainability (1 page)
Risk assessment and management: Negative factors that may threaten the project's implementation or results
Assumptions: Necessary external conditions or events necessary for the project's implementation and success
Sustainability: The way of ensuring the continuing benefits after the project ends, e.g., the exit strategy, target groups´ ownership, local government engagement, etc.

5. Implementing organisation(s) (1 page max.)
Applicant (name, address, contact):
Local partner(s) (name, address, contact):
Area of activity and previous experience in the given sector or region:
Key roles and responsibilities of the applicant and partners:
Co-financing donor, if applicable (name, address, contact):
Place, date, name, signature:

Brief exercise:

Prepare a Concept note for your project.

Evaluation Grid for the Concept notes:

Number and name of project:		**Score**	
Evaluation criteria and sub-criteria		**Maximum**	**Allocated**
A	**Relevance (to the country's needs and ODA priorities)**	**30**	
The project's relevance to development problems and national priorities		10	
The project's relevance to the target groups' problems and needs		10	
Relevance to the grant program's goals, the value added		10	
B	**Effectiveness (strategy: „doing the right things")**	**25**	
Realistic goal and outcomes (and suitable indicators)		5	
Clearly specified outputs (and suitable indicators)		5	
Suitable strategy (logic model – „Theory of Change")		10	
The level of involvement of target groups and other stakeholders		5	
C	**Efficiency/economy („doing the things right")**	**20**	

Relevant and suitable activities		5	
Clear and feasible plan / time schedule of the project		5	
Realistic total budget (level of co-financing)		10	
D	**Feasibility and sustainability**	**10**	
Realistic evaluation of risks and assumptions (feasibility)		5	
Ownership of the project by the target groups, and political support		5	
E	**Organisational capacity**	**15**	
Technical and management experience of the applicant and partners		5	
Clear explanation of the project team's roles and responsibilities		5	
Previous experience in the sector or region		5	
Total		**100**	
Comments:			
Recommendations (to approve / to ask for more details / to reject):			

Only project ideas with at least 20 points in the relevance category and with the minimum total score of 60 points can be recommended to advance to formulation stage.

Rating score for each indicator:

0 – not acceptable, 1 – very poor, 2 – poor, 3 – acceptable, 4 – good, 5 – very good

Brief exercise:
Use the above evaluation grid for self-evaluation of the Concept note for your own project.

5.4 Concept Note (EU)

The Concept notes for the EC programs have partially different templates and evaluation criteria:

1.1 Summary of the action (table form, should not exceed 1 page)

1.2 Description of the action (max. 2 pages):

i. Background to the preparation of the action, in particular on the sector/country/regional context (including key challenges) – context analysis
ii. Objectives of the action given in the table in Section 1.1
iii. Key stakeholder groups, their attitudes towards the action and any consultations held
iv. Brief outlie of intervention logic, indicating the expected outputs, outcome(s) and impact as well as underlying the main risks and assumptions towards their achievement
v. Brief outline of the type of activities proposed, including a description of linkages/relationships between activity clusters
vi. Mainstreaming relevant cross-cutting issues such as promotion of human rights, gender equality, democracy, good governance, support to youth, children's rights and indigenous peoples, environmental sustainability, or combating HIV/AIDS
vii. Outline the broad timeframe of the action and describe any specific factor taken into account

1.3 Relevance of the action (max. 3 pages)

1.3.1 Relevance to the objectives/sectors/themes/specific priorities of the call for proposals

1.3.2 Relevance to the particular needs and constraints of the target country/countries, region(s) and/or relevant sectors (including synergy with other initiatives and avoidance of duplication)

1.3.3 Describe and define the target groups and final beneficiaries, their needs and constraints, and state how the action will address these needs

1.3.4 Particular added-value elements (e.g. the promotion or consolidation of public-private partnerships, innovation and best practice)

EC Evaluation grid:

	Section in the Concept note	**Comments & Justification**	**Max. scores**	
1. Relevance of the action			Sub-score	**20**
1.1 How relevant is the proposal to the objectives and priorities of the call for proposals and to the specific themes/sectors/areas or any other specific requirement stated in the guidelines for applicants? Are the expected results of the action aligned with the priorities defined in the guidelines for applicants (section 1.2)?			5	
1.2 How relevant is the proposal to the particular needs and constraints of the target country (countries), region(s) and/or relevant sectors (including synergy with other development initiatives and avoidance of duplication)?			5	
1.3 How clearly defined and strategically chosen are those involved (final beneficiaries, target groups)? Have their needs (as rights holders and/or duty bearers) and constraints been clearly defined and does the proposal address them appropriately?			5	
1.4 Does the proposal contain particular added-value elements (e.g. innovation, best practices)? [and the other additional elements indicated under 1.2. of the guidelines for applicants]			5	
Sub-score '1. Relevance of the action'				
2. Design of the action			Sub-score	**30**
2.1 How coherent is the overall design of the action? Does the proposal indicate the expected results to be achieved by the action? Does the intervention logic explain the rationale to achieve the expected results?			5x2	
2.2 Does the design reflect a robust analysis of the problems involved, and the capacities of the relevant stakeholders?			5	
2.3 Does the design take into account external factors (risks and assumptions)			5	
2.4 Are the activities feasible and consistent in relation to the expected results (including timeframe)? Are results (output, outcome and impact) realistic?			5	

2.5 To which extent does the proposal integrate relevant cross-cutting elements such as environmental/climate change issues, promotion of gender equality and equal opportunities, needs of disabled people, rights of minorities and rights of indigenous peoples, youth, combating HIV/AIDS (if there is a strong prevalence in the target country/region)?			5	
Sub-score '2. Design of the action'				
Only the Concept notes which have been given a score of a minimum of 30 points will be considered for pre-selection				
TOTAL SCORE			**50**	

Rating score for each indicator:

1 – very poor, 2 – poor, 3 – adequate, 4 – good, 5 – very good

All information about European Calls for proposals and tenders (open and forecasted, timeline, guidelines, countries, etc.) is available at: https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome&userlanguage=en.

The technical aspects of all development interventions of the European Union are described in PRAG – Practical Guide to Contract Procedures for EU External Actions (last update in 2018), available at: http://ec.europa.eu/europeaid/prag/.

Recommendations:

Read carefully the guidelines for each particular Call:

- *Is your organisation eligible?*
- *Is any specific compliance required? (e.g. types of partnership, number of countries)*
- *Do you and your partners have an appropriate track record (solid capacity to implement the project)?*
- *Does the proposed idea respond to the objectives and priorities of the particular Call?*
- *Is the proposed idea relevant to the needs of target country/region and of the final beneficiaries?*

Good project proposal is:

- *Coherent (in its overall design)*
- *Design reflects the analysis of problems in relation to relevant stakeholders and external factors*
- *Action is feasible and consistent in relation to the expected results (outputs, outcomes, impacts)*
- *Concept note corresponds to the required template*
- *Concept note reflects the appraisal criteria*

Rate your project yourself according to the appraisal criteria! If you cannot find clear arguments for getting high rating, the appraisal committee will not find them either.

6. INDICATORS, TIMETABLE, AND BUDGET

6.1 Indicators

Measurable (objectively verifiable) indicators are needed for each element of the project logic model for which managers will be held accountable. While inputs, activities and usually also outputs can be easily measured by quantitative indicators (numbers, amount, extent, reach or duration), it is important to specify also qualitative indicators for all levels of results (outputs, effects, outcomes, impacts).

The decision to adopt a particular indicator should be based on the degree to which it is relevant (linked to the particular initiative being studied), valid (provides an accurate reflection of the underlying concept to be measured), reliable (subject to as little measurement error as possible) and practical (it is possible and feasible to obtain data needed to calculate measures). The key requirements on indicators are summarised under several generally used acronyms:

The indicators should be „**SMART**" (used mainly in EU):

- **S**pecific / they must measure what should be measured
- **M**easurable
- **A**vailable under acceptable conditions (including reasonable price)
- **R**elevant for the given level of the project
- **T**ime bound / defined and valid in the given time

The indicators should be „**CREAM**" (used mainly in USA):

- **C**lear / exact and unequivocal
- **R**elevant / suitable for the level concerned
- **E**conomic / available for a reasonable price
- **A**dequate / providing a sufficient basis for evaluation
- **M**onitorable / must enable independent confirmation

Qualitative indicators should be „**SPICED**":

- **S**ubjective – respondents use for assessing their experience
- **P**articipatory – reflect priorities and needs of target groups
- **I**nterpreted and communicable – well explained and communicated in local context
- **C**ross-checked and Compared – allowing independent verification (triangulation) and comparability
- **E**mpowering – strengthening ownership and engagement of target groups
- **D**iverse / Disaggregated – responses acquired from diverse groups and adequately treated (e.g. by gender)

When setting indicators, all the above factors must be taken into consideration and thus it is important not to only specify the indicators (by quantitative and qualitative parameters or time

period) but also to specify the sources of verification (and monitoring/evaluation methods). The indicator should be also linked to the key criteria of:

- **Relevance** – response to the identified needs and priorities of the target groups as well as relation to the objectives and priorities of the donor´s strategies and programs;
- **Effectiveness** – Theory of Change, right objectives and appropriate logic model of the project („doing right things");
- **Efficiency** – cost-effective and timely use (productivity) of available inputs to produce the project outputs („doing things right");
- **Impacts** and their **sustainability** – both positive and negative, both intended and unintended effects and impacts on the target population and envisaged continuation of benefits after completion of the intervention;
- **Feasibility** within the local context – quality of the project and guarantees (personal and expert capacities of implementing organisations; strengths of partnerships; appropriate techniques and technologies; reasonable risks and assumptions linked to legal, institutional and financial frameworks or inter-cultural barriers; dealing with security issues if relevant, etc.).

These „technical" criteria are used (in a different extent) in all phases of project preparation, appraisal, monitoring and evaluation.

Project Cycle Management Guidelines of the European Commission (2004) are available at web page: http://ec.europa.eu/europeaid/multimedia/publications/publications/manuals-tools/t101_en.htm.

Brief exercise:
Propose SMART indicators for this course, considering the following levels of results.

Result chain	***Description of the result***	***Indicators***
Impact	*Better / More influential projects*	
Outcomes	*Applied skills* *Networking between graduates*	
Outputs	*1. Manual / Presentations for the modules* *2. Results from Small working groups* *3. Graduates of the course*	

Besides indicators of success, it is also useful setting the priorities for each intervention in order the team can allocate sufficient capacities and time or can react on potential budget cuts, delays in approval processes, etc. One of the simple methods that can be well used by the project team is so-called **MoSCoW**, prioritising all requirements into four categories:

- **Must have** – Minimum usable subset, project cannot succeed without fulfilling these requirements and would lose any sense (recommendation: at least 60 % of project efforts)
- **Should have** – Important requirement but not critical for project completion, can be replaced by alternative solutions (recommendation: at least 20 % of project efforts)

- **Could have** – The requirements are desirable but not necessary (e.g., could improve reach or friendliness of the solution). Usually represent remaining 20 % of the work (a buffer for risk management)
- **Won't have this time** – Requirements out of the reach or extent of the current project (can be considered for a follow-up or definitively cancelled)

Model **KANO** (Dr Noriaki Kano, 1984) then incorporates into the prioritisation process an aspect of satisfaction of the final users/beneficiaries. It recommends recognising Attractive Quality from Must-Be Quality:

- **Performance** – key for functionality (the better function, the higher price; e.g. capacity of a battery, speed of internet access)
- **Must-be (standard)** – necessary for functionality (e.g. the brakes in the cars)
- **Attractive** – typically innovations (but probably will become basic standard soon; e.g. Wi-Fi)
- **Indifferent** – the target groups do not care (e.g. logo on the hotel towel)

While for the MoSCoW method the team brainstorming is an appropriate approach, model KANO requires a feedback from the final beneficiaries, either based on desk-research of secondary studies in the given area or a targeted questionnaire combining positive and negative questions (what would be the opinion in case that the given requirement is fulfilled and in case that the given requirement is not fulfilled).

6.2 Time Schedule

Already during the identification stage, it is necessary to estimate the time needed for project implementation. This estimation must calculate with several important factors:

- The time needed for project preparation (desk-review, consultations with target groups and other local actors, pre-feasibility and feasibility studies, preparation of the proposal);
- Administration requirements related to the grant or tender system (legal requirements, time for appraisal of the Concept notes and/or Full project proposals, time for finalising and signing the contracts) – these processes can take even more than one year since the launch of the Call;
- Sequence of activities during the implementation, including safety margins for unpredictable situations (e.g. delayed permits, public procurement procedures, unfavourable weather conditions, etc.);
- Time for hand-over of project results (including approval of the Final report), exit strategy.

While the first two factors are outside the direct control of the project team (but must be considered), the latter two should be incorporated into the time schedule of implementation. One of the methods that can be effectively used for planning is **CPA – Critical Path Analysis**. CPA is a technique to help schedule sets of activities, some of which are in sequence, others of which may be done concurrently. It is a most useful tool when there are many interrelated activities that potentially can be carried out simultaneously. It could be the weakest point in the project implementation when activities are not related and when there is great competition for resources between activities.

Using durations and dependencies of all actions, CPA calculates the longest path of planned activities to logical end points or to the end of the project, and the earliest and latest that each activity can start and finish without making the project longer. This process determines which activities are „critical" (i.e. on the longest path) and which have „total float" (i.e. can be delayed without making

the project longer). In project management, a critical path is the sequence of project network activities which add up to the longest overall duration, regardless if that longest duration has float or not. This determines the shortest time possible to complete the project. There can be 'total float' (unused time) within the critical path. For example, if a project is testing a solar panel and task 'B' requires 'sunrise', there could be a scheduling constraint on the testing activity so that it would not start until the scheduled time for sunrise. This might insert dead time (total float) into the schedule, for the activities on that path prior to the sunrise due to the need to wait for this event. This path, with the constraint-generated total float would actually make the path longer, with total float being part of the shortest possible duration for the overall project.

In other words, individual tasks on the critical path prior to the constraint might be able to be delayed without elongating the critical path; this is the 'total float' of that task. However, the time added to the project duration by the constraint is actually critical path drag, the amount by which the project's duration is extended by each critical path activity and constraint.

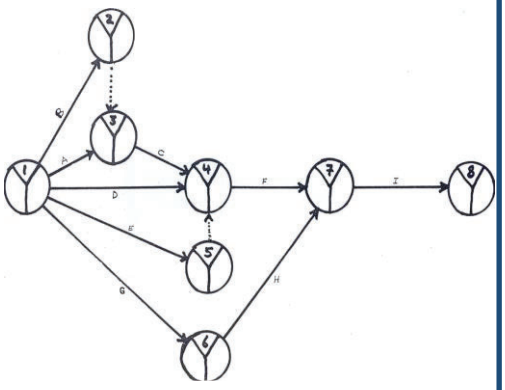
Brief exercise:

Cooking Spaghetti Bolognese – Prepare Critical Path Analysis (CPA step by step)
Spaghetti Bolognese is a famous Italian dish, simple to prepare. It consists of pasta (spaghetti) and a rich meat sauce, the 'Bolognese', made with minced meat, tomatoes, onion, garlic (and spices/herbs). The dish is usually served with grated Parmesan cheese.

Step 1 – Identify activities, their duration, precedence and other interrelations, and their resource requirements:

	Activity:	Duration, minutes	Must be done before:	Cannot begin until after:
A.	Chop Onion	5		
B.	Crush Garlic	2		
C.	Fry Onion & Garlic	6		
D.	Brown Meat	5		
E.	Open Can Tomatoes	2		
F.	Cook Bolognese	30		
G.	Boil Water	5		
H.	Cook Pasta	9		
I.	Serve	3		

Step 2 – Drawn a network graph (logic diagram)
Step 3 – Insert times taken by activities, number the nodes
Step 4 – Forward pass: compute early finish, early start times
Step 5 – Backward pass: late finish, late start times
Step 6 – Identify critical path and floats – use Activity Chart
Step 7 – Draw up a bar chart to show the schedule
Step 8 – Revise plan either
Step 9 – Drawn up detailed budget from the schedule, and use CPA for giving instructions and monitoring progress



	Minutes								
Activity	1-5	6-10	11-15	16-20	21-25	26-30	31-35	36-40	41-45
A Chop onion	✓								
B Crush garlic	✓								
C Fry both		✓	✓						
D Brown meat		✓	✓						
E Open tomatoes		✓							
F Cook Bolognese			✓	✓	✓	✓	✓	✓	
G Boil water						✓			
H Cook pasta							✓	✓	
I Serve									✓

6.3 Budget

Brief exercise:
Prepare an indicative timetable and budget for your project.

Typical budget categories:

1. Personnel cost
2. Travel cost
3. Equipment and material
4. Direct costs in place of implementation (local office)
5. Services and supplies (external assistance)
6. Other cost (must be specified)
7. Subtotal of direct cost (sum of 1 - 6)
8. Reserves (maximum 5 % of the subtotal 7), if applicable
9. Total direct costs (sum of 8 - 9)
10. Administrative cost (max. 7 % of the subtotal 9 or of the total eligible costs)
11. Total eligible costs

Although the budget is usually submitted and reported per specific budget categories, it should be prepared according to real needs for all project actions:

Activities	Person. cost	Intern. travel	Visas	Health care	Insurance	Local travel	Accom.	Per diem	Transl.	Mater.	Print, photos
1.1 Research											
181,340											
2 experts x 8 days	**64,000**										
2 air tickets		**74,000**									
2 visas			**3,000**								
2 x vaccination				**3,800**							
16 days x 90 CZK					**1,440**						
5 days x 1,000 CZK						**5,000**					
2 x 6 nights x 800 CZK							**9,600**				
2 x 7 days x 800 CZK								**11,200**			
4 days x 1,800 CZK									**7,200**		
Maps										**500**	
Print total (est.)											**1,600**
1.2 Report											
41,100											
2 experts x 3 days	**24,000**										
translation 20 pages									**5,600**		
Photographs											**2,900**
Printing of 10 copies											**8,600**
222,440	**88,000**	**74,000**	**3,000**	**3,800**	**1,440**	**5,000**	**9,600**	**11,200**	**12,800**	**500**	**13,100**

Typical breakdown of the budget per categories:

Kind of expenses
1. Personnel cost (for tenders the unit price is in lump sums, in case of subsidies the wages include the social and health insurance, costs of experts; every person own row, the management and experts´ CVs enclosed)
1.1 Management
1.2 Experts / consultants
1.3 Administrative / auxiliary staff
Personnel costs – subtotal
2. Travel cost
2.1 International travel
2.2 Local travel
2.3 Cost of a vehicle's operation
2.4 Accommodation
2.5 Visas
2.6 Health care preparation (vaccination, medicaments, safety training)
2.7 Travel insurance
2.8 Per diem
Travel costs – subtotal
3. Equipment and supply of goods (only exclusively for the project's purposes, everything must be specified)
3.1 Long-term immaterial property (software, immaterial results of research, rights the value of which can be specified, etc.)
3.2 Long-term material property (plots, constructions, movable things (period of usability > 1 year), basic herd, draught animal, etc.)
3.3 Depreciation
3.4 Supplies, material
3.5 Energy
3.6 Other equipment (must be specified)
Equipment and supply of goods – subtotal
4. Direct costs in the place of implementation (serving fully for the project's purposes – must be supported by accounting documents)
4.1 Rental costs of offices
4.2 Services related to rental costs (telephone/internet, heating, water, electricity, safeguards, small repairs)
4.3 Small material (e.g. office supplies)
4.4 Other direct costs in the place of implementation (must be specified)
Direct costs in the place of implementation – subtotal
5. External assistance (services provided fully through an external supply)
5.1 Survey, construction, assembly, repair, safety and other technical works
5.2 Expert services (specialised studies, technical documentation, research, legal and economic advisory, etc.)
5.3 Transport of material and goods (including customs and insurance)
5.4 Car rental

5.5 Rental costs for equipment (machines, devices, other equipment, etc.)
5.6 Translation and interpreting
5.7 Copying, printing
5.8 Costs of conferences, seminars, training
5.9 Financial services (accountancy, audit, direct bank fees, etc.)
5.10 Others (must be specified)
External assistance – subtotal
6. Direct support to target groups
6.1 Food and travel expenses (to be specified)
6.2 Coverage of fees (scholarships, training, registration fees)
6.3 Other direct support (must be specified)
Direct support to target groups – subtotal
7. Other eligible direct costs of the project
7.1 Other direct costs (must be specified)
Others – subtotal
8. The project's direct costs in total (1–7)
9. Administrative (overhead) costs (maximum 7% of the total eligible costs) (this does not have to be proved with accounting documents)
10. Total eligible costs (8+9)
11. In-kind contribution (in-kind deposits, ineligible)
To be specified
In-kind contribution – subtotal

Typical ineligible costs:

- Expenses related to another period
- Expenses not related to activities for the project
- Expenses that cannot be proved (except overheads)
- Expenses that are not necessary for the project
- Expenses covered from other subsidy sources or projects
- Expenses exceeding the determined limits
- Optional benefits for employees (e.g. optional contributory pension scheme)
- VAT, if returnable
- Income tax, gift tax, etc.
- Fines, penalties and sanctions, shortfalls and damages, interests of loans, etc.

Recommendations:

You must be able to substantiate all expenses. Would you approve the budget if you took the role of decision-maker?

For grant schemes you must provide all accountancy documents including proof of payments. Consider this requirement already in the formulation stage. Carefully collect and archive all documents.

7. FORMULATION STAGE, FULL PROJECT PROPOSAL

Tenders

The Czech Development Agency is fully responsible for formulation of the development projects funded by means of a tender procedure. Usually, the requirements of the partners are verified during the formulation mission to the target region, and during meetings with the key stakeholders. The CzDA can also use inputs from embassies, sector ministries and independent experts. Subsequently, the CzDA prepares the **Terms of Reference** (**ToR**), launches public Call for Tenders and then selects among the bids submitted.

Grants

The Czech Development Agency or the Ministry of Foreign Affairs only declares the grant programs´ objectives and priorities (according to the ODA plan) or approves the Concept Notes in the restricted procedure. NGOs, charity organisations, universities, regional and local authorities and other eligible subjects then can submit their own project proposals and the CzDA selects among the projects submitted.

There are several basic grant programs launched annually. For 2019, the following financial allocations have been proposed:

Grant programs managed by CzDA:

- Global Development Education and Awareness: 10 mil. CZK
- Strengthening Capacities of Non-governmental Platforms, including Strengthening Capacities and Networking of NGOs: 4 mil. CZK
- Sending Czech Teachers to Developing Countries: 10 mil. CZK
- Support to Development Activities of Regions and Municipalities in Priority Countries: 1.5 mil. CZK
- Support to Trilateral Projects of the Czech Subjects: 36 mil. CZK
- B2B – Business to Business Program (including projects of development–economic partnership, support to Czech subjects for participating in the European instruments and European Development Fund, and feasibility studies): 28.5 mil. CZK
- Sending Experts to Developing Countries: 5 mil. CZK

Grant programs managed by MFA:

- Small Local Development Projects Managed by the Embassies: 31.5 mil. CZK
- Transformation Economic and Financial Cooperation (in cooperation with the Ministry of Finance): 3 mil. CZK
- Projects Aid for Trade (in cooperation with the Ministry of Industry and Trade): 10 mil. CZK
- Projects in the Security Field (in cooperation with the Ministry of Interior): 10 mil. CZK
- Global Development Education (in cooperation with the Ministry of Education, Youth and Sports): 4 mil. CZK
- Humanitarian Aid: 218 mil CZK
- Transformation Cooperation (incl. 10 mil CZK for Ukraine): 80 mil. CZK

7.1 Full Project Proposals

In general, all development projects should comply with the following template, with only small differences between grants (the applicant is fully responsible for project formulation but also provides own co-financing of the project) and tenders (part of the project is prepared by the CzDA and only some specifications are to be completed by the applicant):

Identification Form:

Title of the project:	**Project number:** (assigned by the CZDA/MFA)
Main objective of the project:	**Place of implementation:** Country/district/municipality
Contracting authority:	**Grant program title:** (sectoral focus if relevant)
Expected start date: Month/year	**Expected end date:** Month/year
Total grant requested: (breakdown per years)	**Total budget of the project:** **Co-financing (CZK/%):**
Applicant: Name, type, postal and e-mail address of the organisation Name and position of the project manager, phone, fax, e-mail	
Partner organisation: Name, type, postal and e-mail address of the organisation, Name and position of the contact person, phone, fax, e-mail	
Place, date, name, and signature of the project manager	

Outline of the project proposal:

1. **Project description – a summary** (both in Czech and English – each approx. 1/2 page long)

   Context of the project – explanation of relevance

   Brief information about implementing organisation and partners

   Proposed strategy (goal, outcomes and key outputs)

2. **Background information** (approx. 5 pages max.)

   2.1 Identification and formulation of the project (problem, stakeholder and objective analyses – baseline and target data, pre-feasibility studies)

   2.2 Overall context (economic and social situation, national development strategies and link to Czech ODA priorities, SDGs – Sustainable Development Goals)

   2.3 Complementarity to other donors´ interventions

   2.4 Engagement of final beneficiaries and partners

3. **Intervention logic** (approximately 5-10 pages and annexes 7.3 – 7.5)

   3.1 Long-term goal – impacts (incl. indicators)

   3.2 Outcomes (short-term and mid-term) – effectiveness (incl. indicators for behaviour change)

   3.3 Outputs (incl. indicators) and key activities (incl. extent and timeframe)

   3.4 Key assumptions and risks at relevant levels

4. **Crosscutting principles** (approx. 2 pages)

   4.1 Ownership (interest in the project, engagement in its preparation and implementation)

   4.2 Social and cultural factors (affecting project)

4.3 Specific aspects related to human rights, gender equality, inclusiveness or good governance

4.4 Environmental aspects and impacts

4.5 Sustainability issues / exit strategy

4.6 Project visibility

5. Project management (approximately 2 pages and annex 7.6)

5.1 Division of responsibilities in the project team (professional experience, roles in project preparation and implementation)

5.2 Division of responsibilities in partner organisations (professional experience, roles in project preparation and implementation)

6. Project budget (per categories and years; detailed budget for the first year in annex 7.2)

Category	**Year 1**	**Year 2**	**Year 3**	**Total**
Personnel				
Travel				
Equipment				
External assistance				
Implementation costs				
Direct support				
Other costs				
Overheads (7%)				
Total costs				
Total ODA grant				

7. Annexes

7.1 Grant application (in case of grants)

7.2 Itemised budget for the first year

7.3 Intervention logic (Theory of Change or Logframe)

7.4 Timetable of activities

7.5 Tables of deliverables and milestones

7.6 Eligibility and qualification documents

7.7 Consent to using applicant´s data

7.8 Other annexes required by the Call for Proposals

7.9 Other explanatory annexes from the applicant

7.2 Evaluation Grid

The following criteria should be used for assessing all projects, but the criteria can be modified in special cases (the rating is just illustrative):

Evaluation criteria		Rating	
		Max.	Assign.
A	**Relevance (minimum 15 points)**	**25**	
Relevance to national and international priorities (e.g. SDGs)		5	
Clear identification and explanation of problems and key stakeholders (problem and stakeholder analyses)		5	
Relevance of the project for solving the identified priority problems (objective analyses)		5	
Relevance to the objectives of the grant scheme and to other priorities of the Czech Development Cooperation Strategy		5	
Specific added value – support of crosscutting principles (good governance, human rights, gender, engagement of disadvantaged groups)		5	
Comments on evaluation:			

B	**Effectiveness (minimum 15 points)**	**25**	
Impacts – foreseen benefits for target groups (appropriate indicators)		5	
Effectiveness – realistic effects and outcomes of the project (appropriate indicators)		5	
Clearly specified outputs (appropriate indicators)		5	
Appropriate strategy of the project – quality logic model / Theory of Change)		5	
Ownership – extent of engagement of partners, target groups and other actors in project preparation and implementation, interest to use the project results		5	
Comments on evaluation:			

C	**Efficiency (minimum 10 points)**	**20**	
Relevant, appropriate and necessary activities for reaching the results		5	
Clearly justified and feasible implementation plan, with appropriate and transparent costs		5	
Realistic total costs, value for money (relations between the costs and foreseen results)		5	
Level of co-financing above the obligatory minimum level of co-financing		5	
Comments on evaluation:			

D	**Sustainability (minimum 10 points)**	**15**	
Realistic specification of key assumptions and risks, feasibility of the project		5	
Sustainability of benefits (legal, financial and institutional frameworks, political support, environmental, social and cultural aspects)		5	
Exit strategy and possible multiplication effects (replication of project approaches, transferability of results)		5	
Comments on evaluation:			

E	**Managerial capacities (minimum 10 points)**	**15**	
Expert and managerial capacities of the applicant and its partners		5	
Clear explanation of the roles and responsibilities of the core project team during project preparation, implementation and monitoring		5	
Previous experience of the applicant in the given sector or region, track record from the previous cooperation with project partners		5	

Comments on evaluation:

TOTAL	**100**	
Summary of the evaluation / explanation of the rating:		
Recommendation (Approve / Require corrections or justifications / Refuse):		
Date:		
Name and signature of the Chair of the Appraisal Committee:		

Only the projects with rating exceeding the thresholds in individual categories of indicators and overall rating over 60 points can be supported.

Rating score for each indicator:

0 – not acceptable, 1 – very poor, 2 – poor, 3 – acceptable, 4 – good, 5 – very good

For tenders, the best value for money should be used as the evaluation criterion. Weighting technical quality against price is recommended at least on 60/40 basis. This is done by multiplying the scores awarded to technical offers by 0.60 and the scores awarded to the financial offer by 0.40 and then adding them together. Contract is awarded to the tender achieving the highest overall score.

Recommendations for formulation:

Plan enough time for project preparation.

Test the project logic with your team (everybody must understand).

Use the evaluation criteria in the Call for Proposal for internal rating of your project (discover problems on time).

Ask colleagues to read the proposal before its submission to the donor (formalise an internal quality control process if possible).

Check the consistency of the project (narrative part and annexes must correspond).

KISS – Keep It Simple and Short (at least the Summary).

Avoid (or at least explain) acronyms.

Use visualisation for explaining some issues (logic model, graphs, maps, photographs).

Ask donor to explain the rating of the project (improve next time).

Monitor both the progress and the incurred costs continuously (it is too late to discover problems at the end of implementation).

Be transparent – publish the project reports.

Brief recapitulation test:

1. What are the key project cycle management stages?
2. Why to use 5-Why? (What is the Why question?)
   a) To recognise effects
   b) To recognise main problem
   c) To recognise root causes
3. What is the difference between stakeholders and target groups?
4. What does the acronym SWOT mean?
   S - - - - - - - s
   W e - - - e - - e -
   O - - - - - - - i - i - -
   T - - - - t -
5. What does the term assumption mean?
6. Can you name at least 4 of 17 Sustainable Development Goals?
7. What does the acronym SMART mean?
8. What does the acronym MoSCoW mean?

8. MONITORING AND EVALUATION, APPROACHES, AND CRITERIA

8.1 Role of Actors in Monitoring & Evaluation

Roles in monitoring

Roles and obligations of the engaged actors are defined in contracts (for tenders) or in decisions about the subsidy (for grant schemes). The basic contractual requirements include:

- Indicators of the required results;
- Financial framework and timetable of the project;
- Reporting rules, including the frequency and the templates to be used;
- Financing rules (eligible costs, requirements on financial reports, and way of reimbursing the costs);
- The responsibilities of both sides (in case of tenders e.g. the obligation of the CZDA to ensure necessary co-operation of the project's beneficiaries).

Monitoring is an integral part of the management – it is necessary to monitor the project implementation in order to be able to manage it. If significant changes are needed, the donor must be informed or asked for approval – the changes must be also documented and justified in the monitoring reports. In parallel with internal monitoring, the Contracting authority usually carries out own monitoring, e.g. by using the embassies in the target countries or by hiring external monitors to follow the progress in project implementation and verify the project reports.

According to the contract or grant decision, it is usually possible to make small transfers within the budget (e.g. up to 15 % of the given budget category or total budget), while more substantial changes must be approved in advance (by means of a contract amendment). The budget reserve, if allowed, can be used only after substantiation and previous approval. All costs must be monitored and accounted for correctly (the eligible costs must be reportable) – try to imagine that the project is paid from your own money.

Evidence of all results is necessary (without suitable indicators, the success cannot be proven). Along with written reports, other mechanisms should be used: check-up days, phone and e-mail communication, monitoring visits, peer-review, public presentations of the project, etc.

Roles in evaluation

The Contracting authority/the client is usually the Ministry of Foreign Affairs. Other central ministries or specialised evaluation units (e.g. for programs financed from the European Structural and Investment Funds) and institutions in partner countries (or other donors for joint projects, or the European Commission) can participate in evaluations. Some evaluations are contracted by the entities implementing the projects, including NGOs; some organisations carry out internal evaluations.

The client ordering an evaluation is responsible for using its results. It must therefore define the main evaluation questions and prepare the Terms of Reference and subsequently publish the evaluation results including its response to the recommendations (Recommendation Tracking System). The

method of working with the results (communication strategy) must be clear already before an evaluation starts.

As credibility of evaluation is based mainly on the evaluator's impartiality, evaluation should be carried out by experts who are not dependent on its results in any way and who have not taken part in programming, designing or implementing the intervention to be evaluated (except for internal evaluations). Independence can be ensured in two ways:

- By establishing a special evaluation department which does not take part in management of other stages of the project cycle, or
- By hiring external evaluators.

The evaluator's task is to give objective answers to the determined evaluation questions and also to present them in a way which enables the use of the evaluation recommendations. The evaluator therefore often acts as a facilitator. Like the entity implementing the project is responsible for the use of its results, the evaluator should be responsible for usability of the evaluation results.

Recommendations for preparation of ToR:

Plan the use of the evaluation results since the very beginning. (Who are the key decision makers? In what format do they need the results? When do they need the results? What other stakeholders can intervene?)

Specify the key evaluation questions and pre-test the answers. (Are the questions answerable in real life situations? Can the answers really help you? Do you need the answers to all questions?)

Consider the right timing of an evaluation. (When do you need the results? When the key respondents are available? Are there any specific project events to be evaluated? Do you need experimental methods?)

Clearly specify the requirements on evaluation report (its structure and extent, the required annexes, the deadlines for draft and final reports, the language).

Clearly specify the selection criteria for the evaluation team (quality and price ratio, requirements on qualification and experience, conflict of interest issues).

Explain the consultation and/or control mechanisms (e.g. the role and competences of the client and of the Reference Group, requirements on briefings, debriefings and presentations).

Plan enough time for preparation of evaluation plan.

Recommendations for evaluators:

Be realistic, do not promise the methods you cannot use or the results you cannot bring.

Do not add questions that cannot be answered or cannot contribute to the required results.

Focus on „Why" questions. (Why the things happen?)

Follow the codes of ethics and evaluation standards (either specified by the client or by renowned evaluation societies).

Inform the client on time about the key findings and preliminary recommendations (avoid the surprises in the final report or in the final presentations).

Ask simple questions (avoid two/more questions in one).

Pre-test the answers to the questions, the methods to be used and adjust them if needed.

Plan enough time for reporting, including internal quality control system (let somebody read and edit the report before submitting it to the client).

Formulate simple messages (avoid long sentences).

Check the coherence of the report and its annexes.

Learn from the successes and failures (do not repeat the same mistakes more than twice…).

8.2 Roles of Evaluation

The project monitoring is ongoing assessment of the project implementation in relation to the approved schedule of activities and outputs and check-up of the use of inputs, infrastructure and services. It is an integral part of the project management, allowing necessary response of the management during implementation.

Evaluation is a periodic assessment of relevance, effectiveness, efficiency, impacts and sustainability of the project in relation to the defined objectives. Evaluation is usually carried out by external evaluators. The results of evaluation should be used for remedial measures and/or to influence other development activities.

Every intervention and every reason for evaluation requires a specific approach. There is no single solution to fit all purposes. The first important decision is based on the following questions:

What intervention is to be evaluated?

What do we need to know about this intervention? Why do we need it?

To whom will the evaluation results be presented?

Only when the client has clear answers to the above questions, preparation of the evaluation Terms of Reference can start.

There are many reasons for an evaluation:

- To recognise success from failure and therefore to enable appreciation and demonstration of success or, on the other hand, a remedy of the mistakes;
- To demonstrate the intervention's results in order to get support from the public;
- To identify and share the lessons learned and best practices;
- To assess the project management in order to find possible improvements (formative, mid-term evaluation);
- To assess the project design (ex-ante evaluation);
- To evaluate the intervention's impacts (ex-post evaluation, impact evaluation);
- And many other reasons…

The main reasons for evaluation can be categorised into three specific categories:

Evaluation of **strategy** should provide information on whether we are doing the right things, primarily looking at:

- Substantiation of the development intervention,
- Correctness and achievability of the outcomes/goals,
- „Satisfaction" of the target groups and/or the client/donor.

Evaluation of **procedures** should provide information on whether we are doing the things right and can primarily focus on:

- Efficiency of achievement of the planned outputs, including timeliness or quality,
- Productivity in using the sources,
- Transparency.

Lessons learned identified by an evaluation should provide information on whether there are better ways of doing „the right things"; such evaluations should focus on:

- Potential alternatives,
- Best practices, and
- Opportunities for replicability/using experience.

Preparation of an evaluation plan (sometimes called Evaluation design matrix) usually includes the following steps:

Step 1 – Theory of Change: Understanding the intervention to be evaluated (What do we know about the intervention to be evaluated? How is the intervention understood to work?)

Step 2 – General evaluation approach: Specifying the main purpose of evaluation regarding timing (ex-ante, mid-term, final, or ex-post) or specific issues to be responded (e.g. participatory evaluations, environmental and social assessment, or meta-evaluation)

Step 3 – Setting the key evaluation questions: Descriptive, Normative and Cause-Effect

Step 4 – Identifying the design and type of evaluation: Experimental, Quasi-experimental, or Non-experimental

Step 5 – Selecting appropriate Data Sources: Documents, people, groups, direct measurements

Step 6 – Data collection methods/instruments: Primary surveys and work with secondary data

Step 7 – Scope of data: Census or sample

Step 8 – Data analysis: Qualitative, quantitative and mixed data

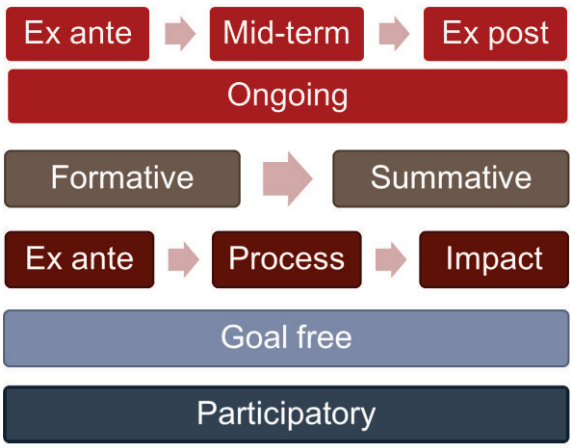
Step 9 – Finalising the Evaluation design matrix

Step 10 – Estimating time and budget needs

Step 11 – Presenting the Evaluation design matrix

8.3 Evaluation Approaches

The basic evaluation approaches include four categories with their main purpose related to timing:



- **Prospective (ex-ante)** evaluation should clarify implied goals of the program, estimate likely success given the existing context and determinate program evaluability before its start.
- **Formative (mid-term)** evaluation focuses on improving performance of implementation in early phases of program. It is conducted during program.
- **Summative (final)** evaluation focuses on outcomes (effectiveness, consequences). It is conducted after specified interval or program completion and it is usually used for decisions on program replication.
- **Impact (ex-post)** evaluation focuses on impacts and their sustainability and should be therefore finalised after the program completion (however, true impact evaluation should start before the start of the intervention).

Specific evaluation approaches listed in BetterEvaluation (https://www.betterevaluation.org) can be used after decision on key evaluation questions and related evaluation designs:

Appreciative Inquiry – A strengths-based approach (or data collection method) designed to support ongoing learning and adaptation by identifying and investigating outlier examples of good practice and ways of increasing their frequency.

Beneficiary Assessment – An approach that focuses on assessing the value of an intervention as perceived by the beneficiaries, thereby aiming to give voice to their priorities and concerns.

Case study – A research design that focuses on understanding a unit (person, site or project) in its context, which can use a combination of qualitative and quantitative data.

Causal Link Monitoring – An approach designed to support ongoing learning and adaptation, which identifies the processes required to achieve desired results, and then observes whether those processes take place, and how.

Collaborative Outcomes Reporting – An impact evaluation approach based on contribution analysis, with the addition of processes for expert review and community review of evidence and conclusions.

Contribution Analysis – An impact evaluation approach that iteratively maps available evidence against a theory of change, then identifies and addresses challenges to causal inference.

Critical System Heuristics – An approach used to surface, elaborate, and critically consider the options and implications of boundary judgments, that is, the ways in which people/groups decide what is relevant to what is being evaluated.

Democratic Evaluation – Various ways of doing evaluation in ways that support democratic decision making, accountability and/or capacity.

Developmental Evaluation – An approach designed to support ongoing learning and adaptation, through iterative, embedded evaluation.

Empowerment Evaluation – A participatory approach designed to provide groups with the tools and knowledge, so they can monitor and evaluate their own performance.

Horizontal Evaluation – An approach to learning and improvement that combines self-assessment by local participants and external review by peers.

Innovation History – A particular type of case study used to jointly develop an agreed narrative of how an innovation was developed, including key contributors and processes, to inform future innovation efforts.

Institutional Histories – A particular type of case study used to create a narrative of how institutional arrangements have evolved over time and have created and contributed to more effective ways to achieve project or program goals.

Most Significant Change – Approach (or participatory method) primarily intended to clarify differences in values by collecting and collectively analysing personal accounts of change.

Outcome Harvesting – An impact evaluation approach suitable for retrospectively identifying emergent impacts by collecting evidence of what has changed and, then, working backwards, determining whether and how an intervention has contributed to these changes.

Outcome Mapping – An impact evaluation approach which unpacks an initiative's theory of change, provides a framework to collect data on immediate, basic changes that lead to longer, more transformative change, and allows for the plausible assessment of the initiative's contribution to results via 'boundary partners'.

Participatory Evaluation – A range of approaches that engage stakeholders (especially intended beneficiaries) in conducting the evaluation and/or making decisions about the evaluation.

Participatory Rural Appraisal / Participatory Learning for Action – A participatory approach which enables farmers to analyse their own situation and develop a common perspective on natural resource management and agriculture at village level.

Positive Deviance – A strengths-based approach to learning and improvement that involves intended evaluation users in identifying 'outliers' – those with exceptionally good outcomes – and understanding how they have achieved these.

Qualitative Impact Assessment Protocol – An impact evaluation approach without a control group that uses narrative causal statements elicited directly from intended project beneficiaries.

Randomised Controlled Trials (RCT) – An impact evaluation approach that compares results between a randomly assigned control group and experimental group or groups to produce an estimate of the mean net impact of an intervention.

Realist Evaluation – An approach specially to impact evaluation which examines what works for whom in what circumstances through what causal mechanisms, including changes in the reasoning and resources of participants.

Social Return on Investment – A participatory approach to value-for-money evaluation that identifies a broad range of social outcomes, not only the direct outcomes for the intended beneficiaries of an intervention.

Success Case Method – An impact evaluation approach based on identifying and investigating the most successful cases and seeing if their results can justify the cost of the intervention (such as a training course).

Utilisation-Focused Evaluation – Uses the intended uses of the evaluation by its primary intended users to guide decisions about how an evaluation should be conducted.

Other specific evaluation approaches can include: Evaluability Assessment, Goal-based Evaluation, Goal-free Evaluation, Multisite Evaluation, Cluster Evaluation, Social Assessment, Environmental and Social Assessment, Rapid Assessment, Evaluation Synthesis and Meta-evaluation, etc.

The decision about an appropriate approach mainly depends on the foreseen use of the evaluation results (What is the main purpose of evaluation? Who are the key decision makers? When do they need the results of evaluation? What other stakeholders can intervene or be engaged?).

Brief exercise:
Formulate the main issue – the purpose of your evaluation.
Specify whether your evaluation will be ex-ante, mid-term, final or ex-post (formative, summative or impact evaluation). Decide what specific approach you would choose for your evaluation (e.g. participatory evaluation or outcome mapping).

8.4 Evaluation Criteria

Usually, the standard **OECD/DAC criteria** are used as the framework for evaluations:

Relevance – relation to the priorities of the target groups and donor, the influence on the problems concerned (Do we want useful things?)

Effectiveness – setting the project's objectives and logic / doing the right things (Do we reach what we want?)

Efficiency – productivity of the activities and outputs / doing the things right (Are the costs reasonable?)

Impacts – positive and negative, planned or unplanned influences on the target groups (Does it really help the people?)

Sustainability – continuation of the impacts after the project ends, mostly dependent on conditions in the place of implementation (Has the change sustained?)

However, there are many problems in using these criteria, among them for example:

- Incoherent terminology: results, outputs, objectives, targets, goals, aims, effects, purpose; the evaluation must recognise a real theory of change.
- Evaluation of relevance does not include target groups: Does the project really reflect their needs?
- Evaluation of efficiency does not include best practices or cooperation within the project team.
- Evaluation of effectiveness focuses on activities instead on outcomes (on behaviour change).
- Evaluation of sustainability focuses on continuation of project activities instead on continuation of benefits.

Considering also the above problems, a global discussion about changing the evaluation criteria has started. Other possible evaluation criteria can include:

Sustainable Development Goals – relevance and/or specific contribution to SDGs (What is the relation to SDGs?)

Feasibility – the project's quality and guarantees regarding time, people, sources, assumptions and risks, and overall context (What are the lessons learned?)

Crosscutting themes – gender equality, human rights, good governance, environment and climate protection (Are there any adverse effects?)

Empowerment – democratic ownership, capacity building, inclusiveness (How have been the target groups engaged?)

Networking – synergies with other interventions, cooperation with other actors, cross-sectoral approaches (Who are the key partners?)

Several sources of information:

YouTube Videos:

Evaluation (9:57): https://www.youtube.com/watch?v=gW59Zzasc8w

What is Impact Evaluation? (2:08): https://www.youtube.com/watch?v=HEJlT8t5ezU

Evaluation policies:

USAID: https://www.usaid.gov/sites/default/files/documents/1870/USAIDEvaluationPolicy.pdf

European Commission: http://ec.europa.eu/europeaid/evaluation-policy_en

BetterEvaluation Rainbow Framework: https://www.betterevaluation.org/plan

Recommendations:

Learn about „behavioural" change and how it is approached in e.g. outcome mapping or participatory evaluation; do not forget that even systems are designed and managed by People.

Think in advance what you are going to do with data from your sources, which do not reflect any of pre-set evaluation questions.

Mainly in ex-ante and formative approaches, focus on relevance – there is still time to adjust the intervention.

Brief recapitulation test:

What specific approach would you choose for following tasks?

Evaluate the evaluations completed for agricultural research in the past 15 years:
☐ Social Assessment ☐ Meta-evaluation ☐ Goal-free ☐ Participatory

Identify successful interventions in educational sector in the given region
☐ Prospective ☐ Rapid assessment ☐ Outcome mapping

Assess the strategic focus of technical assistance provided to five countries
☐ Multisite ☐ Goal-free ☐ Horizontal ☐ Social assessment

9. TEMPLATES, EVALUATION DESIGN MATRIX, EVALUATION QUESTIONS

9.1 Evaluation Report Template (CZ)

For evaluation report a principle 1:3:25 is recommended, which means 1 page of outline, 3 pages of executive summary and 25 pages of narrative text (excluding annexes). The template used by the Czech MFA corresponds with this recommendation.

Executive summary (maximum 4 pages A4)

- Purpose of the evaluation
- Brief description of the intervention and the context of evaluation
- Identification of the evaluation team
- The most important findings and conclusions
- Important recommendations, stating:
  - Recommendation level: on the project theme and continuation of the Czech Republic development cooperation in the given sector and country; as opposed to procedural and systemic recommendations with potentially general application in development cooperation;
  - Specific addressee (Ministry of Foreign Affairs, Czech Development Agency, implementer, local institutions, etc.);
  - Degree of seriousness and urgency of the recommendation

1. **Introduction** (the total extent of narrative part – Chapters 1 to 6 – maximum 25 pages)
   - Evaluation context: what interventions were evaluated and to what extent (subject matter and time)
   - Purpose of evaluation: information on the contracting authority and its main expectations regarding the evaluation (i.e. what, in particular, is to be ascertained by the evaluation, what the results and suggestions from the evaluation will be used for), usually formulated as several key evaluation questions
   - Information on evaluation team
2. **Information on the evaluated intervention**
   - The addressed issue in the wider context; the approach selected to address this issue; the method of financing; a description of objectives and outputs; a brief commentary on the implementation process
   - Basic commentary on the logic of the project structure (if necessary, the reconstructed intervention logic in annex)
   - Key assumptions and risks – the ones identified; what other major external factors have emerged; in what way did the assumptions and risks influence the implementation or the results; how the project coordinator and implementer, or other stakeholders, reacted to situations that arose
   - Brief information on implementers

3. **Evaluation methodology**
   - A summary of the methods used for collection and analysis of information
   - Recorded methodological and other obstacles and applied solutions; a justification of potential changes when compared to the initial offer; finding the limits of the evaluation (degree of data validity, etc.)
   - Assessment of evaluation approaches in relation to observing ethical principles during the evaluation and during meetings with respondents and other players
   - Brief information on qualifications of members of the evaluation team and allocating tasks within the evaluation team (approximately 3 lines for each team member)
4. **Evaluation findings**
   - Main outcomes of information collection and analysis, structured in accordance with the evaluation criteria and/or with the main evaluation questions as to the Terms of Reference or as approved in the Inception Report:
     - Relevance, efficiency, effectiveness, impacts, and sustainability
     - Cross-cutting principles, cultural and other ethical aspects
     - Visibility of the project
5. **Evaluation conclusions**
   - Conclusions derived from significant evaluation findings, and in relation to the evaluation criteria, the evaluation questions and the purpose of evaluation
   - Scale indicating the degree to which an evaluation criterion has been fulfilled: High – Quite high – Quite low – Low / Not applicable (for impacts, it is possible in justified cases to use the evaluation „Negative impacts")
6. **Recommendations**
   - All principal recommendations arising from the evaluation findings and conclusions, with an indication of:
     - The type of recommendation – on the project theme and the continuation of the Czech Republic's development cooperation in the sector and country, procedural and systemic recommendations (recommendations can also relate to the system or technique of evaluation);
     - Specific addressee; with specifications of particular areas or specific steps (what should be done, how and when);
     - Degree of seriousness and urgency of the recommendation;
     - Each recommendation must be supported by at least brief arguments, referring to specific findings and conclusions.
7. **Mandatory annexes to the evaluation report**
   - Summary of the report in English
   - List of abbreviations used and their explanation
   - Intervention logic for the evaluated intervention (revised if needed)
   - List of documents studied and relevant Internet links
   - List of interviews and group discussions (reflecting the GDPR requirements)
   - Questionnaires and sets of questions used

- Analysis of the results of surveys, questionnaires, etc.
- Summary of the major results from interviews and focus groups
- Evaluation of cross-cutting principles
- Terms of Reference
- Responses to the major comments of the reference group
- Checklist of mandatory requirements of the evaluation contract

7. **Optional annexes to the evaluation report**
   - Itinerary of the evaluation mission to the partner country
   - Extensive tables and graphs
   - Map of sites where the evaluated project has been implemented
   - Photos documenting the evaluation mission
   - Quotations of the opinions of stakeholders, case studies, etc.
   - Supplementary information concerning the evaluation methods, findings or conclusions
   - Minutes or presentations from the meetings with Reference group
   - Presentation of the evaluation results (from the debriefing or from the final presentation at the Ministry of Foreign Affairs)

9.2 Evaluation Design Matrix

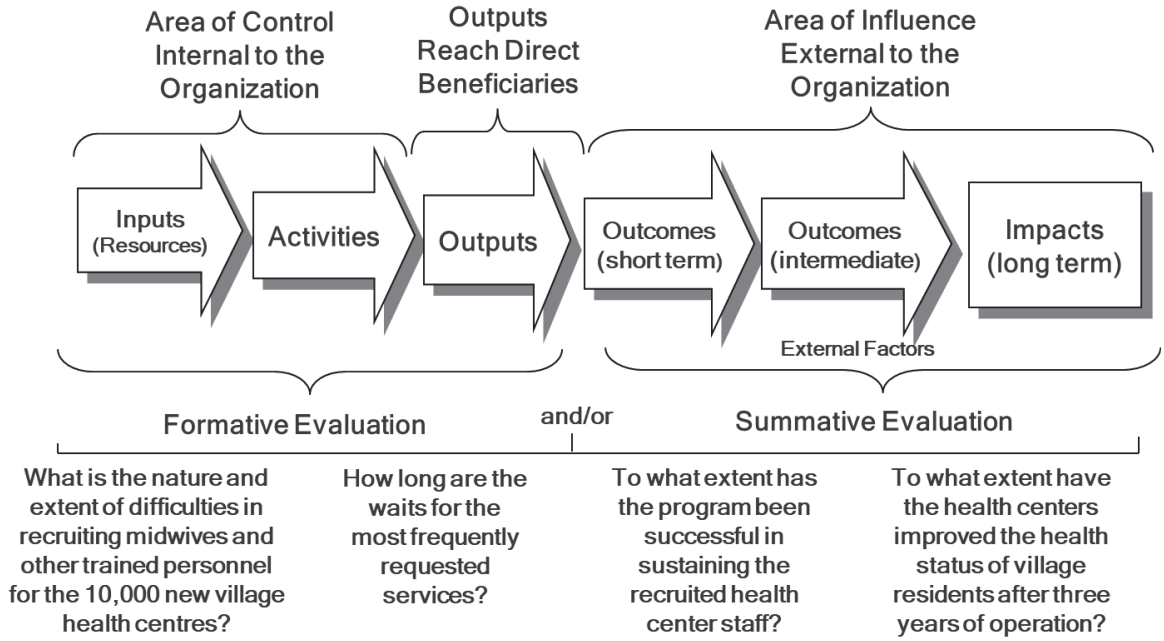
Evaluation Design Matrix should specify the following issues:

• Main evaluation issue • General approach • Questions and sub-questions • Type of questions and sub-questions • Measures or Indicators • Target or standard (if normative) • Presence or absence of baseline data • Design strategy • Data sources • Data collection instrument • Sample or census • Data analysis and graphics • Comments

Project Title: **Main Evaluation Issue:** **General Approach:**											
Questions	**Sub-questions**	**Type of questions**	**Measures or indicators**	**Target or standard (if normative)**	**Baseline data?**	**Design**	**Data sources**	**Data collection instrument**	**Sample or census**	**Data analysis**	**Comments**

9.3 Evaluation Questions

Program Stage	Examples of evaluation questions
1. Prospective	What can be learned from the experiences of similar programs?
2. Early implementation	Is the program operating as planned? What issues are surfacing?
3. Mid-implementation	To what extent are there cross-site variations in how the program is being implemented?
4. Maturity	To what extent have the outcomes been achieved? Can gains be attributed to the program? Has the program had unanticipated positive or negative effects?
5. Ex-post	To what extent did the program contribute to the observed impacts?



There are only three types of evaluation questions:

Descriptive questions – describing the current status (typically questions about changes in outcome measures); these questions:

- Seek to understand or describe a program or process or attitudes towards it;
- Provide a „snapshot" of what is;
- Are straight forward questions (Who? What? Where? When? How? How much/many?);
- Can be used to describe: inputs, activities, outputs;
- Are often used to seek opinions from beneficiaries.

Examples of descriptive questions: *What are the primary activities of the program? Where has the program been implemented? Who received what services? What obstacles has the program faced? What was the average gain in participant scores? To what extent does the program design reflect lessons learned from past similar programs? What are the qualifications of service providers? When was the program implemented? What proportion of women participated in the program? How does*

the cost of the program compare with the costs of similar programs? What are the informal communication channels inside the organisation? How useful did participants find the program?

Questions about the proportion of clients who find the program useful or the proportion that like the training are still descriptive questions (unless there is an established norm or standard). Questions about gains or changes over a period of time – whether concerning crop production, traffic flows, trade patterns, test scores, attitudes or behaviours – are descriptive questions (when no attribution is being sought).

Normative questions – comparing „what is" to „what should be", it means measuring against previously established criteria for desired goal, objective, target or standard to be achieved (typically questions about achievement of outputs); these criteria:

- Can be often found in program document or contract;
- May be indicators with specific targets in monitoring systems;
- May come from accreditation systems, blue-ribbon panels, and professional organisations.

Examples of normative questions: *Did we spend as much as we had budgeted? Was the budget spent efficiently? Were 80 % of the nation's children vaccinated as set as a target? Did we meet the objective of draining 50,000 hectares of land? Was the process for selecting participants fair and equitable? To what extent does the program reflect principles of gender equity?*

Cause-and-effect questions – addressing the difference experienced as a result of the intervention (typically questions about impacts); these questions:

- Seek to determine what difference the intervention makes;
- Ask whether the desired results have been achieved AND whether it is the intervention that has caused the results;
- Imply before & after and with & without comparisons.

Examples of cause-and-effect questions: *Did the country partnership strategy preserve biodiversity of the affected area while sustaining livelihoods? As a result of the training program, do participants have higher paying jobs than they otherwise would not have? Did the microenterprise program reduce the poverty rates in the townships in which they operated? Did the increase in financial penalties for violating firms reduce the use of under-age children in the garment industry?*

It is necessary to recognise the type of each questions as it influences the evaluation design and all further steps (sampling, data collection, data analysis).

Drafting of questions is recommended in two consequent steps:

- **Divergent phase** (brainstorming) – developing a comprehensive list of questions:
  - Generating questions
  - Examining the questions
  - Organising the questions
- **Convergent phase** – narrowing down the list:
  - Being selective in identifying the study questions
  - Eliminating interesting but not essential questions
  - Pre-testing whether the answers can really help

The questions should be clearly related to the main purpose of an evaluation (the chosen approach) and can be organised according to the implementation procedures or to the evaluation criteria, as for example the OECD/DAC criteria:

Relevance: Is the project purpose still in line with the priorities of the target groups? Does the project correspond to national strategies? To what extent does the logic model solve the identified key problems? How strong is the ownership by local partners? Did the key assumptions hold true?

Brief exercise: What kind of questions are these?

Efficiency: Have the sources been used in a transparent way? Is the level of incurred costs in line with the plan? To what extent have the activities been realised? Are all the activities sufficiently documented? Have the outputs been reached in a foreseen quality? How were the emerging problems solved? How much did the local partners really participate? Did the target groups take over all project outputs?

Brief exercise: What kind of questions are these?

Effectiveness: Can the completed outputs lead to the foreseen outcomes? Do the target groups use the project results? Do all target groups have access to the benefits? Are there any constraints for using the results? How did the behaviour of the target groups change? Have the outcome indicators been met? How did the project reflect the changing context?

Brief exercise: What kind of questions are these?

Impacts: What are the positive and negative impacts of the project? How did the situation of the target group change in comparison with the control group? How do the impacts correspond to the foreseen indicators? Are there any differences in the access to project benefits (e.g. regarding gender, ethnic groups, or disabled people)? What external factors were crucial for the success?

Brief exercise: What kind of questions are these?

Sustainability: Do the target groups have sufficient capacities for sustaining the benefits? Is there an appropriate legal framework in place? How is the financial sustainability ensured? Are the necessary services provided even after the end of the project? What are the key external factors endangering the sustainability? To what extent did the target groups participate in decision making? What is the replicability potential (e.g. for other sites in the region)?

Brief exercise: What kind of questions are these?

The most important evaluation questions are:

- Why do we want this evaluation?
- So what? Is this really a success?
- Has the intervention really brought the foreseen change? How did that happen?
- What change should the evaluation bring? How will be the evaluation results used?

Recommendations:

Start by identifying the major issues – make sure the evaluation questions address the issues of greatest concern.

Link the questions very concretely to your Theory of Change.

Questions that include more than one issue are NOT good.

Questions about an issue can be addressed using all three questions types by adjusting the wording.

Establish a clear link between each evaluation question and the study purpose.

Set a realistic number of questions for the time available for the evaluation.

Consider the timing of the evaluation relative to the program cycle.

Keep in mind cultural differences when selecting evaluation questions (e.g. asking for your income or medical information might be a problem in some cultures).

Make sure all of the questions are answerable.

Pre-test, pre-test, pre-test!

Brief exercise:

Discuss the key evaluation questions (5+)
For 1 descriptive, 1 normative and 1 cause-effect question:
Identify the type of question (or sub-question)
For each, identify the measure or indicator
If normative identify the target or standard, indicate if baseline data exist

Pre-test whether these questions can be responded and whether the answers can really help…

10. EVALUATION DESIGN, DATA SOURCES, DATA COLLECTION METHODS

Like for evaluation questions, there are only three main evaluation designs (and mixed designs):

- Experimental design;
- Quasi-experimental design;
- Non-experimental design.

10.1 Experimental Design

- Addresses cause-effect evaluation questions;
- Participants are randomly assigned to the program or control group after baseline data are collected;
- All participants have an equal change of selection into the program or control groups;
- Intervention group participates/is exposed as planned;
- Control group is not exposed and does not experience the program/intervention.

The true experimental design compares the situation **before and after with control group, using a random assignment comparing intervention to non-intervention group:**

Experimental group:	O_1	X	O_2
Control group:	O_1		O_2

Notation Key: X = program/intervention, O_1 = pre-test, O_2 = post-test

YouTube Videos – Experimental Design:

Placebo Effect, Control Groups, and the Double-Blind Experiment (3:35)
https://www.youtube.com/watch?v=GMqrOdCx4Yg

Causation vs. Association, and an Introduction to Experiment (7:05)
https://www.youtube.com/watch?v=kKHx9T6XUI0

Randomised Controlled Trials (8:55)
https://www.youtube.com/watch?v=Wy7qpJeozec

Types of experimental designs (6:36)
https://www.youtube.com/watch?v=10ikXret7Lk

10.2 Quasi-experimental Designs

The design is similar to experimental design but:

- There is no random assignment;
- It uses naturally-occurring comparison groups or constructed groups;
- It often requires more data and sophisticated data to rule out plausible rival explanations.

Before and after: No comparison group (What change did the program group experience?)

Program group: O_1 X O_2

Post-only Non-equivalent Comparison Design: Comparison groups is only assessed at post-test (How did the program and comparison groups differ at time of post-test?)

Program group: O_1 X O_2

Comparison group: O_2

Non-equivalent Comparison Group Design: Both groups assessed at baseline and at the end (What change did the program and comparison groups experience?)

Program group: O_1 X O_2

Comparison group: O_1 O_2

Post-test Only Designs (What is the situation at time of post-test?)

Program group: X O_1

Comparison group: O_1

or Program group only: X O_1

In this case, it is necessary to reconstruct the baseline, using secondary data (print, social media, etc.), program records, key informants, participant recall or participatory techniques.

Interrupted Time Series: Assessments made multiple times prior to the introduction of the program and post program to identify the changes in events, trends, attitudes, etc. over time resulting from program exposure. Design may or may not include a comparison group:

Program group: O_1 O_2 O_3 X O_4 O_5 O_6

Comparison group: O_1 O_2 O_3 O_4 O_5 O_6

Longitudinal design: individuals are followed over time to recognise the changes in outcome

Panel design: Groups/cohorts of individuals are followed over time. Both designs may or may not include comparison groups

Program group: X O_1 O_2 O_3 O_4 O_5 O_6 …

(Comparison group: O_1 O_2 O_3 O_4 O_5 O_6 …)

Cross-sectional Design: Examines the relationship between variables of interest (e.g. exposure to the program – yes/no) and outcome across multiple groups, e.g. man and women (How does participation in the microfinance program benefit women in terms of income generation?):

X O_1 (women in program)

O_1 (women not in the program)

O_1 (men)

Propensity Score Matching: Matches groups selected on similarities.

Regression Discontinuity: Combines pre-program and pre-post-test design – Pre-program measures are given to all participants and criterion cut-off score is used to identify and assign participants to the intervention and non-intervention groups.

Difference-in-difference – Double Difference: Comparison between intervention group and comparison/control group before and after the intervention.

YouTube Videos: Quasi-experimental Design

Quasi experimental designs (6:21) https://www.youtube.com/watch?v=3N-DKY09GM4

Alternative methods: What are quasi-experiments? (3:39) https://www.youtube.com/watch?v=Ji_osZc7z5Q

Quasi Experimental Designs (10:26) https://www.youtube.com/watch?v=3lg_S1_nghg

10.3 Non-experimental Designs

Simple Cross-sectional Design: examines the relationship between variables of interest and outcome across multiple groups. It provides a snapshot, at a single point of time, of the characteristics of a subset of a population („one-shot").

Typical evaluation questions are: Do participants with different levels of education have different views on the value of training? What is the difference in prevalence of diabetes between non-obese and obese population?

One-Shot Design: A look at a group receiving an intervention at one point in time, following the intervention.

Examples of evaluation questions are: How many women were trained? How many participants received job counselling as well as vocational training? How did you like the training? How did you find out about the training?

Causal Tracing Strategies (or Process tracing): Based on the general principles used in traditional experimental and quasi-experimental designs, but:

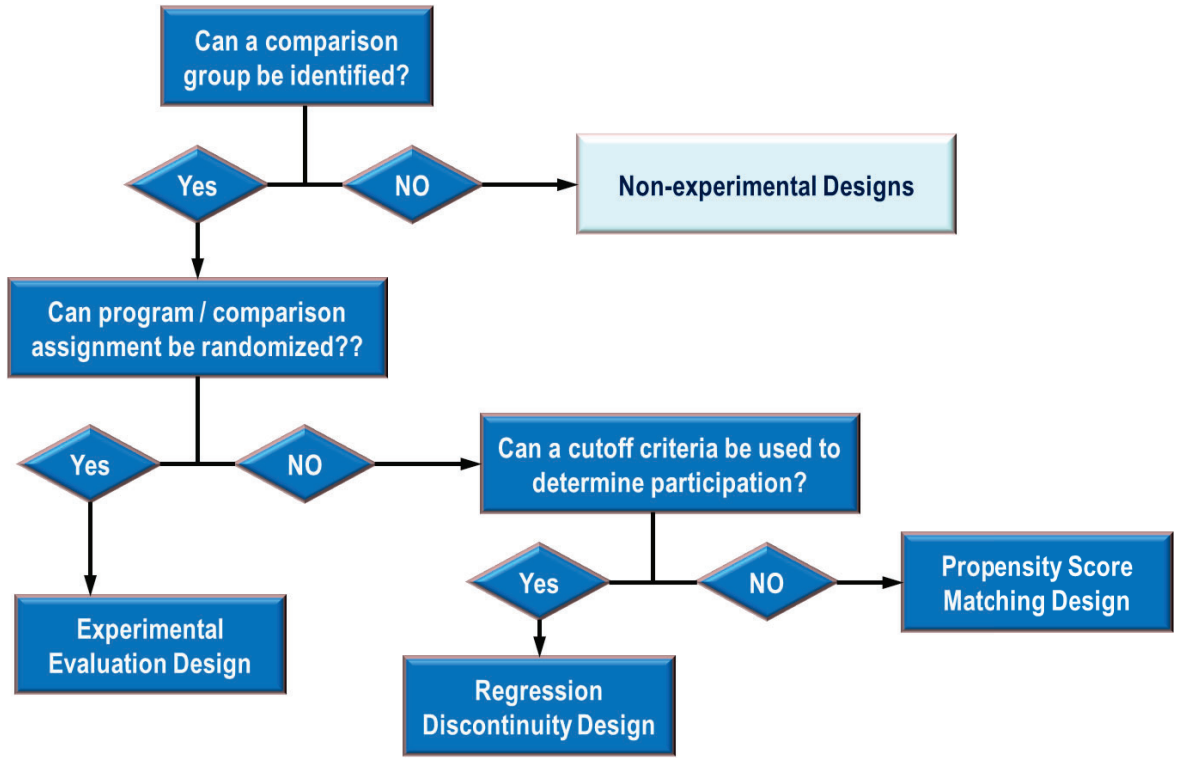
- Can be used for rapid assessments;
- Can be used without high-level statistical expertise;
- Can be used on small scale interventions where numbers preclude statistical analysis;
- Can be used for evaluations with a qualitative component;
- Involves the evaluator doing some detective work to rule out rival hypotheses.

Case Study Design: A qualitative non-experimental design with no randomisation and typically, there are no non-program comparison groups. Case studies are useful in describing and explaining why outcomes occurred and in evaluating program implementation. Case study can focus on following questions:

- Descriptive: in-depth examples about a program or policy;
- Exploratory: focus on generating hypotheses (pilot studies);
- Critical event: emphasis is on a unique event, situation, strategy, etc.;
- Program implementation: examines operations, often with reference to norms or standards about implementation processes;
- Program effects: examines causal links between the program and intended outcome (can include multi-site evaluations);
- Case synthesis: data from several case studies are used to answer evaluation questions.

10.4 Summary of Basic Designs

Design	Type	Advantages	Disadvantages
Experimental comparison	Randomised	Strong internal validity	Costly, difficult to generalise (external validity), challenging to exclude participants from program
Quasi-experimental comparison	Pre-post	Context of both groups must be known, stronger than one group comparisons	Controls for effects of history, but challenging to control for all extraneous factors
Quasi-experimental, No baseline	Longitudinal	Follows individuals over time	Costly, challenging to control for attrition
Quasi-experimental Same group over time	Panel	Contextual depth	Costly, group attrition challenges
Quasi-experimental Comparison between similar individuals	Score matching	Used in voluntary participation (control, programs groups), increased reliability	Need for large data samples and statistical skills
Quasi-experimental Only data post-program exposure	Post-test only	Applicable design in conflict and challenging environments	No knowledge of pre-program status, multiple threats to validity
Non-experimental Within and between	Cross-sectional	Point-in-time	Minimal knowledge if any of what is occurring over time
Descriptive	Case study	Strong contextual information	Time consuming and weak support for internal validity (cause & effect)



Common designs for **cause-effect questions** are experimental, using randomisation, or quasi-experimental, for example: Score matching, Regression discontinuity, or Difference-in-difference / double difference.

Descriptive questions generally use non-experimental designs, the common designs can be: Simple cross-sectional, Before-and-after, Interrupted time series, Longitudinal or Case studies.

Normative questions/answers are always assessed against a criterion – a specified desired or mandatory goal, target, or standard to be reached. Generally, the same designs work for normative questions as descriptive questions.

Recommendations:

Keep in mind that you are looking for an ideal mix enabling to establish a „real life" picture.

Each question predetermines the design(s) you should use to answer it.

Some designs cannot be applied retrospectively (e.g. you cannot choose experiment if the intervention is completed without any control group).

Before starting your evaluation, check the available data.

Brief exercise:

For the selected key evaluation questions identify the design to be used and its type, i.e. an appropriate design for your descriptive question, for your normative question, and for your cause-effect question.

Brief recapitulation test:

What design would you chose for answering following questions?

To what extent does the program reflect lessons learned from past similar programs?

☐ Experimental ☐ Quasi-experimental ☐ Non-experimental

Did the microenterprise program reduce the poverty rates in the targeted region?

☐ Experimental ☐ Quasi-experimental ☐ Non-experimental

How did the behaviour in the treatment group change after the intervention?

☐ Experimental ☐ Quasi-experimental ☐ Non-experimental

YouTube Video: Non-experimental Design

Non-Experimental Quantitative Research (3:19) https://www.youtube.com/watch?v=ZlZHZoYbvkk

Non-Experimental Designs (11:10) https://www.youtube.com/watch?v=cz890oZmGn4

Cross sectional studies (12:27) https://www.youtube.com/watch?v=a4VOtjO9rvs

Non-Experimental Designs (21:09) https://www.youtube.com/watch?v=TfaZSxZ9qKs

10.5 Data Sources

There are two types of (primary or secondary) data:

- Quantitative; for example, data from survey, observation, social media, document analysis, etc.
- Qualitative; for example, data from interview, focus group, observation, journaling / Vlogs / photolanguage, storyboards, talking circles – brainstorming, social media, document analysis, etc.

The data sources then can be divided into four main categories:

- Existing information: demographics, census and other databases, public records, media, registries, project reports, other evaluations;
- People: stakeholders (beneficiaries; donors, program staff, managers, administrators; parliamentarians and policy makers; collaborators, etc.);
- Observations: observed behaviour, practices, activities (community meetings, etc.), events;
- Experiments / Direct measurements.

Brief exercise:
For the selected key evaluation questions identify the possible sources of information.

10.6 Data Collection Methods

Data collection methods must consider both primary data (not collected before, designed specifically for the evaluation) and secondary data (specific survey items collected for other purposes, but useful to the evaluation) as well as qualitative and quantitative data. Whenever possible, participatory data collection methods should be included in the evaluation surveys.

In all evaluations, a principle of **triangulation** should be considered:

- Evaluation should obtain data from three or more sources of information and analyse the findings for consistency, e.g., program staff, government officials, and beneficiaries;
- Evaluation should use three or more data collection instruments and analyse the findings for consistency, e.g., interviews, focus groups, questionnaires, existing data, and expert panels;
- It is also possible to use several (groups of) evaluators to verify the data from diverse sources or collected by diverse methods.

The data collection methods can be categorised according to the specific sources of information:

Existing documents and data:

- **Big data:** Large data sets that cannot be analysed using conventional methods
- **Logs and Diaries:** Tools for recording data over a long period of time
- **Official Statistics:** Published by government agencies or other public bodies
- **Peer/Expert Reviews:** Drawing upon experts with relevant expertise
- **Previous Evaluations and Research:** Using the findings from previously conducted studies

- **Project Records:** A range of documents related to the management of a project
- **Reputational Monitoring Dashboard:** Monitoring and quickly appraising reputational trends at a glance and from a variety of different sources

Information from individuals:

- **Deliberative Opinion Polls:** Providing information about the issue to respondents to ensure their opinions are better informed
- **Diaries:** Monitoring tools for recording data over a long period of time
- **Goal Attainment Scales:** Recording actual performance compared to expected performance using a 5-point scale from -2 (much less than expected) to +2 (much more than expected)
- **Hierarchical card sort:** A participatory card sorting option to provide insight into how people categorise and rank different phenomena
- **Interviews with individuals:** These can be convergent, in-depth, or with key informants
- **Keypad technology:** Gauging large group response to presentations/ideas
- **Mobile Data Collection:** Using devices such as smartphones or tablets
- **PhotoVoice:** Promoting participatory photography as an empowering option of digital storytelling for vulnerable populations
- **Photolanguage:** Eliciting rich verbal data where participants choose an existing photograph as a metaphor and then discuss it
- **Polling Booth:** Collecting anonymously sensitive information
- **Postcards:** Collecting information to provide short reports on findings
- **Projective Techniques:** Participants selecting one or two pictures from a set and using them to illustrate their comments about something
- **Questionnaires (or Surveys):**
  - E-mail Questionnaires
  - Face to Face Questionnaires
  - Internet Questionnaires
  - Mobile Questionnaires
  - Mail questionnaires (posting hard copies to participants to be returned)
  - Telephone Questionnaires
- **Seasonal Calendars:** Analysing time-related cyclical changes in data
- **Sketch Mapping:** Creating visual representations ('map') of a geographically based or defined issue
- **Stories (Anecdote):** Providing a glimpse into how people experience their lives and the impact of specific projects/programs
- **Opinion Poll (Voting):** Rapid collection of (anonymous) opinions; on site techniques or using web/mobile phones

Information from groups:

- **After Action Review:** Bringing together a team to discuss a task, event, activity or project, in an open and honest fashion
- **Brainstorming:** Focusing on a problem and then allowing participants to come up with as many solutions as possible

- **Card Visualisation:** Brainstorming in a group using individual paper cards to express participants thoughts about particular ideas or issues
- **Concept Mapping:** Showing how different ideas relate to each other - sometimes this is called a mind map or a cluster map
- **Delphi Study:** Soliciting opinions from groups in an iterative process of answering questions in order to gain a consensus
- **Dotmocracy:** Collecting and recognising levels of agreement on written statements among a large number of people
- **Fishbowl Technique:** Group discussion using a small group to discuss an issue while the rest of the participants observe without interrupting
- **Future Search Conference:** Identifying a shared vision of the future by conducting a conference with this as its focus
- **Interviews with groups**
- **Focus Group Discussions**
- **Mural:** Collecting data from a group of people about a current situation, their experiences, or their perspectives on the outcomes of a project
- **ORID:** Enabling a focused conversation by allowing participants to consider all that is known (Objective) and their feelings (Reflective) before considering issues (Interpretive) and decisions (Decisional)
- **Q-methodology:** Investigating the different perspectives of participants on an issue by ranking and sorting a series of statements
- **Social mapping:** Identifying households using pre-determined indicators that are based on socio-economic factors
- **Simulation and role-playing:** Can discover both problems and motivations
- **SWOT Analysis:** Reflecting on and assessing the Strengths, Weaknesses, Opportunities and Threats of a particular strategy
- **World Cafe:** Hosting group dialogue in which the power of simple conversation is emphasised in the consideration of relevant questions and themes
- **Writeshop:** A writing workshop involving a concentrated process of drafting, presenting, reviewing, and revising documentations of practice

Differences between interviews, group interviews, and focus groups:

Interviews: Two interviewers and one respondent; one interviewer serves as note taker, this is resource intensive, but often required.

Group Interviews: Interview with 2 to 3 individuals, everyone should be asked the same questions.

Focus Groups: Typically, with 6 to 10 individuals; it is not group interview, group interactions are key; focus groups have many formats (usually highly structured) and focus on examining the common themes.

Observation:

- **Field Trips:** Organising trips where participants visit physical sites
- **Non-participant Observation:** Observing participants without actively participating; can be done in person (being obtrusive or non-obtrusive) or by using video or audio recording (most common approach)

- **Participant Observation:** Identifying the attitudes and operation of a community by living within its environs – observer has some role in the phenomena/process he/she observes, but also a clear role as an evaluator (somewhat common) or he/she can fully participate in the setting, program, or culture (least common)
- **Photography/video:** Discerning changes that have taken place in the environment or activities of a community through the use of images taken over a period of time
- **Transect walk:** Gathering spatial data by observing people, surroundings and resources while walking around the area or community

Physical measurements

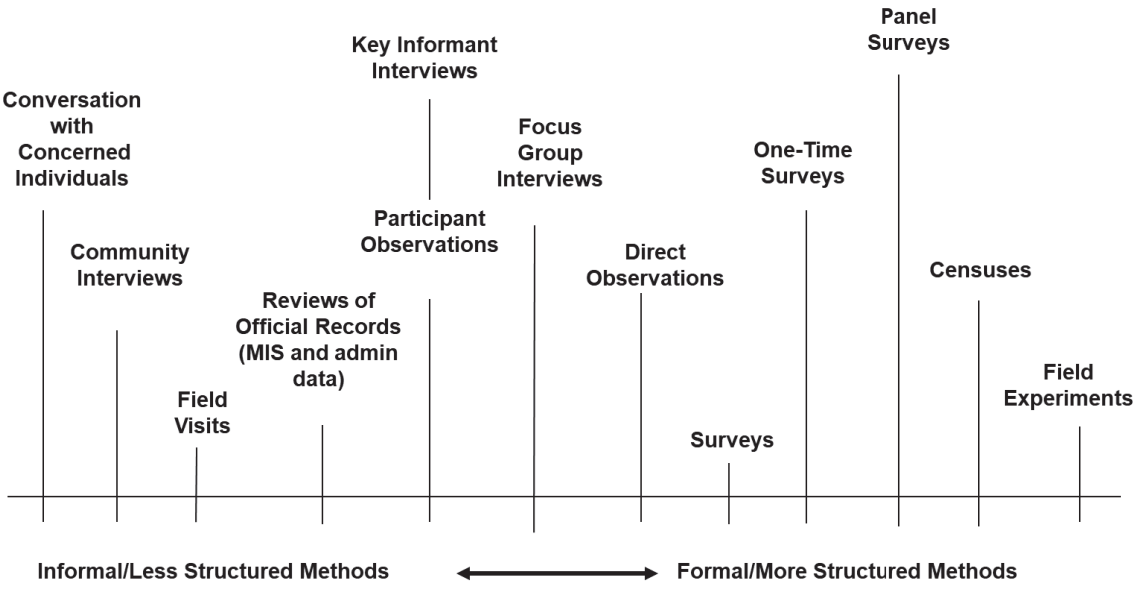
- **Biophysical:** Measuring physical changes over a period of time related to a specific indicator by using an accepted measurement procedure
- **(Geo)chemical:** Measuring changes in chemical parameters such as contamination of soil, water or air
- **Geographical:** Capturing geographic information about persons or objects of interest such as the locations of high prevalence of a disease or the location of service delivery points

Specific **participatory techniques** can for example include:

- **Most Significant Change:** A tool for collecting, discussing and selecting stories about the significant changes that people experience (as a result of a program; or since a start of the program)
- **Appreciative inquiry:** 4-D Model (Discovery – Dream – Design – Destiny); An approach to community development to empower, cultivate hope, build capacity, unleash collective appreciation and imagination, and bring about positive change:
  - Discovery (appreciating/valuing): What did you enjoy best? What do you value most?
  - Dream (Envisioning): What might be?
  - Design (Propositions): How can it be? What are the most promising areas?
  - Destiny (Co-creating): What small changes could we make right now?

Tips for collecting stories:

- People will tell their stories well if they are happy to talk with you, so only use this method if they have enough time and want to talk.
- Take time to build a connection with the storyteller before you begin, keep your body relaxed and open.
- Listen 100 % – show the storyteller that you are really listening.
- Write the story down exactly as the person says it.
- You must usually ask more questions to get the whole story; however, it is best if you do not speak too much and interrupt the story.
- Do not give people clues about what you may want to hear – the story should be about their ideas about change not your ideas.
- Read your notes about the story back to the storyteller to check that you understood it correctly and to confirm that it is an accurate and complete account.



For collecting the answers (e.g. to questionnaires), you can choose **fixed-response formats**:

- Dichotomous: Yes – No / True – False
- Likert scaling – rating scale: Strength of agreement or frequency of self-reported behaviour
- Multiple choice: Check all that apply
- One correct response among a set of „foils"/„distractors": Plausibility of distractors must not reveal the correct response
- Rank order: Use a reasonable number of objects to rank

When using the response categories, ensure that every respondent has an opportunity to answer, and clearly label response categories (see the Likert choices):

	Strongly Disagree	Disagree	Agree	Strongly Agree		
Likert Forced Choice	O	O	O	O		

	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	
Likert Neutral Choice	O	O	O	O	O	

	Strongly Disagree	Disagree	Agree	Strongly Agree		N/A
Likert Forced Choice (N/A)	O	O	O	O		O

	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	N/A
Likert Neutral Choice (N/A)	O	O	O	O	O	O

Recommendations:

Keep in mind that return rate from questionnaire surveys are generally low – think in advance about mitigation strategies (it might cost more money and time).

If you use data collectors (assisted questionnaires), make sure that they understand the questions and approach:

- *Train them and test them (mentor them) if possible;*
- *Prepare a workshop at the end with them – use them as your observers in the field to enrich your findings.*

Triangulate!

Interesting sources of information:

https://www.betterevaluation.org/, e.g., Rainbow Framework: https://www.betterevaluation.org/en/resource/tool/be_planning_tool

https://www.unicef.org/evaluation/

https://www.unicef.org/evaldatabase/

Brief exercise:

As you already selected the key evaluation questions and identified the sources of information, propose appropriate data collection methods for getting right answers to your questions. Combine quantitative, qualitative and mixed methods, and if possible, propose at least one participatory method. Consider triangulation!

Brief recapitulation test:

Focus Groups can be mainly used for:
☐ Homogenous groups ☐ Non-homogenous groups ☐ Families

Primary data means:
☐ Previous data from archives ☐ Data collected within evaluation

Triangulation means using:
☐ Different methods ☐ Different sources ☐ Different evaluators

What of the below data collection methods can be used for getting opinion of the target groups?
☐ Questionnaire ☐ Observation ☐ Interview ☐ Desk review
☐ Focus group ☐ Post-test ☐ Experiment ☐ Most significant change

11. SAMPLING AND DATA ANALYSIS, PRESENTING RESULTS

11.1 Sampling

Sampling concepts

- Population (the total set of units)
- Census (collection of data from an entire population)
- Sample (a subset of the population)
- Sampling Frame (list from which to select your sample)
- Sample Design (methods of sampling: probability or non-probability)
- Parameter (characteristic of the population)
- Statistic (characteristic of a sample)

If it is possible to collect data from the entire population (census), we can talk about what is true for the entire population. This is usually impossible due to time and financial constraints, then we must use a smaller subset: a sample.

Random sampling is a „lottery", each unit has an equal chance of being selected. Based on random sampling, it is possible to make estimates about the larger population based on the subset. Random sampling eliminates selection bias and enables to generalise the findings to the population. It is often cost-effective. There are several options for random sampling:

- Simple random sample
- Random interval sample
- Random-start and fixed-interval sample
- Stratified random sample
- Random cluster sample
- Multistage random sample

Non-random sampling can be more focused, it can help make sure a small sample is representative, but it cannot make inferences to a larger population (you cannot generalise if you do not randomise…). The types of non-random sampling include:

- **Purposeful (judgment) sampling:** In this case it is necessary to set criteria to achieve a specific mix of participants (also quota sampling); these criteria can include:
  - Typical cases (median)
  - Maximum variation (heterogeneity)
  - Quota (variety in a sample)
  - Extreme-case
  - Confirming and disconfirming cases
- **Snowball (referral chain) sampling:** It is often used in interviews – the evaluator asks interviewee for suggestions of other people who should be interviewed. It can be used when the evaluator does not know who or what to include in sample. This approach must be used cautiously.

- **Convenience sampling:** The evaluator selects whoever is easiest to contact or whatever is easiest to observe, for example for:
  - Visiting whichever project sites are closest
  - Interviewing whichever project managers are available
  - Observing whichever physical areas project officials choose
  - Talking with whichever NGO representatives are encountered
- **Voluntary sampling:** The researcher allows cases/respondents to get involved voluntarily. This approach is based on self-selection – everybody can get involved, e.g. decide to answer a questionnaire posted on the website, to click „Like" on Facebook or push button at departing a shop or a training place. It is usually anonymous: there is no verifiable information about the respondents. However, there is a risk of bias: people can be upset or be uncritical fans or can have any other biased reason to participate. Voluntary sampling can be (repeatedly) used for rapid assessment.

The sampling strategies can be combined. For example, two schools can be non-randomly selected from amongst the poorest communities and two from the wealthiest communities. Then a random sample of students from these four schools can be selected.

For determining the sample size, statistics are used to estimate the probability that the sample results are representative of the population as a whole. Evaluators must choose how confident they need to be, generally used is the 95 % confidence level (if verified 95 times out of 100, the sample results will accurately reflect the population as a whole). The higher the confidence level and the lower the confidence interval, the larger the sample needed.

A Sample Size Calculator (e.g., https://www.surveysystem.com/sscalc.htm) can be used for decisions on appropriate sample size for small and big populations.

Population / Confidence interval for 95 % confidence level	±3	±5	±10
100	92	80	49
300	234	169	73
500	345	220	80
1,000	525	285	90
3,000	810	350	100
5,000	910	370	100
10,000	1,000	400	100
100,000	1,100	400	100
1,000,000	1,100	400	100
10,000,000	1,100	400	100

YouTube Video: Sampling
Sampling methods (4:49)
https://www.youtube.com/watch?v=pTuj57uXWlk
Census, Nonresponse, and Undercoverage (1:52)
https://www.youtube.com/watch?v=EZrP_av3cmA
Sampling: Simple Random, Convenience, systematic, cluster, stratified – Statistics Help (4:53)
https://www.youtube.com/watch?v=be9e-Q-jC-0
Systematic Sampling (4:07)
https://www.youtube.com/watch?v=CFH-1iBB9kU
Non-probability sampling (4:09)
https://www.youtube.com/watch?v=-kwdXEXC7yE

Brief recapitulation test:

What should be the minimum sample size for the population of 300 people to reach 95 % confidence level and 5 % margin of error (confidence interval)?

☐ Around 75 ☐ Around 170 ☐ Around 250

What sampling strategy would you choose for assessing the quality of roads in a specific region?

☐ Purposeful ☐ Snowball ☐ Convenience ☐ Random cluster

What sampling strategy would be the most appropriate for determining full demographic characteristics of the people visiting the hospital?

☐ Purposeful ☐ Snowball ☐ Convenience ☐ Census

11.2 Data Analysis

Qualitative analysis is best used for in-depth understanding of the intervention. It helps to answer questions like: What are some of the difficulties faced by staff? Why do participants say they dropped out early? What is the experience like for participants?

Non-numerical data are collected as part of the evaluation, e.g. from open-ended interviews, written documents, or focus groups transcripts. Content analysis can be used to identify common words, phrases, themes and patterns. Thematic coding can be used for recording or identifying passages of text or images linked by a common theme or idea allowing the indexation of text into categories.

Quantitative analysis is used to answer questions like: What are the mean scores for the different groups of participants? How do participants rate the relevance of the intervention on a scale of one to five? How much variability is there in the responses to the item? Are the differences between the two groups statistically significant?

Quantitative data are numerical and analysed with statistics:

- **Descriptive statistics** is used to describe and analyse data collected about a quantitative variable; it describes how many and what percentage of a distribution share a particular characteristic (example: 33 % of the respondents are male and 67 % are female).
- **Inferential statistics:** used with random sample data by predicting a range of population values for a quantitative variable. There is a risk of error because the sample may be different from the population as a whole – to make an inference, the probability of that error must be estimated.

Measures of central tendency uses 3 Ms, depending on the type of data (nominal, ordinal, or interval/ratio):

- **Mode:** Most frequent response
- **Median:** Midpoint or middle value in a distribution
- **Mean:** Arithmetic average

Nominal data are names or categories, e.g. gender (male, female), religion (Buddhist, Christian, Jewish, Muslim), or country of origin (Burma, China, Ethiopia, Peru). With nominal data, mode is best for measure of central tendency.

Ordinal data has an order but the „distance" between consecutive responses is not necessarily the same, it lacks a zero point (e.g. opinion scales that go from „most important" to „least important" or „strongly agree" to „strongly disagree"). With ordinal data, use mode or median is best for measure of central tendency.

Interval/ratio data are real numbers, numbers with a zero point that can be divided and compared into other ratio numbers (e.g., age, income, weight, height). With interval/ration data, using mode, median, or mean as best measure of central tendency is possible – the choice depends on the distribution: for normal data, mean is best, for data with few high or few low scores, median is best.

For measuring level of dispersion, two basic terms are used:

- **Range** – difference between the highest and lowest value (simple to calculate, but not very valuable), and
- **Standard deviation** – measure of the spread of the scores around the mean (superior measure, it allows every case to have an impact on its value).

The statistical techniques are also used to determine **correlation**, i.e. to determine how strongly two or more variables are related. The **independent variable** (for program evaluation this is the program) should explain a change in the **dependent variable** (for program evaluation this is the outcome).

Measures of association (or relationship) of variables range from -1 to +1 (closer to +1 or –1 means perfect or strong relationship, closer to zero means no relationship).

Chi Square is not the strongest, but one of the most popular statistics as it is easy to calculate and interpret. It is used to compare two sets of nominal data (i.e. marital status and religious affiliation), two ordinal variables or a combination of nominal and ordinal variables.

t-Test is used to determine if one group of numerical scores is statistically higher or lower than another group of scores, it compares means for the groups, but it is too cumbersome for more than three groups.

YouTube Video: Statistics

Introduction to Statistics (4:49):
https://www.youtube.com/watch?v=MXaJ7sa7q-8

Mode, Median, Mean, Range, and Standard Deviation (7:09)
https://www.youtube.com/watch?v=mk8tOD0t8M0

Chi Square statistics:
http://math.hws.edu/javamath/ryan/ChiSquare.html

t-Test Overview (15:03):
https://www.youtube.com/watch?v=0D_xGoSBe4Y

How Ice Cream Kills! Correlation vs. Causation (5:26)
https://www.youtube.com/watch?v=VMUQSMFGBDo

Correlation vs. Causation in the Real-World (1:25)
https://www.youtube.com/watch?v=BaETnBzM7yU

Brief exercise:

Decide about scope of data (census or sample) and data analysis for answering your questions.

Brief recapitulation test:

The response given most often is called:

☐ Mode ☐ Median ☐ Mean

What kind of analysis would you choose for answering the question „Why do participants drop out early?"

☐ Quantitative ☐ Qualitative ☐ Mixed

What kind of analysis would you choose for answering the question „What are the mean scores of participants?"

☐ Quantitative ☐ Qualitative ☐ Mixed

11.3 Presenting Results – Completing Evaluation Design Matrix

In the final stage of preparation of the evaluation plan, it is necessary to finalise the Theory of Change of the project to be evaluated (Step 1) and to complete the Evaluation design matrix (Steps 2 to 9).

Step 2 – General evaluation approach: Specifying the main purpose of evaluation regarding timing (ex-ante, mid-term, final, or ex-post) or specific issues to be responded.

Project Title:
Main Evaluation Issue:
General Approach:

Step 3 – Setting the key evaluation questions: Descriptive, Normative and Cause-Effect; identification of measures or indicators, target or baseline data

Question	Type of Question	Measure or Indicator	Target or Standard (if normative)	Baseline Data?

Step 4 – Identifying the design and type of evaluation: Experimental, Quasi-experimental, or Non-experimental

Step 5 – Selecting appropriate Data Sources: Documents, people, groups, direct measurements

Step 6 – Data collection methods/instruments: Primary surveys and work with secondary data

Step 7 – Scope of data: Census or sample

Step 8 – Data analysis: Qualitative, quantitative and mixed data

All the above steps must be done for each evaluation question!

Design	• **text**
Data sources	• **text**
Data analysis	• **text**
Data collection	• **text**
Sample or census	• **text**

Step 9 – Finalising the Evaluation design matrix

In this stage, the questions should be grouped according to the selected logic of evaluation. It can be done according to:

- Key evaluation criteria,
- Important processes in project implementation,
- Individual data collection methods,
- Specific sources of information, or
- In any other way that can simplifies the evaluation.

Step 10 – Estimating time and budget needs

Based on the evaluation design, it is necessary to specify **what activities will be included** in the evaluation, considering the preparatory stage (e.g., until completion of the Inception report), the field mission, requirements on communication, and activities related to finalising the evaluation report and presentation of the results. Then it is necessary to estimate **what are the related expenses** for the activities needed and **how much time will be needed** to complete all evaluation activities.

The preparatory stage should consider time and expenses for:

- Desk review,
- Internet search,
- Interviews and other surveys,
- Drafting and printing the Inception report,
- Meeting with the Client or its Reference Group.

The field mission (that can be done repeatedly) needs time and expenses for:

- Travel costs, accommodation, per diem, health insurance,
- Trainings of data collectors, data collection surveys, equipment,
- Translations and interpreting,
- Briefing and debriefing,

- Documentation (acquiring, printing, distributing),
- Preliminary data analysis.

Communication may need time allocations and costs for:

- Phone, Internet, mails and E-mails, teleconferences, emergency monitoring reports,
- Personal meetings, control days, external monitoring missions.

During finalising the report, it is necessary to count time and expenses for:

- Completing the analyses,
- Drafting and editing the reports,
- Translations,
- Printing, copying, binding (and distribution) of the reports.

And presenting the results usually needs time and money for:

- Workshops, meetings with the Reference Group, public presentations, etc.,
- Distributing the results in diverse formats (PowerPoint presentations, printed report, CD/DVD, summaries, video, web, brochures, infographics, cartoons…).

Brief exercise:

Prepare the time estimation for your evaluation. Do not forget the time for responding comments to your draft reports and for final editing.

Timetable / Weeks																	
Preparatory stage																	
Submission of the Inception report																	
Field mission																	
Drafting the report																	
Submission of the draft report																	
Comments to the draft report																	
Finalising the report																	
Submission of the Final report																	
Final workshop																	

According to the estimation of time needed for all stages of your evaluation and estimations of all related costs, the foreseen expenses must be summarised in the budget template. The required budget categories usually include the personnel costs (based on engagement and daily fees for individual members of the evaluation team), direct costs for travel, external assistance, equipment (and material), and other costs (which should be specified by the evaluation team). Evaluation budget usually does not include administration costs (overhead) but there may be some flexibility regarding justified transfers within and between individual budget categories. The budget must be proposed within the margins usually stated in the ToR.

Brief exercise:

Prepare the budget estimation for your evaluation.

Budget category	Unit	No. of units	USD per unit	USD Total
Personnel				
Team leader	man-day			
Team members / Experts	man-day			
Supporting staff	man-day			
Travel costs				
International travel	Flight/train			
Local travel	day			
Accommodation	night			
Per diem	day			
Insurance	day			
External assistance				
Translator/Interpreter	man-day			
Printing costs				
Distribution of documents				
Analyses, studies, measurements, etc.				
Equipment, other costs				
Equipment, material				
Workshops and meetings, etc.				
Total				

Step 11 – Presenting the Evaluation

Usually, you have only about 40 minutes to present the Theory of Change of the intervention to be evaluated and your evaluation plan, including time for questions and answers.

Recommendations for presentations, including presentation of the Final evaluation report:

Use the same font (and alignment – e.g. text in the tables to left, or to centre).

Check readability (especially in the tables, frames and pictures).

Check printability (especially for dark background; save toners!).

Use simple language and avoid long sentences.

Limit the use of acronyms (all must be explained!).

Edit the report carefully and use proof-reading (at least the Word spell checker).

Avoid single rows on a page; use carefully and consistently paragraph indent and blank spaces.

Do not forget List of Content and List of Annexes.

Pre-test the PowerPoint presentations – readability, timing.

In the Final report, make sure that there is a clear link between findings, conclusions and recommendations. Give each conclusion a number and support your recommendations by this reference.

Insert „real life" stories from your respondents and illustrative photographs where appropriate to make the text more interesting.

Agree in advance the rules for commenting draft reports to avoid never-ending circle of comments.

Always keep your audience in mind, no surprises! The goal is to communicate, not to impress.

Simple rule for presentations: Tell them what you will tell them, tell them, and tell them what you told them.

YouTube Videos:

Dilbert: Complicated Diagram (0:30)
https://www.youtube.com/watch?v=9QGllFW7Yr0&list=PLHIvsxgJ17w7YTcI4LjPusMtN16oL5Zyx&index=42

How to Give an Awesome Presentation (2:53): https://www.youtube.com/watch?v=i68a6M5FFBc

Presentation Skills: Tips & Tricks (6:53): https://www.youtube.com/watch?v=wp4ho9raVjA

Bar Charts, Pie Charts, Histograms, Stem plots, Time plots (7:34)
https://www.youtube.com/watch?v=uHRqkGXX55I

Categorical Displays: Bar Graph, Pareto Chart, Pie Chart, and Pictogram (6:20)
https://www.youtube.com/watch?v=plDCgJC0jfI

LIST OF ACRONYMS

ACP	Africa, Caribbean and Pacific Group of States
B2B	Business to Business Program
CONCORD	European NGO Confederation for Relief and Development
CPA	Critical Path Analysis
CPDE	CSO Partnership for Development Effectiveness
CREAM	Clear, Relevant, Economic, Adequate, and Monitorable (indicators)
CSO-LA	Civil society organisations and local authorities
CSOs	Civil Society Organisations
CV	Curriculum Vitae
CZ	Czech Republic
CzDA	Czech Development Agency
CZK	Czech Koruna
DAC	Development Assistance Committee, OECD
DCI	Financing Instrument for Development Cooperation
DG	Directorate General (European Commission)
EBRD	European Bank for Reconstruction and Development
EC	European Commission
EDF	European Development Fund
EES	European Evaluation Society
EIB	European Investment Bank
EIDHR	Financing Instrument for the Promotion of Democracy and Human Rights
ENI	European Neighbourhood instrument
FAO	Food and Agriculture Organisation
FoRS	Czech Forum for Development Cooperation
EU	European Union
GDPR	General Data Protection Regulation
GEF	Global Environment Facility (UNDP)
GNI	Gross National Income
GNP	Gross National Product
GPEDC	Global Partnership for Effective Development Cooperation
GPGC	Global Public Goods and Challenges
HIV/AIDS	Human Immunodeficiency Virus/Acquired Immunodeficiency Syndrome
IAEA	International Atomic Energy Agency
IcSP	Instrument contributing to Stability and Peace
IDEAS	International Development Evaluation Association

IfG	Instrument for Greenland
ILO	International Labour Organisation
INSC	Instrument for Nuclear Safety Cooperation
IPA	Instrument for Pre-Accession Assistance
KISS	Keep It Simple and Short
LFA	Logical Framework Approach
LFM	Logical Framework Matrix
MDGs	Millennium Development Goals
MFA	Ministry of Foreign Affairs
MFI	Multinational Financial Institutions
MoSCoW	Must have, Should have, Could have, Won´t have this time (analysis of priorities)
NDICI	Neighbourhood, Development and International Cooperation Instrument
NGO	Non-governmental (Non-profit) Organisation
NSA-LA	Non-State Actors and Local Authorities
ODA	Official Development Assistance
OECD	Organisation for Economic Cooperation and Development
ORID	Objective, Reflective, Interpretive, and Decisional (method of data collection)
PCM	Project Cycle Management
PI	Partnership Instrument
RCT	Randomised Controlled Trials
SDGs	Sustainable Development Goals
SMART	Specific, Measurable, Available, Relevant and Time bound (indicators)
SPICED	Subjective, Participatory, Interpreted, Cross-checked, Empowering, Diverse (indicators)
SWOT	Strengths, Weaknesses, Opportunities and Threats (analysis)
ToC	Theory of Change
TOCO	Theory of Change Online
ToR	Terms of Reference
UN	United Nations
UNDP	United Nations Development Program
UNEP	United Nations Environmental Program
UNESCO	United Nations Educational, Scientific and Cultural Organisation
UNFPA	United Nations Population Fund
UNICEF	United Nations Children´s Fund
UNIDO	United Nations Industrial Development Organisation
UNV	United Nations Volunteers
VAT	Value Added Tax
Vlog	Video blog
WB	World Bank
WFP	World Food Program

WHO	World Health Organisation
WTO	World Trade Organisation

GLOSSARY OF TERMS

Activities The action taken or work performed (training staff, preparing reports, etc.) through which inputs, such as funds, technical assistance and other type of resources are mobilised to produce specific outputs/results (related term: development intervention).

Appraisal An overall assessment of the relevance, feasibility and potential impacts and sustainability of a development intervention prior to a decision of funding (related term: Ex-ante evaluation).

Assumption An important external factor – i.e. event or action which must take place, or an important condition or decision which must exist, if a project is to succeed, but over which project management has little or no control.

In a broader sense a hypothesis about factors or risks which could affect the progress or success of a development intervention.

Attribution The causal link of one thing to another; e.g. extent to which observed (or expected to be observed) changes can be linked to a specific intervention in view of the effects of other interventions or confounding factors.

Audit Auditing is measuring facts against identified suitable criteria and reporting a conclusion that provides intended user with a level of assurance about the audited subject.

Beneficiaries The individuals, groups, or organisations, whether intended or not, which benefit, directly or indirectly, from the development intervention (related terms: Final beneficiaries, Reach, Target group).

Budgetary aid A resource transfer from the donor directly to the partner government, either non-targeted or targeted (related term: Budget support).

Commitment (to financing) A commitment is a decision taken by the Contracting authority to set aside a certain amount of money for a particular purpose. No expenditure can be incurred or authorised in excess of the authorised commitment.

Contract The document stating the terms of agreement between the contractor and the Contracting authority. There are two main types of contracts - service contracts and supply contracts (Note: Contribution Agreement can replace Contract in case of cost-sharing with implementing organisation).

Contractor The public or private organisation, consortium or individual with whom the Contracting authority enters into a contract.

Cost-benefit analysis It involves the valuation of the flow of the project's costs and benefits over time to determine the project's return on investment. A comparison is made between the situation „with" and „without" the project.

Cost effectiveness analysis It is used to choose between variants of a project or between alternative projects whose purpose or results are identical or comparable; it allows a decision to be made as to the most effective way to deliver an established set of benefits which are not easily valued in monetary terms.

Development intervention Instrument for partner (donor and non-donor) support aimed to promote development. Examples are policy advice, projects, and programs.

Development objective Intended impact contributing to physical, economic, institutional, social, environmental or other benefits to a society, community, or group of people via one or more development intervention (related terms: goal, impact).

Effect Intended or unintended change due directly or indirectly to an intervention.

Effectiveness The extent to which the development intervention's objectives were achieved, or are expected to be achieved, considering their relative importance – contribution made by the project's results to the achievement of the project purpose („doing right things").

Efficiency (efficacy) The „productivity" of the implementation process – a measure how economically resources/inputs (funds, expertise, time, etc.) are converted to outputs/results and what is the quality of the results achieved („doing things right").

Evaluation A periodic assessment, as systematic and objective as possible, of a planned, on-going or completed development intervention or policy, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact and sustainability. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into decision-making process of both recipients and donors.

Evaluation phase Final phase of the project cycle during which the intervention is examined against is objectives, and lessons are used to influence future actions.

Final beneficiaries Those who benefit from the project in the long term at the level of the society or sector at large (e.g. „children" due to increased spending on health and education).

Financing phase A specific phase of the project cycle during which projects are approved for financing, and contractors for implementation are selected. Financing can follow the phase of identification or formulation.

Follow-up Actions taken or scheduled in order to utilise information gained or lessons learned from the monitoring or evaluation process.

Formulation phase Third phase of the project cycle, its primary purpose is to (i) confirm the relevance and feasibility of the project idea as proposed in identification fiche, (ii) prepare and appraise a detailed TOR/project design and (iii) prepare a Financing Proposal.

Goal The higher-order objective to which a development intervention is intended to contribute (related terms: development objective, overall objective, impact).

Identification phase Second phase of the project cycle. Initial elaboration of project idea in terms of its relevance and likely feasibility, setting objectives, results and clusters of activities with a view to determining whether or not to go ahead with designing the full project document (formulation). It is also the process by which the ODA strategy is to be linked to specific projects through the indicative programs (Country programs or Sectoral programs.

Impact Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended.

Implementation phase Fourth phase of the project cycle during which the project is implemented and monitored – the process from signed financing agreement to completion of the project.

Inception report The report which defines a project's plan of operation (or work plan) to fit to the current local conditions verified after the inception mission on the spot, or the first evaluation report adjusting the evaluation plan after first survey (desk review, interviews, etc.).

Indicative program Describes the strategic direction and defines sectoral or regional objectives and priorities for co-operation in each partner country. So that indicative programs can support each country's medium-term reform objectives, they are usually designed to cover a three-year period, on the basis of these, annual action programs can be adopted (related term: Action program).

Indicator Quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, to reflect the changes connected to an intervention, or to help assess the performance of a development actor. Indicators are used at the levels of inputs, outputs, outcomes and impacts.

Inputs The financial, human, material and time resources used for the development intervention.

Integrated approach The method for managing different phases of a project cycle. It takes account of all phases of the cycle through an analysis of all the main criteria of relevance, feasibility and sustainability throughout the cycle. It also describes the documents for each phase applying the standard format that will provide the basis for decisions.

Intervention logic A narrative description of the project at each level of the hierarchy of objectives, from activities through outputs and outcomes up to goal. If the project is designed well, realisation of each level of objectives in the hierarchy should lead to fulfilment of the project goal (related term: Theory of Change).

Lessons learned Generalisations based on evaluation experiences with projects, programs, or policies that abstract from the specific circumstances to broader situations. Frequently, lessons highlight strengths or weaknesses in preparation, design, and implementation that affect performance, outcome, and impact.

Logical Framework (Logframe) Management tool used to improve the design of interventions. It involves identifying strategic elements (inputs, activities, outputs, effects, outcomes, impact) and their causal relationships, indicators, and the assumptions or risks that may influence success or failure. It thus facilitates planning, execution and evaluation of a development intervention.

Logical Framework Approach An analytical, presentational and management tool that involves problem analysis, stakeholder analysis, developing a hierarchy of objectives and selecting a preferred implementation strategy. It helps to identify strategic elements (see Logframe) (related term: results-based management).

Means The various inputs required in order to do the work (human, material and financial resources).

Means of verification Expected sources of information that can help to answer the performance question of indicators.

Monitoring A continuing function that uses systematic collection of data on specific indicators to provide management and the main stakeholders of an ongoing development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds. The immediate objective of monitoring is to provide a regular reporting mechanism to the outside bodies and to assist timely decision-making, ensure accountability and provide basis for evaluation and learning.

Monitoring report A report produced (by internal or external monitor) for the task manager, summarising progress against the project's work plan, and highlighting key problems demanding action by the task manager or other bodies.

Objective A specific statement detailing the desired accomplishments or outcomes of a project at different levels (short to long term). A good objective (results, effects, outcomes, or goal) meets the criteria of being impact oriented, measurable, time limited, specific and practical. Objectives can be arranged in a hierarchy of two or more levels.

Objective tree A diagrammatic representation of the situation in the future once problems have been remedied, following a problem analysis, and showing a means to ends relationship.

Outcome The likely or achieved short-term or medium-term effects of an intervention (related terms: result, output, effect, impact).

Outputs The products, capital goods and services which result from a development intervention; may also include changes resulting from the intervention which are relevant to the achievement of outcomes (see also Results).

Overall Objective (Goal) Long-term benefits to final beneficiaries and wider benefits to other groups, mostly sectoral or national program, to which the project is designed to contribute (see also Goal, Development Objective).

Partner organisation or institution Organisations or institutions in partner countries with whom Donor Agency works on programs or projects. They are autonomous organisations which exist without Donor Agency funding. They include ministries, government departments, financial or other institutions, foundations, chambers of commerce, unions, universities, training centres, regional or local organisations, and civil society groups.

Precondition External factor that have to be present and decisions that have to be taken before the project can start.

Problem analysis A structured investigation of the negative aspects of a situation in order to establish causes and their effects.

Problem tree A diagrammatic representation of a negative situation, showing cause-effect relationship.

Program Ongoing development effort or plan, which may contain one or many projects.

Programming phase First phase in the project cycle. It is a general plan of action which sets out the course and direction which a donor organisation will take. Strategy is the process by which focal and priority sectors are selected, and national and

sectoral goals and objectives are set over in the Country or Thematic strategic programs, usually for seven years period, and/or the Indicative Programs, usually for the three- or five-years period.

Progress report An interim report on progress on a project submitted by the contractor to the partner organisation and the Contracting authority within a specific time frame (quarterly, biannually, yearly) and usually in a specified template.

Project An activity in which resources are expended in order to create assets from which benefits are derived. A project has specific objectives, a beginning, quantified resources and activities, and an end.

Project Cycle Management (PCM) A methodology for planning, implementation and evaluation of projects/programs based on the logical framework approach. Two key features are its focus on project beneficiaries and its integrated approach to documentation.

Project document A document describing a development intervention in terms of planned and interrelated activities designed to achieve defined objectives within a given budget and a specified period of time, and explaining rationale, strategies and means of implementation, including important external factors.

Purpose The publicly stated objectives – the positive improved situation of the project beneficiaries that a project is accountable for achieving. It does not refer to the services or goods provided by the projects (these are outputs), but to the utilisation of these outputs by project beneficiaries (see also outcomes, immediate objectives).

Quality frame A tool for supporting consistent and structured assessment of the quality of projects as they pass through the phases of the project cycle. It consists of a matrix which contains a set of 3 key quality attributes (Relevant, Feasible and Effective & Well Managed) and 16 supporting quality criteria.

Reach Level of coverage (addressing, engagement) of the beneficiaries and other stakeholders of a development intervention (related term: Beneficiaries).

Recurrent costs Costs of operation and maintenance that will continue to be incurred after the implementation period of the project.

Relevance The extent to which objectives of a development intervention are consistent with beneficiaries´ requirements, country needs, global priorities and partners´ and donors´ policies (Note: retrospectively, the relevance often becomes a question as to whether the objectives of an intervention or its design are still appropriate given changed circumstances).

Resource schedule A breakdown of the required project resources/means linked to activities and results and scheduled over time.

Results The measurable output (intended or unintended, positive or negative) of a development intervention (related terms: output, outcome, effect, impact).

Risks, Constraints & Assumptions External factors which could affect the progress or success of the project, but over which the project manager has no direct control (see also Assumptions).

Stakeholders Agencies, organisations, groups or individuals who have a direct or indirect interest in development intervention or its evaluation, or who affects or are affected positively or negatively by the implementation and outcome of it.

Stakeholder analysis Identification of all stakeholder groups likely to be affected by the proposed intervention, identification and analysis of their interests, problems, potentials, etc.

Statement of Endorsement A document which is signed by a representative of the partner institution in which the institution confirms the nature of its involvement in the project and an overall endorsement of the project.

Sustainability The continuation of benefits from a development intervention after major development assistance has been completed. The likelihood that the positive effects of an intervention (such as assets, skills, facilities or improved services) will persist for an extended period after the external assistance ends.

SWOT analysis Analysis of an organisation´s Strengths, Weaknesses, Opportunities and Threats that it faces. A tool used for appraising the partner institution during project planning.

Target group(s) The specific individuals or organisations for whose benefit the development intervention is undertaken; i.e. group/entity who will be immediately positively affected by the project at the Project Purpose level.

Terms of Reference (ToR) Precise definition of the requirements and objectives of the services requested under the terms of a contract or tender, including the methods and means to be used and/or results to be achieved. ToR indicates project (or evaluation) background and objectives, planned activities, expected results, budget, timetable and job description.

Transaction costs Aggregate costs of the administrative activities, which have no value either to recipient or to the donor other than to permit an aid transfer to take place. All development assistance will have some transaction costs and, in most cases, these will be shared by donors and recipients.

Triangulation The use of three or more theories, sources or types of information, or types of analysis to verify and substantiate evaluation (Note: by combining multiple data sources, methods, analyses or theories, evaluators seek to overcome the bias that comes from single informants, single methods, single observer or single theory studies).

Work plan A detailed document stating which activities are going to be carried out and by whom in a given time period, how the activities will be carried out and how the activities relate to the common objectives and vision. The work plan is designed according to the logical model and contains a description of each activity and output, its verifiable indicators, the means of verification and its assumptions.

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CIDA (2000): CIDA Evaluation Guide. CIDA, Performance Review Branch, Ottawa

Czech Development Agency (2011): Project Cycle Manual for the Czech ODA (in Czech only), Prague

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Daniel Svoboda (2003): Slovak ODA Project Cycle Management. I. Introductory Guide to the PCM Concepts and Principles. II. Rules and Procedures for the Decision-making Process. III. Explanations and References. Annexes – Document Templates and Explanations. UNDP RBEC, Bratislava

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Daniel Svoboda (2016): Project Cycle Manual for the Czech ODA. Proposal of updates (in Czech only). FoRS, Prague

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European Commission (2001): Manual Project Cycle Management. EuropeAid Co-operation Office, General Affairs, Evaluation, Brussels

European Commission (2004): Aid Delivery Methods. Volume 1 – Project Cycle Management (Supporting effective Implementation of EC External Assistance). Brussels

European Commission (2018): Practical Guide to contract procedures for EC external actions (PRAG), Annexes to the Practical Guide. Brussels

IPDET – International Program for Development Evaluation Training / EPDET – European Program for Development Evaluation Training (2003–2018): Core Curriculum and Workshops textbooks, proceedings and guidelines. World Bank / Carleton University, Ottawa / University of Bern / Development Worldwide, Prague

Linda G. Morra Imas, Ray C. Rist (1999): The Road to Results. Designing and Conducting Effective Development Evaluations. World Bank, Washington

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OECD/DAC – Working Party on Aid Evaluation (2000): Evaluation and Aid Effectiveness. No. 3 – Donor Support for Institutional Capacity Development in Environment: Lessons Learned.

OECD/DAC – Working Party on Aid Evaluation (2001): Evaluation and Aid Effectiveness. No. 5 – Evaluation Feedback for Effective Learning and Accountability.

OECD/DAC – Working Party on Aid Evaluation (2002): Evaluation and Aid Effectiveness. No. 6 – Glossary of Key Terms in Evaluation and Results Based Management.

Internet Links (in order of appearance)

DAC List of ODA recipients
https://www.oecd.org/dac/financing-sustainable-development/development-finance-standards/DAC_List_ODA_Recipients2018to2020_flows_En.pdf

Cotonou Agreement
https://ec.europa.eu/europeaid/regions/african-caribbean-and-pacific-acp-region/cotonou-agreement_en

European Development Fund
https://ec.europa.eu/europeaid/funding/funding-instruments-programming/funding-instruments/european-development-fund_en

Millennium Development Goals
http://www.un.org/millenniumgoals/
http://www.un.org/millenniumgoals/news.shtml

Monterrey Consensus on Financing for Development
http://www.un.org/esa/ffd/monterrey/MonterreyConsensus.pdf

Doha Declaration
http://www.un.org/esa/ffd/doha/documents/Doha_Declaration_FFD.pdf

European Consensus on Development
http://ec.europa.eu/development/policies/consensus_en.cfm or https://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ%3AC%3A2006%3A046%3A0001%3A0019%3AEN%3APDF

Paris Declaration on Aid Effectiveness and Accra Agenda for Action
http://www.oecd.org/dac/effectiveness/34428351.pdf

Code of Conduct on Complementarity and the Division of Labor in Development Policy
http://register.consilium.europa.eu/pdf/en/07/st09/st09558.en07.pdf

Global Partnership for Effective Development Cooperation
http://www.oecd.org/dac/effectiveness/busanpartnership.htm

CSO Partnership for Development Effectiveness
http://www.csopartnership.org/

Nairobi Declaration
http://effectivecooperation.org/events/2016-high-level-meeting/

Addis Ababa Action Agenda
http://www.un.org/ga/search/view_doc.asp?symbol=A/CONF.227/L.1

Transforming our World: The 2030 Agenda for Sustainable Development
https://sustainabledevelopment.un.org/

New European Consensus on Development – 'Our world, our dignity, our future'
https://ec.europa.eu/europeaid/sites/devco/files/european-consensus-on-development-final-20170626_en.pdf

EU development policy
https://ec.europa.eu/europeaid/policies/european-development-policy_en

New proposed instruments for EU external action

https://ec.europa.eu/europeaid/news-and-events/eu-budget-making-eu-fit-its-role-strong-global-actor_en

IPDET – International Program for Development Evaluation Training
http://www.ipdet.org

CONCORD – European NGO Confederation for Relief and Development
www.concordeurope.org

IDEAS – International Development Evaluation Association
http://www.ideas-global.org

EES – European Evaluation Society
http://www.europeanevaluation.org

FoRS – Czech Forum for Development Cooperation
www.fors.cz

Platform of Entrepreneurs for International Development Cooperation
https://www.ppzrs.org/

Czech Evaluation Society
www.czecheval.cz

Theory of Change Review (Comic Relief)
http://www.actknowledge.org/resources/documents/James_ToC.pdf

Theory of Change Online (TOCO)
http://toco.actknowledge.org/aboutus.php

BetterEvaluation Rainbow Framework
https://www.betterevaluation.org/plan

European Calls for proposals and tenders
https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome&userlanguage=en

PRAG – Practical Guide to Contract Procedures for EU External Actions, 2018
http://ec.europa.eu/europeaid/work/procedures/implementation/practical_guide/index_en.htm

Project Cycle Management Guidelines, EC, 2004
http://ec.europa.eu/europeaid/multimedia/publications/publications/manuals-tools/t101_en.htm

BetterEvaluation
https://www.betterevaluation.org

Evaluation policy USAID
https://www.usaid.gov/sites/default/files/documents/1870/USAIDEvaluationPolicy.pdf

Evaluation policy European Commission
http://ec.europa.eu/europeaid/evaluation-policy_en

UNICEF
https://www.unicef.org/evaluation/
https://www.unicef.org/evaldatabase/

Sample Size Calculator
https://www.surveysystem.com/sscalc.htm

The Ultimate Guide to Effective Data Collection

https://socialcops.com/ebooks/data-collection/?utm_source=blog&utm_medium=referral&utm_campaign=ebook-sidebar-ads&utm_content=image-link&hsCtaTracking=a9051854-ed53-42c8-a828-62aeddd5dea7%7C6b6861e9-64ce-4a56-8c2c-3bcf6aebe604

YouTube Videos (in order of appearance)

5-Whys analysis (Titanic case)
https://www.youtube.com/watch?v=38RlXdr4Np0

Theory of Change Explainer – Al Onkka
https://www.youtube.com/watch?v=BJDN0cpxJv4

Evaluation
https://www.youtube.com/watch?v=gW59Zzasc8w

What is Impact Evaluation?
https://www.youtube.com/watch?v=HEJlT8t5ezU

Placebo Effect, Control Groups, and the Double-Blind Experiment
https://www.youtube.com/watch?v=GMqrOdCx4Yg

Causation vs. Association, and an Introduction to Experiment
https://www.youtube.com/watch?v=kKHx9T6XUI0

Randomised Controlled Trials
https://www.youtube.com/watch?v=Wy7qpJeozec

Types of experimental designs
https://www.youtube.com/watch?v=10ikXret7Lk

Quasi experimental designs
https://www.youtube.com/watch?v=3N-DKY09GM4

Alternative methods: What are quasi-experiments?
https://www.youtube.com/watch?v=Ji_osZc7z5Q

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