

# ANNEXES

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# ***ANNEX Section 0 – Note to the reader/user***

## **Note to the reader/user**

These annexes present a selection of tools and templates to assist the users of the manual with implementing high quality Programme and Project Management. The realm of good tools and templates is too large and fluid to include everything in this document, so choices have been made.

The major criteria for inclusion in the manual and annexes have been:

- High importance for P/PM functionality.
- Consistency with international standards.
- Universal application across divisions, sections and centres; it also has good applicability across programmes, large projects, and large events.
- Static, i.e., it has already been in use and found useful, the format is relatively fixed at this point and it is expected to remain the same for the near future.

Meanwhile, some tools and templates that are expected to be valuable for supporting quality P/PM have not been included in this document, but will be made available on the Programme Management e-platform. It will be important for all users of this manual and annex to regularly consult the platform for new materials, forms, templates and guidance that can facilitate their work.

The criteria used in deciding not to include certain tools or templates in the present document have included:

- Templates that are still in development, e.g., where development and review processes for these tools in ECA have not matched the timetable for developing this manual.
- Templates that are expected to change in the near future, e.g., where new ECA policies and/or guidelines are slated for development over the next 1-2 years.
- The template or tool only applies to a small number of situations/cases, i.e., it is not universally relevant for a basic core approach to P/PM management in ECA.

Suggestions of useful tools, templates or documents for the resource pool or for further improvements in the manual will be welcome. Send e-copies and/or url sites to SPOQD/PPBS, at [ECA-SPOQD-All@un.org](mailto:ECA-SPOQD-All@un.org)

# ANNEX Section 1 - Glossary & References

## ANNEX 1.1: Programme & Project Management Glossary

**Accountability:** An obligation to demonstrate that work has been conducted in compliance with agreed rules and standards, or to report fairly and accurately on performance results vis-à-vis mandated roles, plans or contracts.

**Activity:** Actions taken or work performed through which inputs, such as funds, technical assistance and other types of resources, are mobilized to produce specific outputs. Activities are best defined in sequence, to be undertaken at specific times, often in parallel. Critical activity paths should also be defined. These are key activities that could bring any further progress to a halt if not undertaken in time or not at all.

**Appraisal:** An overall assessment of the relevance, management, feasibility, and potential sustainability of a project proposal prior to a funding decision.

**Assumptions and Risks factors:** These are basically hypotheses about factors or risks that could affect the progress or success of a development intervention but which are beyond the control of the Project Manager. These include important events, conditions, or decisions which are within or outside the control of the project, but which must remain favourable in order for the project objective to be satisfactorily achieved. The implication here is that the design team has an obligation to assess what might derail their efforts and to plan responsibly to reduce or mitigate that risk of "derailment". There are four levels, which include management, implementation, development and sustainability assumptions.

**Attribution:** The ascription of a causal link between observed changes (or changes expected to be observed) and a specific intervention. Attribution refers to what is to be credited for the observed changes or results achieved.

**Audit:** An audit is an independent and objective assurance activity designed to add value and improve ECA's operations. It helps ECA accomplish its objectives by bringing a systematic and disciplined approach to assessing and improving the effectiveness of risk management, control, and governance processes.

**Baseline:** A measurement, calculation or location used as a basis for comparison; an analysis describing the situation prior to a development intervention, against which progress can be assessed or comparisons made.

**Beneficiaries:** The individuals, groups or organizations, whether targeted or not, that benefit, directly or indirectly, from the development intervention. Related terms: reach, target group.

**Budget:** An itemized summary of estimated or intended expenditure for a given period, along with proposals for financing it. It is based on the resource plan.

**Budget monitoring form:** confirms that the planned activity is in line with the result-based work plan plus the approved project document; and that the budget line being charged is the approved line for the activity with sufficient funds available to cover the planned expenditure. The BMF assists Programme Managers with their certifying and approving functions.

**Budget revision:** allows programme managers some flexibility to move funds between budget lines, e.g., to reallocate funding between project activities if necessitated by unforeseen increase or decrease in the cost of project implementation or to accommodate unforeseen project expenses at the time of annual planning.

**Capacity assessment:** Capacity assessments contribute to making sure that interventions are not only based on satisfying short-term demands, but also respond to real and sustainable institutional needs. Capacity assessments are the foundation for developing a capacity development response.

**Capacity development:** A “process through which individuals, organizations and societies obtain, strengthen and maintain the capabilities to set and achieve their own development objectives over time”. It is necessary to distinguish between technical and functional capacities (human resource development), organizational capacity (the internal mechanisms, tools and procedures) and institutional capacity (constituents’ involvement in social and policy dialogue). Capacity development methods include training, knowledge sharing, research, experiential learning, coaching and mentoring, and exposure. (UNDP, 2009: Capacity development: A UNDP primer).

**Certifying Officer:** is the person at each administrative unit who certifies the accuracy and validity of all documents and forms

**Collaborating unit:** Units that cooperate with other ECA units and offices in delivering project outputs.

**Communication for development:** Communication for results. It is a tool, as well as a process, for the effective delivery of development programmes, which emphasizes the role of communication throughout the project cycle, as opposed to its visibility or dissemination function.

**Competitive bidding:** A situation where the ECA is competing for funds with other applicants, in response to specific terms of reference provided under a call for proposals. Specific formats are prescribed for applications, and specific financial and administrative parameters must be used.

**Concept Note:** The CN for technical cooperation projects is an initial document prepared during the identification and design phases of development of a project. The CN should provide enough information to enable ECA and other stakeholders to be able to assess the strategic appropriateness of any proposal.

**Constituents:** The ECA’s constituents are the Member State governments and their ministries, the AUC and the African Parliament.

**Corruption:** any act or omission that misuses official authority or that seeks to influence the misuse of official authority in order to obtain an undue benefit for oneself or a third party.

**Development Objective:** This is the higher level and overall long term objective to which the project is expected to contribute. The addition of the word “contribute” implies that this project alone is not expected to comprehensively assure that the development objective is fully achieved. This will depend also on other successful interventions and perhaps fulfilment of certain assumptions.

**Direct recipients:** The group or entity that will be positively affected immediately by the project at the project output level.

**Due diligence:** the process of assessing the suitability and “fit-for-purpose” of potential IPs, prior to engagement, in terms of their legal status, alignment with UN values and ECA objectives, technical, institutional and operational capacity in project management and fund administration. In this note, ‘due diligence’ is broadened to include identifying and assessing risks that may arise with a view to mitigating their impact on overall project success.

**Effect:** Intended or unintended change due directly or indirectly to an intervention. Related terms: result, outcome.

**Effectiveness:** The extent to which the development intervention’s objectives were achieved, or are expected to be achieved, taking into account their relative importance.

**Efficiency:** A measure of how economically resources and inputs (funds, expertise, time, etc.) are converted into results.

**Evaluability:** The extent to which an activity or a programme can be evaluated in a reliable and credible fashion. Evaluability assessment calls for the early review of a proposed intervention in order to ascertain whether its objectives are adequately defined and its results verifiable.

**Evaluation:** The systematic and objective assessment of an ongoing or completed project, programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact and sustainability.

**Event management:** is the application of project management approaches to the creation and development of large scale events such as conferences, ceremonies, or conventions. It involves studying the brand, identifying the target audience, devising the event concept, and coordinating the technical aspects before actually launching the event. The process of planning and coordinating the event is usually referred to as event planning; it can include budgeting, scheduling, site selection, acquiring necessary permits, coordinating transportation and parking, arranging for speakers or entertainers, arranging decor, event security, catering, coordinating with third party vendors, and emergency plans.

**Expected Accomplishments (EAs):** The outcomes or results approved in the SF and Programme of Work under each Sub-programme to which ECA has committed. This is the level at which EA indicators measure success for ECA. The products and services that ECA promises to deliver in order to achieve the EAs are called the ABP Outputs and are approved in the Programme of Work under each EA.

**Ex-post evaluation:** Evaluation of a development intervention after it has been completed. It may be undertaken directly after or long after its completion. The intention is to identify the factors for success or failure, to assess the sustainability of results and impacts, and to draw conclusions that may inform other interventions.

**Extensions (project):** Extension of project activities beyond the original end date established in the agreement between the donor and ECA. Both no-cost and cost extensions require a justification as well as donor approval.

**External collaborator:** An external collaborator is an individual working with ECA, but who is neither a staff member nor an ECA official. External collaboration contracts are task-oriented and linked to a specific output over a defined contract period. They do not involve tasks associated with continuous processes or management.

**External evaluation:** The evaluation of a development intervention conducted by entities and/or individuals outside the donor and implementing organizations.

**Extra-budgetary resources:** The UN has two main funding sources, namely, regular budget resources (RB) and extra budgetary resources (XB). XB resources are comprised of supplemental voluntary contributions to the organization and trust funds. These are provided to ECA on the basis of specific agreements with the donors for specific purposes, e.g., projects with a determined timeline and predefined geographic or thematic focus. Receipt and expenditure of the funds are accounted for and reported to the donors separately, and ownership of the funds belongs to the donor until the closure of the grants.

**Final budget revision:** is prepared to operationally and financially close the project. This is done when all project activities have been completed and there are no outstanding obligations in the project account.

**Fraud:** any act or omission whereby an individual or entity knowingly misrepresents or conceals a material fact in order to obtain an undue benefit or advantage for himself, herself, itself, or a third party, or to cause another to act to his or her detriment.

**Fund:** In Umoja, a 'fund' is a Master Data element containing a self-balancing set of accounts. It is used to identify the source and use of funding from voluntary contributions. It is established for the purpose of financing wholly or in part the cost of programme and project activities consistent with the Organization's aims and policies. It is a separate and distinct accounting object used to identify the source and use of funding from voluntary contributions.

**Gantt chart** - A Gantt chart is a type of bar chart, devised by Henry Gantt in the 1910s, that illustrates a project schedule. Gantt charts illustrate the start and finish dates of essential elements of a project.

**Gender:** Gender refers to the social differences and the relations between women and men that are learned, changeable over time, and that have wide variations both within and between societies and cultures. These differences and relationships are socially constructed and are learned through

the socialization process. They determine what is considered appropriate for members of each sex, as well as being context-specific and modifiable.

**Gender mainstreaming:** Mainstreaming a gender perspective is the process of assessing the implications for women and men of any planned action, including legislation, policies or programmes, in any area and at all levels. It is a strategy for making the concerns and experiences of women as well as of men an integral part of the design, implementation, monitoring, and evaluation of policies and programmes in all political, economic and societal spheres, so that women and men benefit equally, and inequality is not perpetuated. The ultimate goal of mainstreaming is to achieve gender equality (Economic and Social Council, 1997).

**Goal:** The higher-order objective to which a development intervention is intended to contribute. Related term: development objective.

**Grant:** In Umoja, ECA's financial management system, a 'grant' is a Master Data element used to maintain the terms and conditions of the grantor's contribution. A grant is used to solicit and accept sponsor funds, to enforce sponsor restrictions, and to report back to the sponsor based on sponsor's requirements. It also controls how a grant acts, e.g., budget rules, and defining how the sponsor is billed based on the agreement in accordance to IPSAS. Grant is a "central" piece of the Grants Management, which ties together all the Grants Management Master Data Objects, i.e., Fund, Sponsor, Sponsored Program, Sponsored Classes, and Grant Budget Rules.

**Immediate Objectives:** These are the effects that are expected to be achieved as the result of the project delivering the planned outputs, with which the target groups interact and respond. These are generally expressed in terms of "changes in attitude, behaviour, performance, procedures, delivery" of target groups, or institutions/organizations. (Keep in mind gender and socio-economic diversification of target groups). Related term: Outcome.

**Impact / Impact assessment:** Positive and negative, primary and secondary, long-term effects produced by a development intervention, directly or indirectly, and intended or unintended. A type of assessment that focuses on measuring the broad, longer term effects of a development intervention, positive or negative, primary or secondary, direct or indirect, and intended or unintended. In ECA, these effects usually concern evidences of policy influence and systems change due to capacity development interventions

**Implementation:** Implementation of a project is the step where all the proper planned activities are put into action. Implementation starts when the project has been approved and the budget activated, and ends when the project is financially closed.

**Implementation plan:** The implementation plan is a management tool covering the whole project period to determine resource and personnel requirements, identify particular procurement needs, estimate the project budget, and ensure that the project is managerially feasible within resources and time constraints.

**Implementing Partner:** a government or non-government agency engaged as an entity responsible and accountable for managing and delivering a project, on behalf of ECA, and as provided for in a legal instrument, with ECA funding and technical oversight.

**Inception phase:** The phase where the preliminary arrangements for the functioning of the project are set in place. These include establishing the accountability, management and governance structures of the project, both inside and outside the ECA, appointing the Project Manager, setting up office systems for finance and administration, and opening communications with ECA units and national constituents and partners. This is also referred to as the pre-implementation phase.

**Independent evaluation:** An evaluation carried out by entities and persons free of the control of those responsible for the design and implementation of the development intervention. Independent evaluations are managed by independent ECA officials and overseen by evaluation officers. They are carried out by external evaluators who have no previous links to the project. Other independent ECA officials may participate as team members in the evaluation.

**Indicators:** A quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, to reflect changes connected to an intervention, or to help assess the performance of a development actor. It does not indicate the direction of change.

**Indirect and support costs:** These are costs incurred by the Organization that cannot be traced unequivocally to the delivery of projects and activities to implement the Programme of Work. They include management and administration costs (both post and non-post items); costs associated with representational activities and discussions with, and intelligence gathering on areas considered of importance to, recipient governments, donors and other partners; and costs for staff funded from the Environment Fund

**Initiative:** term used in this manual/annex to embrace programmes, projects and events

**Inputs:** These are the resources that the project needs in order to efficiently undertake the activities. These will include human resources, finances, specific expertise, materials, equipment, and time.

**Institutional mapping:** The institutional analysis, or mapping, provides a study of formal and informal relationships between the stakeholders. The institutional mapping must include the most relevant actors identified during the stakeholder analysis. This comprises the ultimate beneficiaries, the direct recipients, the governing and oversight agencies, the implementing agencies and the social partners.

**Internal control:** is a process, effected by a governing body, management or other personnel of an organization, designed to provide reasonable assurance regarding the achievement of objectives in the categories of (i) effectiveness and efficiency of operations, (ii) reliability of financial reporting, and (iii) compliance with applicable laws and regulations.

**Internal evaluation:** Evaluation of a development intervention conducted by a unit and/or individuals reporting to the management of the donor, partner or implementing organization. Related term: self-evaluation.

**Joint evaluation:** An evaluation in which different donor agencies and/ or partners participate. There are various degrees of “joint-ness”, depending on the extent to which individual partners cooperate in the evaluation process, merge their evaluation resources, and combine their evaluation reporting.

**Lead Division:** The Division assigned to deliver a given Sub-programme on behalf of ECA. Lead Divisions are responsible for providing intellectual leadership in achieving programmatic coherence in the design and implementation of activities across ECA

**Logical Framework:** The project logical framework (or “log-frame” or “results framework” or “project design matrix”) is the tool used to organize all the main elements, including the objectives, outputs, activities, indicators and assumptions. The logical framework is a planning tool that shows the results chain of the project: how activities are undertaken to produce outputs, how outputs are delivered to achieve objectives, and how assumptions influence each level of the results chain. It also contains the indicators that will be used to measure progress, and the means through which evidence will be obtained.

**Managing Division:** The Managing Division for a given project is the Division where the project manager sits. The Managing Division is responsible for delivering the project outputs and outcomes.

**Means of verification (MOVs):** The means of verification provide a precise reference to the sources of information to be consulted and how the data will be analysed in order to verify the project’s performance and results.

**Milestone:** A milestone is a scheduled event signifying the progression or completion of work towards a project output and ultimately the project outcome. Milestones are key events that provide a measure of progress and a target for the project team to aim at.

**Monitoring:** A continuing function that uses the systematic collection of data on specified indicators with which to provide management and the main stakeholders in an ongoing development

intervention with indications of the extent of progress and the achievement of objectives and progress in the use of allocated funds.

**Narrative Summary:** This term is used to describe the text that "narrates" the relationship of objectives and outputs. It is also sometimes referred to as the "Project Hierarchy".

**Objectively Verifiable Indicators (OVIs):** These are the measures, direct or indirect, that will verify to what extent the objectives have been fulfilled. The term "objectively" implies that these should be specified in a way that is independent of possible bias of the observer (essential in monitoring, evaluation, and impact assessment).

**Obligations:** this is a way of setting aside Earmarked Fund resources for expected expenditures. It allows managers to commit the funds in current or future periods, if budget is available. Within Umoja, a pre-commitment is required in order to create certain fund commitments.

**Outcome:** The likely or achieved medium- term effects of an intervention's outputs. Outcomes represent changes in institutional and population behaviours and capacities, for development conditions that occur between the completion of outputs and the achievement of impacts. Related terms: result, effect.

**Outputs:** These are the "deliverables", the tangible results that the project management team should be able to guarantee delivering when undertaking the planned activities, facilitated by the inputs made available to them. The respective objective statements should specify the group or organisation that is targeted to make use of specific outputs. Outputs must be delivered to the planned quality, quantity and within the defined timeframe.

**Oversight:** means the general process of review, monitoring, evaluation, supervision, reporting and audit programmes, activities, policy implementation, and results of the organization. This is to ensure organizational, financial, operational and ethical accountability, effectiveness of internal controls, and the prevention of fraud and malpractice.

**Partners:** The organizations that collaborate to achieve mutually agreed objectives. The concept of partnership connotes shared goals, common responsibility for outcomes, distinct accountabilities and reciprocal obligations. Partners may include governments, civil society organizations, non-governmental organizations, universities and research institutes, multilateral organizations, private companies, etc.

**Partnerships:** Partnerships are voluntary and collaborative relationships among various actors in which all participants agree to work together to achieve a common goal or undertake specific tasks. Partnerships may serve various purposes, including advancing a cause, implementing normative standards or codes of conduct, or sharing and coordinating resources and expertise. They may consist of a specific single activity, or may evolve into a set of actions or even an enduring alliance, by building consensus and ownership with each collaborating organization and its stakeholders.

**Performance:** The degree to which a development intervention or a development partner operates according to specific criteria/standards/guidelines, or achieves results in accordance with stated goals or plans.

**Performance indicator:** A variable that allows the verification of changes in the development intervention or shows results relative to what was planned. Related terms: performance monitoring, performance measurement.

**Performance measurement:** A system for assessing performance of development interventions against stated goals

**Performance monitoring:** A continuous process of collecting and analysing data to compare how well a project, programme or policy is being implemented against expected results.

**Portfolio:** All the programmes and stand-alone projects being undertaken by an organization that need to be managed collectively to achieve maximum value from available resources.

**Portfolio management:** Portfolio management is the selection, prioritisation and control of an organisation's projects and programmes in line with its strategic objectives and capacity to deliver.

The goal is to balance change initiatives and business-as-usual while optimising return on investment [APM]

**Procurement plan:** This is an overall projection of a project's procurement needs for a defined period of time. TC project procurement planning should commence at the project appraisal stage, in order to be able to include specific requirements resulting from procurement planning analysis in the project document. The responsible project official (e.g., the Project Manager) must also identify changing procurement needs during the project lifetime, as part of ongoing procurement planning.

**Programme:** A temporary flexible organization structure created to coordinate, direct and oversee the implementation of a set of related projects and activities as a cohesive unit in order to deliver outcomes and benefits related to the organization's strategic objectives. It may apply a multidisciplinary approach and comprise separate sets of activities grouped under different components. It may reach across sectors and/or geographical areas. A programme is likely to have a life that spans several years.

**Programme management:** Programme management is the coordinated management of projects and change management activities to achieve beneficial change. [APM]

**Programme manager:** This is the Division Director, SRO Director, or Centre Coordinator with overall programme level responsibility for a programme and the technical cooperation projects within the programme.

**Programme Support Costs:** PSCs are indirect costs included in each project budget. ECA policy normally fixes support costs at a rate of 13 per cent. These costs are expressed as a percentage of project expenditure, are centrally managed, and contribute to the cost of supporting the implementation of extra-budgetary projects.

**Project:** A project is a unique, transient endeavour, undertaken to achieve planned objectives, which could be defined in terms of outputs, outcomes or benefits. It comprises interrelated and coordinated activities designed to achieve clearly defined objectives/ outcomes, ranging from policy change to practical direct action. It contributes to solving a specific problem within a given budget and timeframe. A project is usually deemed to be a success if it achieves the objectives according to their acceptance criteria, within an agreed timescale and budget.

**Project design:** Design is the starting point of the project cycle and consists of three main stages: project identification, project formulation and project operational planning. Project design provides the structure for the outcomes that have to be achieved, how the project is to be implemented, and how progress will be verified.

**Project document:** The Project Document provides the essential project information with regards to project strategy, log frame, implementation, monitoring and evaluation, and, as such, it gives sufficient information for project managers and partners to implement the project, report on its progress and evaluate its outcomes.

**Project management:** Project management is the application of processes, methods, knowledge, skills and experience to achieve the project objectives. [APM]

**Project Manager:** A staff member of ECA assigned by the Division managing the project to have overall responsibility for implementing the project on behalf of ECA

**Project results chain:** The causal sequence for a development intervention, which stipulates the necessary sequence with which to achieve desired objectives, beginning with inputs, moving through activities and outputs, and culminating in outcomes, impacts and feedback.

**Project Support Costs:** PSC is generated by charging programme support costs to extra-budgetary financial contributions in accordance with agreements with donors.

**Quality assurance:** Quality assurance encompasses any activity that is concerned with assessing and improving the merit or the worth of a development intervention, or its compliance with given standards. Examples of quality assurance activities include appraisal, RBM, reviews during

implementation, evaluations, etc. Quality assurance may also refer to the assessment of the quality of a portfolio and its development effectiveness.

**RACI matrix:** a management tool for linking activity or task responsibilities with positions; the responsibility levels are categorised into 4 levels, to be: Responsible, Accountable, Consulted, Informed (thus the 'RACI'). Building this matrix can help to ensure an equitable and comprehensive distribution of tasks.

**Regular budget resources:** The United Nations has two main funding sources, namely, regular budget resources (RB) and extra budgetary resources (XB). Regular budget resources (RB) represent assessed Member State contributions to the budget of the organization.

**Released Budget:** the portion of the grant budget for which cash has been received. The released budget is displayed on the grant and represents the amount authorised for spending. The purpose of 'releasing' a grant is to ensure that spending is effected in accordance with the donor requirements and restrictions. In Umoja, the process of releasing a budget provides a basis for budgetary control from a donor's perspective (grant management - GM) and also from an organizational perspective (fund management - FM).

**Relevance:** The extent to which the objectives of a development intervention are consistent with beneficiary requirements, country needs, African and global priorities, as well as partner and donor policies.

**Resource plan:** A resource plan sets out the requirements and costs for all necessary inputs: personnel, basic office premises or facilities, equipment and materials, or services such as consultants, supplies, training workshops and other miscellaneous inputs.

**Responsibility matrix:** The purpose of this template is to assign departments or individuals to activity categories, define role responsibilities and the relationships between groups. This matrix should be completed early in project planning, before detailed resource allocating or scheduling takes place. See **RACI matrix**

**Results:** The real and observable effects (intended or unintended, positive and/or negative) of a development intervention. Related terms: Outcome, impact.

**Results-based Budgeting:** RBB is primarily concerned with the cost of the resources/inputs needed to complete project activities and predefined outputs, in a bottom-up estimating technique. A breakdown of the activities is required and it is therefore important to prepare a budget using the implementation plan as the starting point.

**Results-based Management:** RBM is a management approach that directs organizational processes, planning, and the management of resources, activities, products and services towards the achievement of clearly observable changes or results in the real world.

**Results Framework:** The programme logic that explains how the development objective is to be achieved, including causal relationships and underlying assumptions. It illustrates the necessary lower-level results that lead to the achievement of a strategic, higher-level result.

**Review:** An assessment of the performance of an intervention, periodically or on an ad hoc basis. Frequently "evaluation" is used for a more comprehensive and/ or in-depth assessment than a "review". Reviews tend to emphasize operational aspects. Related term: evaluation.

**Risk:** a potential future event or condition that is fully or partially beyond control, and which, if it occurs, may negatively affect the achievement of project objectives. This includes fiduciary, operational, fraud and reputational risks. A risk is measured by a combination of the probability of a perceived threat or opportunity occurring, and the magnitude of its impact on objectives. The combined analysis of importance and risk provides a solid approach with which to manage the assumptions of a project. Note that risks may be 'external' to the project, but 'internal' to the organisation.

**Risk management:** The systematic application of principles, approaches and processes to the tasks of identifying and assessing risks, and then planning and implementing risk responses.

**Risk Management Strategy:** A strategy describing the goals of applying risk management, as well as the procedure that will be adopted, roles and responsibilities, risk tolerances, the timing of risk management interventions, the tools and techniques that will be used, and the reporting requirements.

**Risk Register:** A record of identified risks relating to an initiative, including their status and history.

**Risk-based approach:** an approach to project management which aims at proactively identifying and prioritising potential risks so that strategies could be devised to minimise their impact on project delivery. Risk-based approach to partnering seeks to ascertain, prior to any formal engagement, a reasonable level of assurance that the IP will implement the agreed project in line with defined terms and conditions whilst exercising effective fiduciary responsibility.

**Scheduling/ Schedule:** Scheduling is a way of focusing managerial attention on the time factor, on critical events, and on priorities, as time is important in any planning process. The scheduling calendar states when each activity starts, how long it lasts, and when it will be completed. This is usually presented in the form of a GANTT/bar chart, which sets out the sequence of activities and links them to critical events or milestones.

**Self-evaluation:** An evaluation by those who are entrusted with the design and delivery of a development intervention. Related term: internal evaluation.

**Semi-final budget revision:** is prepared to operationally close a project when all programmed project activities have been completed, and to give time to the Programme Manager to liquidate all obligations. Once a semi-final revision has been approved and signed, no further expenditure is allowed on the project account.

**Sponsored Program:** It identifies a specific Program for which the Sponsor has contributed money.

**Stakeholders:** Agencies, organizations, groups or individuals that have a direct or indirect interest in the development intervention or its evaluation.

**Stakeholder analysis:** An analysis that aims to identify the stakeholders that are likely to be affected by the activities and outcomes of a project, and to assess how those stakeholders are likely to be impacted by the project.

**Sub-programme Coordinators:** The staff members assigned to each Sub-programme in support of the Lead Division Director. Sub-programme Coordinators facilitate and support Divisions and Sub-Regional Offices in the coherent design and planning for implementation of projects across the organization, leading to the delivery of the ABP outputs and ultimately contributing to the delivery of EAs for each Sub-programme.

**Sub-Regional Office:** SROs have overall responsibility for the operations of the ECA's network of partners and other representations in their regions. They work very closely with the Member State governments and are a prime recipient of Member State requests for technical cooperation support.

**Supplies and materials:** All the consumable items required in the day-to-day running of the project (e.g., stationery and office supplies) and for any small scale construction activities (e.g., cement).

**Suspension:** Refers to the temporary halt of project activities and financial disbursements. Written notification between The Parties should take place. Re-initiation of activities should also be communicated in writing.

**Sustainability:** The continuation of benefits from a development intervention after major development assistance has been completed. In the post-2015 development agenda, sustainability encompasses social, economic and environmental aspects.

**Target group:** The specific individuals or organizations for whose benefit the development intervention is undertaken.

**Termination:** Refers to the termination of project activities before the expected completion date and before all activities take place. Written notification between The Parties is essential and should be

done at least 3 months in advance on intended termination date to allow for the orderly conclusion of activities and withdrawal of personnel.

**Thematic evaluation:** Evaluation of a selection of development interventions, all of which address a specific development priority that cuts across countries, regions and sectors.

**Transparency:** refers to a process by which reliable, timely information about existing conditions, decisions and actions relating to the activities of the organization is made accessible, visible and understandable.

**Ultimate beneficiaries:** Those who benefit in any way from the project. Distinction may be made between: (a) direct beneficiaries: the group entity that will be immediately and positively affected by the project at the project output level; (b) final beneficiaries: those who benefit from the project in the medium term at the level of the outcome/immediate objective of the project; and (c) indirect beneficiaries: those who will benefit through the contribution to the overall objective of the project in the long term at the level of the society or sector.

**Umoja:** Umoja is an administrative reform initiative designed to help the United Nations operate more effectively by integrating and streamlining business processes that manage financial, human and physical resources within a single on-line global solution for the entire Secretariat.

**Unreleased Budget:** A portion of the grant budget for which cash has not been received. At the beginning, it is established for the full amount of the donor agreement, i.e. the total cost plan. This budget is not available for consumption until it is 'released' (see above) and posting of the budget happens only to the Grants Management Budget Ledger.

**Validity:** The extent to which the data collection strategies and instruments measure what they purport to measure.

**Work Breakdown Structure:** A WBS defines the scope of a project in terms of hierarchy of deliverables and the activities/inputs required to achieve the results. A work breakdown structure is used to prepare the plan of operation. Each WBS shows the amount of work, time, and the costs involved in completing a specific project component or task. The various work packages in the project are described in individual WBS Elements.

**Work Break Down Structure Elements:** a WBSE is a Master Data element that represents a project with its structure. Standard Work Breakdown Structure Elements show the standard project activities to be carried in a hierarchical, tree-like structure which are organized in accordance with the desired itemization of specific tasks within a project.

**Workplan:** Whereas an Implementation Plan is prepared during the design phase and covers the whole project period, a workplan is prepared at the beginning of implementation (pre-implementation phase or inception phase) and is a more comprehensive yearly plan covering sub-activities and tasks.

**Workplans (Divisional and Regional):** The plans that show the full set of projects and activities, with budgets, across all Sub-programmes for which a Division or Sub-Regional Office is accountable. These workplans are a consolidation of a Division's or Sub-Regional Office's work based on its contribution to the portfolio of projects to deliver the results in the SF and respective ABPs. Workplans should include the post and non-post use of resources from the regular budget and Extra budgetary sources.

## ANNEX 1.2: References

The references listed below have been the primary source materials used in preparing this manual. They are part of a much larger resource pool of Portfolio/Programme/Project management related documents that will be made available on the e-platform for P/PM at ECA. Suggestions of useful documents for the resource pool or for further improvements in the manual will be welcome. Send e-copies and/or url sites to SPOQD/PPBS, at [ECA-SPOQD-All@un.org](mailto:ECA-SPOQD-All@un.org)

### Background

ECA (2016) Terms of Reference: Development of ECA Programme Management Manual.  
SPOQD/PPBS

Barton, T. (2017) Professionalisation of P/PM in ECA: Report of Consultative Phase. SPOQD/PPBS, ECA

### Programme and project management resources

ECA (1998) Programme Management: Operational Guidelines

<http://repository.uneca.org/bitstream/handle/10855/15403/Bib-61920.pdf?sequence=1>

FAO (2012) Guide to the Project Cycle: Quality for Results.

<http://www.fao.org/docrep/016/ap105e/ap105e.pdf>

ILO (2015) Development cooperation manual. International Labour Office, Partnerships and Field Support Department. - Geneva

[http://www.ilo.org/wcmsp5/groups/public/---dgreports/---exrel/documents/publication/wcms\\_452076.pdf](http://www.ilo.org/wcmsp5/groups/public/---dgreports/---exrel/documents/publication/wcms_452076.pdf)

PATCO (2010) ECA Project Management Manual. Partnership and Technical Cooperation Office (PATCO); Office of the Executive Secretary (OES); ECA

<http://repository.uneca.org/bitstream/handle/10855/2192/Bib-18149.pdf?sequence=1>

UNDP (2011) Policies and Procedures: Programmes and Projects

<http://www.undp.org/content/dam/undp/library/corporate/Programme%20and%20Operations%20Policies%20and%20Procedures/Programmes-and-Projects-20-Nov-2011.pdf>

UNDP (2011) RBM in UNDP: Technical Note

[http://pdf2.hegoa.efaber.net/entry/content/931/RBM\\_in\\_UNDP\\_Technical\\_Note\\_.pdf](http://pdf2.hegoa.efaber.net/entry/content/931/RBM_in_UNDP_Technical_Note_.pdf)

UNEP (2013) Programme Manual

[http://www.unep.org/QAS/Documents/UNEP\\_Programme\\_Manual\\_May\\_2013.pdf](http://www.unep.org/QAS/Documents/UNEP_Programme_Manual_May_2013.pdf)

UN Habitat (2003) Programme & Project Cycle Management Manual

[http://mirror.unhabitat.org/downloads/docs/5436\\_79115\\_801\\_Programme\\_and\\_Project\\_Cycle\\_Management\\_Manual.pdf](http://mirror.unhabitat.org/downloads/docs/5436_79115_801_Programme_and_Project_Cycle_Management_Manual.pdf)

UN Habitat (2009) Guide: Programme and Project Review Mechanism

[https://mirror.unhabitat.org/files/9597\\_PRC\\_Guide\\_fin.pdf](https://mirror.unhabitat.org/files/9597_PRC_Guide_fin.pdf)

UNOPS (2014) Programme Management Guidance

UNOPS (2013) PRINCE2® Foundation and Practitioner E-learning Course Manual

### Accountability resources

Bartsiotas, G.A.; Achamkulangare, G. (2016) Fraud Prevention, Detection and Response in United Nations System Organizations. Joint Inspection Unit. JIU/REP/2016/4

[https://www.unjiu.org/en/reports-notes/JIU%20Products/JIU\\_REP\\_2016\\_4\\_English.pdf](https://www.unjiu.org/en/reports-notes/JIU%20Products/JIU_REP_2016_4_English.pdf)

ECE (2011) United Nations Economic Commission for Europe Accountability Framework

[https://www.unece.org/fileadmin/DAM/OPEN\\_UNECE/Accountability/ECE\\_Accountability\\_Framework-11Oct2011.pdf](https://www.unece.org/fileadmin/DAM/OPEN_UNECE/Accountability/ECE_Accountability_Framework-11Oct2011.pdf)

UNEP (2010) Implementation of the Programme of Work 2010-2011: The UNEP Programme Accountability Framework

<http://www.unep.org/QAS/Documents/UNEPProgrammeAccountabilityFramework.pdf>

UN Habitat (2015) Programme Accountability Framework

<http://unhabitat.org/wp-content/uploads/2015/09/01/UN-Habitat%20Accountability%20Framework.pdf>

Zahran, M.M. (2011) Accountability Frameworks in the United Nations System. JIU

[https://www.unjiu.org/en/reports-notes/JIU%20Products/JIU\\_REP\\_2011\\_5\\_English.pdf](https://www.unjiu.org/en/reports-notes/JIU%20Products/JIU_REP_2011_5_English.pdf)

### M&E system resources

ESCAP (2010) ESCAP M&E System: Monitoring & Evaluation System Overview and Evaluation Guidelines

<https://www.unescap.org/sites/default/files/ESCAP-M&E-System.pdf>

UNDP (2009) Handbook on Planning, Monitoring and Evaluating for Development Results. United Nations Development Programme

<http://web.undp.org/evaluation/evaluations/handbook/english/documents/pme-handbook.pdf>

UNICEF (2005) A UNICEF Guide for Monitoring and Evaluation: Making a Difference?

<http://preval.org/documentos/00473.pdf>

### Audits

OIOS (2016) Report 2016/060: Audit of the management of the regular programme for technical cooperation projects and activities in the Economic Commission for Africa.

<https://oios.un.org/page/download/id/513>

OIOS (2016) Report 2016/066: Audit of management of technical cooperation projects in the Economic Commission for Africa.

<https://oios.un.org/page/download/id/519>

### ECA

ECA (2016) Advisory Committee on Administrative and Budgetary Matters (ACABM), Terms of Reference (Revised)

ECA/CDD (2014) Capacity Development Strategy

[http://www.uneca.org/sites/default/files/PublicationFiles/capacity\\_development\\_strategy.pdf](http://www.uneca.org/sites/default/files/PublicationFiles/capacity_development_strategy.pdf)

ECA (2014) The ECA Communications Strategy: How communications and media relations will project and help bring about the “new” ECA

<http://www.uneca.org/sites/default/files/PublicationFiles/The-ECA-Communications-Strategy.pdf>

ECA (2014) The ECA Knowledge Management Strategy: Managing the Knowledge of a Knowledge Organization

[http://www.uneca.org/sites/default/files/PublicationFiles/The-ECA-Knowledge-Management-Strategy\\_en.pdf](http://www.uneca.org/sites/default/files/PublicationFiles/The-ECA-Knowledge-Management-Strategy_en.pdf)

ECA (2014) Evaluation Policy

<http://repository.uneca.org/bitstream/handle/10855/22852/b11524674.pdf?sequence=1>

ECA (2014) Interoffice Memorandum ODES/14/07/0019, Criteria for resource allocation and XB resource request template. ODES to All Directors/OICs, 24 July 2014

ECA (2013) ECA Planning and Budgeting Terminologies and Processes

### UN HQ

UN (2012) United Nations Finance and Budget Manual, Version 1.0. Department of Management, Office of Programme Planning, Budget and Accounts

UN (2008) Generic Job Profile: Associate Programme Officer - P2

UN (2008) Generic Job Profile: Programme Officer -P3

UN (2008) Generic Job Profile: Programme Officer -P4

UN (2008) Generic Job Profile: Chief of Branch/Service/Division - D1

UN (2007) Generic Job Profile: Programme Assistant – GS-7

UN (2007) Generic Job Profile: Chief of Unit/Section - P5

### Non-UN

APM (2017) Body of Knowledge On-Line: Project Management Knowledge Hub

<https://www.apm.org.uk/body-of-knowledge/>

APM (2017) Portfolio Management. Association for Project Management

<https://www.apm.org.uk/body-of-knowledge/context/governance/portfolio-management/>

APM (2017) Programme Management. Association for Project Management

<https://www.apm.org.uk/body-of-knowledge/context/governance/programme-management/>

APM (2017) Project Management. Association for Project Management

<https://www.apm.org.uk/body-of-knowledge/context/governance/project-management/>

Barton, T. (2016) M&E System guide. BRAC Bangladesh

Barton, T. (2006) Project Management System Handbook (draft). AMREF

Barton, T. (1997) How are we doing? Guidelines to Monitoring and Evaluation. CARE-USA/CARE-Uganda

Caldwell, R. (auth) Barton, T. (ed) (2002) Project Design Handbook. CARE-USA

Champoux, H. (2012) PPM Briefing Series #1: What Is Project Portfolio Management (PPM)? etimes: Resources for Project Managers. September 19, 2012

<https://www.projecttimes.com/articles/ppm-briefing-series-1-what-is-project-portfolio-management-ppm.html>

Prince2 Training Organisation (2014) Best Practice Model

OGC (2009) Portfolio Management Guide, Final Public Consultation Draft. Office of Government Commerce, HM Treasury

[http://www.epmgroup.dk/files/u2/PfM\\_Guide\\_OGC.pdf](http://www.epmgroup.dk/files/u2/PfM_Guide_OGC.pdf)

# ANNEX Section 2 - Concept Note (CN)

## Template, Checklist, & Criteria for review

### ANNEX 2.1: CN template

Recommended maximum length – 12 pgs

All factual information provided, in all sections of the concept note, must be verifiable. If any information is found to be incomplete, the concept note will be rejected

#### Cover Page

A. Project / Programme Information	
<b>Initiative title:</b> Full title of the initiative & indicate whether it is a programme/ project/ or event.	
<b>Initiative nature:</b> Programme, project, or event	
<b>Location - Country (ies) / region:</b> <ul style="list-style-type: none"> <li>Specify where the initiative (programme/ project/ event) will be implemented (e.g., in which specific countries)</li> <li>Specify any vision for scaling up the initiative (e.g., to all Member states within a REC, etc.).</li> </ul>	
<b>Accountable programme/ sub-programme:</b> Full name of the accountable 'parent' programme/sub-programme that submits the CN, and to which the initiative (programme/ project/ event) contributes (or of which it will be a component)	
<b>Responsible Subprogramme/Division:</b> Other implementing division/SRO, section, or centre for the initiative	
<b>Partners:</b> Proposed/planned implementing partners	
<b>Budget:</b> Estimated overall total budget figure	
<b>Primary contact person:</b> <div style="text-align: right;">             Name              Title              Email              Telephone number           </div>	
<b>Secondary contact person:</b> <div style="text-align: right;">             Name              Title              Email              Telephone number           </div>	
<b>Submission date:</b> When CN submitted	

## Outline of the concept note

1. Background and problem analysis
  - a. *Provide an overview of context & policies, key issues to be addressed by the initiative, & its innovation. Provide background to understand why the proposed approach has been chosen, & why the project idea is innovative in absolute terms or a novelty in its application & adaptation to a specific context*
  - b. *Problem analysis: Why is this initiative needed? Relevance: Why should ECA undertake this initiative? What problem or opportunity will the initiative address & why is it important? How relevant is your proposal to the needs & constraints of the target country(ies) or region? Describe the scope of the problem; outline the particular challenges that the initiative will seek to address in the specific geographic location(s). Provide a sense of scale of the issue to be addressed through the initiative. Explain the demonstrated need for the intervention – provide strong evidence & analysis for the need for the initiative, i.e., data that points to a gap in services, facilities, governance, & specify how the problem impacts on marginalized or disadvantaged groups. What are the main root causes for this problem? Which of these causes does the initiative address & what is the rationale behind this choice? Are there other organizations working on the same problem in the proposed location/s?*
  - c. *Planning & Consultation: Explain what consultations have been carried out & how they have influenced the design. Describe beneficiary involvement in analysing needs & preparing the design. State whether a written request has been received from beneficiary to jointly implement the intervention. State whether a review of previous relevant ECA experiences has been conducted, & if so, explain how this design has used earlier lessons to build on successful practice & avoid repeating mistakes. [include references to specific documents, e.g., ECA evaluations, etc.]*
2. Relationship to the Strategic Framework for the period 2018- 2019 and the SDGs and targets and the AUC Agenda 2063 (short references, limited text)
  - a. *Alignment – All initiatives are part of a wider portfolio for ECA. Explain how the initiative aligns with Agenda 2030 for SDGs, AUC 2063 and the ECA's overall strategic framework,*
3. Goal/Impact and indicators of achievements (See beneficiaries and stakeholders, aim and objective below)
  - a. *Objectives must be clearly defined & realistic to achieve within the scope of the initiative; they should also be 'SMART' (i.e., specific, measurable, achievable, relevant & time bound); what changes can realistically be expected. Describe which member States/organizations will benefit the most from the implementation of the initiative; ensure this description is disaggregated according to gender criteria.*
4. Expected accomplishments/Outcomes and indicators of achievements (1/2 page)
  - a. *What outcomes is the initiative seeking to accomplish? – [should be 'SMART']*
5. Outputs (including gender markers) and indicators of achievements (1/2page maximum)
  - a. *Please list all outputs that are relevant to observe & measure progress towards the objectives [Outputs are the deliverables, i.e., goods, services, infrastructure & other immediate products – including knowledge/analytical products– that result directly from initiative activities.]*
  - b. *Indicate gender marker for each output. Refer to Annex 2.5 for Gender marker guideline*
6. Strategy for implementation (Maximum 2 pages):
  - a. *What are the planned interventions/ activities for each output? [Activities are actions taken or work performed to produce the outputs.]*
  - b. *Describe how this initiative is different/unique from other projects addressing the same issue? Why will your plan/proposal work? Provide your theory/hypothesis for how change will happen in this particular context (i.e., the causal relationship between the proposed interventions & the expected outcome & impact results) & what evidence do you have for this theory. Linked to the theory of change [TOC], a coherent but simple results framework should be set out which covers the intended target beneficiaries, sector/technical focus, & expected results & activity types. What are the quantitatively or qualitatively measurable concrete results expected? Describe how the initiative will be implemented, including: links/ synergies with existing investments/interventions of ECA and/or Government, sector convergence. Describe in what ways ECA is well placed to undertake this action. Refer to the ECA's core functions & the work carried out by other actors in the target country(ies) or region(s). Refer to Annex 3.3 and 6.1 for results framework*
  - c. *Management team: Identify/specify the Accountable Manager (e.g., Division Director), the Responsible Manager (e.g., Section Chief), & the main management officer (e.g., PMO).*

## ANNEX Section 2: Concept notes

- d. *Describe how the team will work together during major stages/phases of the initiative & how roles & responsibilities are expected to change*
7. Logical framework/Results framework matrix
  - a. *Use template provided in Annex 6.1*
8. Risk analysis and mitigation
  - a. *Provide risk analysis - economic risks, e.g., impacts on economy such as exchange rate fluctuations, government policies & regulations that affect investments; social risks, e.g., impacts on most marginalized and/or vulnerable groups, land acquisition, resettlement or other relevant potential social impacts; environmental risks, e.g., impacts on natural habitats, on physical cultural resources and/or other relevant potential environment impacts; political & operational risks, e.g., upcoming elections that could change government commitments; required co-finance does not materialise.*
  - b. *Outline the mitigating measures to be undertaken to minimise those potential adverse outcomes/impacts.*
9. Results Based Budget
  - a. *Provide an overall projected figure for implementing the initiative (detail to be provided in annex). A detailed budget is not required at stage of Concept Note submission. Proposed budget should describe total costs estimated per main budget category line. Costs shall be reasonable, allocable & allowable. Also give short description of each category. Break down budget to show ECA's contribution, costs & contributions from other funders.*
  - b. *Results Based Budget template refer to Annex 4.2:*

## ANNEX 2.2: Checklist for CN self-assessment

The checklist is used for self-assessment and for administrative pre-screening, i.e., to ensure that the CN is appropriate and complete, before it is sent onward to a committee for technical review.

Administrative & contact data	To be filled in by the applicant
<b>Contact unit:</b> Name of the Submitting division/SRO, section, centre, etc.)	
<b>Date of submission</b>	
<b>Partner 1</b>	
<b>Partner 2</b>	
<i>NB: Add as many rows as there are partners</i>	

Before sending your concept note, please check that all of the following components are complete & respect the following criteria/guiding questions:	To be filled by applicant		To be filled by Managing Authority	
	Yes	No	Yes	No
<b>Part 1: Administrative</b>				
<b>Format/presentation</b>				
1. Is the Concept Note presented according to ECA's published format for CNs?				
2. Is the contact information correct & complete for applicant & all identified partners?				
3. Is the Concept Note in English (or other accepted language) & typed <i>in a font no smaller than Lato 10pt, A4 format, with normal (1") margins</i> ?				
4. Is your concept note only 12 pages, as stipulated?				
5. Is your initiative title short & clearly describes the initiative?				
6. Is the concept note coherent & understandable?				
7. Are all abbreviations/acronyms explained?				
8. Have all spelling mistakes been corrected?				
9. Is the budget mathematically correct?				
<b>Design</b>				
10. Have you identified the specific problem that your initiative will solve?				
11. Have you clearly described & quantified your target group? <i>[Note targets are mostly member states, AUC &amp; RECs]</i>				
12. Have you clearly stated your proposed objective/s (desired/planned outcomes)?				
13. Are the objectives linked to a programmatic (or organisational/portfolio) level theory of change, & are gender sensitive?				
14. Have you clearly stated your proposed outputs (products and/or services)?				
15. Have you presented budget items by segregating the contribution from different funding sources?				
<b>Part 2: Eligibility</b>				
16. Is the initiative in line with the ECA mandate & programme of work?				
17. If no, please indicate which emerging issue this activity relates to & the specific legislative mandate provided by GA, ECOSOC, African Union & other intergovernmental bodies it links to?				
18. Does the CN incorporate ECA's quality assurance criteria?				
19. Is the requested budget within the approved programme of work & the annual business plan?				
20. Have you & the partners agree on joint implementation? Do you have evidence to that effect?				
21. If the project will include IPs with funding from ECA, have you completed due diligence process?				
<b>Final check</b>				

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22. Are you sure you have completed all sections of the concept note?				
23. Have the present Checklist & the Declaration by the applicant been completed & attached with the Concept Note?				
24. Does the submission include one original & at least 2 copies?				
25. Is an e-copy/soft-copy of the CN & all required document attachments provided on an electronic data storage unit (e.g., flash drive)?				

If you have ticked all questions with “YES”, then you can submit your concept note. If you have ticked any question with “NO”, think about revising your concept note; or, explain why in a covering letter.

## ANNEX 2.3: Quality assurance checklist for CN/Programme and Project Documents

### Overview Note

This checklist is designed to review the quality of ECA programmes and projects at entry. The list intends to be exhaustive covering all ECA Quality Assurance Objectives. The Review Panel reserves the right to select criteria that are most appropriate to the nature of programme/project under review. As such, the decision for final approval should be adjusted accordingly.

### Checklist

<b><u>Instruction to reviewers/raters:</u></b>				
3 = Exceeds expectations; 2 = Meets expectations; 1 = Needs improvement				
Please provide substantial feedback under comments (wherever the criteria are applicable) to improve the proposed programme/ project.				
=====				
<b>To what extent does the programme/project meet the following ECA quality objectives?</b>				
<b>1. Putting Africa First: <i>ECA applies cutting edge understanding of African development policy issues, &amp; its contributions are strategic in nature aimed at effectively influencing development outcomes that make a difference in Africa's Transformation</i></b>				
<b>Assessment Criteria</b>	<b>Rating</b>			<b>Comments</b>
1. Adequately address structural transformation	3	2	1	
2. Empowers Africa to tell its own story	3	2	1	
3. Responds to key African development policy priorities	3	2	1	
4. Advances African development policy agenda	3	2	1	
5. Relevant & clear contribution to dialogue in key African development policy priorities	3	2	1	
6. High potential to influence priorities & programmes of key partners working on African development policy issues	3	2	1	
7. Applies cutting edge understanding of African development policy issues	3	2	1	
8. Is strategic & will contribute in influencing development outcomes that make a difference in Africa's transformation	3	2	1	
9. Stakeholders involvement & ownership of the programme/ project, e.g., any instruments for stakeholders mapping; consultations?	3	2	1	
<b>2. Integrated &amp; Coherent Approach: <i>ECA applies an integrated approach to its development interventions that brings together inter-related strands of work in each priority area, between policy research &amp; knowledge delivery strands of work. ECA's interventions are comprehensive rather than piecemeal</i></b>				
<b>Assessment Criteria</b>	<b>Rating</b>			<b>Comments</b>
9. Brings together work of different ECA Divisions /SROs/ IDEP - builds synergies & demonstrates complementarities between knowledge generation & knowledge delivery strands of work of ECA	3	2	1	
10. Comprehensive rather than piecemeal	3	2	1	
11. ECA accumulated knowledge, analytical work & policy research on subject matter is taken into consideration	3	2	1	
<b>3. "Good-fit": <i>ECA project &amp; knowledge delivery is well-attuned to policy processes &amp; highly sensitive to context &amp; dynamics seizing opportunities as they emerge. Shows causal link between outcomes &amp; the outputs are SMART</i></b>				
<b>Assessment Criteria</b>	<b>Rating</b>			<b>Comments</b>
12. Adequacy of project supervision & outcome monitoring plans, indicators of project performance are SMART; has clear causal links between expected	3	2	1	

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outcomes & planned activities; adequate budget for M&E plan				
13. High potential to lead to meaningful changes in policy or programme formulation, implementation, monitoring & evaluation in member States	3	2	1	
14. Procedures for identifying, tracking & responding to various risks to implementation & achievement of planned outputs, including operational risks	3	2	1	
15. Adequacy of project supervision & outcome monitoring plans, indicators of project performance are SMART, has clear causal links between expected outcomes & planned activities; adequate budget for M&E plan	3	2	1	
<b>4. Evidence-based: Policy options are based on clear evidence through calibrated research, sound statistics &amp; continued learning, including on capacity development challenges &amp; solutions</b>				
<b>Assessment Criteria</b>	<b>Rating</b>			<b>Comments</b>
16. Use of sound & robust data	3	2	1	
17. Use of country/primary data to the extent possible	3	2	1	
18. Analysis & policy recommendations grounded on sound statistics, clear & objective evidence	3	2	1	
19. Recommendations are supported by the analysis	3	2	1	
<b>5. Gender mainstreaming: ECA aims to mainstream a gender perspective in all its subprogrammes, outputs &amp; activities</b>				
<b>Assessment Criteria</b>	<b>Rating</b>			<b>Comments</b>
20. Project Objective (s) use gender-neutral terms (i.e., people) or mention women & men specifically; Objectives identify gender gaps & focus on how to narrow these gaps; Programme/project outputs influence gender equality & women empowerment	3	2	1	
21. Project outputs: Gender marker assigned to each output	3	2	1	
22. Use of sex-disaggregated data & analysis	3	2	1	
23. Use of gender sensitive data & analysis	3	2	1	
24. Gender Budget allocated for each output	3	2	1	
<b>6. Capacity development as system change: ECA applies cutting edge understanding of capacity challenges &amp; approaches to conceive &amp; deliver policy research</b>				
<b>Assessment Criteria</b>	<b>Rating</b>			<b>Comments</b>
25. Applies cutting edge understanding of capacity challenges & approaches in analysis & recommendations	3	2	1	
<b>7. Theoretical Soundness: ECA's work logically builds on existing knowledge and theory from within and beyond the direct research and experience of ECA</b>				
<b>Assessment Criteria</b>	<b>Rating</b>			<b>Comments</b>
26. Adequately review background of the research problem	3	2	1	
27. Adequacy of overview of relevant (theoretical & empirical) background literature	3	2	1	
28. Theoretical depth of proposed programme/project	3	2	1	
<b>8. Methodology, including M&amp;E</b>				
<b>Assessment Criteria</b>	<b>Rating</b>			<b>Comments</b>
29. Is the alignment of the proposed initiative (programme, project, or event) to the expected accomplishments of ECA's strategic framework/mandate sufficiently described & detailed?	3	2	1	
30. Does the CN have a theory of change or demonstrate a clear link (contribution) to any existing ToCs of ECA's portfolio & programmes?	3	2	1	
31. Are the objectives & expected results clearly formulated & relevant to the problems to be solved?	3	2	1	

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32. Does the initiative have a coherent strategy for monitoring & evaluating progress & the results framework, as well as unforeseen outcomes?	3	2	1	
33. How/in what ways does the initiative address gender equality & women empowerment?	3	2	1	
34. Does the initiative address long term sustainability? Are strategies articulated & feasible to ensure the proposed initiative will continue to be implemented/influential after external support is ended?	3	2	11	
35. Accuracy of empirical parts, such as research methods & qualitative and/or quantitative analyses techniques?	3	2	1	
36. Does the data set & analysis method clearly lead to a basis for formulation of conclusions?	3	2	1	
37. Is there a plan for capturing & disseminating lessons from the initiative?	3	2	1	
<b>9. Resource mobilization &amp; expenditure planning</b>				
<b>Assessment Criteria</b>	<b>Rating</b>			<b>Comments</b>
38. Resource Planning: Does the Budget allocation match prioritization of planned activities;	3	2	1	
39. Does the proposal identify realistic possibilities for significant co-financing?	3	2	1	
40. Budget & expenditure monitoring & control: Are measures & procedures in place to minimize budget overruns?	3	2	1	

### Conclusion (select one)

#### Decision (using standard criteria above):

- **Approve:** 20 or more criteria are rated as 3 (exceeds expectation) or 2 (meets expectation)
- **Approve with modifications:** Between 12 and 20 criteria are rated as 3 (exceeds expectation) or 2 (meets expectation)
- **Disapprove:** 12 or less criteria are rated as 3 (exceeds expectation) or 2 (meets expectation)

#### Decision (where standard criteria not fully usable):

In cases where all the criteria would not apply, kindly use a percentage rating as follows:

- **Approve:** 74% or more criteria are rated as 3 (exceeds expectation) or 2 (meets expectation)
- **Approve with modifications:** Between 44% and 74% criteria are rated as 3 (exceeds expectation) or 2 (meets expectation)
- **Disapprove:** 44% or less criteria are rated as 3 (exceeds expectation) or 2 (meets expectation)

#### Overall rating

- ☐ **Approve:** the proposed initiative (programme, project or event) is ready for implementation, taking into account the (limited) comments made for improvements.
- ☐ **Approve with modifications:** the initiative (programme, project or event) is ready for implementation taking into account the comments that still have to be addressed.
- ☐ **Disapprove:** the initiative (programme, project or event) is not ready for implementation and is not likely to be ready within a short period of time or is not appropriate for ECA.
-

## ANNEX 2.4: Event/small project PD template & criteria for review/quality, ACABM Resources Request Template

### Part 1 – General Information and Accountability framework

1. Requesting/Accountable Division/SRO\*: \_\_\_\_\_
2. Responsible officer (Project manager) [name, title/position, & signature] \_\_\_\_\_
3. Accountable Officer (Programme manager)\* [name, title/position, & signature] \_\_\_\_\_
4. Title of the Proposed Project/Event\*: \_\_\_\_\_
5. Total budget for the project/event \_\_\_\_\_
6. Requested amount (in USD) \*: \_\_\_\_\_
7. As % of total budget \_\_\_\_\_
8. Date of submitting request\*: \_\_\_\_\_

### Pre-existing funding arrangements (if co-funding requested)

Y/N (circle)	Questions	Responses
Y / N	9. Funding source already identified?	
If above is Y	10. If yes, what agency/organization?	
	11. What is the nature of the 'promise' – cooperation agreement, email, other?	
	12. What amount is promised? (in US\$)	
	13. What proportion of the total budget is promised? (in %)	
Y / N	14. Does the funding source commit to cover overhead (13%)	
If above is N	15. If No, what is the gap? (in US\$)	
	16. What proportion of the total budget is needed? (in %)	

### Short list of minimum requirements [pre-screening]

Y/N (circle)	Questions	Comments
Y / N	17. Risk register present in proposal document	
Y / N	18. Gender marker present in proposal document	
Y / N	19. Proposal cover/summary sheet attached	
Y / N	20. Budget summary attached	

### Part 2 - Checklist

#### A – For soft earmarked funds

Y/N (circle)	Questions	Responses
Y / N	21. Does the proposed project/event support the ECA reform process through implementation of corporate strategies including Capacity Development Strategy, Communication Strategy, Knowledge Management Strategy, Partnership Strategy?	
If above is Y	22. If yes, which one (s)?	
	23. what <i>outcomes/impacts</i> (not outputs) will show it?	
Y / N	24. Will this project/event be able to contribute to measurable/observable impacts within the defined time frame of the proposal?	
If above is N	25. If no, what is the realistic time frame to reach/be able to document impacts arising from this project/event?	
Y / N	26. Does the proposed project/event contribute to ECA's vision of becoming a "think-tank of reference" on Africa's development?	
If above is Y	27. If yes, which thematic areas does this project/event fall under? <input type="checkbox"/> Industrialization <input type="checkbox"/> Development planning <input type="checkbox"/> Natural resources management <input type="checkbox"/> Macroeconomic policy	
	28. If no, specify the thematic focus of the project/event	
Y / N	29. Will this project/event contribute to policy research?	
If above is Y	30. If yes, please specify the thematic area/s:	
	31. If yes, what proportion of the proposed budget is dedicated to this purpose? (as %)	
Y / N	32. Will this project/event contribute to knowledge delivery services?	

## ANNEX Section 2: Concept notes

If above is Y	33. If yes, please specify the thematic area/s:	
	34. If yes, what proportion of the proposed budget is dedicated to this purpose? (as %)	
Y / N	35. Does the proposed project/event contribute to one or more of the following output categories? <input type="checkbox"/> ECA conferences <input type="checkbox"/> ECA publications. <input type="checkbox"/> Country profiles.	
If above is Y	36. If yes, give details about how the proposed project/event contributes: <input type="checkbox"/> ECA conferences. Please specify <input type="checkbox"/> ECA publications. Please specify. <input type="checkbox"/> Country profiles. Please specify.	
If above is N	37. If no, specify the output category to which the proposed project/event contributes.	
Y / N	38. Does this project/event target specific sub-regions?	
If above is Y	39. If yes, Please specify sub-regions covered by the project/event	
If above is N	40. If the project/event does not target sub-regions, please specify countries that will be covered by the proposed project/event.	
Y / N	41. Does the proposed project/event respond to emerging issues emanating from legislative mandate/ decision?	
If above is Y	42. If yes, please specify what mandate, and what issues.	

Notes: ACABM will review and ensure balance between policy research and knowledge delivery services

### Gender orientation

Y / N	43. Does the proposed project/event take into account the UN system wide action plan for gender equality?	
If above is Y	44. If yes, what shows it? [please specify/give details]	
Y / N	45. Are gender markers indicated in budget section of this proposal?	
Y / N	46. Has the proposal addressed the different situations faced by men and women?	
If above is Y	47. If yes, how will the outputs address these differences?	
If above is N	48. If there is no gender element in the proposed project/event, explain why	
Y / N	49. Will the project/event collect & report on gender disaggregated data?	
If above is Y	50. Specify how these will be approached	

### Partnering and collaboration

Y / N	51. Does the proposed project/event involve inter-divisional/ SRO collaboration?	
If above is Y	52. If yes, please list all of the collaborating divisions, SROs, or other UN institutions	
	53. If yes, please specify the roles of each of the collaborating Divisions/SROs	
Y / N	54. Has a due diligence assessment been conducted on the selected partners within the past 12 months?	
If above is Y	55. If yes, is a copy of the assessment annexed to the proposal?	
If above is N	56. If no, what is mitigation strategy proposed?	
Y / N	57. Does the proposed project/event include value-adding partnerships with research / academic institutions, as implementation strategy, to jointly undertake policy research in priority areas listed above?	
If above is Y	58. If yes, please specify the partners	
	59. If yes, please specify the expected value addition	
If above is N	60. If no, please specify the types of other partners that the project/event intends to work with	
Y / N	61. Will the proposed partnership lead to a policy-oriented publication?	
If above is Y	62. Please specify/give details	

### B – For hard earmarked funds

Y / N	63. Is the proposed project/event designed and/or developed jointly with other Divisions, SROs, IDEP and/or Centres?	
If above is Y	64. If yes, please specify which one/s.	

## ANNEX Section 2: Concept notes

Y / N	65. Is the proposed project/event aligned with the expected results areas of any of ECA's Centres (ACPC, AMDC or LPI)	
If above is Y	66. If yes, please specify which one/s.	

### Part 3 - Attached Proposal Cover sheet [which must include the following components]

1. Background Information and Justification *
2. Linkages with the Regular Programme of Work for the current biennium
3. Objectives
4. Expected Results (specify outcomes and outputs)
5. Project/event Activities and Corresponding Timelines
6. Risk register summary – showing highest risks and mitigation strategies

Note: components 3 & 4 can be combined in a Results Framework

### Part 4 – Budget summary sheet [which must include the following components]

#### Resource requirements

Output	HR needs/ plan (implication)	Procurement needs / plan (implication)	Estimated Cost	Gender Marker

#### Justification for gender marker

Output	GM	Justification

### Part 5 – List of attachments

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_

## ANNEX 2.5: Gender Equality Markers Guideline

### How-to-Guide for Gender Equality Markers For Annual Business Plan

This note provides an overview of ECA's approach to Gender Equality Markers to assist programme management assistants or focal points in assigning Gender Markers ("GM" hereafter) to each PPB and non-PPB output in accordance with the ECA Operational Quality Policy and Plan 2014-2017 that contains provisions for a common approach to ECA-wide Gender Markers. GM is only one tracking tool that monitors the types of investments primarily focused on or significantly contributing to gender equality and empowerment of women. As such, it provides indicative data rather than precise statistics. GM is a part of larger accountability and results-reporting structure led by SPOQD. This brief provides instructions on gender marker coding at annual business planning stage. The brief is based on the Guidance Note on ECA Gender Marker Pilot developed during August 2015 by the African Centre for Gender (ACG). Capacity development for focal points will be organized by SPOQD and ACG in a timely manner for effective coding. Quality assurance of gender coding will be completed by the Operational Quality Section.

#### Instructions for Gender Coding:

1. Unit of analysis and stage of programme cycle: Markers are annually assigned at the "**output**" level (column 2 of ABP) in the planning stage to estimate resource allocation for gender equality and empowerment of women (GEEW). These markers are later reflected in the actual expenditures to track real investments in gender equality over time and set targets for the % of resources to be allocated to each gender marker.

2. Rating scheme and definitions: A **5-point** scale (see Box 1) is adopted to code the extent to which each PPB/non-PPB output is expected to contribute to or support changes in GEEW. Outputs must be coded based on what is explicitly stated rather than what is implied or considered common knowledge to managers or others doing the coding.

3. Budgeting: As a financial tracking tool, GM will be incorporated into internal financial reporting. To this end, it is of utmost importance that **full costs** (staff and non-staff) for all budgets (RB, XB, RPTC and DA) are estimated and reported on the ABP. Focal points are requested to itemize all items of expenditure for each output and estimate the total budget using the sample Excel file attached to this brief. For staff costs, estimated proportion of staff time dedicated to a specific output needs to be determined to account for all resources invested in GEEW.

#### Box 1. ECA Gender Marker Rating Scheme

**3** = Has gender equality and/or the empowerment of women and girls as the **primary** or **principal** objective

**2** = Makes a **significant** contribution to gender equality and/or the empowerment of women and girls

**1** = Makes a **limited** contribution to gender equality and/or the empowerment of women and girls

**0** = Makes **no** contribution to gender equality and/or the empowerment of women and girls (but should do)

**N** = Not applicable

# ANNEX Section 3 – Proposal documents

## ANNEX 3.1: How to do a stakeholder analysis

### How to do a Stakeholder Analysis

Stakeholder Analysis can be seen in terms of six generally sequential stages of activity:

**1. Specifying issue(s) to be addressed.** Stakeholders are defined and identified in relation to a specific issue - people and groups only have a concrete "stake" in a specific issue or topic. Hence, the stakeholder identification process operates in respect to a particular specified issue, i.e., the core focus of the initiative (programme/ project/ event).

**2. Long Listing.** With respect to the specified issue, a "long list" of possible stakeholders, as comprehensive as feasible, should be prepared, guided by the general categories of stakeholder groups (e.g., public, private, and population), with further sub-categories for each, gender, youth etc. Engage widely to ensure that you get a full picture of all stakeholders. Involve multiple participants with wide knowledge of the stakeholder environment. Look widely to identify all relevant stakeholders through brainstorming and related methods to stimulate divergent thinking and include multiple opinions and information sources. Ideally, the long list should identify all those that:

- are affected by, or significantly affect, the issue;
- have information, knowledge and expertise about the issue; and
- control or influence implementation instruments relevant to the issue.

To ensure a balanced representation, the analysis should identify and examine potential stakeholders across a number of different dimensions. For example, the analysis should separately identify relevant groups and interests within the public sector, within the private sector, and within social and community sectors. In addition, the analysis can seek out potential stakeholders to ensure proper representation in relation to gender, ethnicity, poverty, or other criteria relevant for the planned initiative. Cutting across these categories, the analysis can also look at stakeholders in terms of their knowledge, expertise and resources applicable to the issue.

**3. Stakeholder profiling:** The "long list" of stakeholders can then be analyzed by different criteria or attributes. This will help determine clusters of stakeholders that may exhibit different levels of interest, capacities, and relevance for the issue. Stakeholder classification helps to answer the fundamental question of "which groups of stakeholders are deserving or requiring manager's attention, and which are not?" Knowledge of such differences will allow systematic exploitation of positive attributes. Identify areas where capacity building is necessary for effective stakeholder participation, and highlight possible "gaps" in the array of stakeholders.

**Understand your stakeholders** - It can be helpful to draw up a table listing each stakeholder and showing the level of priority you have assigned to them, the relationship you have with them and how they are (or will be) affected by your planned initiative. Consider what you know about their actual and previous behaviour and what underlies it.

**Key questions** to help you understand your stakeholders better:

- *What financial or political interest do they have in the outcome of your work? Is it positive or negative?*
- *What motivates them most of all?*
- *What information do they want from you?*
- *How do they want to receive information from you? What is the best way of communicating your message to them?*
- *What is their current opinion of your work? Is it based on good information?*
- *Who influences their opinions generally, and who influences their opinion of you? Do some of these influencers therefore become important stakeholders in their own right?*
- *If they are not likely to be positive, what will win them around to support your project?*
- *If you don't think you will be able to win them around, how will you manage their opposition?*
- *Who else might be influenced by their opinions? Do these people become stakeholders in their own right?*

### Categorize possible stakeholders:

The 'big' questions to ask are:

- *Who affects or is affected by the topic or outcome? What are their needs and concerns?*
- *What is their level of interest and influence? What potential threats or opportunities do they represent?*
- *Whose buy-in is necessary to achieve the desired outcome(s), such as sustained improvements in practice, dissemination and implementation of study findings, policy changes?*
- *Are all necessary categories represented?*

[see box on previous page for more detailed questions that can be explored.]

### Parameters to consider:

- **Power.** level of a stakeholder's authority
- **Interest.** level of concern regarding initiative outcomes
- **Influence.** level of active engagement with initiative
- **Impact.** ability to cause changes in planning or execution

### Stakeholder profiling: assess interests and influence

#	Stakeholder categories/types	Level of interest in the initiative (pos ⇔ neg)	Level of influence on the initiative (pos ⇔ neg)	How to engage/interact?	Need for capacity building/ awareness raising
1					
2					
3					

**Maximize the role and contribution of each stakeholder** - This step in the stakeholder analysis facilitates identifying potential stakeholder roles to best maximize the constructive potential of each stakeholder while also revealing bottlenecks or obstacles that could obstruct realization of their potential /contributions. For example, the analysis could identify a particular stakeholder's lack of information and skills for dialogue and negotiation, factors which undermine the contribution or influence of an otherwise importantly affected group of stakeholders.

**Principles:** a) **Inclusiveness.** Ensure inclusion of the full range of different stakeholders, including marginalized and vulnerable groups. b) **Relevance.** Focus on relevant stakeholders - those who have a significant stake in the process (i.e., not everyone can be included). c) **Gender Sensitivity.** Both women and men should have equal access within the participatory decision-making process.

**4. Stakeholder mapping and prioritizing.** The potential list of stakeholders for any given initiative will always exceed both the time available for analysis and the capability of any mapping tool to sensibly display the results. Therefore, the challenge is to focus on the 'right stakeholders' who are immediately significant and to use the tools to visualize this critical sub-set of the total community. A very useful tool for this process is to plot each stakeholder on the Power-Influence Grid.

### Prioritise your efforts with stakeholders, based on their power and interest

A power/interest grid can be used to map the level of interest different stakeholders have in the operations of your initiative and their power to affect or be affected by it. The two dimensions of the grid – power and interest – speak to the reality that not all players who have an interest in an initiative also have any power to influence decisions about it. By contrasting **interest** (i.e., interest in the policy, strategy, issues addressed and analysed by the organization/ initiative), and **power** (i.e., strength of ability to exert influence over the organization/ initiative), it is possible to identify four categories of stakeholders and discuss relevant strategies for dealing with them. This will help you to decide where you need to invest your stakeholder management efforts.

	Characteristics, significance	Strategies	Summary
Players	Have both power & interest in the issue in question. They	These are the key stakeholders; they need to be engaged & managed on a	High power, interested people: these are the

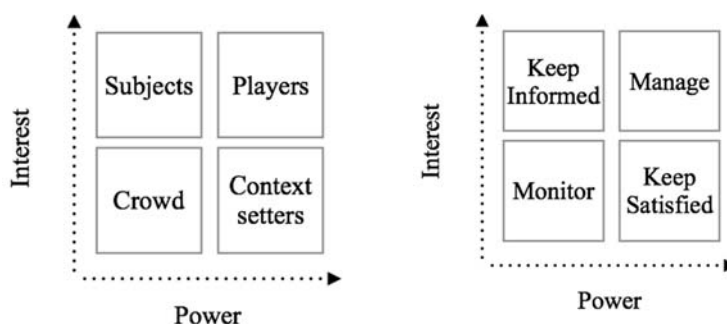
## ANNEX Section 3: Proposal documents

	have the power to support or sabotage the issue. They are the most important stakeholder & require the most attention from the actors trying to implement a strategy.	regular basis. Consult with them regularly and discuss all the steps & elements of the implementation strategy before action as they have the power to support or stop the initiative. Involve them in decision-making as they might be critical actors affecting programme or project success.	people you must fully engage with, & make the greatest efforts to satisfy.
<b>Context setters</b>	Have power but no direct interest in the issue. Due to their power they are able to influence the future overall context.	As they have little interest in the issue in question, they will usually stay passive until something changes their interest level. They need to be kept satisfied & informed. It is best to try to meet their needs to avoid alienating them.	<b>High power, less interested people:</b> work with these people enough to keep them satisfied, but not so much that they become bored with your message.
<b>Subjects</b>	Have an interest in the issue, but have little power in an organisation	The supporters & ambassadors of the initiative. They should be kept informed & involved. Although they have no actual power, they may be able to influence others. They should be especially involved in the areas of interest for them.	<b>Low power, interested people:</b> keep these people adequately informed, & talk with them to ensure that no major issues are arising. They can often be helpful with details of your project.
<b>Crowd</b>	Have little power & little interest in the issue in question. They can be seen rather as potential stakeholders than actual ones.	The group of least interest for the particular project. However, they should be monitored in case of any changes in their interest or power	<b>Low power, less interested people:</b> monitor this group, but do not bore them with excessive communication.

The power-interest grid helps to visualise the positions of individual stakeholders and the relations among them. The two-dimensional power- interest grid visually portrays the four categories of stakeholders.

### Power-interest grid

Low Power & High Interest      High Power & High Interest  
 Low Power & Low Interest      High Power & Low Interest



Clearly, you will need to engage fully with those who have both a high level of interest and a high level of power and take great care over relationships with these groups. You will want to keep those who have power but less interest satisfied, but not overwhelm them with too much information. Those with high interest but little power should be kept informed, but you won't need to pay so much attention to those with little interest and little influence.

Interest of Stakeholders	High	Low to Medium Importance <b>GUARDED</b> (consider / keep informed, possibly in need of empowerment)	Extremely Important <b>HIGH</b> (most critical stakeholder group; watch / manage closely / communicate regularly)
	Low	Least Important <b>LOW</b> (monitor / least effort required)	Medium to High Importance <b>ELEVATED</b> (must be satisfied; advocacy target; useful for decision & opinion formulation, brokering)
		Power / Influence of Stakeholders	High

**5. Plan strategies.** Stakeholder analysis by itself only identifies potentially relevant stakeholders - it does not ensure that they will become active and meaningful participants. Other measures to generate interest and sustain commitment will be necessary as well. Once you have decided which stakeholders you most need to influence and have begun to understand what motivates them, you will be in a position to consider the way forward. Plan specific strategies for approaching and involving each of the priority stakeholders. The assessments in the profiling table and the power-interest grid will help you to do this.

The involvement and engagement of stakeholders is facilitated by mutual confidence, respect, and common values. Stakeholder engagement means working towards a common goal or objective. It does not necessarily focus on “what others can do for us” but rather on “what we can do together”. It is a process of exploration: the potential motivations, reasons, and levers to address an issue from the start should be understood first and then consider how best to work together. Stakeholder engagement is collaborative and not competitive in nature and is based on openness, transparency, and mutual trust. Well managed stakeholders will actively promote and support an action. Where there is mutual respect for one another’s goals, and an understanding that the achievement of positive outcomes will mean different things for different stakeholders, significant progress can be made in tackling social issues.

The following Stakeholder Engagement Worksheet is an optional tool to identify and summarise the engagement and communication strategies with the various high priority stakeholders.

Stakeholder Engagement Worksheet

Stakeholder Name	Communications Approach (from Power/ Interest Grid) <sup>1</sup>	Key Interests & Issues	Current Status <sup>2</sup>	Desired Support <sup>3</sup>	Desired Project Role (if any)	Actions Desired (if any)	Messages Needed	Action & Communication

1. Manage closely/Keep satisfied/Keep informed/Monitor.
2. Advocate/Supporter/Neutral/Critic/Blocker.
3. High/Medium/Low.

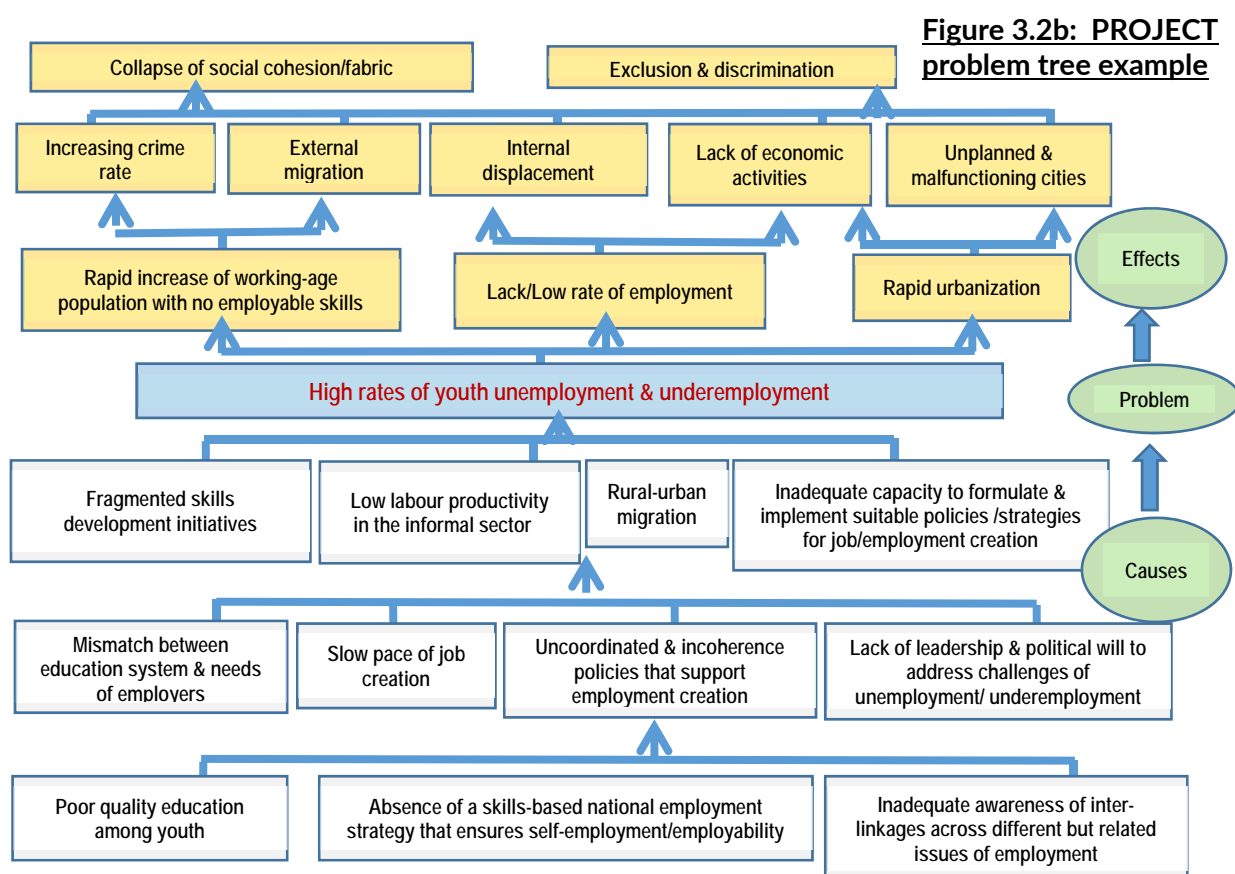
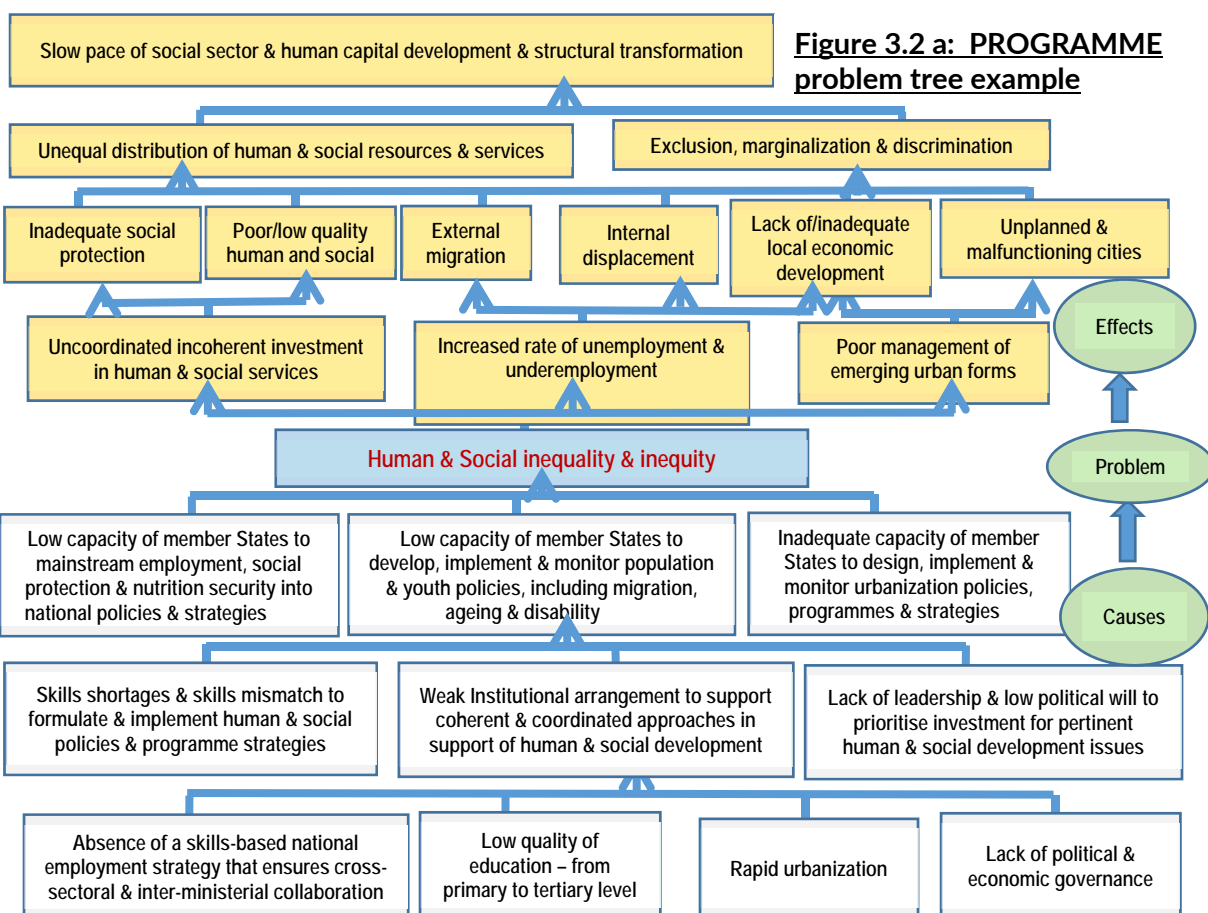
**6. Maintenance, monitoring and review.** Once your action is running, it is important to maintain the cooperation structure with stakeholders and to ensure a constant exchange of information between stakeholders about the actions. The environment within which an initiative operates is not static. The power and interests of stakeholder groups will change over time, so a regular review of stakeholder relationships is essential.

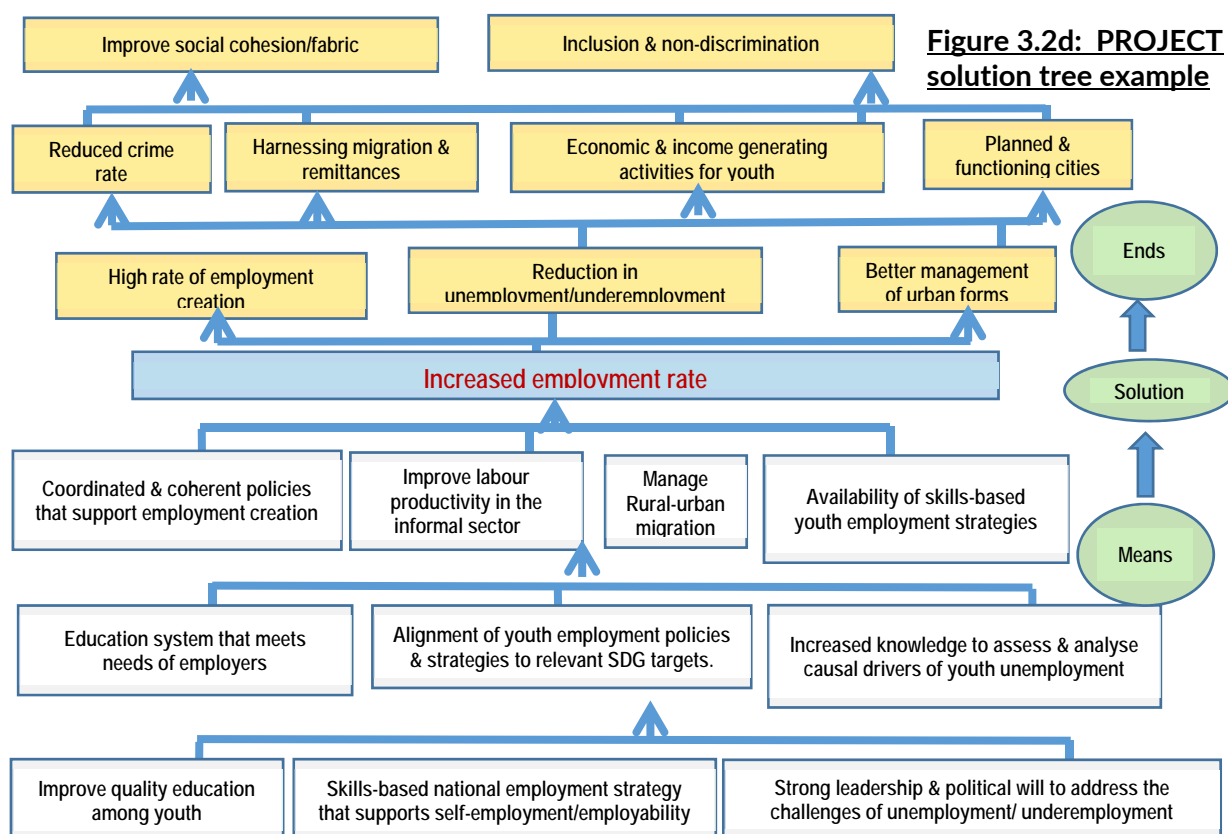
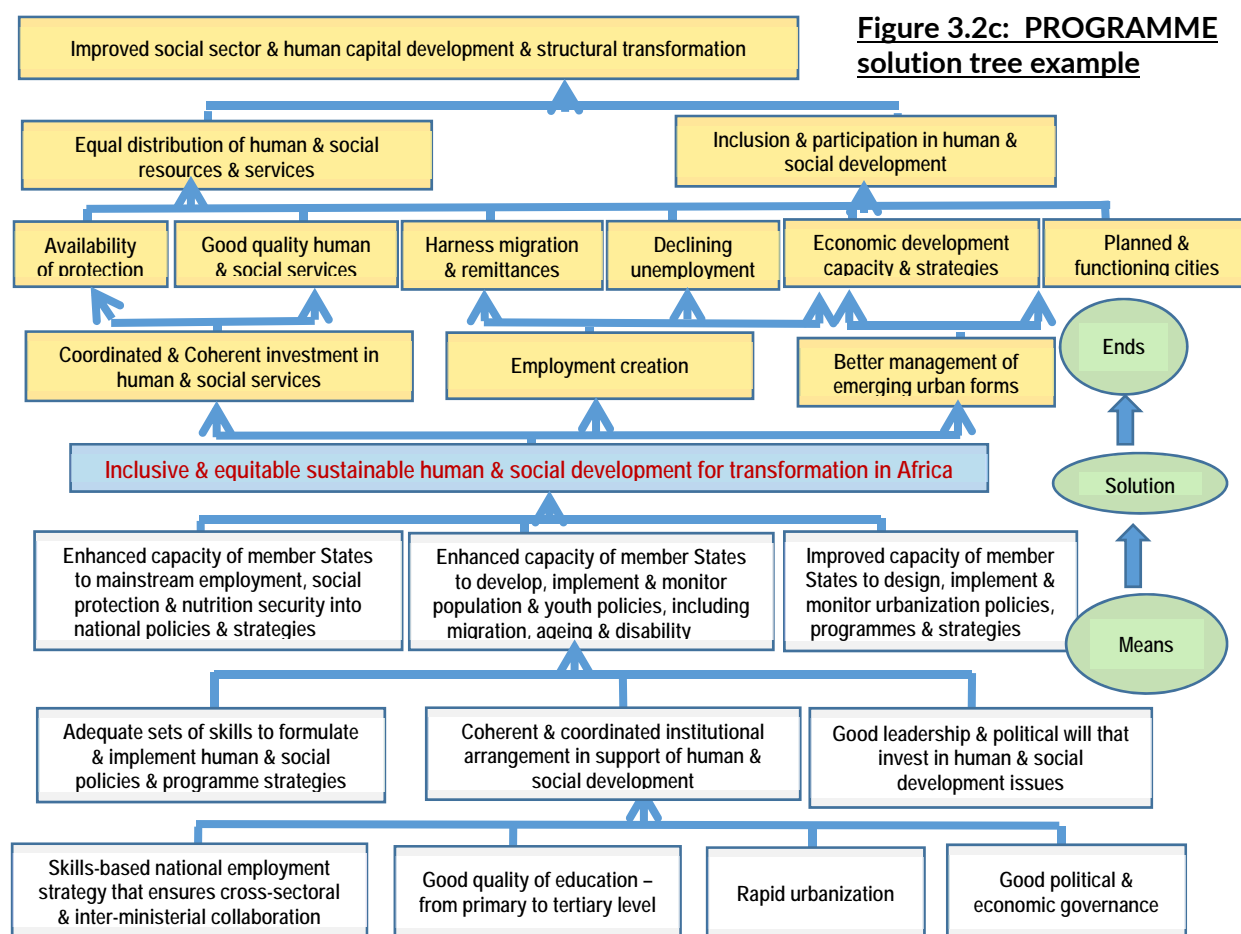
## Sources – Stakeholder Analysis & Power-Interest Grid

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- <http://conferinta.management.ase.ro/archives/2015/pdf/82.pdf>
- [http://mmclearing.com/elearningdemo/cmi/docs/Stakeholder\\_Analysis&Management\\_Checklist\\_234.pdf](http://mmclearing.com/elearningdemo/cmi/docs/Stakeholder_Analysis&Management_Checklist_234.pdf)
- [http://www.utu.fi/fi/yksikot/med/opiskelu/Jatkotutkinto/PGE/Documents/2016/kurssimateriaali/PML16\\_2016\\_L13ProjectStakeholderManagement20160418.pdf](http://www.utu.fi/fi/yksikot/med/opiskelu/Jatkotutkinto/PGE/Documents/2016/kurssimateriaali/PML16_2016_L13ProjectStakeholderManagement20160418.pdf)
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- <http://blogs.unbc.ca/agplanning/files/2016/03/AgLUP-Toolkit-stakeholder-analysis-1022.docx>
- <http://www.health-inequalities.eu/wp-content/uploads/2016/05/Stakeholder-Engagement-Guide1.pdf>



## ANNEX 3.2: Problem and Solution Trees **[EXAMPLES]**





## ANNEX 3.3: Results framework - templates

### Results Framework of ECA

Each sub-programme with its component programmes and projects is designed according to a results framework that specifies the hierarchy of results: Goal/impact, outcome/expected accomplishments, and outputs/activities. The table below shows the results framework with the four result levels, the performance indicators to measure the results, and the role of M&E. The two-year programme cycle at ECA includes programme and project planning, implementation through activities, and M&E. It is important to note that M&E is not an individual time-dependent step in the programme cycle, but is carried out throughout the biennium (and beyond, as most programmes and some projects span more than one biennium).

Result Level		Description	Indicators	M&E
Sub-programme	Programme/Project			
Goal/Objective	Impact	<i>Economic &amp; social development in Africa</i>	<i>Quality &amp; quantity</i> <ul style="list-style-type: none"> <li>- SDGs</li> <li>- Agenda 2063</li> <li>- AAAA</li> <li>- Other relevant social/economic indicators</li> </ul>	<i>Reported at global &amp; regional conferences of UN</i> <ul style="list-style-type: none"> <li>- Analysis from Follow up and review forums</li> <li>- Periodic analyses of AUC, RECs and member States statistics</li> <li>- AUCs/RECs/MS/ ECA reports</li> </ul>
Expected accomplishments	Outcome level 1	<i>Formulation &amp; implementation of social &amp; economic policies &amp; programmes by member States, based on, e.g., commitments from global/regional conferences</i>	<i>Quality &amp; quantity</i> <ul style="list-style-type: none"> <li>- Evidence of number &amp; quality of new or improved policies</li> <li>- Evidence of new or improved delivery of gov't goods &amp; services</li> </ul>	<i>Reported in biennial PPR or other forums based on:</i> <ul style="list-style-type: none"> <li>- Feedback from AUC/RECs/MS</li> <li>- Reports of intergovernmental bodies, EGMs committees, &amp; special bodies</li> <li>- Other sub-programme monitoring by divisions</li> <li>- External or internal evaluations</li> </ul>
Expected accomplishments	Outcome level 2	<i>Capacities or potentials created among member States departments, organisations &amp; individuals (systems &amp; processes; knowledge &amp; skills; &amp; behaviour)</i>	<i>Quality &amp; quantity</i> <ul style="list-style-type: none"> <li>- Satisfaction with number &amp; quality of products &amp; services of ECA</li> <li>- Evidence, where appropriate, of initial follow up &amp; application of skills &amp; knowledge by member States</li> </ul>	<i>Reported in biennial PPR based on:</i> <ul style="list-style-type: none"> <li>- Stakeholder questionnaires, etc.</li> <li>- Reports of committees, States &amp; special bodies</li> <li>- Other sub-programme monitoring by divisions</li> <li>- Evaluations</li> <li>- Evaluative reviews</li> </ul>
Outputs & Activities	Activities	<i>Delivery of products &amp; services, e.g.,</i> <ul style="list-style-type: none"> <li>- Servicing inter-governmental bodies</li> <li>- Training/workshops</li> <li>- Information/publications (e.g., ERA, etc.)</li> <li>- Specific research/ analyses</li> </ul>	<i>Quality &amp; quantity</i> <ul style="list-style-type: none"> <li>- Outputs/activities delivered by type, purpose, location, etc.</li> <li>- % progress against programme budget</li> <li>- % expenditure against budget</li> </ul>	<ul style="list-style-type: none"> <li>- Monitoring &amp; reporting in IMDIS</li> <li>- Programme &amp; Project progress reports &amp; terminal reports</li> </ul>
<i>What ECA does (on-going): specific measures needed to achieve outputs</i>				

## Results framework template for programme/project

### ECA OUTCOME AREA 1:

Lead ECA Subprogramme	< Reflect name of the leading subprogramme/Divisions for this outcome, >							
Participating UN Agencies & other Partners	< Reflect agency names participating in outcome area 1 >							
Outcome Budget	< Reflect the estimated total budget for this outcome >							
Outcome 1	< Reflect the outcome 1 statement >							
Outcome Indicators (Max 1-2)	Source of Data	Baseline	Target by End of Programme/ Project	Risk & Assumptions				
Output 1.1	< Reflect the output 1.1 statement >							
Output Indicators	Source of Data	Baseline	Target Year 1	Target Year 2	Target Year 3	Target Year 4	Target Year 5	Risk & Assumptions
1.1.1								
1.1.2								
Output 1.2	< Reflect the output 1.2 statement >							
Output Indicators	Source of Data	Baseline	Target Year 1	Target Year 2	Target Year 3	Target Year 4	Target Year 5	Risk & Assumptions
1.2.1								
1.2.2								
Outcome 2	< Reflect the outcome 2 statement >							
Outcome Indicators (Max 1-2)	Source of Data	Baseline	Target Year 5	Risk & Assumptions				
Output 2.1	< Reflect the output 2.1 statement >							
Output Indicators	Source of Data	Baseline	Target Year 1	Target Year 2	Target Year 3	Target Year 4	Target Year 5	Risk & Assumptions
2.1.1								
2.1.2								

## ANNEX 3.4: M&E Information Matrix - template

After developing the programme concept (with a Theory of Change) and results framework/outcome matrix, it is time to develop an M&E information matrix. The M&E information matrix expands the elements in the results framework (log frame) to further clarify details. It is a critical tool for planning and managing data collection, analysis and use. The M&E information matrix takes the M&E planning one stage further to support programme/project implementation and management.

An M&E information matrix helps to guide the planning process for data collection, analysis and use. When complete, it provides a user-friendly record of decisions made about data needs, people involved in collection, and tools, methods and additional resources needed for each level of monitoring. Using an M&E information matrix is an effective way of identifying and organizing key information needed for an M&E plan. The matrix encourages careful thinking about the details of who will participate in each stage of M&E, how the information will be used to improve the programme, and how lessons will be shared. The content of the M&E information matrix can be drawn primarily from the programme results framework (or log frame).

An M&E information matrix expands on the results framework to identify key information requirements for each indicator and summarizes the key M&E tasks for a programme. While the names and formats of the information matrix may vary, (e.g., M&E plan, indicator planning matrix, or data collection plan), the overall function remains the same. Often, a donor will have a required format. The M&E information matrix should be developed with the participation of those who will be using it. Completing the matrix requires detailed knowledge of the programme and context provided by the local team and partners. Their involvement contributes to data quality because it reinforces their understanding of what data they are to collect and how they will collect them.

### Suggested contents of an M&E information matrix

Hierarchy of results	Indicator	Information type: (short explanation of indicator)	Methods: a) of data gathering & b) of analysis	Sources of information & frequency	Responsibilities for: a) collection, b) analysis, & c) reporting	Reporting: a) frequency, b) to whom, & c) format	Critical assumptions
Final goal: _____							
Outcome objectives (numbered) and outputs (numbered per objective)							
Outcome objective 1	1. Outcome indic						
Output 1.1	1.1 Output indic						
Output 1.2	1.2 Output indic						
Outcome objective 2	2. Outcome indic						
Output 2.1	2.1 Output indic						
Output 2.2	2.2 Output indic						

**Objectives** – these are typically copied (or adapted) from the already prepared M&E framework. The M&E information matrix includes objectives at Impact and Outcome levels, but adds Outputs. It can also include Activities (like a 'full' log frame or results frame). It is preferable to identify and include critical Assumptions here, so that attention can be given to tracking them during the course of implementation.

**Indicators** – the indicators should be precise statements of the information needed to assess whether the intended changes have occurred. Indicators are typically taken directly from the results framework (log frame) and can be either quantitative (numeric) or qualitative (descriptive observations). When completing an M&E plan, the indicator may need to be revised upon closer examination and according to field realities. Reminder: indicators are not the same as targets (see glossary for detail)

**Indicator details/explanations** – three issues need description for each indicator:

## ANNEX Section 3: Proposal documents

- a) **Operational definitions** – these are clarifications to ensure operational consistency and accuracy of indicators. Definitions should be provided for any key terms in the indicator that need further detail for precise and reliable measurement. While the details of the definitions could be included within the information matrix, this may overwhelm the matrix and it is often better to provide them in an annex at the end of the M&E plan.
- b) **Calculations** – the matrix should contain explanations of precisely how each indicator will be calculated, such as the numerator and denominator of a percentage measure.
- c) **Disaggregation** - The matrix also needs to show if the indicator is to be disaggregated by sex, age, ethnicity, nationality, region, or any other variables.

**Data gathering & analysis** – two issues are critical here:

- a) **Data gathering methods & tools**, e.g., records review, regular field monitoring, periodic evaluation, surveys, etc. While the “Means of Verification” column in a log frame may list a data source or method, e.g., “household survey,” the M&E information matrix should provide more detail, e.g., sampling method, survey type, which records, etc. This section should also indicate whether data collection tools (e.g., questionnaires, checklists) are pre-existing or will need to be developed.
- b) **Data analysis** – will specify qualitative and/or quantitative analysis, and what approaches will be used to process the data into information.

**Sources & frequency** – again, two issues need clarification in this column:

- a) **Sources of information** – who will the programme talk to for obtaining data to answer the indicator; or what specific documents will be reviewed to access the desired data.
- b) **Frequency** - states how often the data for each indicator will be collected, such as weekly, monthly, quarterly, annually, etc. When planning, it is important to consider factors that can affect data collection timing, such as seasonal variations, national holidays, and religious observances (e.g., Ramadan).

**Person/s responsible** - lists the people responsible and accountable for the data collection and analysis, e.g., community volunteers, field staff, project managers, local partner/s, and external consultants. Use the position title to ensure clarity in case of personnel changes.

**Reporting** – this column is essentially about Information sharing and use. It should identify the primary uses of the information, and its intended users/audiences. This column can also state ways that the findings will be formatted (e.g., tables, graphs, maps, histograms, and narrative reports) and disseminated (e.g., internet websites, briefings, community meetings, listservs, and mass media).

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### ANNEX Section 3: Proposal documents

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## ANNEX 3.5: ProDoc/PD Proposal Template

### *Proposal Document Cover Page [for programmes or large/eligible projects]*

Requirement	Details
Programme/Project Title:	
Starting Date:	
Completion Date:	
Executing Subprogramme:	
Total Budget:	
Funding Sources:	
Date of Co-operation Agreement:	
ECA Overhead:	

*(Important: Both printed names and signatures with dates must be included for all the staff below)*

Proposed by: [print] \_\_\_\_\_ Date: \_\_\_\_\_ Date: \_\_\_\_\_  
 [signature] Name: \_\_\_\_\_ Name: \_\_\_\_\_  
 Project Manager [Responsible officer] Alternate contact

Cleared by: [print] \_\_\_\_\_ Date: \_\_\_\_\_  
 [signature] Name: \_\_\_\_\_  
 Programme Manager/Subprogramme Director [Accountable officer/unit]

Cleared by: [print] \_\_\_\_\_ Date: \_\_\_\_\_  
 [signature] Name: \_\_\_\_\_  
 Chair, PPRC/QRC

Completed approval confirmed by: [print] \_\_\_\_\_ Date \_\_\_\_\_  
 [signature] Name: \_\_\_\_\_  
 Secretary PPRC/QRC

Endorsed by: [print] \_\_\_\_\_ Date \_\_\_\_\_  
 [signature/initial] Name: \_\_\_\_\_  
 Executive Director

### **Main ECA standard ProDoc/PD: Headings and explanations**

- Cover Page** - The cover page should include programme/project title, and abstract of the programme/project objectives total budget by source (donor/s, cost-sharing, etc.), signing partners
- Background** - In this first part of the proposal document, describe the mandate, as well as the problem and justification of the proposed programme/project. Also describe the relationship of the proposed programme/project to previous and current projects and programmes in the same area. Provide an overview of partners.
  - ❑ **Mandate:** Indicate the part of the official document from which the programme/project derives its mandate, such as the biennial Strategic Framework, the Programme Budget. The mandate may also derive from a resolution, or resolutions, of the Governing Council of ECA, the Economic and Social Council (ECOSOC) and the General Assembly (GA).
  - ❑ **Problem and Justification:** Outline the nature of the problem/s, issues, or deficiencies that the programme/project intends to address. Also outline evidence indicating demand for the

programme/ project's intended results (official requests etc. could be referred to and included in the annexes).

- ❑ Previous Work in the Area: Briefly review previous and current work by ECA, and by other organisations, that addresses the programme/project's problem area and show how the programme/ project intends to build on this work. The purpose of this is to ensure that there is no re-invention of the wheel or duplication of current work.
  - ❑ Partners: Provide an overview of partners that have been contacted through the identification process. Beneficiaries and implementing partners should be identified here, including their commitment to the programme/project and the type of support/involvement. This information should be based on the LFA stakeholder analysis.
3. **Goal(s)/Impact** - Outline the long-term development goal/impact of the proposed programme/ project, including how it will contribute towards this goal. Development goals express the wider impact and long term benefits to the ultimate target groups as a result of achieving the programme/ project purpose. [See additional details, page 30-32 in the main P/PM Manual]
  4. **Objective(s)** - Outline the objective or objectives of the proposed programme/project. The objectives should explain why the programme/project interventions are necessary for the immediate target groups. They explain the anticipated changes (i.e., the outcomes or effects) in those target groups' performance or system as a result of using the programme/project outputs made available to them. Outcome objective statements should include a target to be achieved (results), rather than actions to be taken. (Only a brief overview should be given here with reference to the RF/LFA matrix that spells out the objectives in full detail).
  5. **Outputs** - Indicate the 'deliverables' of the programme/project, i.e., what they are. Also indicate the quantity and location of these deliverables. For example, xxx national/sub regional/regional focal points trained on data requirements and compilation for the regional integration; xxx Regional workshops held for member States and sub regional/regional organizations on the rationale behind the ranking of the regional integration index (Only a brief overview should be given here with reference to the RF/LFA matrix that spells them in full detail).
  6. **Activities** - Outline the actions to be taken by the programme/project in order to deliver the specified outputs. The parties responsible for undertaking these actions should also be indicated. (Only a brief overview should be given here with reference to the LFA matrix that spells them in full detail).
  7. **Inputs** - Itemise the resources required to carry out all of the programme/project's specified activities. These may include human resources (staff and consultants); training facilities e.g., IDEP. Contributions from the various partners should also be indicated here including in-kind contributions.
  8. **Feasibility** - Describe the feasibility of the programme/project as assessed through the Risk Analysis stage of the LFA process, focusing on:
    - Internal risks and related assumptions; and
    - External risks and related assumptions.

The costs and benefits of the programme/project may also be summarised and, where possible, the relevant cost-benefit indices indicated.

9. **Implementation Plan** - Outline the implementation timetable, indicating the starting and completion dates of the different activities and milestones necessary to deliver the programme/ project's outputs. This is best done diagrammatically using a flowchart.
10. **Legal Framework** - Make reference to the UN rules and regulations, privileges and immunities apply to programme/project activities, support costs etc.
11. **Monitoring** - Indicate the mechanisms to be used for monitoring the programme/project, including the key monitoring indicators. Monitoring mechanisms could include periodic reviews by the

parties involved in the programme/project (implementing agencies and member States).  
Monitoring indicators could cover the following:

- Overall progress towards delivery of outputs.
- Financial management; and
- Mobilisation of resource inputs;

12. **Evaluation** - Outline the mechanisms to be used in evaluating the programme/project, including relevant indicators as specified in the LFA matrix. It is important to ensure that provisions made for evaluation will be able to address the following main aspects of the programme/project:
  - Programme/project design (internal consistency and coherence of the programme/project; contextual relevance of the programme/project);
  - Programme/project implementation (using relevant efficiency indicators); and
  - Programme/project impacts (using relevant objective attainment or impact indicators).
13. **Results Based Budget** - This should show the cost of the programme/project in detail using the budget template shown in ANNEX Section 4. All costs should be shown in US dollars. The different sources of funds should be indicated. These usually consist of: Regular Budget (RB) and Extra-budgetary (XB) sources. In cases where a donor has a specific budget format (the EC requests budgets in EURO (€) with their specific structure and budget line numbers), the PMO has to develop two budgets to satisfy both internal and donor requirements. A provision for evaluation of the programme/project at 3-5% of the total budget should be included, as well as a levy of 2% for general ECA information and evaluation purposes. Out of this 2% levy, 70% should be allocated for general information dissemination, and 30% for general evaluation purposes, i.e., broad, thematic evaluation activities, not necessarily related to the project in question. Note that even though proportions are not yet specified here, the budget should also ensure adequate resources for the full M&E plan of the proposed programme/project.
14. **Logical Framework Matrix** - Use the template shown in Phase 3 (Formulation) Table 5 to prepare the proposed programme/project's logical framework, which is, in fact, a summary of the proposal. As shown, the framework consists of the following components:
  - Goal (s)/Impact;
  - Expected Accomplishments/ Outcomes;
  - Outputs;
  - Activities; and
  - Inputs.

The second column of the matrix shows the relevant monitoring and evaluation indicators. The third column shows means of verifications, while the fourth column shows the assumptions and major risks of the programme/project.

# ANNEX Section 4 – Budget templates

## ANNEX 4.1: Initial Budget [EXAMPLE]

Project Budget covering the contribution of The Rockefeller Foundation (in US dollars) - Initial Budget

**Project Title:** Policy Support for Building Inclusive Economies in Africa Using the African Social Development Index (ASDI)

**Grant number:** S1-32HDM-000138

**Cost Centre:** 13674

**Fund:** 32HDM

**Sponsored Programme:** ECA-SDP-00002

**WBSE/IO:** SB-005144

**Functional Area:** 18AC0009

**Business Area:** R100

Initial budget of the project: **US\$200,860.00\***

Submitted by: \_\_\_\_\_ Date: \_\_\_\_\_  
XXXXXXXXX Director

Approved by: \_\_\_\_\_ Date: \_\_\_\_\_  
XXXXXXXXX Strategic Planning and Operational Quality Division

*\*Initial budget is equivalent to released budget. Date of notification and other relevant sources to be indicated.*

Project Budget Covering the Contribution of The Rockefeller Foundation  
Social Development Policy Division (SDPD)  
Initial Budget "A"  
(In US Dollars)

<b>Donor:</b>	The Rockefeller Foundation	<b>Sponsored Program:</b>	ECA-SDP-00002
<b>Implementing Division:</b>	SDPD	<b>Cost Centre:</b>	13674
<b>Project Title:</b>	Policy Support for Building Inclusive Economies in Africa Using the African Social Development Index (ASDI)		
<b>Grant:</b>	S1-32HDM-000141	<b>WBSE/IO:</b>	SD-005144
<b>Focal Point:</b>	XXXXXXXXX	<b>Fund ID:</b>	32HDM
<b>Functional Area:</b>	18AC0009	<b>Starting Date:</b>	October 2016
		<b>Ending Date:</b>	December 2017

	Description	Unreleased Budget	Released Budget	Remaining
FT30_CLASS_010	Staff Personnel	12,000.00	12,000.00	-
FT30_CLASS_160	Travel	171,247.79	137,000.00	34,247.79
FT30_CLASS_120	Contract Service	38,752.21	28,752.21	10,000.00
	<b>Sub-Total</b>	<b>222,000.00</b>	<b>177,752.21</b>	<b>44,247.79</b>
FT30_CLASS_155	Programme Support Costs (13%)	28,860.00	23,107.79	5,752.21
	<b>Total</b>	<b>250,860.00</b>	<b>200,860.00</b>	<b>50,000.00</b>

Certified by: \_\_\_\_\_ Date: \_\_\_\_\_  
XXXXXXXXX

*Note: A detailed work plan and result based budget will be attached to the initial budget*

**ANNEX 4.2: Result based budget [EXAMPLE]**

Expected accomplishment	Main activity	Budget line (split of activities/ outputs by budget categories)	Amount (UNECA)	Amount (Partner)	Total
<b>EA 1:</b> Enhanced capacity of African governments, RECs, and other stakeholders to use appropriate indicators and tools for monitoring and assessing progress made in land policy and administrative reforms to improve processes and outcomes of such reforms in order to achieve development goals and targets.	1.1 Finalization of the background document on Land Indicators	1 consultant @ 3,500 x 1 work month	3,500.00		
	1.2 EGM to collate, review and refine—create baseline for benchmarks	1 consultant @ 500 x 6 days	3,000.00		
	1.3 Develop mechanisms for assessing progress on land reforms indicators	Travel and DSA for EGM @ 6,000 x 6 Experts	36,000.00		
		Travel and DSA @ 6,000 x 6 Staff	36,000.00		
		Travel and DSA @ 6,000 x 2 Staff of Partnering Institutions (AUC & AfDB)	12,000.00		
	1.4 Meeting to draft guidelines and a report on monitoring progress on land reforms	5 consultant @ 500 x 10 days	25,000.00		
		Travel and DSA for 5 consultants @ 6,000	30,000.00		
	1.5 Piloting case studies for monitoring progress on land reforms	5 consultants @ 400 x 10 days	20,000.00		
<b>EA2:</b> Increased accessibility of land related information and the establishment of a network of actors involved in land policy and land administration in order to inform decision making and support exchange of experiences on best practices to improve the design, implementation and evaluation of land policy and land administration processes.	2.1,2.2, 2.3 Develop and maintain a web-based facility, VALPAF with land information/ experts databases	1 national focal person @ \$500 x 53 member states	26,500.00		
		Travel and DSA for EGM @ 6,000 x 6 Experts	36,000.00		
	2.2 Develop and manage a Community Of Practice (COP) on land policy	4 Moderators for e-discussion @ \$500 x 3 day	6,000.00		
	2.3 Prepare training materials to facilitate training on: monitoring of land policy processes; the use of VALPAF including the COP	2 consultants @ 5,000 x 1 month		10,000.00	
	2.4 Conduct sub-regional training workshops to build technical capacity in monitoring and assessing progress	Travel and DSA for 20 participants @ 2,500 for 3 regional workshops; SADC to implement the East and Southern	50,000.00		50,000.00

## ANNEX Section 4: Budget templates

	made in land policy and administrative reforms	Africa workshop; CILSS to implement for West Africa; ECA to implement the North African workshop			
		Travel and DSA for 3 regional workshops for 4 Staff (\$4,000 per person x 4 persons x 3 meetings)	48,000.00		
		Travel and DSA for Staff of Partnering Institutions (AUC & AfDB) (\$4,000 per person x 4 persons x 3 meetings)	48,000.00		
Support to Activities E1&2	Implementation of EAs	Translation of Documents into French	27,000.00		
		Cost of Interpretation During EGM & Sub-Regional Workshops	36,000.00		
		Services of Communications Expert	10,000.00		
		Cost of Supplies to Support VALPAF	5,000.00		
		Service of Temporary Full-Time Assistant	20,000.00		
External Evaluation, i.e., 2% set aside as required for 6 <sup>th</sup> tranche projects			12,000.00		
Total 600,000.00			490,000.00	10,000.00	50,000.00

## ANNEX 4.3: Format for Activity Cost Plan **[EXAMPLE]**

Activity Cost plan for AAAAAAA Meeting, 13 – 14 June 2017 (in US\$)

Cost Elements		
1	Tickets for Participants (including Terminal Expenses)	29,125.00
2	DSA	13,520.00
3	Hiring of Conference hall/Facilities	0.00
4	Payment to Interpreters/Translation	0.00
5	Hiring of Local Resource Persons	0.00
6	Procurement of expendable supplies	0.00
7	Hiring of Non-expendable equipment (photocopiers etc)	0.00
8	Estimated Overtime for Support staff	0.00
9	Hospitality (Tea/coffee breaks and lunches)	1,375.00
10	Miscellaneous	1,000.00
Grand Total (USD)		<u>\$45,020.00</u>

### Breakdown for Travel and DSA for Participants [DSA Rate US\$260]

#	Participants name & organization	Ticket Cost	Terminal Exp.	Schedule of Travel	No of days DSA	Total DSA
1	AAAA WHO, Geneva	3,100.00	180.00	11-15 June	6	1,560.00
2	BBBBB University of California, San Francisco USA	6,680.00	240.00	11-18 June	9	2,340.00
3	CCCCC Kampala, Uganda	540.00	120.00	12-15 June	5	1,300.00
4	DDDDD Nairobi, Kenya	1,000.00	120.00	11-15 June	4	1,040.00
5	EEEEEE San Paolo, Brazil	5,400.00	240.00	11-16 June	7	1,820.00
6	FFFFFF Geneva, Switzerland	3,100.00	180.00	11-15 June	6	1,560.00
7	GGGGGG Accra, Ghana	4,375.00	180.00	11-15 June	6	1,560.00
8	HHHHH Bamako, Mali	3,490.00	180.00	11-15 June	9	2,340.00
	Sub-Totals	\$27,685.00	\$1,440.00			\$13,520.00

### Breakdown for Hospitality

Tea/Coffee Charge per person @14Birr	175.00
Lunch at \$30each	1,200.00
Sub-Total	\$1,375.00

\*\* Note: You can budget for all possible tasks/sub-activities which will be required and/or to be performed during the activity and are to be paid from the project budget.

**ANNEX 4.4: Budget Monitoring form****Budget Monitoring Form - For Projects Executed by ECA**

1. Project Title: \_\_\_\_\_

2. Implementing Division: \_\_\_\_\_

3. PMO responsible: Name and Signature: \_\_\_\_\_

4. FUND: \_\_\_\_\_

5. IMIS Project ID: \_\_\_\_\_

6. Grant: \_\_\_\_\_

7. Sponsored Class: \_\_\_\_\_

8. Commitment Item (GL): \_\_\_\_\_

9. WBS Element: \_\_\_\_\_

10. Cost Center: \_\_\_\_\_

11. Functional Area: \_\_\_\_\_

12. Sponsored Program: \_\_\_\_\_

13. Project document or last budget revision &amp; project work plan reference numbers: \_\_\_\_\_

14. Purpose and justification of proposed expenditure: \_\_\_\_\_

15. List of supporting documents if any:

\_\_\_\_\_

16. Programme manager clearance of the project activity:

Appropriate \_\_\_\_\_ Inappropriate \_\_\_\_\_

17. Reason for not clearing the activity

* Inadequacy of resource utilization with the activity concerned	<input type="checkbox"/>
* Activity not in project document or grant agreement	<input type="checkbox"/>
* Others	<input type="checkbox"/>

Date	Description	Amount
	Balance Brought Forward	
	Estimated expenditures:	
	Balance carried forward	

Cleared by: \_\_\_\_\_

Date : \_\_\_\_\_

Remarks:

T-Code: \_\_\_\_\_

**ANNEX 4.5: Umoja budget codes for XB, RPTC, DA**

Extra-budgetary (XB)		Regular Programme of Technical Cooperation (RPTC)		Development Account (DA)	
Budget Class	Description	Budget Class	Description	Budget Class	Description
FT30_CLASS_010	Staff personnel & other personnel cost	FT10_CLASS_015	Other staff costs	FT10_CLASS_015	Other staff costs
FT30_CLASS_120	Contractual service	FT10_CLASS_105	Consultants & experts	FT10_CLASS_105	Consultants & experts
FT30_CLASS_125	Operating & other direct costs	FT10_CLASS_110	Travel of representatives	FT10_CLASS_115	Travel of staff
FT30_CLASS_130	Supplies, commodities & materials	FT10_CLASS_115	Travel of staff	FT10_CLASS_120	Contractual Services
FT30_CLASS_135	Equipment, vehicles & furniture	FT10_CLASS_120	Contractual Services	FT10_CLASS_125	General Operating expenses
FT30_CLASS_140	Transfer & grants to implementing partners	FT10_CLASS_125	General operating expenses	FT10_CLASS_135	Furniture & equipment
FT30_CLASS_145	Grants Out	FT10_CLASS_130	Supplies & materials	FT10_CLASS_145	Grants & contributions
FT30_CLASS_160	Travel	FT10_CLASS_135	Furniture & equipment		
FT30_CLASS_155	Programme support costs	FT10_CLASS_145	Grants & contributions		

## ANNEX 4.6: Budget revision template & justification

### [EXAMPLE]

#### A. Cover page

Project Budget Covering Contribution of Multi-Partner Trust Fund (MPTF) (in US dollars)  
Budget Revision "C"

Requirements	Details
Project Title:	Support to Statistics Activities
Grant:	M1-32HDM-000165
Cost Center:	13635
Fund:	32HDM
Sponsored Programme:	ECA-JST-00002
WBSE/IO:	SB-003275
Functional Area:	18AC0004
Business Area:	R100

The **PURPOSE** of this revision is:

- To reflect the actual expenditures as at **INSERT DATE**; and
- To reallocate fund between Sponsored Program Classes and;
- To continue the implementation of the project activities as per attached work plan.

Previous input released budget project code "B"      US\$2,152,162.37  
Revised released budget project code "C"      US\$2,152,162.37

Increase/Decrease      None

Submitted by: \_\_\_\_\_ Date: \_\_\_\_\_  
xxxxxxxxx, Director

Approved by: \_\_\_\_\_ Date: \_\_\_\_\_  
XXXXXXXXX  
Strategic Planning and Operational Quality Division

#### B. Detailed Justification by Budget Code

Budget Revision "C"

*This paragraph discusses the purpose of the revision.*

The purpose of this revision is to reflect the 2<sup>nd</sup> installment received from xxxxxx and to reallocate fund between budget classes.

##### Staff Personnel

A provision of \$ 124,973 is required:

- In support of output 2, Activity 2.27.1: Corporate Data Management System in ECA for the Implementation of a corporate data provisioning, management and dissemination system = \$84,850
- In support of output 14, Activity 14.1.1: Develop a comprehensive programme on statistics for 2017-2020 to support Agenda 2030 on Sustainable Development and Agenda 2063 - Provide

## ANNEX Section 4: Budget templates

service to elaborate a comprehensive costed programme of work covering a four-year period 2017-2020 including an implementation plan = **\$40,123**

### Travel

A provision of **\$15,717.22** is required:

- In support of output 3, Activity 3.1.1: High-Level Conference on Data Revolution (Travel of staff members to contribute in the High-Level Meeting on Data for Development in Africa, ticket and DSA) = **\$1,400**
- In support of output 3, Activity 3.3.2: High-Level Conference on Data Revolution (DSA payments to participants because expense reports could not be processed in Umoja and FC will be prepared) = **\$3,200**
- In support of output 9, Activity 9.1.5: Forum to liaise and coordinate among Member States, international organizations, partners and other stakeholders [Travel cost of 2 staff (ticket cost \$1,090+DSA250 X4+terminal cost\$152)] = **\$4,483.58**
- In support of output 10, Activity 10.4.2: To attend UN Staff College Training course on Country Programming in the Context of the Sustainable Development Goals [(Travel cost of 2 staff (ticket cost \$1,915+DSA250 X5+terminal cost\$152))] = **\$6,633.64**

## ANNEX Section 4: Budget templates

### C. Budget Revision form

Project Budget Covering the Contribution of Multi Partner Trust Fund (MPTF) to African Center for Statistics (ACS) (in US Dollars)  
Budget Revision "C"

Donor:	Multi Partner Trust Fund	Sponsored Programme:	ECA-JST-00002
Implementing Division:	SDPD	Cost Center:	13635
Project Title:	Support to Statistics Activities	WBSE/IO:	SB-003275
Grant:	M1-32HDM-000165	Fund ID:	32HDM
Focal Point:	XXXXXXXXXX	Ending Date:	XXXXXXXXXX
Starting Date:	XXXXXXXXXX		

	A	B	C	D	E	F	G	H	I	J	K	L	M
	FS as at 31 Dec 2016				Funding Summary for the year 2017					Budget Revision			
Sponsored Program Class	Total Budget C+H+M	Obligations/ Commitments	Actuals D-B	Total Expenditure	Released Budget	Obligations/ Commitments	Actuals	Total Committed F+G	Available Released Budget	Fund re- deployment (to be deducted)	Fund re- deployment (to be added)	New allotment to be added	New balance after re- deployment I7+J7+K7+L7
Staff & other personnel costs	644,251.01	9,602.27	331,787.98	341,390.25	426,260.70	23,002.44	23,710.62	46,713.06	248,100.57	0.00	17,649.40		265,749.97
Contractual Services	123,072.50	2,595.45	96,044.74	98,640.19	92,224.56	1,444.02	942.20	2,386.22	24,641.54		0.00		24,641.54
Operating & other costs	169,963.57	0.00	193,924.83	193,924.83	645.63	0.00	42.80	42.80	0.00	(24,004.06)			(24,004.06)
Equipment vehicle & furniture	80,811.00	0.00	65,286.00	65,286.00	15,525.00	0.00	0.00	0.00	15,525.00				15,525.00
Travel	886,470.39	46,876.36	828,563.32	875,439.68	360,986.81	21,308.31	22,453.20	43,761.51	7,790.90		6,354.66		14,145.56
<b>Sub Total</b>	<b>1,904,568.47</b>	<b>59,074.08</b>	<b>1,515,606.87</b>	<b>1,574,680.95</b>	<b>895,642.70</b>	<b>45,754.77</b>	<b>47,148.82</b>	<b>92,903.59</b>	<b>296,058.01</b>	<b>(24,004.06)</b>	<b>24,004.06</b>	<b>0.00</b>	<b>296,058.01</b>
PSC-EXP-UN	247,593.90	7,679.63	197,028.89	204,708.52	116,433.55	5,948.12	6,129.35	12,077.47	38,487.54	(3,120.53)	3,120.53	0.00	38,487.54
<b>Total</b>	<b>2,152,162.37</b>	<b>66,753.71</b>	<b>1,712,635.76</b>	<b>1,779,389.47</b>	<b>1,012,076.25</b>	<b>51,702.89</b>	<b>53,278.17</b>	<b>104,981.06</b>	<b>334,545.55</b>	<b>(27,124.59)</b>	<b>27,124.59</b>	<b>0.00</b>	<b>334,545.55</b>

**Note:**

B-D to be taken directly from year-end financial statement

E to be taken from Released Budget of Umoja funding summary

F to be taken in total from Obligations/Commitments column of Umoja funding summary

G to be taken current year's actual column of Umoja funding summary

I to be taken from Umoja funding summary of Available Released Budget adding Pre commitment if any

J - K to reflect reallocation of funds between sponsor classes

L To reflect additional allocation

## ANNEX Section 4: Budget templates

### D. Semi-final budget revision form

Project Budget Covering the Contribution of Multi Partner Trust Fund (MPTF) to African Center for Statistics (ACS) (in US Dollars)

Semi Final Budget Revision "d"

Donor:	Multi Partner Trust Fund	Sponsored Programme:	ECA-JST-00002
Implementing Division:	SDPD	Cost Center:	13635
Project Title:	Support to Statistics Activities	WBSE/IO:	SB-003275
Grant:	M1-32HDM-000165	Fund ID:	32HDM
Focal Point:	XXXXXXXXXX	Ending Date:	XXXXXXXXXX
Starting Date:	XXXXXXXXXX		

A	B	C	D	E	F	G	H	I	J	K	L	M	
		FS as at 31 Dec 2016			Funding Summary for the year 2017					Budget Revision			
Sponsored Program Class	Total Budget C+H+M	Obligations/ Commitments	Actuals D-B	Total Expenditure	Released Budget	Obligations/ Commitments	Actuals	Total Committed G5+H5	Available Released Budget	Fund re- deployment (to be deducted)	Fund re- deployment (to be added)	New allotment to be added	New balance after re- deployment I7+J7+K7+L7
Staff & other personnel costs	378,501.04	9,602.27	331,787.98	341,390.25	426,260.70	23,002.44	23,710.62	46,713.06	248,100.57	(248,100.57)			0.00
Contractual Services	98,430.96	2,595.45	96,044.74	98,640.19	92,224.56	1,444.02	942.20	2,386.22	24,641.54	(24,641.54)			0.00
Operating & other costs	193,967.63	0.00	193,924.83	193,924.83	645.63	0.00	42.80	42.80	0.00	0.00			0.00
Equipment vehicle & furniture	65,286.00	0.00	65,286.00	65,286.00	15,525.00	0.00	0.00	0.00	15,525.00	(15,525.00)			0.00
Travel	872,324.83	46,876.36	828,563.32	875,439.68	360,986.81	21,308.31	22,453.20	43,761.51	7,790.90	(7,790.90)			0.00
Sub Total	1,608,510.46	59,074.08	1,515,606.87	1,574,680.95	895,642.70	45,754.77	47,148.82	92,903.59	296,058.01	(296,058.01)	0.00	0.00	0.00
PSC-EXP-UN	209,106.36	7,679.63	197,028.89	204,708.52	116,433.55	5,948.12	6,129.35	12,077.47	38,487.54	(38,487.54)	0.00	0.00	0.00
Total	1,817,616.82	66,753.71	1,712,635.76	1,779,389.47	1,012,076.25	51,702.89	53,278.17	104,981.06	334,545.55	(334,545.55)	0.00	0.00	0.00

**Note:**

B-D to be taken directly from year-end financial statement

E to be taken from Released Budget of Umoja funding summary

F to be taken in total from Obligations/Commitments column of Umoja funding summary

G to be taken current year's actual column of Umoja funding summary

I to be taken from Umoja funding summary of Available Released Budget adding Pre commitment if any

J to reflect an amount equivalent to available released budget

# ANNEX Section 5 – Design files

## ANNEX 5.1: Programme/project responsibilities by phase

### Overview of responsibilities at each project cycle stage

Project cycle phases	Who does it?	Key documents & suggested reading
Design	HQ sections, Centres and SROs are responsible for developing project proposals. This should be a consultative process from the outset. The units at HQ should be consulted on issues of technical feasibility, ECA capacity, similar work carried out elsewhere, and lessons learned from comparable projects and evaluations in the past. As projects provide services to countries, SROs need to be fully involved; they can better assess the relevance of the proposals to local needs, and their coherence with regional and national strategies and frameworks. It is also important that they initiate consultations with Member States and assure appropriate national ownership and endorsement. One officer should have overall responsibility for the design phase. Generally, a design team (comprising staff from the field and HQ, and sometimes external consultants) is set up to prepare the project document. The design team must consult widely. SPOQD/PPBS & PRMS provides guidance on procedural issues and for potential funding and/or donor priorities. It ensures the overall management of ECA's development cooperation programme, provides a design help desk, delivers training on development cooperation, and facilitates knowledge sharing on TC. SPOQD and Trust Fund unit provide guidance on budget preparation and other financial issues. Other support units, such as Procurement and HR are consulted as necessary.	<b>Key documents:</b> Project document template Concept note template Reading: Phases # 1-3 pages 6-38 of the manual: Project Design How-to guide on results- based budgeting.
Appraisal	The person proposing the project (project originator) carries out an initial self-appraisal of the proposal, using the Appraisal checklist. The SRO concerned is responsible for determining the project proposal's relevance and coherence with regional and national strategies and cooperation frameworks. The SRO appraises and endorses the project proposal prior to submission to the Project Review Committee (PRC). The PRC is responsible for appraising the proposal, including review of management arrangements and coordination between SRO and technical units at HQ.	Key documents: Appraisal checklist Appraisal report Reading: Phase # 4 pages 39 - 43: Appraisal and Approval
Approval	PPBS assists in managing the approval process, mobilizing required documentation, and coordinating the necessary clearances. Once the agreement has been signed, the originating technical unit or SRO can start the workflow in Umoja.	Key documents: Approval minute, Notification of budget activated by Umoja Reading: Phase # 4 pages 39 - 43: Appraisal & Approval
Implementation and monitoring	All projects must have a structure in place that defines roles and responsibilities and ensures accountability. The project manager is responsible for the day-to-day implementation and management of the project. She/he may be a Section Chief, Centre Coordinator, SRO Officer, or a PMO. She/he reports to the ECA accountable programme manager, who is generally the Division Director. The project manager has overall authority and ultimate responsibility for project implementation, although other technical units and service departments support her/him. Note that the roles of ECA accountable officer (programme manager) and project manager should never reside with the same individual. The technical backstopping units provide technical support, oversee the consistency of project implementation with ECA technical approaches, ensure cross-fertilization among different projects in the same	Key documents: Workplan; M&E Plan; Progress Report template; Financial reports Reading: Phase # 5 pages 44 - 62: Implementation and Monitoring Chapter #: Project Design, Project Operational Planning

## ANNEX Section 5: Design files

	technical area, and communicate with the ECA programme manager. Finance, Procurement, and HR provide appropriate clearances and administrative support, as necessary. PPBS provides support and oversees compliance with ECA standards and donor contractual arrangements and obligations. Other support units provide guidance and support as necessary.	
Lessons Learned	The evaluation manager (who has no prior links to the project) ensures that evaluations are carried out in accordance with ECA policies and take place in a timely manner. In the case of independent evaluations, she/he drafts the Terms of Reference (TOR), selects the evaluation consultant, and circulates the draft and final evaluation report. The focal person responsible for evaluation approves the final TOR and the choice of an external evaluation consultant for independent evaluations, reviews the final evaluation report, and forwards it to the Evaluation section in SPOOD for approval. Oversight responsibility for evaluations of projects administratively managed by SROs resides with the evaluation focal person in the SRO, and for HQ projects with the evaluation focal person in the divisions. The project manager, project staff, ECA programme manager, and other project backstoppers provide appropriate technical and administrative support during the evaluation, and are responsible for follow-up action. The Evaluation section has overall responsibility for ensuring the quality and integrity of the evaluation function in ECA and, together with PPBS, oversees adherence to the evaluation schedule. The Evaluation section approves the final report of independent evaluations before the evaluation manager submits it to all stakeholders, including PPBS, which, in turn, forwards it to the funder.	Key documents: Evaluation Terms of Reference Evaluation reports Reading: Phase # 5: page 66 Evaluation

# ANNEX Section 6 – Proposal document component files

## ANNEX 6.1: Simplified logical framework **[EXAMPLE]**

Intervention logic	Objectively verifiable indicators	Source of verification	Risks/ Assumptions
Expected accomplishment 1: Enhanced capacity of African governments, RECs, and other stakeholders to use appropriate indicators and tools for monitoring and assessing progress made in land policy and administrative reforms to improve processes and outcomes of such reforms in order to achieve development goals and targets.	<u>Indicator 1.1</u> : Percentage of African governments and other stakeholders using the indicators developed by the project to monitor land policy formulation and implementation	Means of verification: Survey of Expert/ stakeholders by email and VALPAF Target: 15% by 2010; 40% by 2012; 60% by 2015	
<b>Main Activities</b> 1.1 Finalization of the background document on Land Indictors 1.2 Collate, review and refine indicators 1.3 Develop mechanisms for assessing progress on land reforms 1.4 Draft report and recommendations for AU Summit 1.5 Piloting case studies for monitoring progress on land reforms			
Expected accomplishment 2: Increased accessibility of land related information and the establishment of a network of actors involved in land policy and land administration in order to inform decision making and support exchange of experiences on best practices to improve the design, implementation and evaluation of land policy and land administration processes.	<u>Indicator 2.1</u> Percent of countries/regions posting/providing information to/for the land information database	Mean of verification: In-built mechanism within VALPAF Target: 15% by 12/2008; 40% by 2009; 60% by 2010	
	<u>Indicator 2.2</u> : Percentage of registered stakeholders using the land information database component of VALPAF	Mean of verification: In-built mechanism within VALPAF Target: 20% by 12/2009; 40% by 2010; 60% by 2015	
	<u>Indicator 2.3</u> : Number of registered stakeholders on the Land Experts Database component of VALPAF	Mean of Verification: In-built mechanism within VALPAF Target: 150 by 12/2008; 350 by 2009; 500 by 2010	
	<u>Indicator 2.4</u> : Number of lessons and experiences shared in the area of land policy development and implementation	Mean of Verification: In-built mechanism within VALPAF Target: 20 by 12/2009; 100 by 2010; 300 by 2015	
	<u>Indicator 2.5</u> : Percent of registered stakeholders accessing the lessons and experiences	Mean of Verification: In-built mechanism within VALPAF Target: 20% by 12/2009; 40% by 2010; 60% by 2010	
	<u>Indicator 2.6</u> : Increase in the percentage of countries undertaking land policy/legislative/administrative reforms;	Mean of Verification: Expert/focal Person survey by email Target: 10% by 2010; 20% by 2015; 30% by 2020	
<b>Main Activities:</b> 2.1 Develop and maintain a web-based facility, VALPAF with land information/experts databases 2.2 Develop and manage a Community Of Practice (COP) on land policy 2.3 Prepare training materials to facilitate training on: monitoring of land policy processes; the use of VALPAF including the COP 2.4 Conduct sub-regional training workshops to build technical capacity in monitoring and assessing progress made in land policy and administrative reforms			

## ANNEX 6.2: Risk register template

### *How to use this template:*

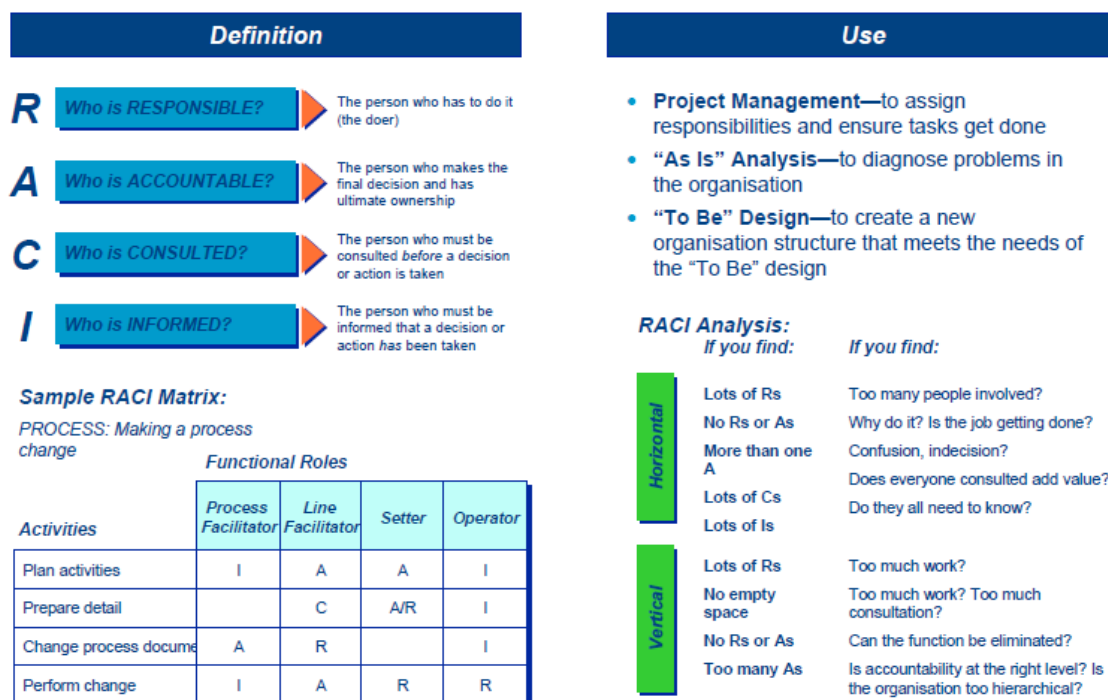
#### Introduction

The template is designed to prompt the Project Manager and help in the creation of the Risk Register.

1. Risk Heading	Risk category	Implications/Potential Impact		Likelihood
Risk Details				
Mitigation suggestions		P/PM project interventions	Timing	Responsible

## ANNEX 6.3: RACI matrix (roles and responsibilities chart)

### The RACI Process Provides a Clear Basis for Defining Changes to Accountabilities and Structure



More details on types of participation

**Responsible** – (the doer) Those who do the work to achieve the task. There is at least one role with a participation type of *responsible*, although others can be delegated to assist in the work required.

**Accountable (final approving authority)** – (the buck stops here) The one ultimately answerable for the correct and thorough completion of the deliverable or task, and the one who delegates the work to those *responsible*. In other words, an *accountable* must sign off (approve) on the work that the *responsible* provides. There must be only one *accountable* specified for each task or deliverable.

**Consulted** - (kept in the loop) Those whose opinions are sought, typically subject matter experts; and with whom there is two-way communication.

**Informed** – (kept in the picture) Those who are kept up-to-date on progress, often only on completion of the task or deliverable; and with whom there is just one-way communication.

**Constructing the matrix** - The matrix is typically created with a vertical axis (left-hand column) of tasks (e.g., from a [work breakdown structure](#) WBS) or deliverables (e.g., from a [product breakdown structure](#) PBS), and a horizontal axis (top row) of roles (e.g., from an [organizational chart](#)) – as illustrated in the image of an example responsibility assignment (or RACI) matrix. [See ECA example next page]

Sometimes the role that is *accountable* for a task or deliverable may also be *responsible* for completing it. Outside of this exception, it is generally recommended that each role in the project or process for each task receive, at most, just one of the participation types.

#### Resource:

Anon (2004) Responsibility charting

<http://baladi-lebanon.org/wp-content/uploads/2016/06/RACI-Charting.pdf>

### Roles and Responsibilities Matrix (RACI Chart)

ECA Programme & Project Management Manual

## ANNEX 6.4: Timeline/GANTT chart (project schedule)

### [EXAMPLE]

Donor: Sponsored Program:

Implementing Division: Cost Centre:

Project Title:

Grant: Fund ID:

Focal Point: Starting date:

Ending date:

Expected Accomplishment	Output	Main activities	2018											
			Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
EA-1: Enhanced Capacity of member States to mainstream human development concerns into policies & strategies, with particular emphasis on employment, social protection, population & youth issues, in line with internationally agreed development goals	Output 1: Reports of Advisory/ Capacity Building Missions	1.1 Travel of staff to build national capacities for using ASDI in planning & monitoring inclusive policies	x	x	x	x	x	x	x	x		x	x	
	Output 2: Sub-regional reports of the African Social Development Index (ASDI)	2.1 Organize ASDI sub-regional reports validation/launch workshops		x	x	x		x						
		2.2 Travel of staff for Capacity building, support validation & launches' of ASDI sub-regional reports & Advocacy Workshops		x	x	x		x						
		2.3 Production Publications & dissemination of sub-regional reports			x	x	x	x	x	x	x	x	x	
	Output 3: Electronic platform including websites & forums on the African Social Development Index (ASDI)	3.1 Recruitment of consultant to work on electronic platform, websites & forums		x	x									
		3.2 Travel of staff for advocacy			x	x	x	x	x	x	x	x		

## ANNEX 6.5: Project monitoring schedule format

DONOR: PMO Ext.... FOCAL POINT/PROJECT OFFICER Ext....  
 GRANT NUMBER:..... IMPLEMENTING DIVISION:.....  
 PROJECT TITLE:  
 PROJECT EXTERNAL SYMBOL.....FUND ID.....PROJECT ID.....  
 ORGANIZATIONAL UNIT:  
 PROJECT STATUS..... STARTING DATE..... ENDING DATE.....

Activity	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Remarks
Call for funds													
Interim Report													
Progress Report													
Financial narrative Report													
Technical working group/Expert Group meetings – if applicable													
Mid and Annual progress review meetings													
Steering Committee meetings – if applicable													
Conferences													
Budget Revisions													
Semi-final Budget Revision													
Final Report													
Final Revision													
Steering Committee													
Project Evaluation: Internal/External													

Submission date

\* 1<sup>st</sup> Reminder:.....

\*\* 2<sup>nd</sup> Reminder:.....

\*\*\* Submission due:.....

**ANNEX 6.6: Event preparation checklist**

	Action Plan					
Meeting:				Not started		
Date:				Completed	Co	
Venue:				In progress	IP	
Responsible Person:				Urgent	Ur	
			Rev Date			
Task List	Responsible Institution	Responsible Person(s)	Remarks	Deadline	Status	Status
<b>A. General</b>						
Prepare budget/identify budget						
Compile a list of participants/Resource Persons & invitees						
Prepare Invitation letters for Resource Persons						
Prepare Invitation letters for Participants						
Send out Invitation letters						
Make Follow-up contacts with the hosting member states/implementing partners						
Documentation						
<b>B. Programme</b>						
Draft Aide memoir						
Draft of Agenda/Programme						
<b>C. Conference Material</b>						
Report						
Posters /Banners						
<b>D. LOGISTICS</b>						
<b>D.1 Conference Services</b>						
Conference venue						
Book Rooms with round-table format						
Registration of participants						
Small office with desk/chair, internet, printer, WIFI, LCD, microphones						
Name plates						
Stationery (Folders, writing pads and pens)						
<b>D.2 Travel</b>						
Compile info on DSA and road transport						
Compile flight information of ECA staff, and Resource Persons / panellists and travel arrangement						
<b>D.3 Recruitment of Resource Persons/Panellists</b>						
<b>D.4 Budget before meeting</b>						
Arrange the transfer of the DSA and other; Fund commitment						
DSA payment and other settlements in Monrovia						
<b>D.5. Post Session</b>						
Produce list of participants						
Report of the Meeting						
<b>D.6 Hotel Accommodation</b>						

## ANNEX Section 6 – Proposal document component files

Make hotel reservation for participants – if need be						
Finalization of accommodation and other arrangements						
<b>D.7 Transportation</b>						
Pick up service from the airport						
Transport arrangement for departures						
<b>D.8 Protocol</b>						
Visa arrangements						
Meet and greet						
<b>D.9 Hospitality</b>						
Tea/Coffee and Water (One day) for the sensitization Two Coffee breaks) /two lunches (Two days)						
<b>D.10 In-session</b>						
Presentation of report and response to feedback						
Co-ordination of information, registration and document distribution desk						
Rapporteur						
Evaluation form						
Communications						

## ***ANNEX Section 7 - HR files***

### **ANNEX 7.1: Induction packet checklist for P/PMs [to be prepared]**

# ANNEX Section 8 – Implementing partnership reporting files

## ANNEX 8.1: IP progress and financial report format

Logo of beneficiary

Format of project implementation report

### Project Description

Project Title	
Country: Location	
Project Reference Number	
Name of Implementing Partner	
Year of the Grant	
Start Date	
End Date	
Total Budget	
ECA Contribution	{#####}USD
Partner Contribution	{#####}USD

### EXECUTIVE SUMMARY (1-2 pages)

Write this section last because it should summarize all the sections of the report.

This section should include:

A brief overview of the background and project objectives

The project location, timeframe, budget of contributing donors and key partners

Progress on outcomes (result areas) and associated outputs;

Summary of financial performance

Key challenges and lessons learned;

sustainability and future direction

### PROJECT CONTEXT

-This section provides a brief overview of the bigger picture of the project. It explains the project rationale, objectives, beneficiaries, main stakeholders and the overall contribution towards development goals.

-It should also give details with regard to:

The scope of the report

The project's location, timeframe and intended beneficiaries

Main stakeholders, including donors and their financial contributions

overall budget

### OVERALL PROGRESS REVIEW

-This section assesses the overall progress towards different development outcomes. It links the specific project results back to the broader issues described in the 'Context' section. Each sub-section should be kept brief, highlighting the most important/interesting elements.

#### OUTCOMES (result areas/expected accomplishments)

-This sub-section specifically links the outputs/results described below to the desired development outcomes described in the 'Context'.

### PROJECT RESULTS SUMMARY

-This section provides a narrative summary of project outputs, with each output as a separate sub-header

-For each output,

Describe the relevant activities with an emphasis on the results achieved

Describe success factors that supported the achievement of the output

## ANNEX Section 8 – Implementing partnership files

Briefly note any specific challenges that impeded activity/output achievement  
Link each output description back to the outcome it contributes to

{Output Title }

{Output Title }

{Output Title }

**SUMMARY OF PROGRESS AGAINST TARGETS** (as per the project document results matrix): updated up to [INSERT DATE]

As per the approved project document following ECA results matrix

### GENDER MAINSTREAMING

-This section addresses how components of the project address gender development issues.

-Answer the following questions:

What is the percentage of women beneficiaries of the project?

How were women included in the project? Were they direct or indirect beneficiaries? Any specific strategies for ensuring gender inclusion?

Did the project contribute to the mainstreaming of gender rights?

### CHALLENGES AND LESSONS LEARNED

-This section reflects on the main constraints/challenges/unforeseen issues faced in the project and adjustments performed to address these issues.

-For each challenge provide the following:

Brief description of the issue

When was the issue identified and how was it addressed

Impact on project results

Recommendations for future projects

### SUSTAINABILITY AND FUTURE DIRECTIONS

This sub-section assesses the sustainability of the project outcomes and achievements.

What are the measures taken to ensure financial sustainability of the initiative?

What are the measure taken to ensure sustainability of results (activities, outputs and outcomes?)

Assess how national capacities, national ownership and partnerships were strengthened to ensure lasting results

If the project is not coming to an end, what are the next steps?

### FINANCIAL OVERVIEW

Summary of grant disbursements

Provide a narrative on the budget, tranches received/expected.

Provide an overview of the fund utilization, commitments and remaining balance.

Reference to the annexed Certified Financial Statement and ensure absolute consistency with the CFS.

Explanation of major line items.

Expenditures incurred to date vs. plan of activities and as related to the progress report

Reason for deferral of expenditure (if any)

Reason for over expenditure (if any)

Explanation for long outstanding obligations

Request for additional grant disbursement (if any)

Request for re-budgeting across budget lines (if any)

Request for additional grant disbursement (if any)

### ANNEXES

Certified financial statement (see table below for minimum requirement)

Knowledge products and other publications

Media coverage

Evaluation of activities,

Details of participants to the workshops etc

## FINANCIAL REPORT

(US\$)

(Reporting period)

Budget Item	Project Budget		Project Expenditure		Remarks
	ECA Contribution	Partner Contribution	ECA Contribution	Partner Contribution	
TOTAL					

### Summary:

Funds received:

1<sup>st</sup> installment: \_\_\_\_\_

2<sup>nd</sup> installment: \_\_\_\_\_

Total funds received: \_\_\_\_\_

Total expenditure: \_\_\_\_\_

Remaining balance: \_\_\_\_\_

Certified by: \_\_\_\_\_

Title/Position: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

### Note:

1/ Report to be based on the results framework of the approved project document.

2/ The report should be submitted using a paper that bears the beneficiary organization letterhead and official stamp.

## ANNEX 8.2: Full financial report and request for payment

Requirement	Details
Project Title	
Activity Reference	
Name of Cooperating Organisation	
Total Project Budget in US\$	
Statement of Receipts, Expenditure and Fund Balance as at [date]	

Object Class	Object Code	Class/Code Name	Total Budget	Total prior period expenditures	Reporting period					Planned Expenditure for .....
					Budget	Disbursements	Unliquidated Obligation	Cumulative Expenditure	Balance	
					(a)	(b)	(c)	d=(b+c)	e=(a-d)	
421	1101	Project Personnel International Experts/1								
	1102	International Experts/2								
	1103	International Experts/3								
	1151	Consultants /1								
		<b>Subtotal International Experts</b>								
	1301	Administrative Support Personnel /1								
	1302	Administrative Support Personnel /2								
	1303	Administrative Support Personnel /3								
		<b>Subtotal Administrative Support Personnel</b>								
	1401	Volunteers								
		<b>Subtotal Volunteers</b>								
	1501	Travel on Official Business (internal travel)								
		<b>Subtotal Travel on official business</b>								
	1601	Mission Costs								
		<b>Subtotal Mission Costs</b>								
	1701	National project staff & consultants/1								
	1702	National project staff & consultants/2								
	1703	National project staff & consultants/3								
		<b>Subtotal national project staff &amp; consultants</b>								
		<b>Project Personnel TOTAL</b>								
422		Subcontracts								
	2101	Sub-Contracts /1								
	2102	Sub-Contracts /2								
	2103	Sub-Contracts /3								
		<b>Subtotal Sub-contracts</b>								
	2201	Grants to institutions /1								

## ANNEX Section 8 – Implementing partnership files

	2202	Grants to institutions /2								
	2203	Grants to institutions /3								
	<b>Subtotal Grants to Institutions</b>									
	<b>Subcontracts TOTAL</b>									
423		Training								
	3101	Individual Fellowships/1								
	3102	Individual Fellowships/2								
	<b>Subtotal Individual Fellowships</b>									
	3201	Group training /1								
	3202	Group training /2								
	<b>Subtotal Group Training</b>									
	3301	In-service training /1								
	3302	In-service training /2								
	<b>Subtotal In-service training</b>									
	<b>Training TOTAL</b>									
424		Equipment								
	4101	Expendable equipment/1								
	4102	Expendable equipment/2								
	<b>Subtotal Expendable equipment</b>									
	4201	Non expendable equipment/1								
	4202	Non expendable equipment/2								
	<b>Subtotal Non expendable equipment</b>									
	4301	Premises/1								
	4302	Premises/2								
	<b>Subtotal Premises</b>									
	<b>Equipment TOTAL</b>									
425		Miscellaneous								
	5101	Operation & Maintenance of equipment/1								
	5102	Operation & Maintenance of equipment/2								
	<b>Subtotal Operation &amp; Maintenance of equipment</b>									
	5201	Reporting costs /1								
	5202	Reporting costs /2								
	<b>Subtotal Reporting Costs</b>									
	5301	Sundry /1								
	5302	Sundry /2								
	<b>Subtotal Sundry</b>									
	5401	Direct costs								
	<b>Subtotal Direct costs</b>									
	5800	Prior year adjustment								
	<b>Miscellaneous</b>									
427		Micro-Capital Grants								
	7101	Grants for credit activities/1								
	7102	Grants for credit activities/2								
	<b>Subtotal for Grants for credit activities</b>									

## ANNEX Section 8 – Implementing partnership files

	7201	Grants for other capital investments/1								
	7202	Grants for other capital investments/2								
	<b>Subtotal for Grants for other capital investments</b>									
		Micro-capital Grants								
999		Programme Support Costs								
	<b>PROJECT TOTAL</b>									

### II. Request For Payment:

#### A. Cash receipts statement

i) 1st Instalment

ii) 2nd Instalment

iii) 3rd Instalment

iv) 4th Instalment

Total Receipts

B. Total Cumulative Expenditure as at .....

C. Total Cash Balance as at..... (A-B)

D. Total Cash Requirements for the period.....

Date Received US\$

-

-

-

-

-

-

-

-

CERTIFIED BY:.....

Finance Director .....

Director/Programme Coordinator .....

## ***ANNEX Section 9 – Agreement templates***

### **ANNEX 9.1: General framework agreement]**



Template General  
Framework Agreement

### **ANNEX 9.2: Tripartite agreements/ Multi-Partner Cooperation Arrangements**



Template Tripartite  
Agreement.doc

### **ANNEX 9.3: Contribution agreement [cost support agreement]**



Template for Joint  
Financing Arrangement

### **ANNEX 9.4: Financing agreements [Implementation agreements]**



Template LoA for IP  
with financial implications

# ANNEX Section 10 – Reporting formats

## ANNEX 10.1: XB and RPTC project/event Progress Report

Cover page of the report should have the following:

Requirements	Details
Project/event Title:	
Project/event Duration:	
Reporting Period Covered:	
Financial Implementation Rate ( <i>in % of the total budget as per annex 1 figures</i> )	
Summary of Impact: ( <i>Should not exceed 3 paragraphs</i> )	

Please note: For projects in early stages, it is understood that there might be limited impact and this could be a description of activities, outputs and early evidence of outcomes.

### ***Review of expected accomplishments and activities in line with RF/logframe matrix as per proposal document***

While preparing the matrix, please ensure that the review includes all activities as per the approved project/event document, and clearly stating the activities which have been completed/accomplished and/or the activities which are under implementation (work-in-progress) in line with the Project/Event Work plan).

#### **A. Accomplishments**

EA1	(As per project/event proposal document)
I.1.1: Quantitative Performance (Indicator(s) related to EA1)	Give estimate or actual values for the indicator for the time period considered
Qualitative Results achieved for EA1:	Should describe additional results/ impact achieved in the area of EA1.
A.1.1 (Main activities completed in relation to EA1)	Describe the main activities that have been completed in achieving EA1. Include details like number of participants for workshops etc
A1.2	
EA2	
I.2.1: Quantitative Performance (Indicator(s) related to EA1)	
Qualitative Results achieved for EA2:	
A.2.1 (Main activities completed in relation to EA2)	

#### **2. Problems encountered**

(Please elaborate if there were problems with the execution of the project/event)

- a. Description:
- b. Actions taken to resolve the issues:

#### **3. Sustainability**

(The extent to which the project leads to some durable, self-sustained process, if/how the accomplishments/impact of the projects/events can be sustained by implementing entities/partners or stakeholder, and synergies with other development interventions should also be reflected in progress reports.)

**4. Revision of project document**

Has the project document been revised since its initial submission? Have there been changes to the log frame? If yes please explain.

**5. Work plan for the remaining activities**

Please list remaining activities with planned schedule of completion.

	Duration / Date of completion
EA1:	
A 1.1	
A 1.2	
EA2:	
A 2.1	
A2.2	

**6. Additional information (available upon request)**

Please provide a short sample of the most relevant information on the progress of the project like:

- a) Evaluation of activities;
- b) Publications;
- c) Media coverage; and
- d) Meeting reports, etc.

***Budget expenditures income and expenditure report Jan - Dec***

Project No.	Activity	Budget	Expenditure Jan – June	Unspent Balance	Expenditure July - Dec	Total Expenditure Jan - Dec	Net Unspent Balance

Summary

Total income received

Total expenditure

Unspent Balance

% of Exp/income

## ANNEX 10.2: DA project/event Progress Report

Project/event managers are strongly encouraged to follow this outline when preparing annual progress reports on Development Account projects (or events).

The main uses of the annual progress reports include the following:

### For Implementing Entities

- Support good management by providing regular, timely and relevant information on the project's (or event's) achievements;
- Provide a tool for DA Focal Points and the senior management of implementing entities to review and assess progress made in the project's (or event's) implementation and provide guidance in case of risks and/or challenges encountered;

### For the Development Account Programme Management Team (DA-PMT)

- Support the DA Programme Manager in reporting to Member States on the progress made in the implementation of the projects (or events);
- Provide a tool for the DA-PMT to liaise with implementing entities on the review and assessment of progress made on ongoing projects (or events).

Project/event title	
DA project code	
Executing entity	
Reporting period	mm/yy - mm/yy
Implementation rate	Please use the percentage calculated on page 5 (of the standard form)

### Summary of achievements to date

This section should be no longer than three paragraphs and should provide a concise and effective narrative of the key accomplishments of the project (or event) to date. It should not repeat information already provided (for instance, information presented in the proposal document) but should highlight results, potential impact and any relevant achievement related to the project's (or event's) implementation (including unexpected results, both positive and negative). This section will be used for the DA website (<http://www.un.org/esa/devaccount/>), hence project/event managers are encouraged to include links to websites that may represent useful references. For projects/events in initial stages, it is understood that only limited results might have been achieved at the time of reporting.

### Review of performance indicators and activities

The purpose of this section is to understand how the project/event is actually performing against its intended accomplishments. This should be done through the verification of the indicators of achievement that were developed in the proposal document, both quantitative and qualitative, as well as through an assessment of the implemented activities (see tables below). Project/event managers are encouraged to make sure that this review includes all expected accomplishments (EAs) and activities, as per the approved proposal document, and state whether the activities have been completed or are still being implemented.

**Table 1 – Review of Performance Indicators**

Expected Accomplishment	Indicator of achievement at start of the project/event (T0)	Indicator of achievement at time period when project/event is being reviewed (T1)	Comments
EA1	Please provide the baseline, or value of the indicator at the start of the project/event, if available	Please provide an estimate or actual value of the indicator for the time period considered	Please elaborate on the progress made on achieving the EA so far
EA2			

**Table 2 – Review of Completed Activities**

Activities	Comment
<i>Please list the completed activities as per project document</i>	<i>Please briefly assess the implementation of each activity, i.e. the extent to which the activity has been implemented</i>

## Challenges/problems encountered so far

Project/event managers are kindly asked to elaborate on possible problems faced by the project/event (e.g. change in country situation, administrative processes, collaboration with partners, internal issues, etc.). For each issue identified, one short paragraph should be provided, as well as any action taken to address the issue, as per the table below.

**Table 3 – Challenges and actions**

Description of challenge	Action(s) taken to solve the issue, if any

## SUPPLEMENTARY FUNDING

This section should be able to help access DA projects' (or events') ability to raise additional funds for the set of activities undertaken. The purpose is to highlight any form of additional funding (financial or in-kind) that has been leveraged to further the implementation of the project/event through partnerships and/or donors (e.g. additional participants at workshops, paying for venues/additional activities etc; it does not refer to funds leveraged for projects/events other than the one being reviewed). If additional funds were received, project/ event managers are asked to specify the origin, the purpose and the amount leveraged, as per the table below.

**Table 4 – Financial Leveraging**

Donor	Purpose	Amount raised	
		Cash (USD)	In-Kind

## Revisions

In this section project/event managers are kindly requested to report on whether any change to planned activities and/or the budget has occurred. Whether the revisions have been submitted to the Programme Manager (PM) or Programme Planning and Budget Division (PPBD) for approval should also be clarified. If changes to the distribution of funds between objective classes/budget lines have taken place, they must be clearly indicated in the financial information table on page 5 (columns C and D).

## Work plan for remaining activities

Project/event managers are kindly requested to list the activities that still require completion and, for each one, specify the planned start and end date, as per the table below.

**Table 5 – Remaining activities**

Remaining Activities	Start date	Date of completion

## Additional information

In this section project/event managers are kindly asked to include any relevant publication, media coverage or meeting report linked to the project/event.

## Financial information

Object Class	Description	A. Budget/ Allotment (as per proposal document) (USD)	B. Revisions to allotments (if any) (USD)	C. Explanations of revisions to allotments (USD)	D. Total Expenditure (USD)

## ANNEX Section 10 – Reporting formats

602	General Temporary Assistance				
604	Consultants and Expert Groups				
608	Travel of staff				
612	Contractual services				
616	Operating expenses				
618	Supplies, Materials etc.				
621	Fellowships, grants and contributions				
	Total				

Implementation rate (%)	= Total expenditure (D)/Total budget (A)
-------------------------	--

# ANNEX Section 11 – Programme/ Project/ Checklist

## ANNEX 11.1: Programme/Project Completion Check List

Subprogramme/Division: \_\_\_\_\_ Project No. \_\_\_\_\_

I confirm that all of the following matters have been considered and resolved:

Yes/No	Matters to be considered	Remarks
	No outstanding advances to IP – in either local currency or USD	
	No outstanding reports (narrative or financial) from IPs	
	No outstanding obligations	
	No open Purchase Orders	
	No Receipt accruals	
	No outstanding commitments	
	No pending prepayments and other non PO advances	
	All pre-financing activities have been recovered/reported and/or reimbursed	
	No unapplied deposits or other unrecorded revenue	
	No outstanding Accounts Receivable to be received from donors per signed agreements	
	All assets are transferred or otherwise disposed of. Asset transfer letters/ documents are in place	
	Ensure all transactions for sale/transfer/donation/disposal etc. of assets have been processed	
	All accrued employee benefits are fully accounted	
	No other pending liabilities	
	Final steering committee (if applicable) minutes are available	
	Resources for final evaluations are reserved	
	All audit observations are closed with supporting documentation.	
	If a cost sharing project, the unexpended balance has been dealt as per the signed donor agreement	
	Consultations with donors on the disposition of unexpended cost sharing balances, where required by the contribution agreement, have taken place and are documented in writing.	
	All refunds to donors have been transferred to donor pool account (Pending Refunds to Donors) and the programme/ project balance is zero.	
	Notified Trust Funds Unit if the donor agreement requires interest to be refunded to the donor if specified in the agreement.	
	All donor reports, as established in the agreement, were submitted and acknowledged receipt by the donor representative.	

Name \_\_\_\_\_

Title \_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_

**Note: The check list must be signed by the Programme/Project Manager/Divisions/Subprogramme Director**

