

TRADECOM

SUPPORT FOR THE PREPARATION,
MANAGEMENT AND IMPLEMENTATION OF
THE REC INSTITUTIONAL CAPACITY
BUILDING TRAINING PROGRAMME





The Project, The Cycle, the Approach

The Project

Achieve Policy
Goals



Generating Benefits to
the Target Groups



Through Products and
Services



Developed according to
Pre-Defined Activities

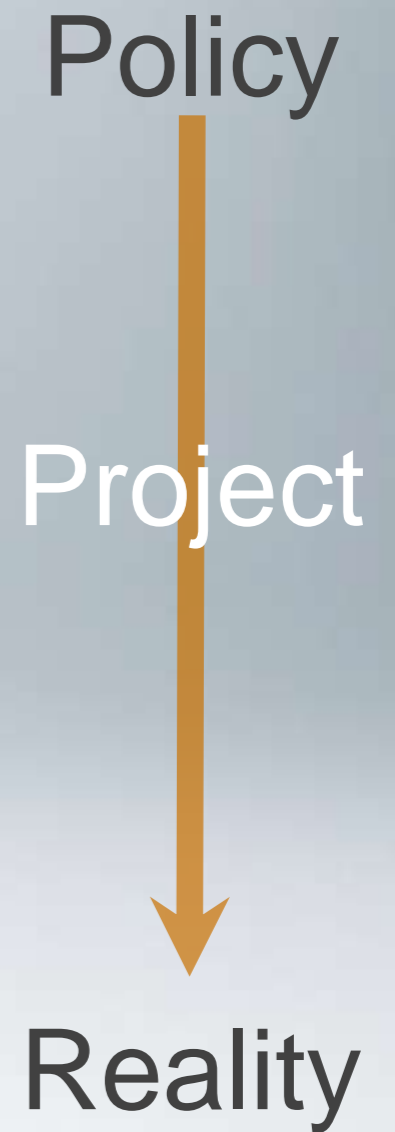


That Require Means

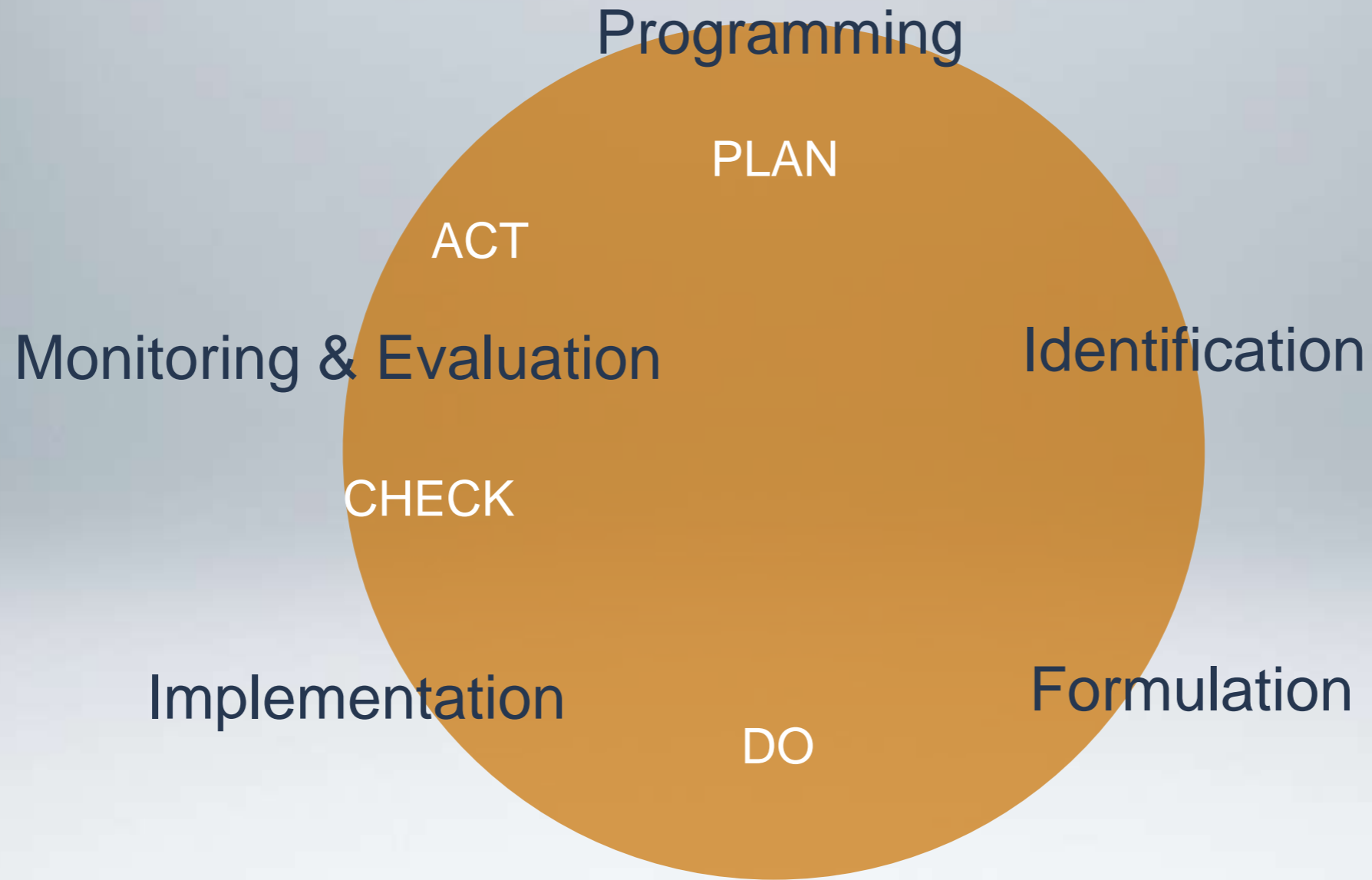


Luanda Isle - Angola

The Project

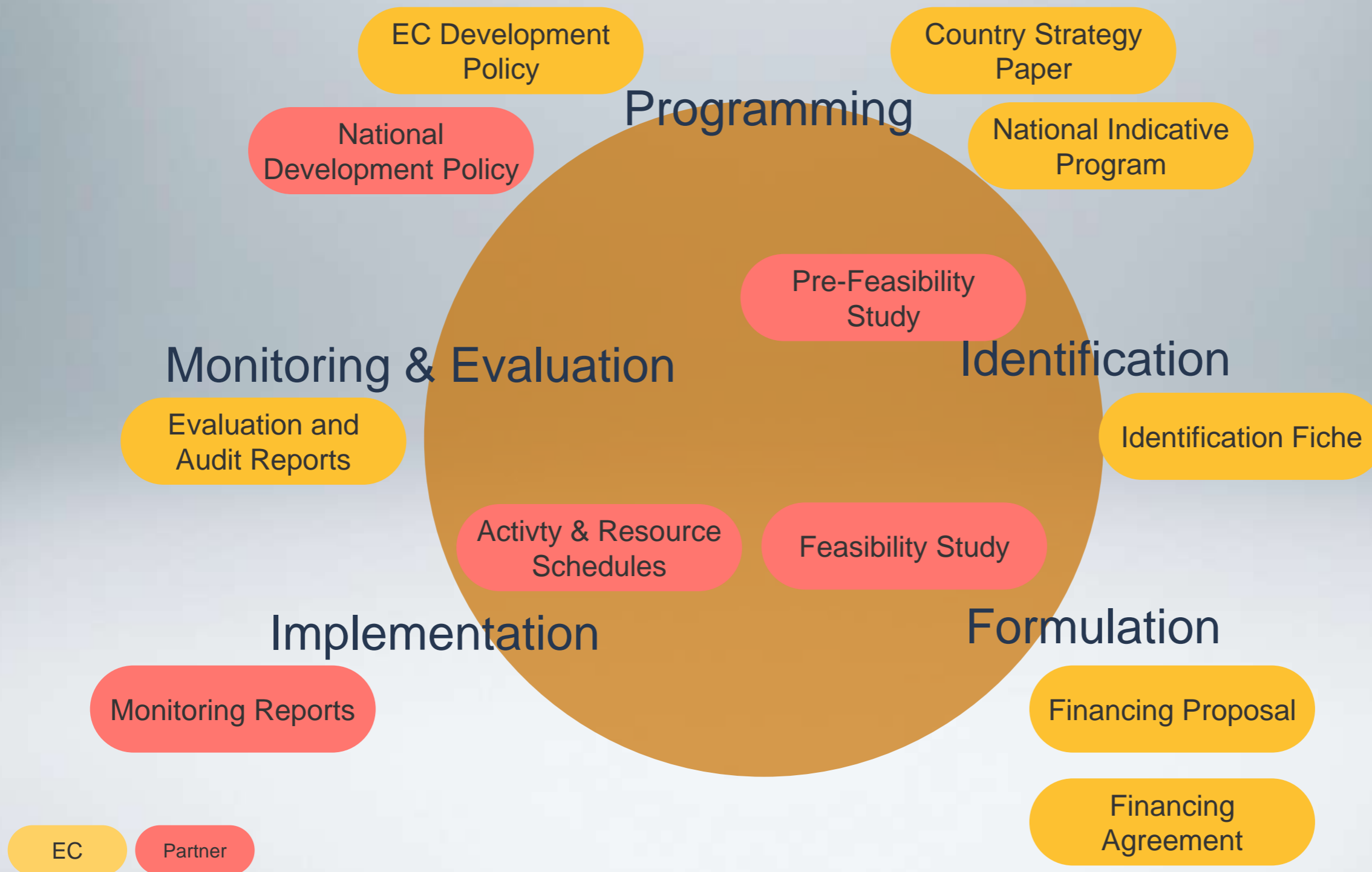


The Cycle



PCM, a term used to describe the management activities and decision-making procedures used during the life cycle of a project

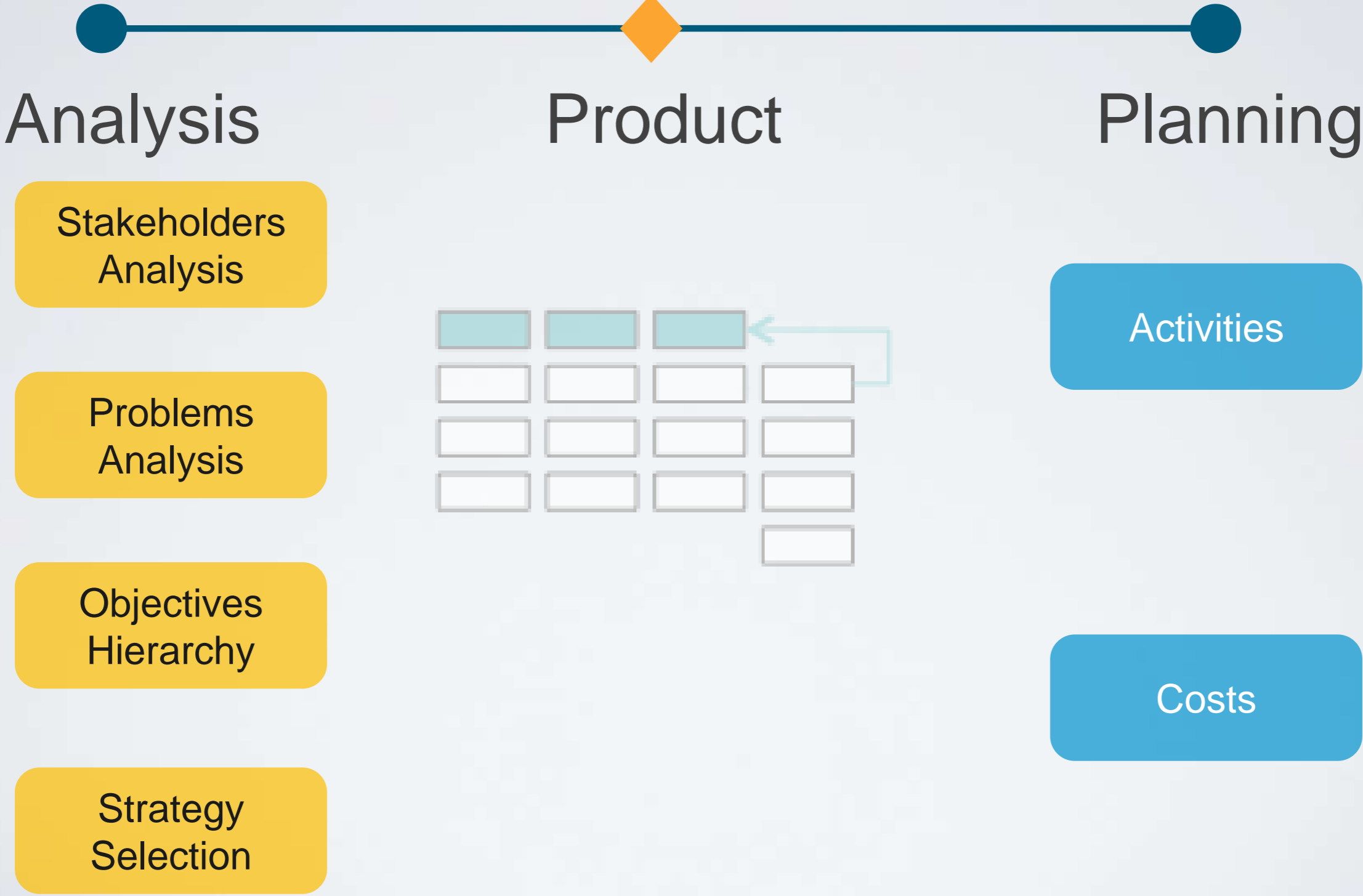
The Documents



The Project cycle management: Principles

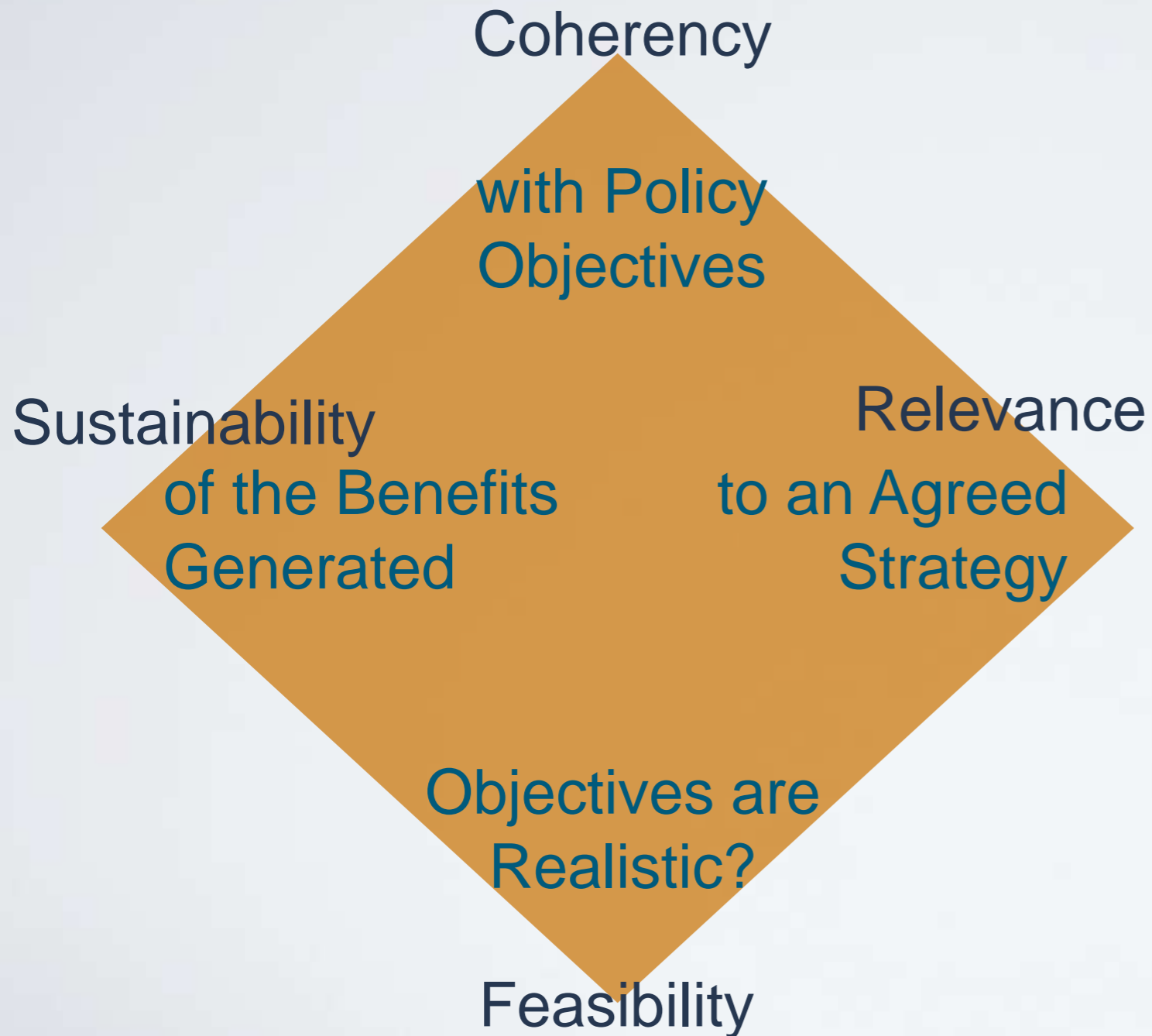


The LogFrame Approach



Why the LogFrame Approach?

Projects must be supportive with development agenda, aimed at solving real problems of well-defined target groups, should be realistic and generate sustainable results.



Berlaymont - Belgium

By the End of this Topic you should be....



Familiar with the Logframe Approach

Knowledge of the EDF cycle of operations and the involved decision-making processes



By the End of this Topic you should be....

★ Aware of the importance of preparing quality documents throughout the cycle of operations

★ Familiar with the documents that base the decision-making processes that take place at the end of each phase of the cycle of operations.





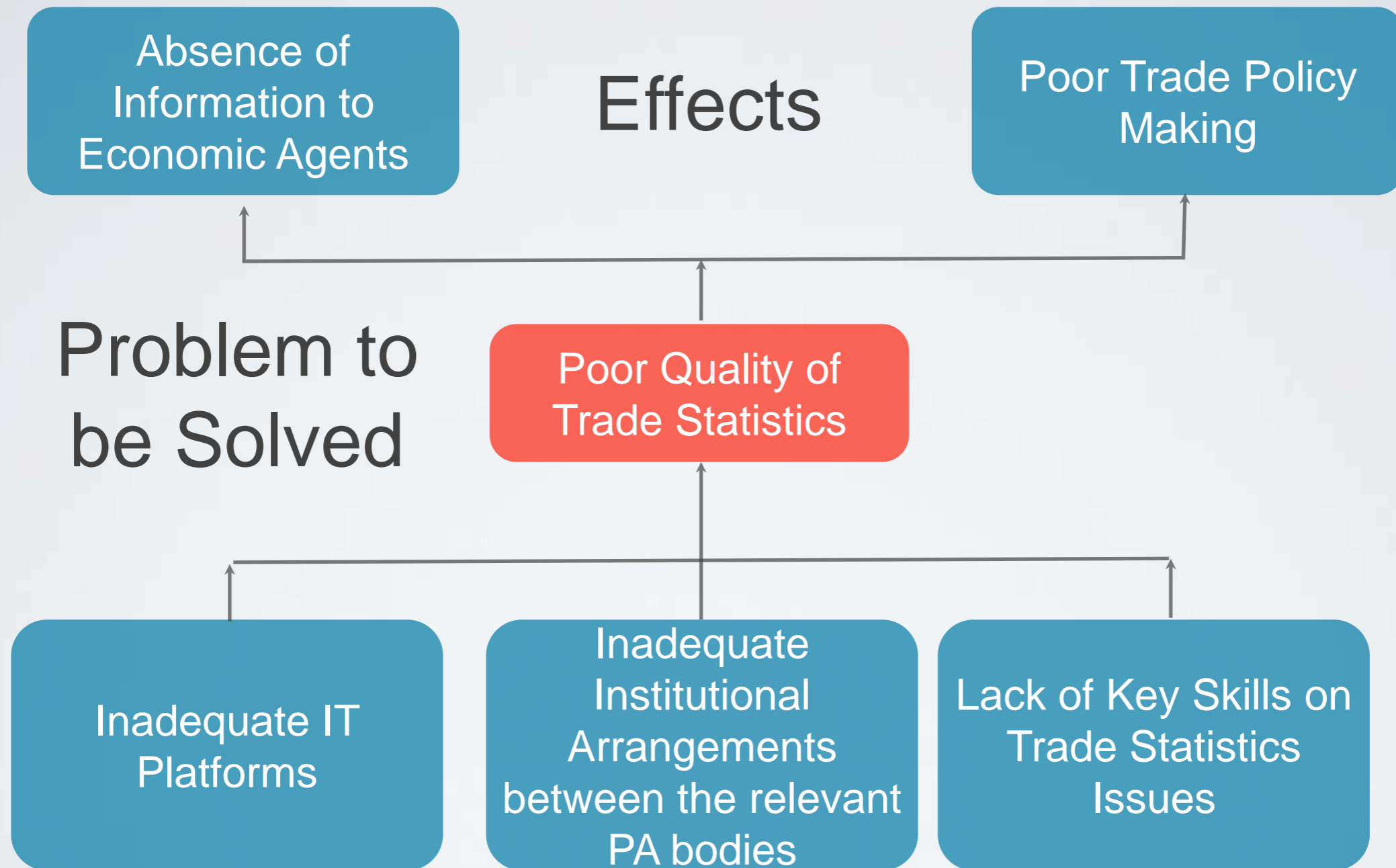
The Analysis Stage

Stakeholder Analysis

Stakeholder and Basic Characteristics	Interests and How Affected by the Project	Capacity and Motivation to Bring About Change	Possible Actions to Address Stakeholders Interests

Stakeholders : any individuals, groups of people, institutions or firms that may have a significant interest in the success or failure of project.

Problems tree



Problem Analysis identifies the negative aspects of the existing situation and establishes cause and effect relationships between the identified problems

Case Study

POLICY

EDUCATION



Stakeholder Analysis

Stakeholder and Basic Characteristics	Interests and How Affected by Project	Capacity and Motivation to Bring About Change	Possible Actions to Address Stakeholders Interests
Parents			
Children in School Age			
Teachers			
Local Companies			

A network of problems

High Levels of
Illiteracy

Low levels of
attendance at
Primary Education

Families are not
Aware of the
Importance of
Education

Lack of Trained
Teachers

Lack of Proper
Classrooms

Low Levels of Human
Development

By the End of this Topic you should be....

★ Capable of analysing all the agents involved in a certain project

★ Familiar with "aid to thinking" tools particularly the ones oriented towards the characterisation of problematic situations



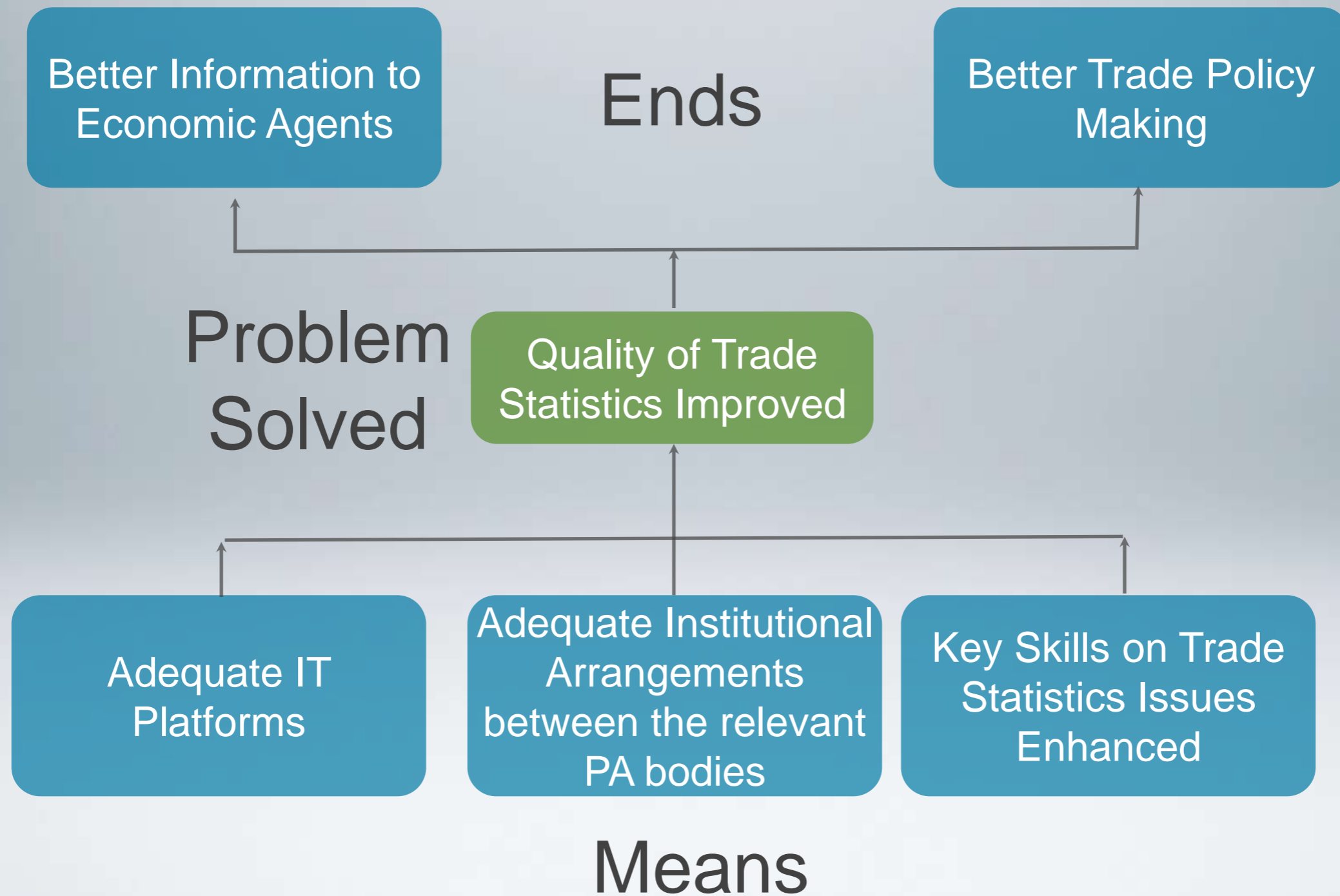
By the End of this Topic you should be....



Capable of preparing
"problems trees"



Objectives Hierarchy



Analysis of objectives is a tool employed to describe the situation once the identified problems have been tackled, verify the hierarchy of objectives and illustrate the means-ends relationships

The intervention logic



The intervention logic should be the result of a systematic analysis of the reality

By the End of this Topic you should be....

★ Capable of transforming problematic situations into a hierarchy of objectives

★ Capable of preparing "objectives trees"

★ Familiar with the process of transforming a problematic situation into an intervention logic

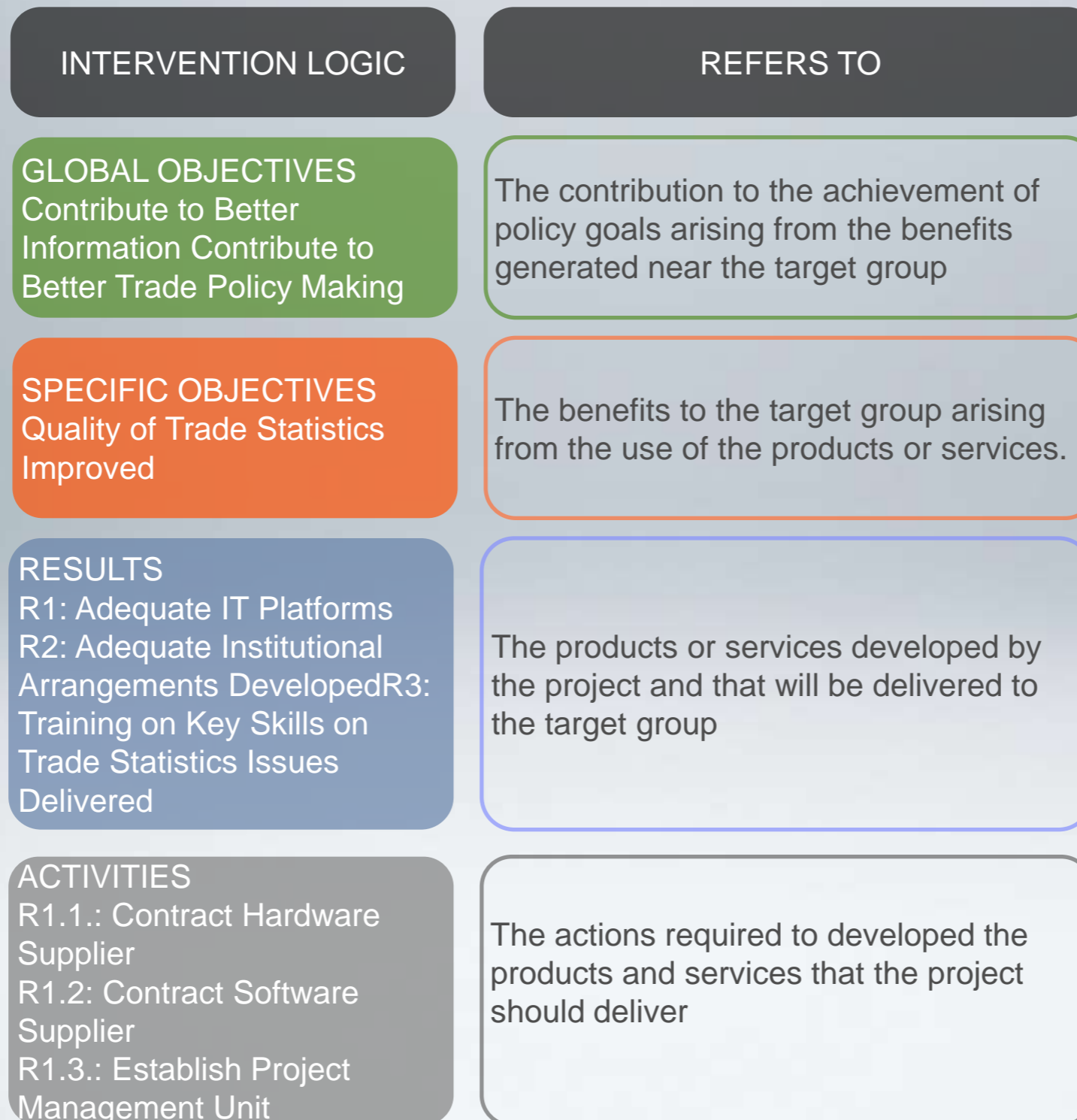


The LogFrame Matrix

INTERVENTION LOGIC	INDICATORS	SOURCES OF VERIFICATION	ASSUMPTIONS
GLOBAL OBJECTIVES Contribute to Better Information Contribute to Better Trade Policy Making			
SPECIFIC OBJECTIVES Quality of Trade Statistics Improved			
RESULTS R1: Adequate IT Platforms R2: Adequate Institutional Arrangements Developed R3: Training on Key Skills on Trade Statistics Issues Delivered			
ACTIVITIES R1.1.: Contract Hardware Supplier R1.2: Contract Software Supplier R1.3.: Establish Project Management Unit			

The matrix should provide a summary of the project design, and should generally be between 1 to 4 pages in length. It should only include the Overall Objective, Purpose and Results (Activities should be presented separately using an activity schedule)

How to deal with the LFM?



The LFM is a tool to aid thinking. To help the organisation of ideas and to transform them in quality documents that will later help a decision making process

How to deal with the LFM?

INTERVENTION LOGIC	INDICATORS	SOURCES OF VERIFICATION	ASSUMPTIONS
1	8	9	
2	10	11	7
3	12	13	6
4			5

There is a general sequence to completing the matrix, which starts with the project description (top-down) then the assumptions (bottom-up, followed by the indicators and then sources of verification (working across)

By the End of this Topic you should be....

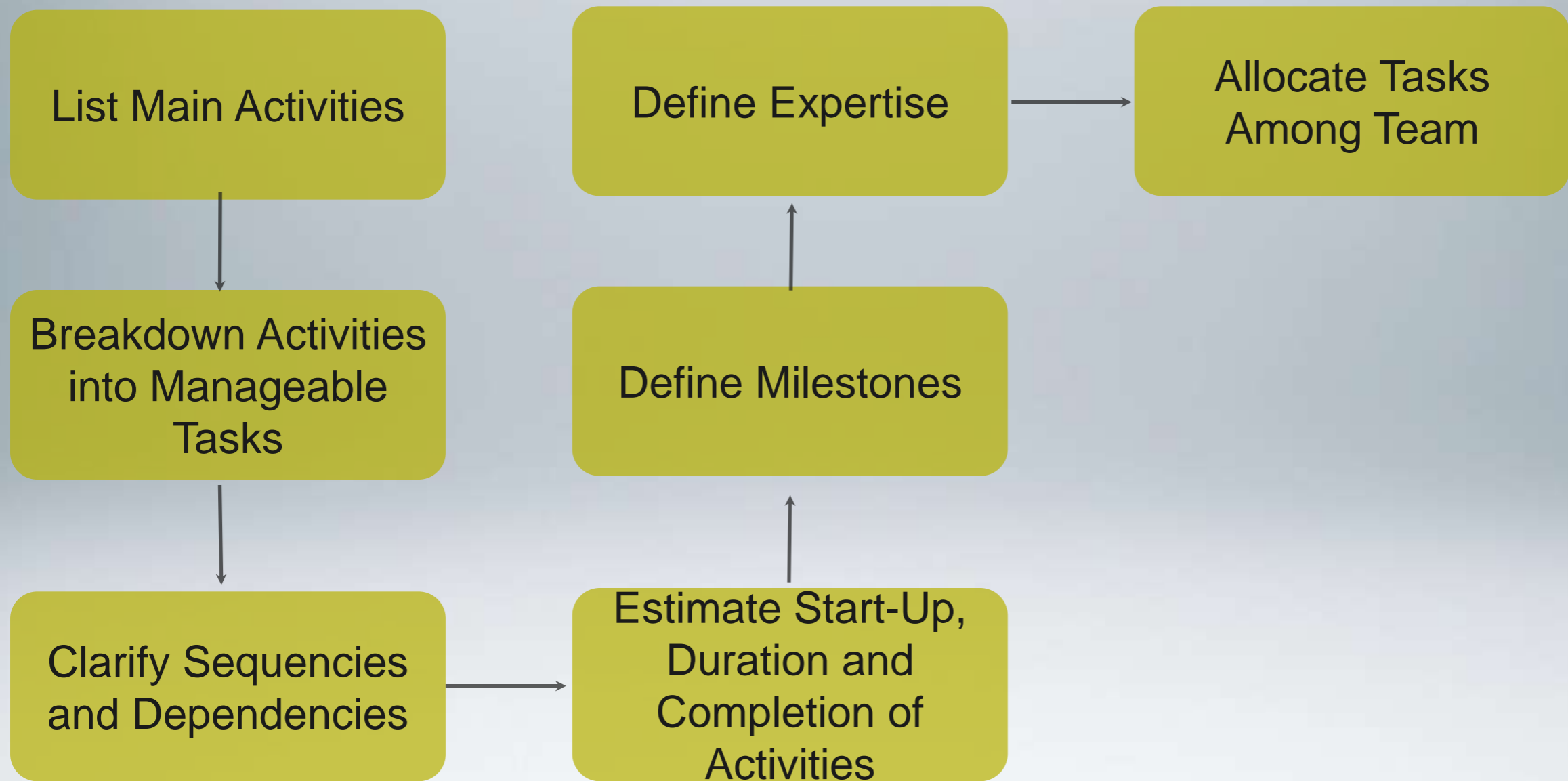
- ★ Familiar with the concepts of indicators, sources of verification and assumptions
- ★ Knowledge of the LFM terminology
- ★ Capable of preparing LogFrame Matrixes





The Planning Stage

Activities Schedule



Once the LFM itself is complete, it is then possible to use the identified activities to further analyze issues of timing, dependency and responsibility using an activity scheduling format

Activities Schedule

MAIN ACTIVITIES

TASKS

SEQUENCIENCIES & DEPENDENCIES

START-UP AND DURATION

Prepare Technical Specifications

1^o

1 Month in January

Launch Tender

2^o

1 Week in February

Evaluate Offers

3^o

2 Weeks in April

Negotiate Contract

4^o

1 Week in April

Contract Hardware Supplier

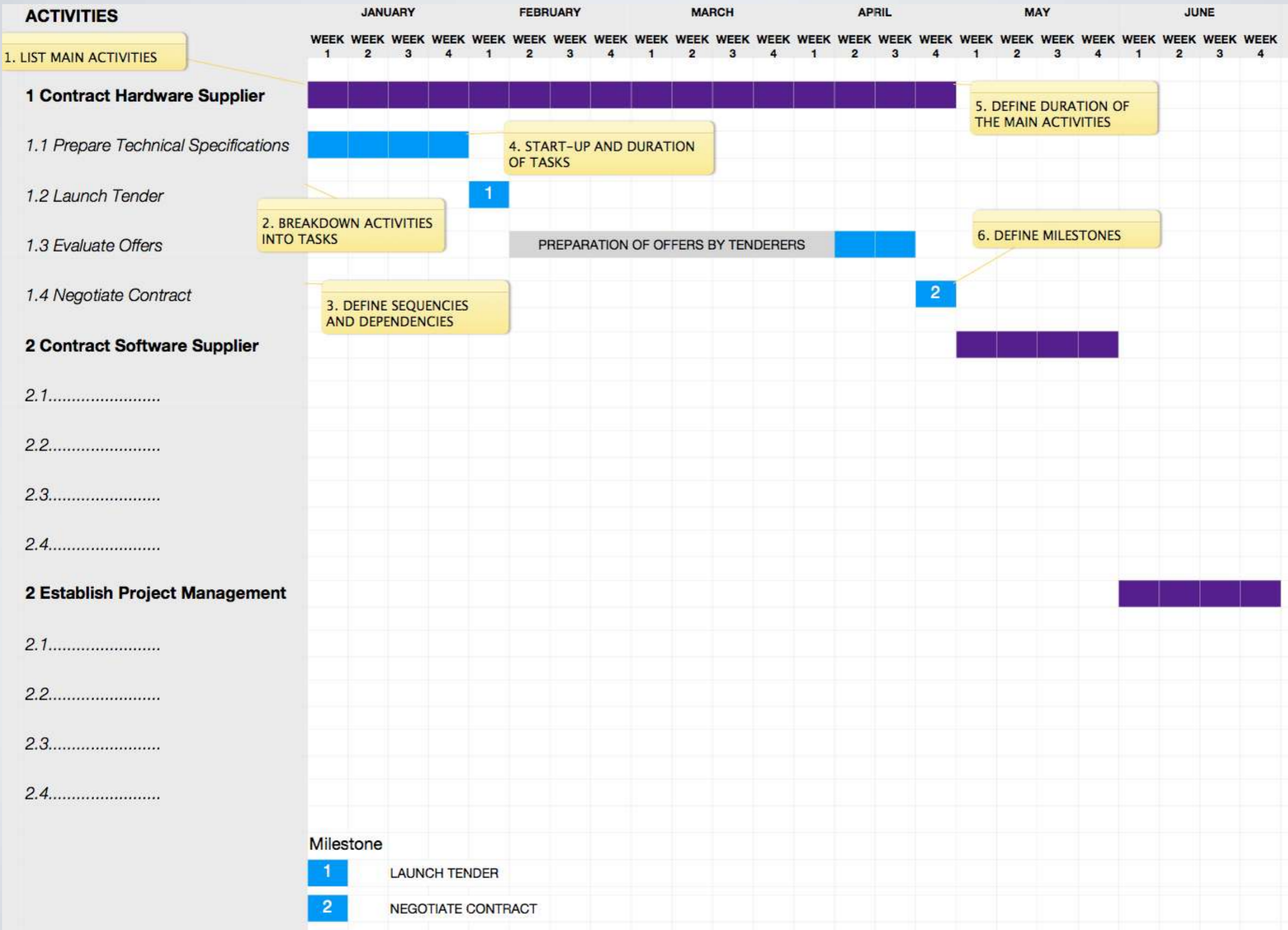
Contract Software Supplier

Establish PMU

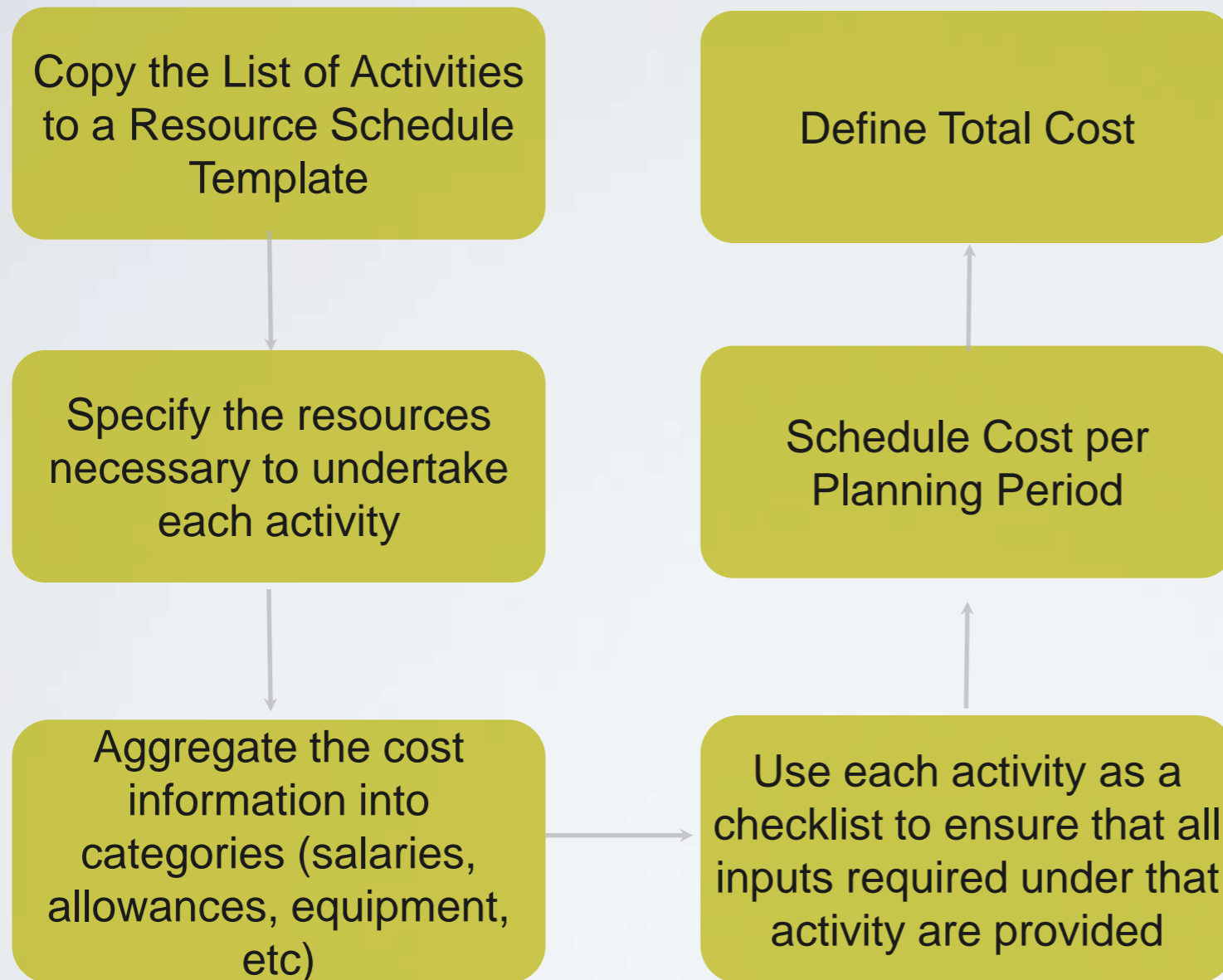
Activities Schedule



Activities Schedule



Resource Schedule



Cost estimates should be based on careful and throughout budgeting. They will have significant influence over investment decision at project appraisal and subsequently on the smooth implementation

Resource Schedule



Resource Schedule

SPECIFY QUANTITIES

Engineer
1,5 P/M

Expert in Trade IS
1,5 P/M

Procurement
0,5 P/M

DSA=15 D

Office Space = 4 M

Consumables = 4 M

SPECIFY UNIT COST

1P/M= € 10 000

Day= € 200

Month= € 1 500

Month = € 400

COST PER PLANNING PERIOD

€ 20 000

€ 0

€ 5 700

€ 15 000

€ 3 000

€ 1 900

Total Cost
€ 45 600

Prepare Tender

Negotiate Contract

By the End of this Topic you should be....

★ Familiar with the key concept of "Viability" as a realistic approach to time and cost

★ Capable of defining a time span for a particular project

★ Capable of preparing Activities Schedules taking as a basis a delivered template



By the End of this Topic you should be....

★ Knowledge of the project budgeting tools

★ Capable of preparing a project's budget

★ Capable of preparing Cost Schedules taking as basis a delivered template

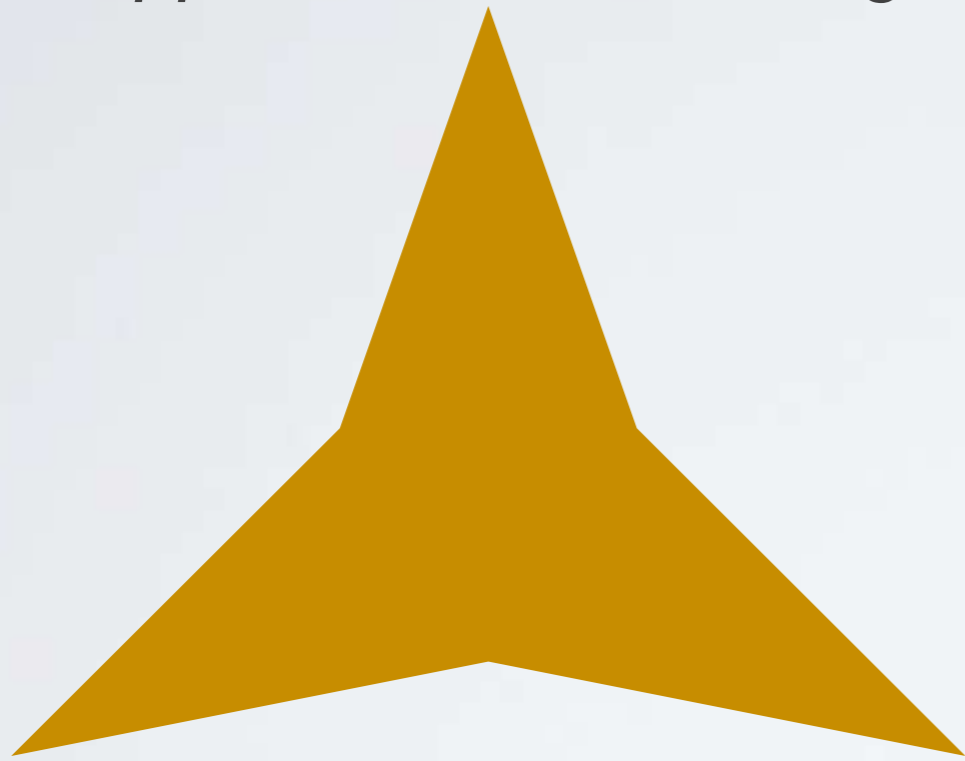




Monitoring & Evaluation and Audit

Monitoring & Evaluation, Audit

Support Decision-Making



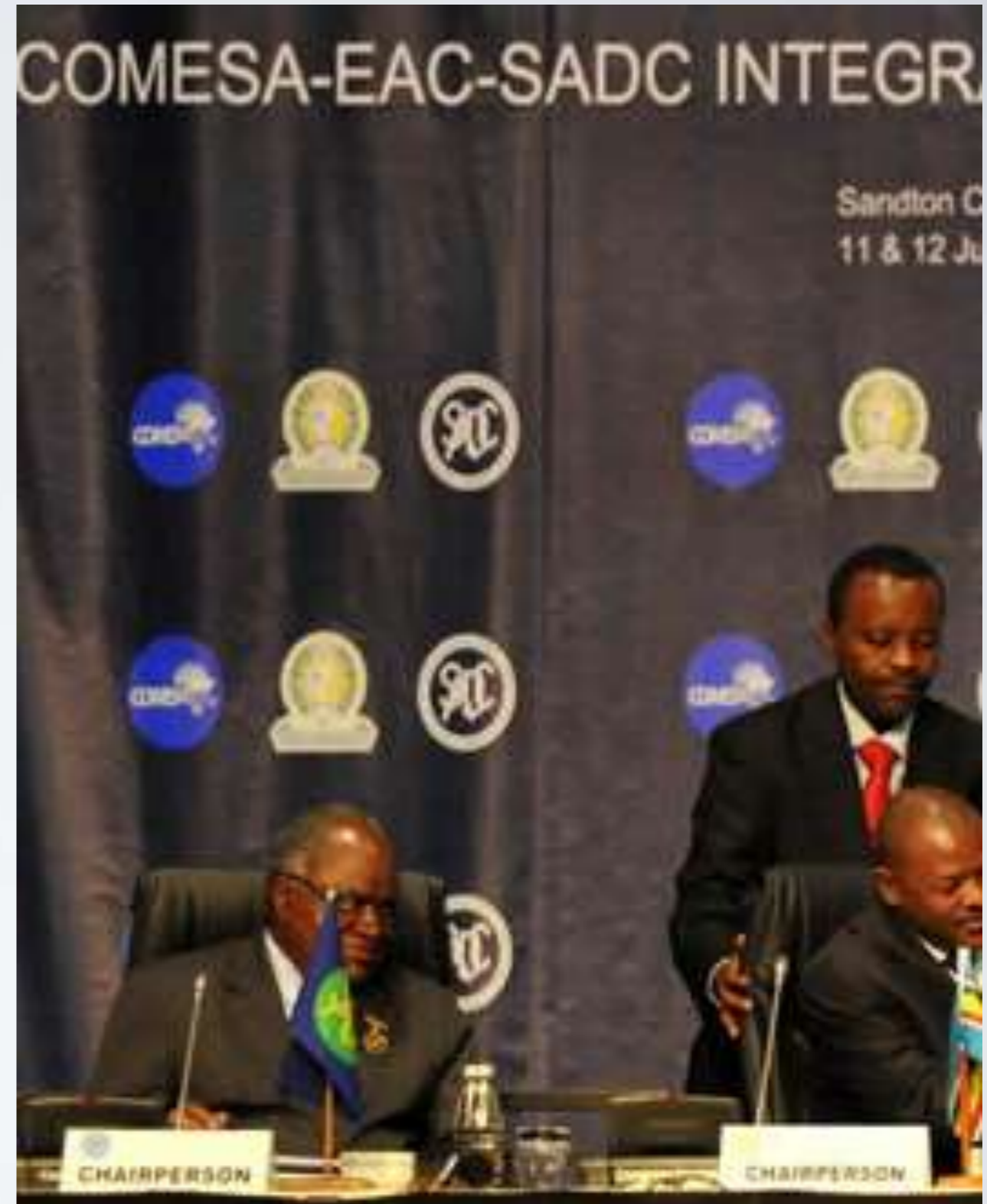
*Facilitate the
communications,*

Learn Lessons



Monitoring & Evaluation (Plan)

- Key Tasks and Responsibilities
- Tools and Key Documents
- Requirements concerning Information and Evaluation Criteria
- Decision-Making



Three Types of Objectives

Monitoring

Support the decision-making aimed at assuring the smooth development of the project and its eventual extensions

Information

To ease the communication within the projects and between them and the external environment. M&E provides info on the development of the project, its results and impact

Learning

M&E provides lessons that can be used not only throughout the project but also for other projects to be prepared and implemented in the future

Five Tools

The monitoring tools gather and analyse permanently the information generated throughout the implementation

Statistical Data Analysis

Targeted Studies

External Evaluations

Additional Impact Studies



Six Criteria





Each of these criteria concern either one of the elements of the logframe or some of them simultaneously.

The six criteria and the logical tree.

The six criteria and the components of the logframe.

The evaluation questions.

Audit

Objective and Principles

Key Tasks and
Responsibilities

Requirements concerning
Information and
Evaluation Criteria



Key Tools and
Documents

Decision-Making

Audit

- Auditing is a control and advice activity consisting on an expertise provided by a qualified and impartial agent and a judgment on the organization, the procedures and operations of a certain entity.
- Auditing is mainly a continuous improvement tool as it focus on the state-of-the-affairs with a view to identifying the weak links or not according to pre-defined standards. The objective is to suggest corrective measures that will improve the implementation of the project.
- Auditors should be aware of the standard ISO 19011 that concerns not only the auditing technique in all its extension but also the skills that an auditor should possess.



Three Types of Audit

- The conformity audit whose real framework is that of a juridical audit applied to social law;
- The effectiveness audit oriented towards the training, communication and remuneration of staff as well as to the provisional management of the human resources
- The Strategic audit representing the transformation of the social strategy into plans and programs.
- The person in charge at the organization is the leader of the audit.
- The leading role is negotiated;
- The recommendations are used by the audited organization according to its own will.
- Auditors actions are framed by confidentiality clauses.





Audit

All auditing processes involve an investigation phase based on a pre-defined referential and must include a diagnosis leading to recommendations. The definition of a referential is crucial, the need to establish a clear connection between diagnosis and recommendation being the key difference for a standard evaluation.

The Auditing Exercise

- All auditing processes involve an investigation phase based on a pre-defined referential and must include a diagnosis leading to recommendations. The definition of a referential is crucial, the need to establish a clear connection between diagnosis and recommendation being the key difference for a standard evaluation.





Preparing the Terms of Reference

Objectives

The reason why an assignment or a study should be carried out

Requirements in what concerns reports

The foreseen methodology and work plan (activities) comprising milestones and duration

The provisional needs in terms of means, mainly in what concerns expertise

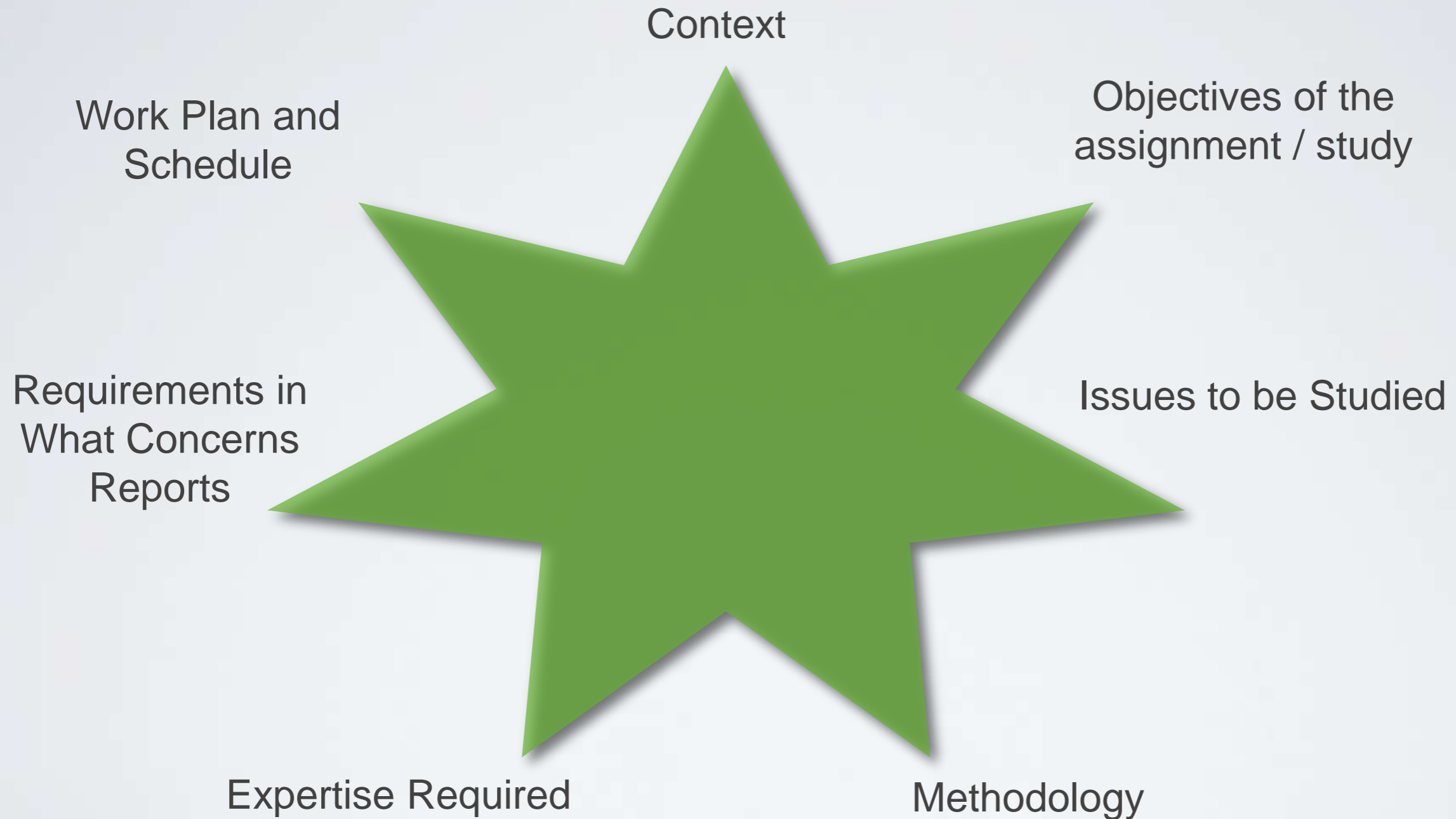
ToR are a contractual piece framing the future evaluation of the contractors, experts and EC staff involved in the implementation of projects and programs.

Using the ToR throughout the Project Cycle

- Prefeasibility Studies
- Design and Feasibility Studies;
- Evaluation, Quality Support Assignments;
- Implementation contracts;
- Monitoring and review assignments / contracts;
- Evaluation Studies;
- Other consulting and technical assistance services;
- Required at all stages of the project cycle;
- Audits.



Format and Content of ToR



Methodology

- The section concerning the methodology should explain how the study or assignment will be developed and comprise the main methods to be applied in data collection and analysis as well as in the production of the required information.



Expertise Required

- This section should provide a detailed description of the required professional skills to be provided by the experts or team of experts in charge of the assignment.



Requirements in What Concerns Reports

- This section of the ToR should provide a clear indication of the obligations in terms of reports to be submitted and can include details such as: index of the report required (for a feasibility / design study, evaluation report, etc) as well as the annexes to be included; the foreseen length of the report; the language to be used; the required format; software to be used; submission dates of the reports and number of copies, in hard copy and in digital format...



Work Plan and Schedule

- This section should provide a description of the foreseen work plan and schedule taking as a basis the analysis of the issues to be studied, the proposed methodology and the requirements in terms of reports.
- The best way to present the activities is to use a Gantt Diagram / Schedule.
- The work plan can be more or less detailed as long as the Contracting Authority has a clear idea on how the assignment should be carried out and taking also as a basis the degree of flexibility provided to the tenderers in what concerns the methodological approach, team composition and work plan.



Preparing the ToR (exercise)

This ToR template was designed to help you defining the objective and extension of the required services as well as the results to be achieved by an expert on information systems involved in contract that is being managed by your institution. Select the services to be provided by the expert and change the “objectives of the contract”, “Scope of Work” and the “Results” according to your needs. The final document should include a full section on the context of each of the services to be provided by the expert. The ToR templates are available for each service connected to the information system.

Issues to be Studied

Evaluation of our Information System

Management of a Technology
Project

Support the Software Selection
Process

**Template and
Content of the
Schedule
(Table and
Diagram)**

Improve the Elaboration of Reports



10th EDF

Tendering

Services Suppliers Monitoring and Management

Overview of the 10th EDF Programming

- An overview of the 10th EDF programming provides a global picture on the aid delivery by the EC, per country and main intervention areas, as well as a comparison with the 9th EDF.



10th EDF: Programming Process

- Taking into consideration that there are some programming exercises are still on-going with certain ACP countries this overview to could change slightly in the future.
- Updates will be made available once new programming documents are publicized.



Juridical Documents

Cotonou Revised Agreement

Pluri-Annual Financial
Framework 2008-2013

Cotonou Revised
Agreement (Summary)

Implementation
Regulation

Regulation Changing the
Overseas Association Decision

Regulation Changing the
Overseas Association Decision



EDF: Key Documents

EDF
Budgeting

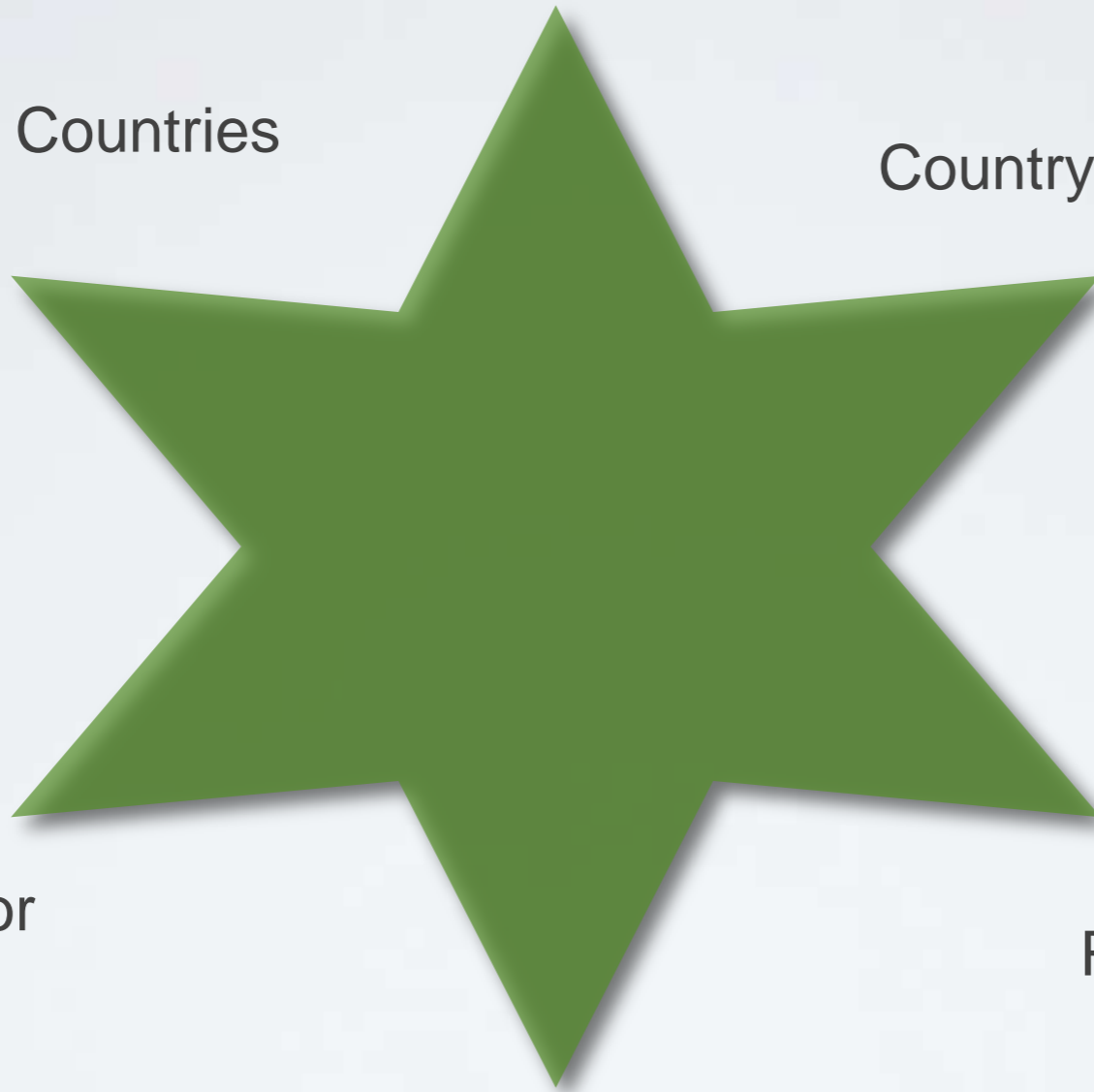
External Aid and ACP Countries

10th EDF
Country Strategy Papers

Tenders and Call for
Proposals

Regional Strategy Papers

Annual Programs



Key Documents 2

- European Development Fund (EDF)
- Established in 1957 by the Rome treaty and used by the first time in 1959, the European Development Fund (EDF) is the main tool negotiated between the EC and the ACP countries / Overseas Countries and Territories to deliver aid.



EDF Coverage

- EDF supports ACP and Overseas Countries and Territories actions in the following cooperation areas:
- Economic Development ;
- Human and Social Development ;
- Regional Cooperation and Integration.



EDF Tools

The grants
managed by the
Commission



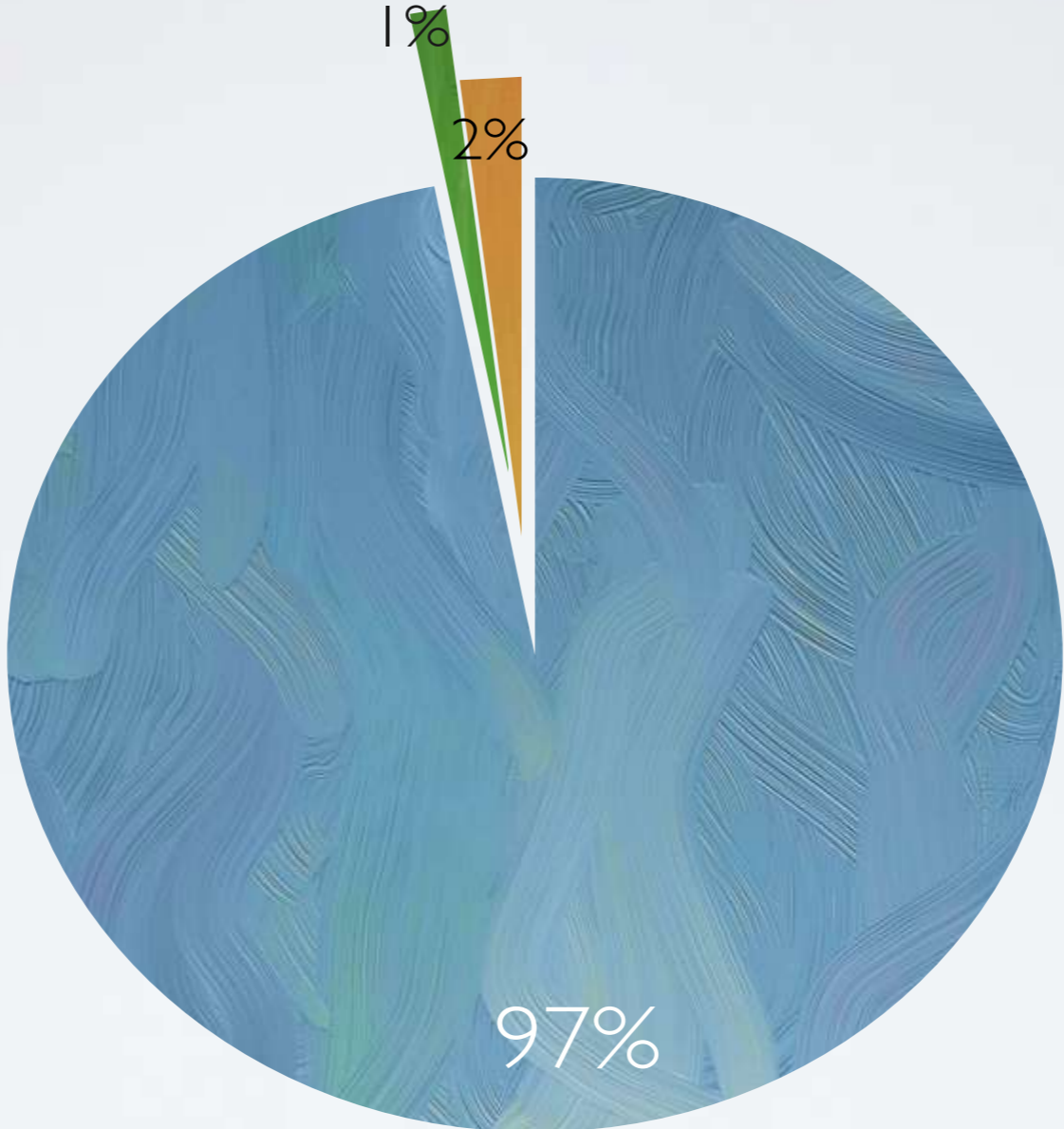
10th EDF:
22,682
Billion Euros

The FLEX Mechanism whose
objective is to correct the
negative effects of the recent
instability in the export
earnings

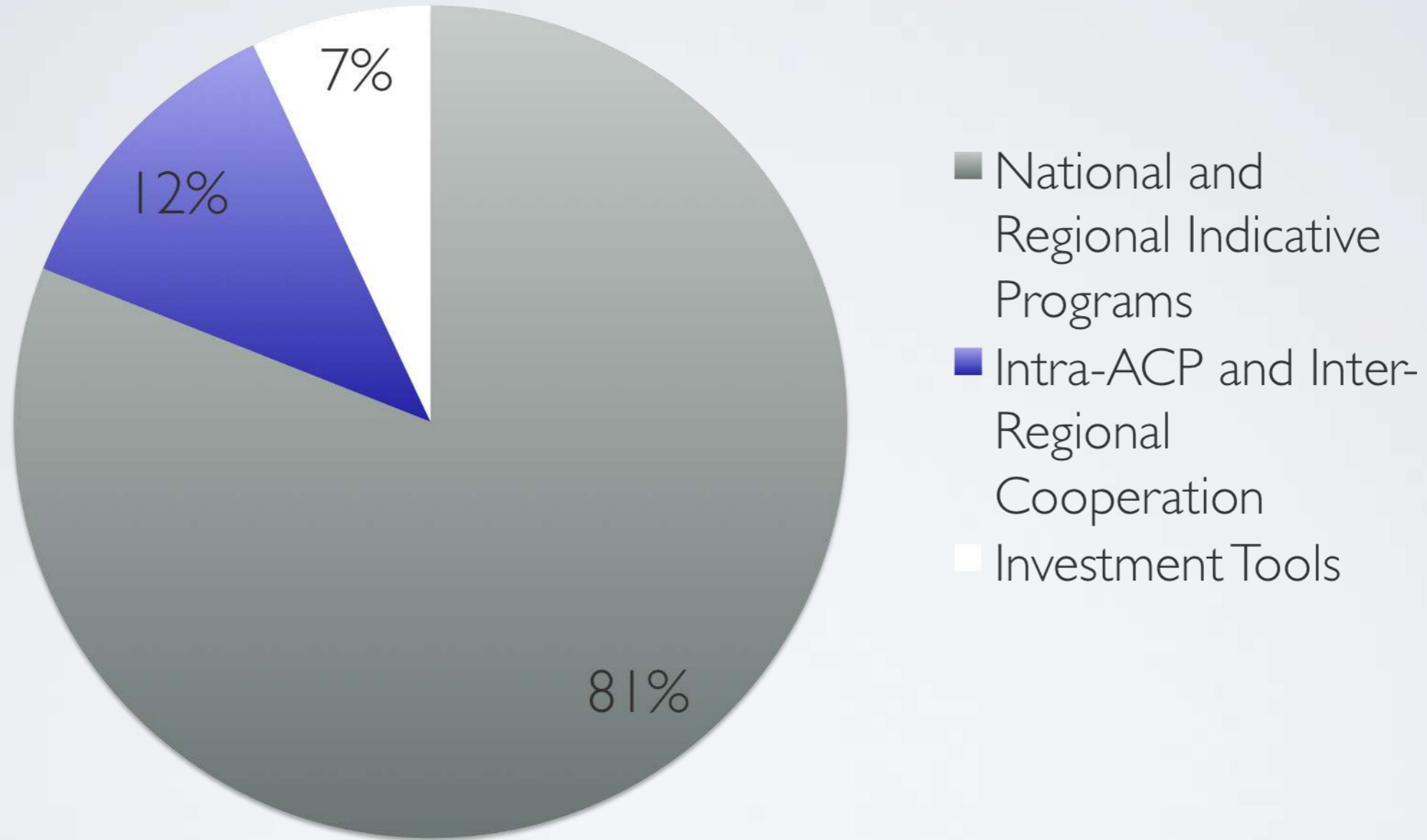
Venture Capital and financing
provided to private institutions
and managed by the EIB

10th EDF Budget

■ ACP Countries ■ PTOM ■ Commission



10th EDF ACP Countries



Characteristics

- EDF is pluri-annual (normally for a five years period) and is implemented within the scope of an international agreement between the European Commission and the Partner Countries. And important share of 10th EDF (2008-2013) has been allocated to regional programs. An important innovation introduced by 10th EDF are the incitation amounts, additional resources available to those partner countries that clearly invest in the improvement of their governance (particularly in the management of the financial, fiscal and juridical systems).
- Being an off-budget fund is thus financed by the Member States according to a special contribution framework that is managed on the basis of specific rules by a Special Committee. Nonetheless, the Commission has been requesting the integration of EDF in the EU budget, change that will tight the public control of the aid delivered and make it more transparent and effective.



Characteristics

- Since 2000 aid has been based on rolling programming system that transfers to the Partner Countries increased levels of responsibility on the definition of objectives, strategies and actions but also on the management and selection of the programs. Grants are allocated taking as a basis an evaluation of both the needs and performances, as agreed between the Partner Countries and the Commission.
- A part of the EDF resources is allocated to unforeseen needs (ex. Humanitarian or urgent aid, FLEX Compensations) but the bulk of the resources is programmed according to pluri-annual financial framework for 2008-2013. Precise programming guidelines have been prepared in order to support the national and regional programming exercises as well as intra-ACP programming. The Commission agreed on Country Strategy Papers, Regional Strategy Papers as well as on a Intra-ACP Strategy Paper.



Who is Eligible for Financing?

Physical and Moral Persons from
ACP States and EU Member States

The Calls for Proposals and
Tenders should include
documents specifying the
eligibility criteria

International Organizations and
Physical and Moral Persons
Eligible according to their own
rules

On those cases where the Fund finances
an action implemented within the scope of
a Regional Initiative, the Physical or Moral
Persons from a Country that Participates
in such an action

Example

- Analysis Developed by : Coordination Sud (French NGO platform for international solidarity)
- Country: Niger
- Amount of the Aid Program (10^èth EDF, according to the plus recent version available to you)

Envelope 'A' 458 M euros

Envelope 'B' 15.2 M euros

- How the Country Strategy Paper deals with the following issues? What kind of support do we require?

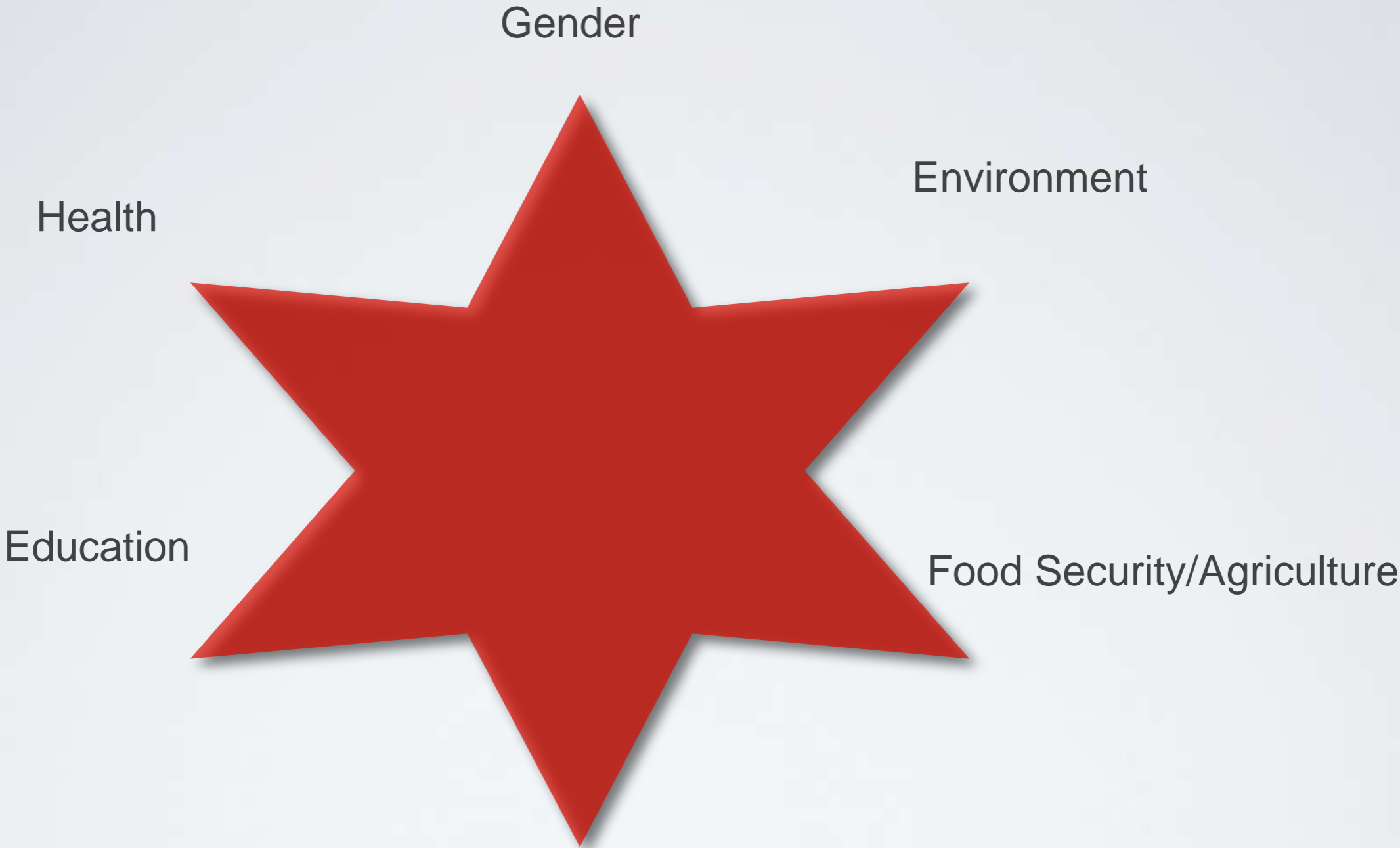


2 Issues Concerning the Regional Programming

- On one hand , the lack of information on the 10th EDF RIP is tangible within the Nigerian Administration and ECD. RIP and NIP programming cycles are clearly two parallel processes. National and Regional programming should clearly be complementary. Civil Society has little information on the regional programming process.
- On the other hand, regional negotiations take place in parallel with the negotiation of economic partnership agreements. Nevertheless both processes are closely connected and the EPA monitoring measures should be financed by EDF funds on a steady basis. Alternatively, those measures should be financed by additional resources provided through EDF.



Sectors



Trade and Economic Cooperation (i.e. to what extent CSP do include specific measures to cover the expenses arising from the adjustments to EPA?)

Focal Sectors

- 10th EDF foresees to focal sectors:
- Sector 1: Support growth in Rural Areas and Regional Integration (comprising Food Security)
- Sector 2 : Governance and Support to Economic and Institutional Reforms.



Global Budget Support

- Social Sectors Coverage
- Upon request of the Government, 60% of the global financial envelope has been allocated to the budgetary support. Still, the misappropriation of funds recently discovered recently disclosed in Niger, particularly in the education sector, raise questions on the pertinence of allocating such an important percentage of the European Aid to budget support.
- Health and Education sectors are supposedly covered by the global budget support which involves also a governance component. This envelope is framed by performance indicators reviewed on yearly basis and disbursements are conditional to the achievement of agreed goals.
- Governance is one of the 10th EDF focal sectors and a very strong general priority of the European Aid Policy. Thus we should be particularly careful on the allocation of resources to the education and health sectors. Additionally and besides general indicators on the allocation of resources per sectors, one should also take into consideration the distribution of the amounts allocated to social sectors throughout the territory.
- Regional Programming / National Programming



Sustainable Development

- How can we sustainable development?
- Sustainable Development is a concept that has been in the headlines for the last couple years.
- It involves a change in the decision-making processes with a view to take into consideration, on one hand, Companies Social Responsibility, a particularly sensitive issue in this times of globalization, and on the other hand the impacts on the environment, particularly climate change, today and for future generations. It's a vast agenda.



The Sustainable Development Axis

Respect for the fundamental social and human rights regardless of the localization of the activity: working conditions, salaries, non-discrimination, security. Non-exploitation, to not put in risk paid staff or the community. Contribute to development

People

TRIPLE
BOTTOM
LINE

Legitimate pursuit of profit but with respect of fundamental ethical rules, such as competition rules, fight against corruption and support to local development. See also Not just for Profit

Profit

Planet

Respect for the ecosystems regardless of the companies activities. Control over the climate warming (greenhouse gas), active management of the renewable natural resources, proper use of fossil resources, waste treatment, keeping the natural biodiversity, crucial for the availability and quality of the water.

Sustainable Development is normally defined as the "Conciliation of environment protection, economic effectiveness and social justice" (Agenda 21)

Natural Capital & Human Capital

- Respect the natural capital as well as the human capital. The idea is to stop focusing exclusively on the financial performance and take into consideration the global human aspects and impacts. This definition involves the pursuit of the maximum profit while (and this is very important) minimizing the damages caused to the ecosystems and with respect for the humans, employees and non-employees (neighbors of the company, consumers...).
- Nevertheless, the key point is the Social Responsibility of the Company.

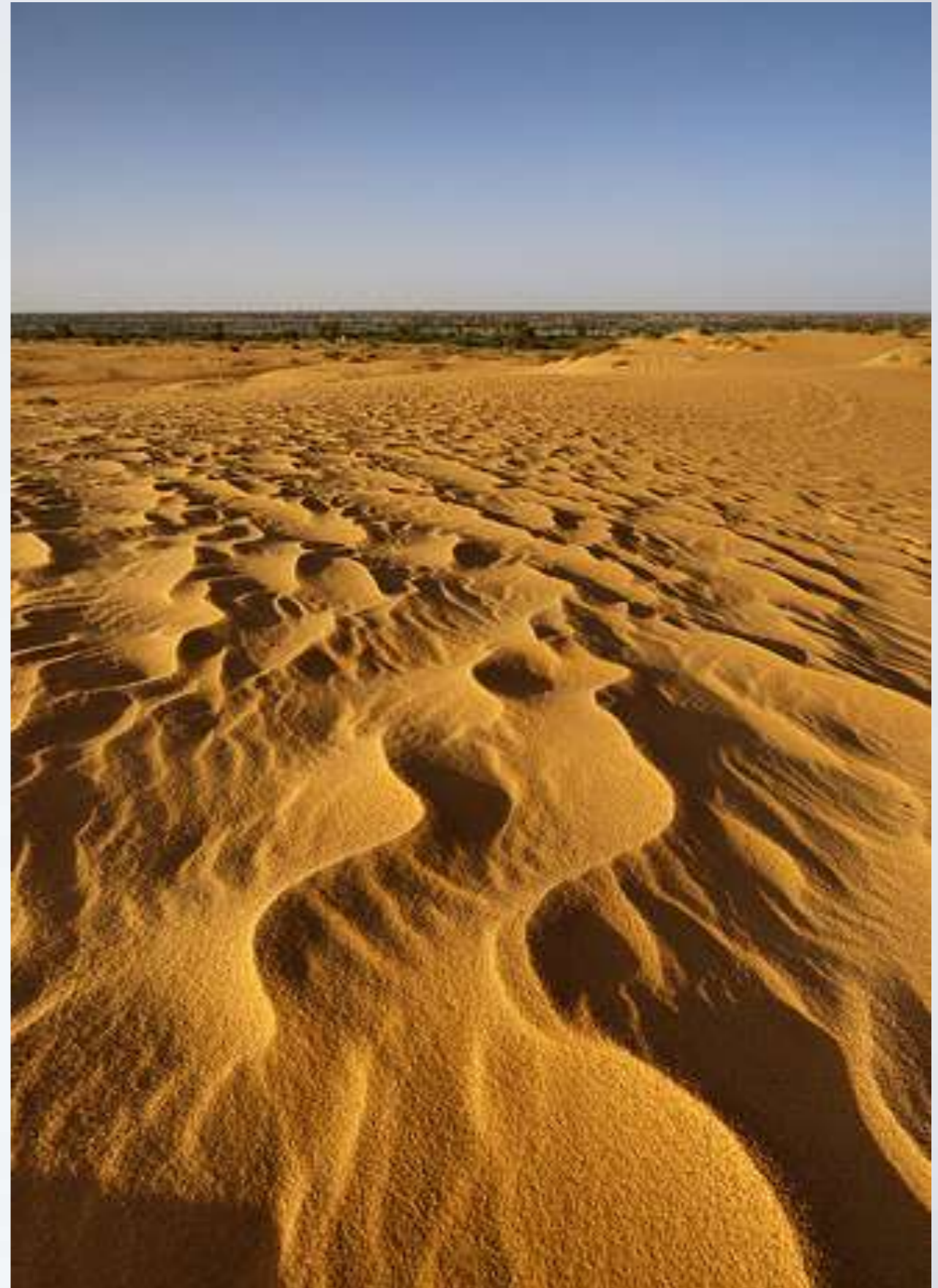
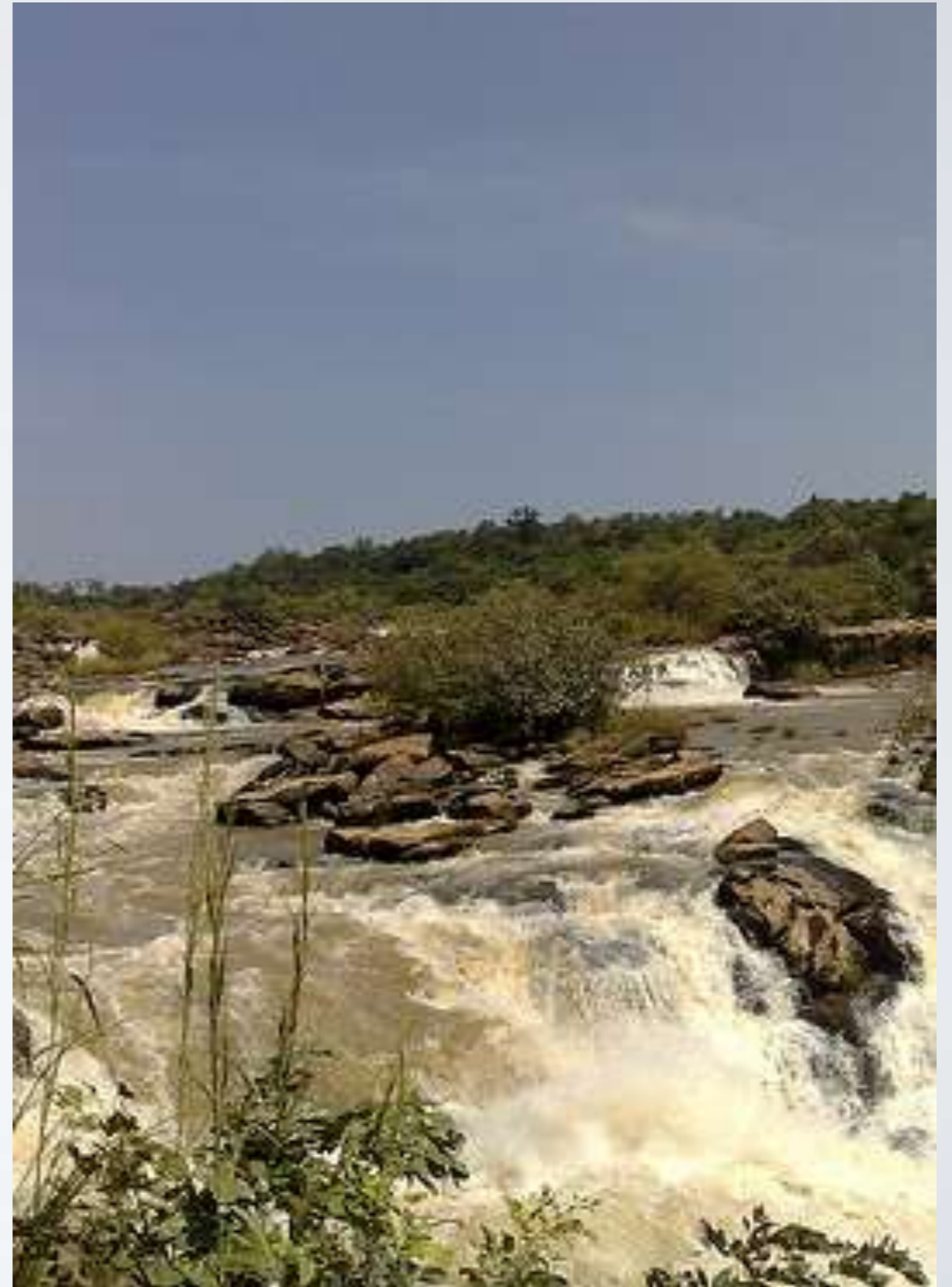


TABLEAU DE BORD OF THE SUSTAINABLE DEVELOPMENT

- The "tableau de bord" of the sustainable development is part of the steering tableau de bord.
- In practical terms, the "tableau de bord" of the sustainable development is part of the "tableau de bord" of each leader.
- The sustainable development axis should be included regardless of the activity or project we are dealing with.
- An imperative particularly if our project has ecological and social concerns.





Project Evaluation

Case Study: NIMBA

Project: Restoring Mount Nimba Natural Reserve

Mid-Term Evaluation: 09/05/2009-09/05/2011 – 09/05/2013

Case Study

Data:

Located at the confines of the Ivory Coast, Guinea and Liberia, Mount Nimba, rich in iron ore, is the West Africa Paramount (1752 m). Dominating the surrounding savannas, Mount Nimba is a zone of great ecological interest. Its flanks are covered by dense forests and its peaks by green pastures that call the attention of the naturalists that have developed important studies concerning its fauna and flora.

*Biosphere reserve is a recognition provided by UNESCO to those areas that conciliate biodiversity conservation and sustainable development within the scope of the Program on the Man and Biosphere.



Case Study

PROJECT :

Restoring MOUNT NIMBA Natural Reserve

Mid-Term Evaluation: 9/5/2009 – 9/5/2011 – 9/5/2013

Amount: 44 million euros

Duration : 4 ans

Primary Commitment (EC Financing): 19 million eur (service contracts TA 1 million, Restoring Centres 15 million, supplies 1.5 million, Institutional Support 1 million, communication, 0.5 million)

Contingency: 4 million €

Marks (note: a = Very Satisfactory; b=Satisfactory; c=Problems; d=Serious Problems)



Factual Section and Evaluation Section

Objectives, costs and expected results.

Management Structure

Coherency of the approach and development of the activities

Management and implementation of the evaluation

The terms of reference of the evaluation mission and distribution of tasks

Guides for the Meetings with the Beneficiaries.



Evaluation

Implementation according to the six evaluation criteria:

- Pertinence et quality of the design
- Effectiveness
- Efficiency of the implementation
- Potential Viability
- Foreseen Impact
- Coherence/complementarity



Case Study

Recomendations (PD, TA, EC, B)*

- Component 1: Restoring
- Component 2: Institutional Support
- Component 3: Supplies
- Component 4: communication, information and visibility
- Component 5: services and TA

Conclusion (Evaluation Report)

*DP, Program Director; TA, Technical Assistance Technique, EC, European Commission B, Beneficiary



Doc, Toolbox : Monitoring & Evaluation System

a) Summary of the Evaluation

Approaches

Definition of Monitoring -Evaluation
*- Performance -Indicators Quick

Evaluation Methods

– Participative

Evaluation Methods

– Auto-Evaluation assisted by SWOT
(Strengths-Weaknesses-
opportunities-Threats)

– Impact Evaluation



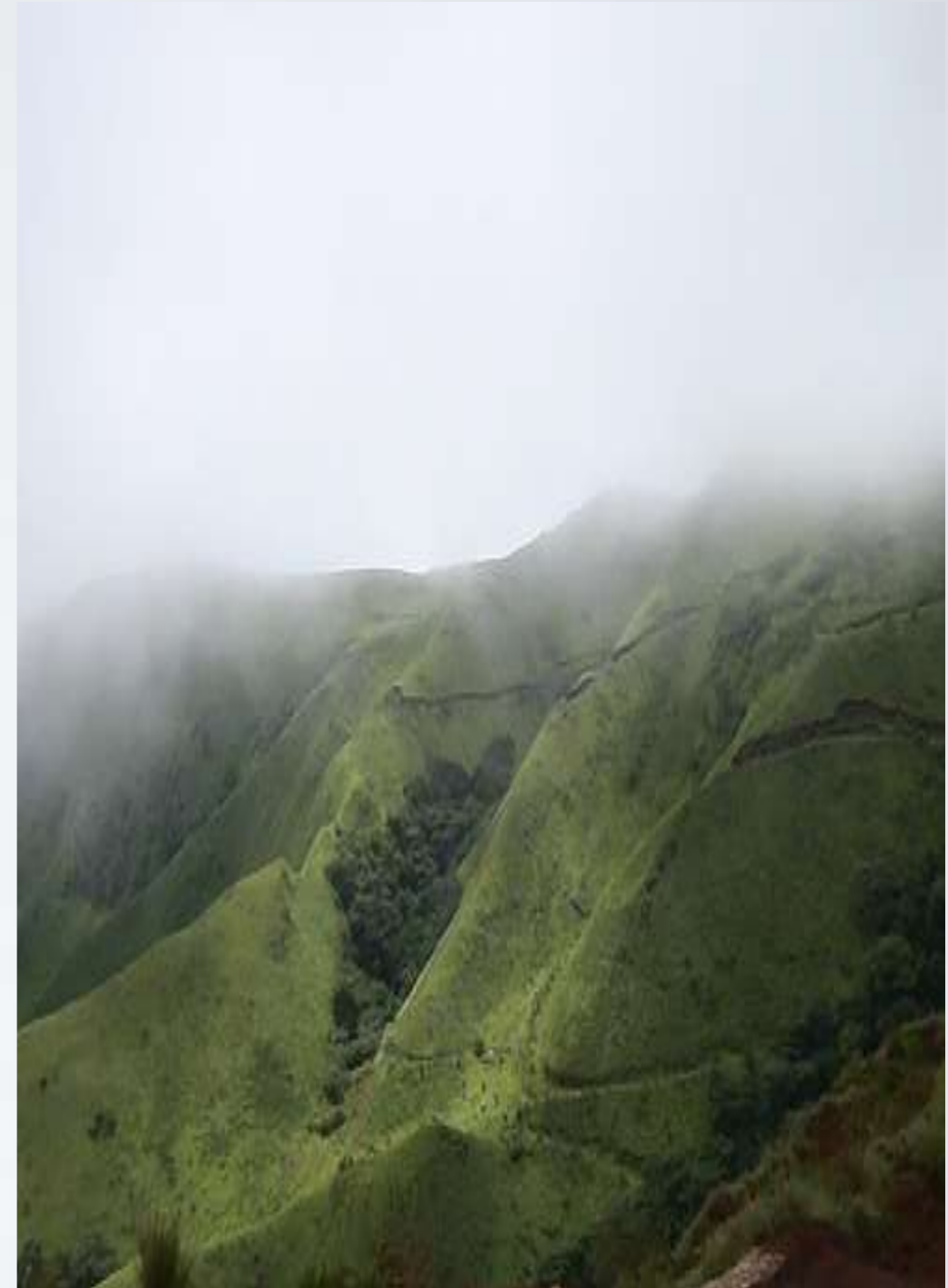
Doc, Toolbox : Monitoring & Evaluation System

b) International Organizations Handbooks

Downloadable Handbooks: EC, World Bank, USAID, CEFE International, UNDP GRET, DEZA, GTZ, Asian Development Bank, OECD, DIE , etc.

* Monitoring: regular or permanent collection of data during the implementation of the project and taking as a basis performance indicators. Normally, monitoring is internal but can also be performed by an external consultant.

Evaluation: analysis of the activities and the impact (effects and effectiveness) and recommendations produced at a certain moment in time (ex-ante evaluation, mid-term or ex-post) taking as a basis indicators clarifying the achievement of the objectives defined. The project objectives and results have been achieved? Have we achieved the effects expected in terms of the improvement of the standards of living and working conditions of the target groups. Do not mix up the impact with the implementation of the project activities! The intervention was coherent in terms of the cost-benefits generated by the project? Evaluation can be internal (auto-evaluation) or external using the external national and international experts.



By the End of this Topic you should be....

- ★ Familiar with M&E missions, objectives and criteria
- ★ Knowledge of the Audit Trail
- ★ Sustainability and its role, Practical Issues





**CONCLUSION OF THE PROJECTS
TO BE PRESENTED**



EVALUATION AND SELECTION OF 12 PROJETS FOR THE FINAL PRESENTATION