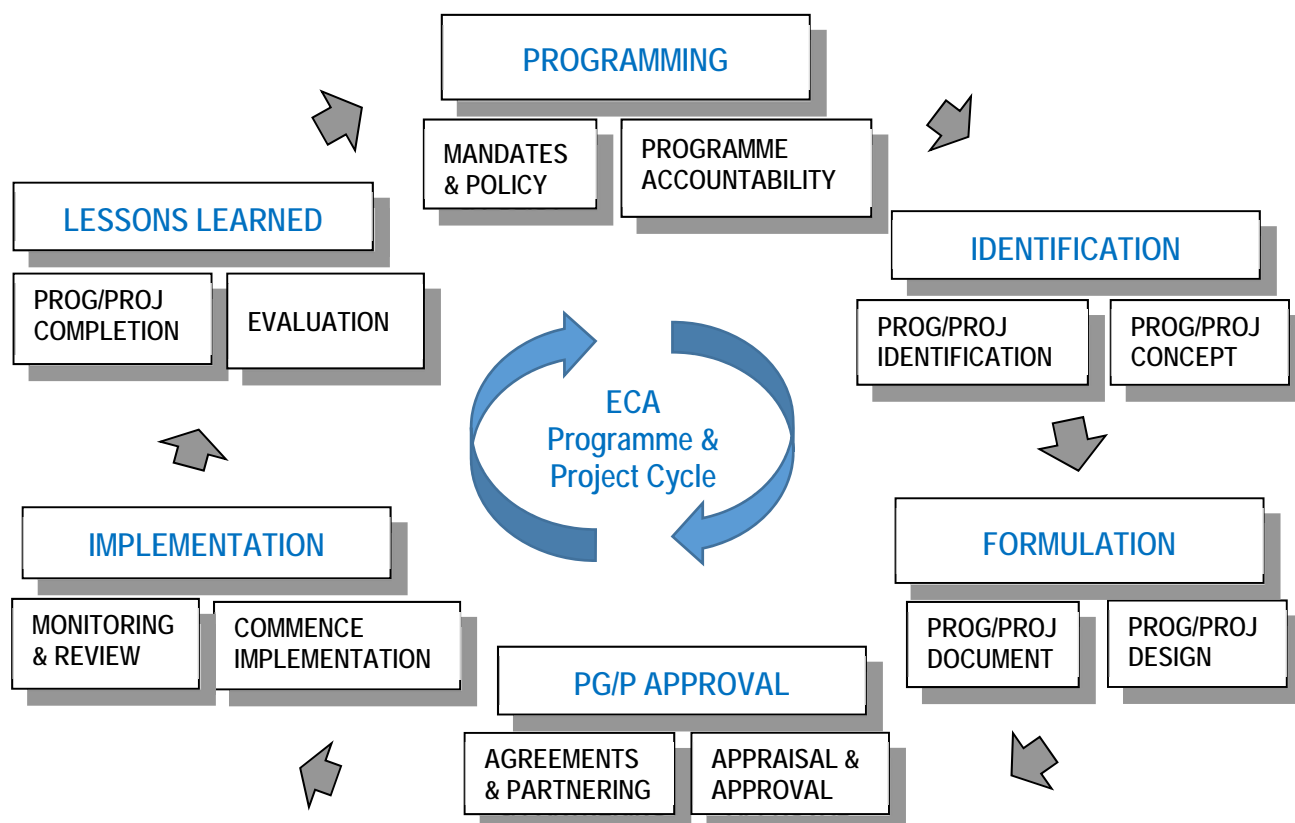




Economic Commission for Africa

# PROGRAMME & PROJECT MANAGEMENT MANUAL



21 July 2017

# Foreword

Await the Director's clearance

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# Acronyms

ABP .....	Annual Business Plan	LPI .....	Land Policy Initiative (ECA)
ACABM .....	Advisory Committee on Administrative and Budget Matters (ECA)	M&E .....	Monitoring and Evaluation
ACABQ .....	UN Advisory Committee on Administrative and Budgetary Questions (UNHQ)	MoU .....	Memorandum of Understanding
ACG .....	African Centre for Gender (ECA)	MOV .....	Means of verification for the indicators
ACPC .....	African Climate Policy Centre (ECA)	MPD .....	Macroeconomic Policy Division (ECA)
ACS .....	African Centre for Statistics (ECA)	MTE .....	Mid-Term Evaluation
ADF .....	Africa Development Forum	MTR .....	Mid-Term Review
AfDB .....	African Development Bank	NEE .....	Non-Expendable Equipment
AMDC .....	African Minerals Development Centre (ECA)	NGO .....	Non-Governmental Organization
APB .....	Approved Programme Budget	ODES .....	Office of the Deputy Executive Secretary
APRM .....	African Peer Review Mechanism	OES .....	Office of the Executive Secretary
ATPC .....	African Trade Policy Centre (ECA)	OIOS .....	UN Office of Internal Oversight Services (UNHQ)
AU .....	African Union	OVI .....	Objectively verifiable indicators
AUC .....	African Union Commission	PA .....	Programme Assistant
BMF .....	Budget Monitoring Form	PD .....	Project Document
BVM .....	Best value for money	PhP .....	Personal History Profile
CBOs .....	Community based organisation	PIKMD .....	Public Information and Knowledge Management Division (ECA)
CDD .....	Capacity Development Division (ECA)	PMO .....	Programme Management Officer
CDO .....	Capacity Development Office (UNHQ)	PO .....	Purchase order
CN .....	Concept Note	PPB .....	Proposed Programme Budget
COM .....	Conference of Ministers	PPBS .....	Programme Planning and Budgeting Section (in SPOQD)
COP .....	Community of Practice	PPRC .....	Programme and Project Review Committee (ECA)
CSO .....	Civil Society Organisation	PRF .....	Programme Results Framework
DA .....	Development Account	PRMS .....	Partnership & Resource Mobilisation Section (in SPOQD)
DES .....	Deputy Executive Secretary	ProDoc .....	Programme Document
DESA .....	Department of Economic and Social Affairs (UNHQ)	PRS .....	Poverty Reduction Strategy
DFID .....	Department for International Development	PSC .....	Programme Support Cost
DOA .....	Division of Administration (ECA)	PU .....	Procurement Unit
DSA .....	Daily Subsistence Allowance	QAS .....	Quality Assurance Section (in SPOQD)
EA .....	Expected Accomplishment	QRC .....	Quality Review Committee (ECA)
EC .....	European Commission	RACI .....	Responsible, Accountable, Consulted, Informed
ECA .....	United Nations Economic Commission for Africa	RB .....	Regular Budget
ECOSOC .....	Economic and Social Council (UNHQ)	RBM .....	Results-Based Management
EGM .....	Experts Group Meeting	REC .....	Regional Economic Commission
e-PAS .....	Electronic Performance Appraisal System	RFP .....	Request for Proposal
ERA .....	Economic Report on Africa (ECA)	RFQ .....	Request for Quotation
ERM .....	Enterprise Risk Management	RITD .....	Regional Integration and Trade Division (ECA)
ES .....	Executive Secretary	RPTC .....	Regular Programme of Technical Cooperation
EvalS .....	Evaluation Section (in SPOQD)	SDG .....	Sustainable Development Goals
GA .....	General Assembly (UNHQ)	SDPD .....	Social Development Policy Division (ECA)
GANTT .....	Gantt (bar) chart	SF .....	Strategic Framework (Biennial)
GM .....	Gender marker	SID .....	Special Initiatives Division (ECA)
HCC .....	Headquarters Contract Committee	SMT .....	Senior Management Team
HR .....	Human Resources	SPAS .....	Strategic Planning and Accountability System
ICT .....	Information and communication technology	SPOQD .....	Strategic Planning and Operational Quality Division (ECA)
IDEP .....	African Institute for Economic Development and Planning (ECA)	S-PRF .....	Sub-Programme Results Framework
IMDIS .....	Integrated Monitoring Documentation Information System	SRO .....	Sub-Regional Office
IP .....	Implementing partner	TA .....	Technical Assistance
IPSC .....	'IP Selection Committee'	TC .....	Technical Cooperation
IT .....	Information Technology	ToR .....	Terms of Reference
ITB .....	Invitation to Bid	TST .....	Thematic Strategy Team
JD .....	Job Description	UN HQ .....	United Nations Headquarters (New York)
JFA .....	Joint Financing Arrangement	UNDP .....	United Nations Development Programme
JIU .....	Joint Inspection Unit (UNHQ)	UNEG .....	United Nations Evaluation Group
LCC .....	Local Contract Committee	USD .....	United States Dollars
LFA .....	Log Frame Approach/analysis	WBS .....	Work break down structure
LoA .....	Letter of Agreement	XB .....	Extra-budgetary

# Introduction

## Why a Programme and Project Management Manual?

The ECA Programme and Project Management Manual has grown out of the need for a strengthened and professionalized approach in ECA to the management of programmes and projects. This Manual is designed to streamline ECA programme and project management activities. The intended audience includes all ECA staff members responsible for designing, implementing and overseeing programmes and/or projects and their management, including senior managers, technical staff, project team members and partners.

### Box 1: The ECA Programme and Project Phases

1. Programming	
1.1 Mandates & Policy	1.2 Programme Accountability
2. Identification	
2.1 Project Identification	2.2 Prog/project Concept
3. Formulation	
3.1 Prog/Project Design	3.2 Prog/Project Document
4. Prog/Project Approval:	
4.1 Appraisal & Approval	4.2 Agreements & partnering
5. Implementation	
5.1 Commence Implementation	5.2 Monitoring & Review
6. Lessons learnt	
6.1 Prog/Project Completion	6.2 Evaluation

This manual is structured around the programme/project cycle and the associated processes and thematic areas of programme and project management. In brief, the content of this manual provides an overview of:

- ECA's overall approach to results-based management of the programme & project cycle;
- The respective roles and responsibilities of Programme and Project Managers, Programme Management Officers and project implementing partners;
- The respective roles and responsibilities of Divisions, Centres, SROs, IDEP and other ECA structures that steer/oversee implementation;
- ECA programme and project quality standards and how to develop and manage programmes and projects within the standards;
- Key areas and basic requirements of operational management to ensure efficient programme and project delivery.

The Annexes section provides standard formats and templates for a variety of agreements, concept notes, Project Documents, Budgets, Requests for Funding, and others. The PPBS will be continually reviewing and updating this manual; the latest versions will be available on the Programme & Project Management e-platform. Future versions may include additional annexes dealing with specific topics, such as evolving standards and approved Standard Operating Procedures.

## The ECA Programme & Project Cycle: An Overview

The project cycle is a way of linking the phases of the life of the project – enabling ECA staff and stakeholders to see what needs to be planned and carried out to make a project successful, with each phase carrying forward to the next one. The following paragraphs outline the six interrelated phases of the programme and project cycles. These phases, as well as the templates provided in the Annexes, should be followed in the planning and implementation of ECA's programmes and selected projects<sup>1</sup>.

<sup>1</sup> In cases where the procedures described in this Manual are not adhered to, because it is not feasible or practical for various reasons, a 'note to file' should be written. The selected projects are those that are large scale or long duration – see details in Phase 4.

# 1. PROGRAMMING PHASE

## 1.1 MANDATES & POLICY

ECA's Strategic Framework, its policy and work programme, and positive feedback from successful projects, are all important inputs that lead to exploration of possible projects focussing on policy review and up-scaling to national/ regional levels & replication.

## 1.2 PROGRAMME ACCOUNTABILITY

Accountability is the obligation of the Commission and its staff members to be answerable for all decisions made and actions taken by them, and to be responsible for honouring their commitments, without qualification or exception. This section presents accountability management issues at portfolio, programme and project levels.

# 2. IDENTIFICATION PHASE

## 2.1 PROGRAMME/PROJECT IDENTIFICATION

The three main approaches to project identification are: a) a desk review, b) review of recommendations from ECA research, publications, and evaluations; and c) a scoping mission to understand the issues to be addressed. The identification process includes examination of previous efforts (e.g., review of ECA evaluations and lessons learnt from related past projects), and exploration of potential stakeholders (e.g., potential collaborating agencies, implementing organisations) based on ECA experience.

## 2.2 PROGRAMME/PROJECT CONCEPT

Programme/Project design should be done in a collaborative fashion including key stakeholders, prospective donor/s where applicable, and ECA staff (e.g., technical experts, SRO officers with field knowledge, support staff in DOA and PIKMD with relevant know-how, competence and specialisation). Consultation is essential in building ownership and joint responsibility for the project, which will contribute to quality of design, smoothness of operation, and sustainability of outcomes. The concept design will build on the identification phase by exploring the modalities of intervention, institutional arrangements and the legal framework among others. This will set out the overall design framework of the project that will guide the following formulation phase.

# 3. FORMULATION PHASE

## 3.1 PROGRAMME/PROJECT DESIGN

This stage is where the full programme/project design is achieved through a careful sequencing of steps – moving from assessment, to solutions, to a coherent overall approach or programme/project strategy. The programme/project designers will assess the current situation (stakeholder analysis, problem analysis/tree), examine alternative solutions, and create a project hypothesis (solution tree), followed by an analysis of risks, assumptions, and sustainability. The product of these reflections will be prepared as a Log Frame matrix (or Results Frame) – with objectives, objectively verifiable indicators (OVIs), means of verification for the indicators (MOVs) and assumptions and risks.

## 3.2 PROGRAMME/PROJECT DOCUMENT

The results of the previous stage will be the core of the Programme Document (ProDoc)/Project Document (PD), which will now be supported by several other important sections, including a preliminary M&E plan, a budget and procurement plan, an HR plan, a risk management plan, implementation strategy and a workplan/schedule. The Project Document should follow a format acceptable to all partners with supporting documentation.

## 4. PROGRAMME/PROJECT APPROVAL PHASE

### 4.1 APPRAISAL & APPROVAL

The technical quality of proposed programmes and projects is appraised at concept note and full proposal document stages by the PPRC/QRC. The appraisal process ensures that designs are at a high technical standard, are consistent with ECA's policies and guidelines, and relevant to ECA's mandates and priorities, as well as contributing to national and international development strategies and frameworks. Criteria for appraisals are set out in appraisal checklists. In addition to review of the technical quality of the programmatic/development aspects of the proposal, the PPRC/QRC will also review the management plan of the proposal, including the financial and administrative implications for ECA.

### 4.2 AGREEMENTS & PARTNERING

After technical approval and financial/administrative clearance, the implementing Division together with PRMS can officially negotiate terms and conditions of technical cooperation with funders and implementing partners. There are four types of Technical Cooperation Agreements: General framework agreements (e.g., with governments), Tripartite agreements (e.g., with collaborating strategic partners), Contribution agreements (e.g., with donor), and Financing agreements (e.g., with implementing partner). These agreements may be in a variety of formats, principally Memoranda of Understanding (MoUs) and Letters of Agreement (LOAs).

## 5. IMPLEMENTATION PHASE

### 5.1 COMMENCE IMPLEMENTATION

Implementation is when the programme/project is carried out according to the agreed ProDoc/PD.

- Pre-implementation: The implementing partners, project staff and all actors are mobilised. Partnership agreements are signed. Key responsibilities in programme/project management are assigned, the programme/project manager is appointed, the management arrangements are confirmed, and a governance mechanism is established.
- Start-up: project design and work plan are revised, the monitoring and evaluation (M&E) plan is prepared, and the project team (staff and partners) is in place.

The first stage of the implementation process is when the funds are received from the donor, and the programme/project budget is set up and activated in the Umoja system. Funds should then be availed to the implementing Division/Sub-programme within ECA and consequently to the implementing partner in the field as per the implementation work plan. With the funds in hand, implementation commences; inputs are used, all programme/project activities begin in line with the agreed work-plan specified in the ProDoc, outputs are delivered and completed, and outcomes are achieved.

### 5.2 MONITORING & REVIEW

Monitoring and review are utilized as an on-going management tool to ensure that the programme/project is on track to meet its objectives and to guarantee success. Monitoring is an important management function to review progress and ensure any necessary corrective measures are taken in time. This is done against the indicators elaborated in the programme/project document. Progress reports and annual/mid-term reviews are prepared to document and measure progress. ECA headquarters, IDEP and Sub-Regional Office staff review monitoring data and progress reports to oversee the programme/project during implementation.

## 6. LESSONS LEARNED PHASE

The benefit of lesson learning efforts is gathering evidence and perceptions to feed into ECA's policy formulation as well as to give guidance to the programme/project partners for their future activities. This phase feeds directly into the programming phase (phase 1 above) for new projects and the cycle starts again.

## 6.1 PROGRAMME/PROJECT COMPLETION

This is the point when programme/project activities are completed, achievements are documented, the programme/project personnel's contracts are terminated, physical assets are disposed of, and accounts are closed.

## 6.2 EVALUATION

A final forward-looking evaluation is conducted (by independent evaluators). The purpose of this evaluation is to provide accountability to ECA's internal and external stakeholders, examine relevance and achievement of intended outcomes and impacts, identify unintended outcomes, look at efficiency, effectiveness and sustainability, and contribute to organizational learning. Once these above steps are completed, the programme/project manager is required to prepare a programme/project termination report. All parties take part in the preparation and review of the final report.

Lessons learned should be documented as part of: a) annual reviews, b) after action reviews, c) evaluations, or, d) whenever possible, in ex post<sup>2</sup> evaluation studies. Lessons will also emerge from monitoring and review exercises over the life of the programme/project, linked with strong knowledge management practices and systems.

***TIP:*** Sufficient time should be set aside for the design, appraisal and approval processes, which can take several months, allowing for adequate consultation and participation to achieve consensus between the partners, as well as time for reflection and discussion during each of the preliminary phases.

## Summary

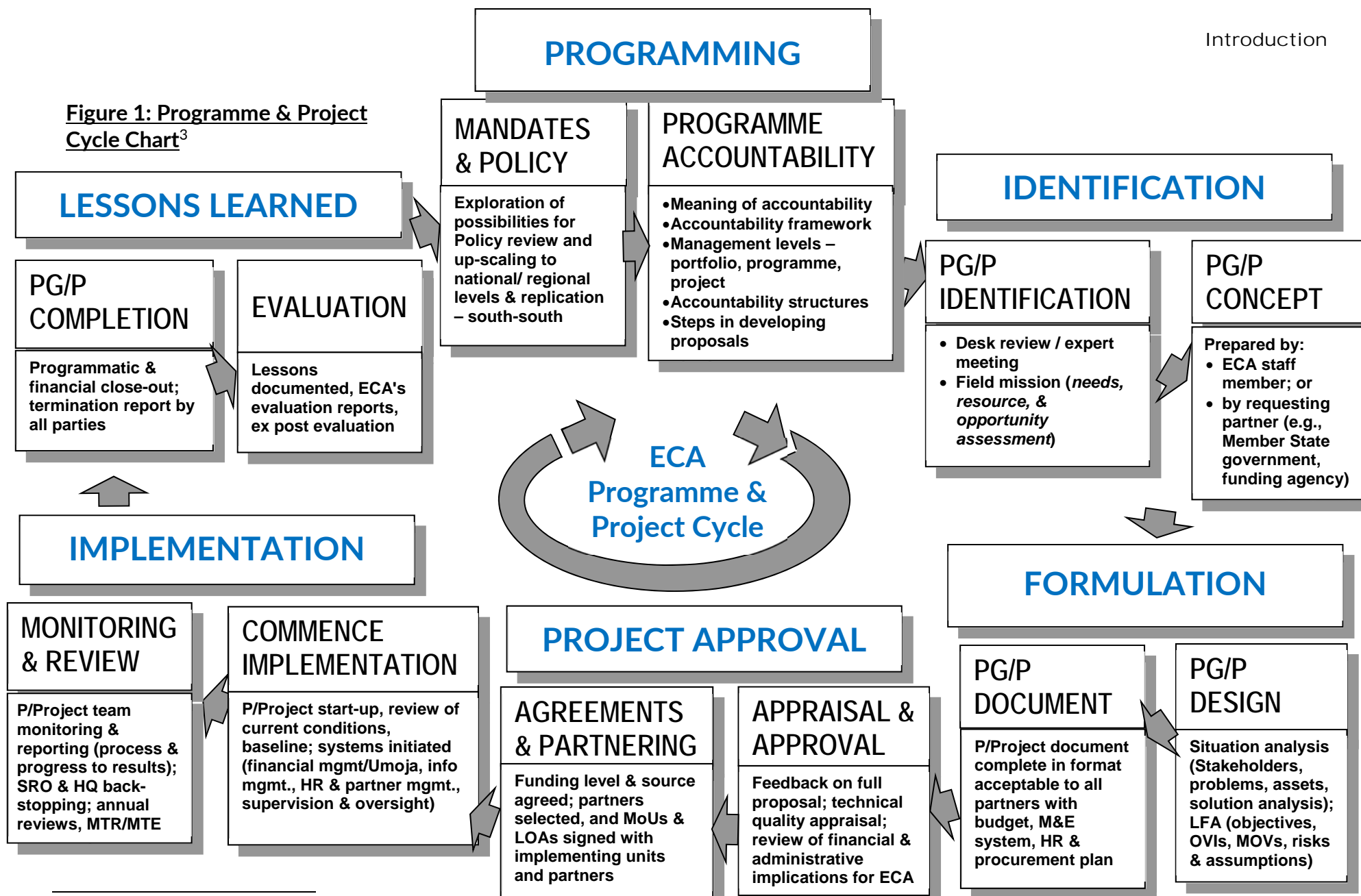
The introduction, brief descriptions above, and graphic on the next page show the main steps of the ECA Programme & Project Cycle and its management. The following sections of this Manual dive deeper into each of those steps and provide guidelines and checklists for the management of both the stages and the cycle as a whole. Formats and templates to support the required outputs are all available in the Annexes.

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<sup>2</sup> Long enough after the end of project support to check on sustainability of outcomes, and to check for more slowly emerging impacts.



Figure 1: Programme & Project Cycle Chart<sup>3</sup>



<sup>3</sup> Adapted from UN Habitat (2003) Programme & Project Cycle Management Manual

# Phase 1 Programming

## 1.1 Programming Mandates

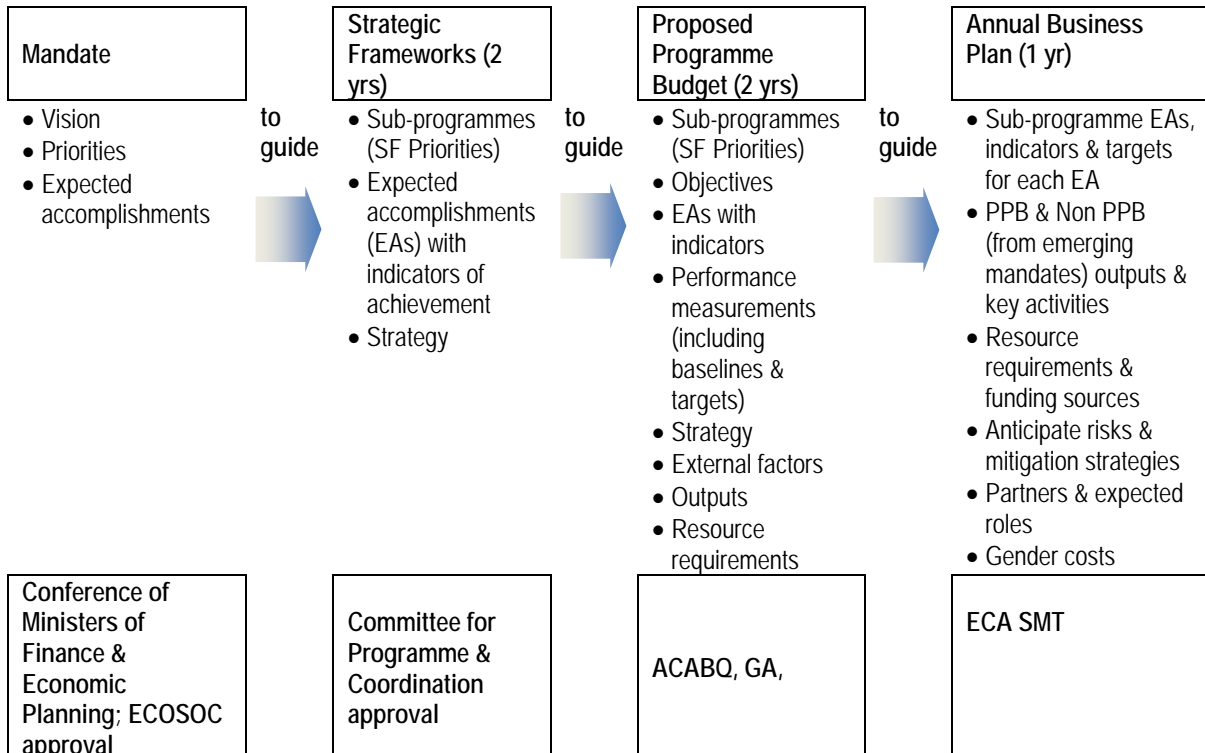
### ECA's Strategic Programming Framework

The programme cycle of ECA begins with strategic analysis and establishing a Biennial Strategic Framework (SF). The proposed SF and Proposed Programme Budget (PPB) are reviewed by the UN HQ and General Assembly. After approval, the SF and the Approved Programme Budget (APB) are translated into Annual Business Plans (ABPs). The SF and APB are ECA-wide documents, with separate sections for each ECA sub-programme<sup>4</sup>. [see SPAS diagram on next page]

The process requires several SMT reviews to ensure that all of these documents are well aligned with the priorities of ECA's mandates and informed by regional/sub regional and country assessments of economic and social needs. Each SF and PPB planning process builds upon lessons learned and results of programme evaluations from previous processes, as part of the cycle of institutional learning and analysis.

The main product of the SF planning process is the identification of strategic thematic priorities, known as Sub-programmes, which are supported by clearly defined objectives and strategies to achieve those objectives. The SF sets out Expected Accomplishments (EAs), i.e., desired outcomes, for each Sub-programme (see Figure 2 below for how these pieces fit in ECA's Results Based approach).

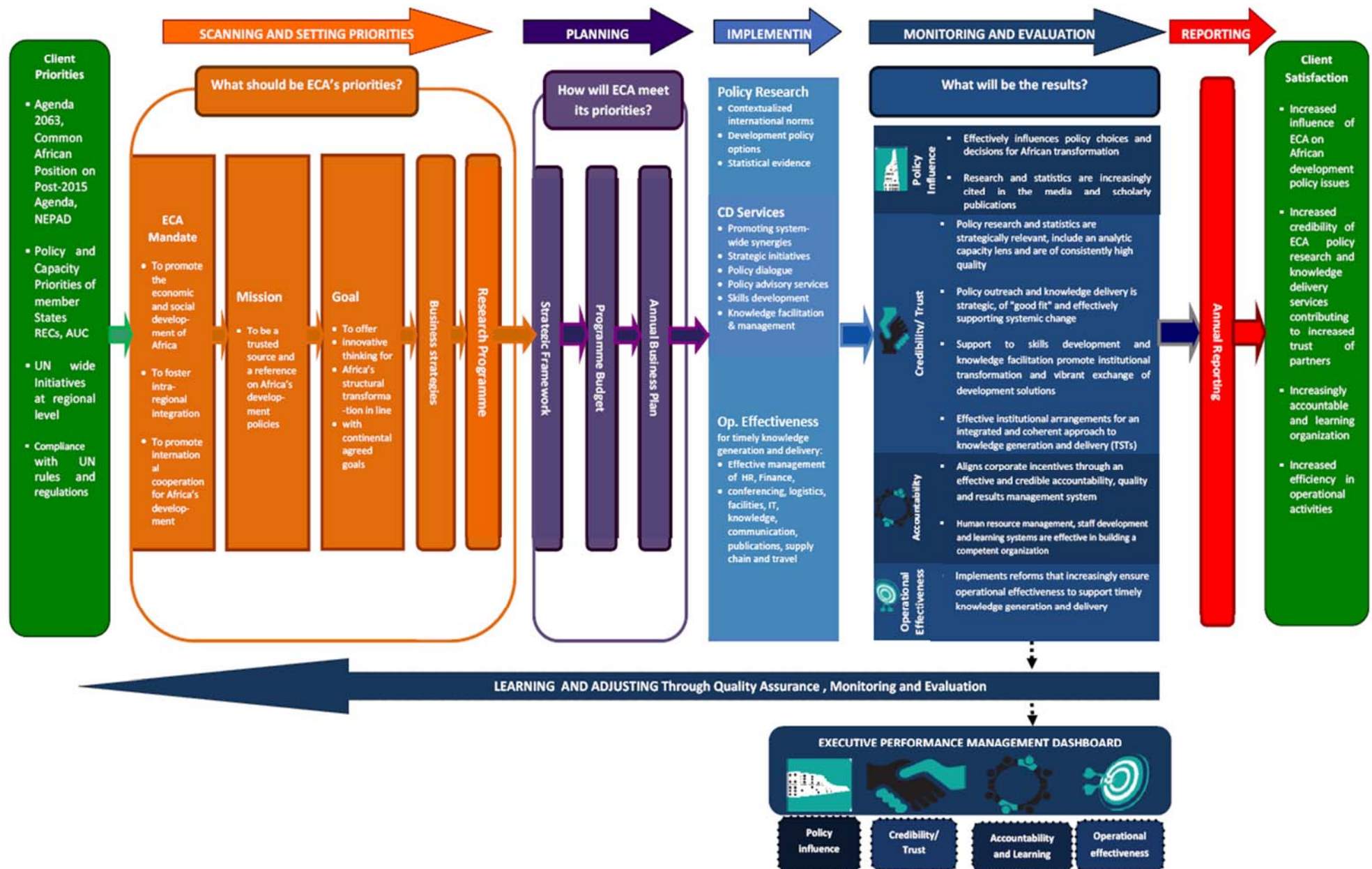
**Figure 2: From Strategic Framework to Annual Business Plan**



<sup>4</sup> In ECA terminology, the overall portfolio of ECA's programmes and projects is called the 'programme' of ECA; and thus the next level down of management structures are 'sub-programmes', although they operate like programmes and manage the third tier of projects.

Figure 3

# THE ECA STRATEGIC PLANNING AND ACCOUNTABILITY SYSTEM (SPAS)



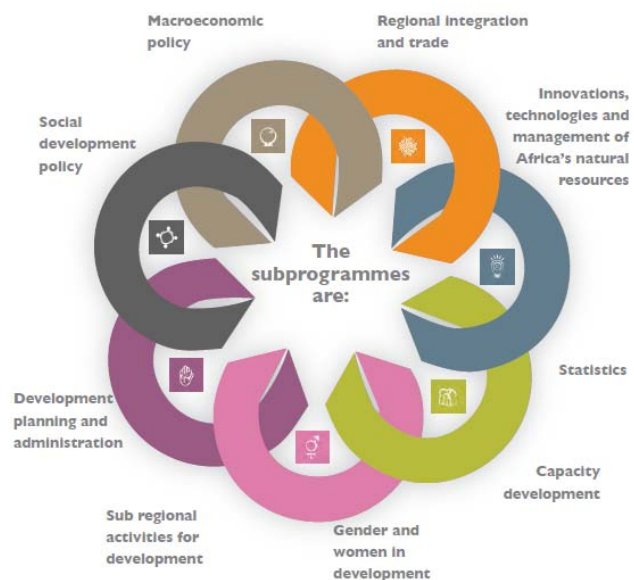
The Annual Business Plan (ABP) is the main annual planning tool of ECA. It is developed based on ECA's Approved Programme Budget (APB), and new legislative mandates emanated from emerging issues after the approval of the ECA Programme of Work by the UN General Assembly. The ABP serves to:

- i) articulate outputs and key activities to be delivered for each Expected Accomplishment (EA), together with budget requirement for each output;
- ii) demonstrate ECA's investment towards promoting gender equality;
- iii) track annual performance against ECA Biennium PPB; and
- iv) contribute to ECA's accountability framework by providing sets of annual milestones, to be tracked and reported against the approved EAs and corresponding indicators of achievement.

## Programme Results Framework

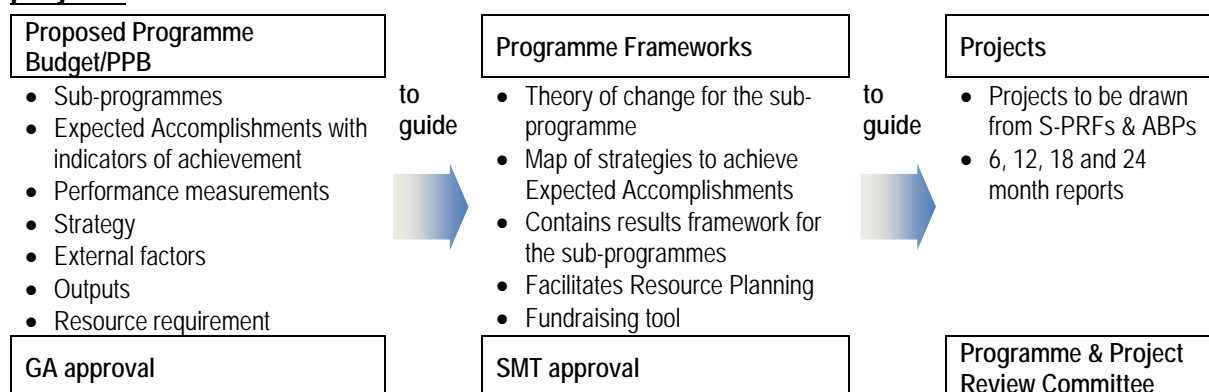
**Programme Results Frameworks (PRFs)** lay out what ECA will aim to deliver in each two-year biennium. ECA uses PRFs to strengthen the causal logic between planned programme objectives, sub-programme efforts and the projects that are intended to contribute to the EAs (i.e., desired outcome level results).

ECA expects to have one Sub-Programme Results Framework (S-PRF) developed for each Sub-programme. This is where performance indicators for each of the related EAs (from the overall SF) are defined. Normally there are two to three EAs associated with each Sub-programme. The S-PRF should be based on ECA's overall programme level framework, and may include developing more detailed sub-programme strategies for guiding the development of projects by sub-programme that will contribute to the EAs.



**Figure 4: ECA's Sub-Programmes**

## Figure 5: From Programme Budget to projects



## Programme & project concept sources

Programmes and projects are based on requests received by ECA, which are mostly in the form of requests for policy advice and technical support submitted by the Member States. Several conditions should be met for a project request to be considered for inclusion in ECA's workplan and portfolio of programmes/projects. Firstly, the programme/project should be in line with the ECA's SF as well as the sub-programme results framework and current focus of activities undertaken by one or more of

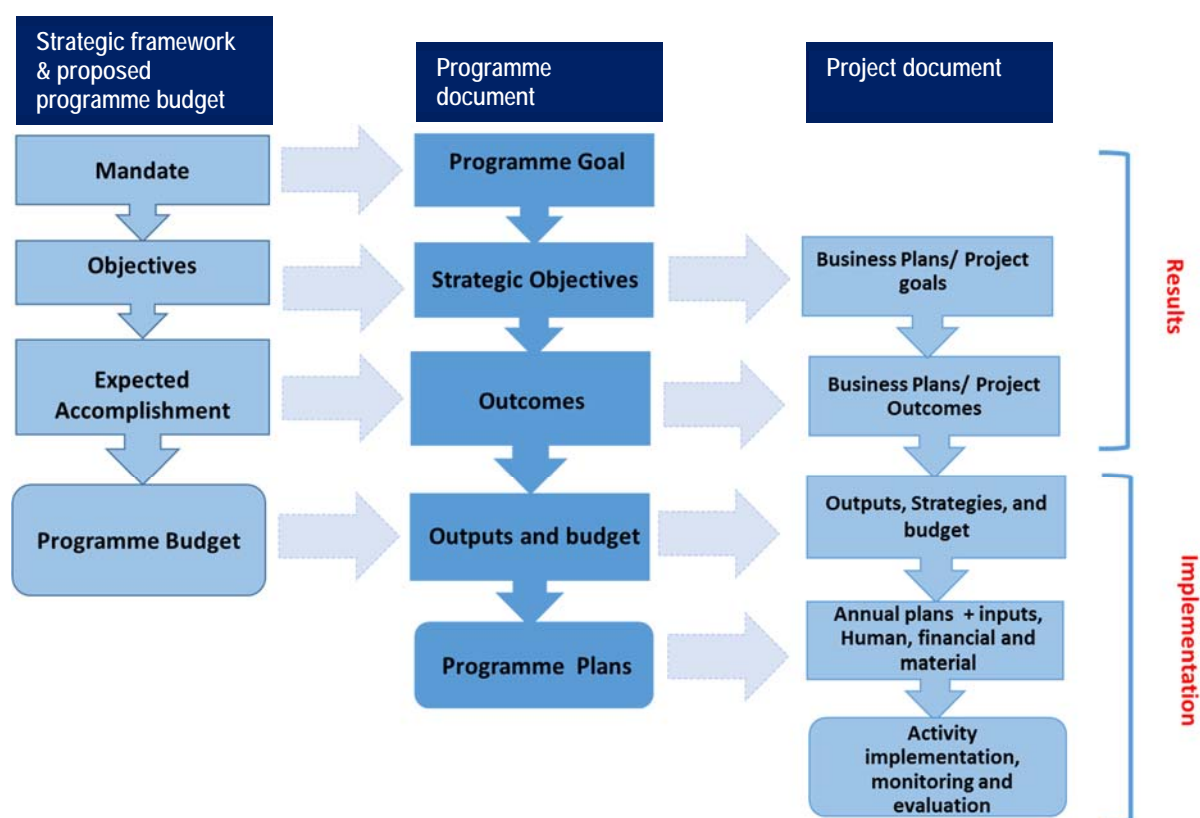


the sub-programmes or centres. Secondly, there should be a commitment by the partners in development (target seeking support and a donor financing the activities) and/or potential resources from the Development Account (DA) or Regional Programme of Technical Cooperation (RPTC).

All programmes/projects designed within the context of the official mandates that guide the work of ECA, i.e., the programmatic priorities identified in the SF, APB and ABPs (for new mandates not captured in SF). The core mandate of ECA is to promote the economic and social development of its 54 Member States, foster intra-regional integration and promote international cooperation for Africa's development aspirations as outlined in the African Union Agenda 2063, the New Partnership for Africa's Development and related (sub) region-wide programming instruments, the Agenda 2030 for Sustainable Development, the Addis Ababa Action Agenda (AAAA) and the outcomes of other major United Nations conferences and international agreements concluded since 1992. ECA's interventions typically include policy studies, economic research, facilitated dialogue, as well as capacity building projects (e.g., training, events). Any programme/project proposal should cite the specific sub-programme under which the proposal falls, the objective of the sub-programme, as well as the title and number of the specific output (or outputs) intended to be delivered by the programme/project.

Sub-programme Directors are responsible, as programme managers, for ensuring coherence, synergy, and efficacy between programme/project concepts within the Sub-programmes. They are also responsible, in collaboration with project managers, for ensuring similar coherence between the projects funded through any of the funding streams (XB, DA, RPTC, or RB).

**Figure 6: Hierarchy of ECA's Results**



## Programming principles

ECA's programme of work is guided by a set of key programme management principles [see Box 2 below]

### *Box 2: ECA Programming principles*

- **Results-Based Management (RBM):** RBM is a fundamental principle of ECA's operations, and a cornerstone of ECA's efforts to demonstrate results in tangible terms. RBM shifts the focus away from inputs and activities, and emphasizes achievement of outputs, outcomes, and impacts.
- **Putting Africa First:** ECA projects and programmes are designed based on needs and priorities identified by member States
- **Integrated and coherent approach:** ECA project and programme management will be done in an integrated and coherent manner promoting efficient use of ECA resources, operational effectiveness, and accountability to its constituencies. ECA aims to increase its organisational visibility and credibility to more effectively facilitate constructive policy influence.
- **Good-fit:** ECA programme design and implementation will be well attuned to Africa and member States' context and dynamics, with sound results chains tailored to demonstrate results.
- **Gender mainstreaming:** ECA is mainstreaming gender into its full work programme to ensure that gender equality and women's empowerment is pertinent to and informs all of ECA's programming. ECA is mainstreaming a gender perspective in the design, implementation, monitoring and evaluation of policies and programmes in political, economic and social spheres. It will also integrate a gender perspective into the expected accomplishment of each sub-programme
- **Partnerships:** ECA makes its contribution in areas of comparative strength in complementarity and synergy with six types of Partners as defined in its Partnership strategy. Project and programme documents will define the strategic contribution of each partner;
- **Quality of engagement during project/programme design and implementation:** ECA nurtures trustful and vibrant relationships where frank dialogue on issues is possible and maintains a high flexibility to adjust the project/programme strategies based on evolving circumstances and opportunities;
- **Development traction:** In delivering its projects/programmes, ECA leverages African potentials and strengthens relevant regional, sub-regional and country set-ups. ECA's Sub-Regional Offices are key players in ECA's country and sub-regional level efforts to achieve coordination and coherence across the organization.

## 1.2 Programme Accountability

### What is 'accountability' and who is responsible for it?

**Accountability**<sup>5</sup> is the obligation of the Secretariat and its staff members to be answerable for all decisions made and actions taken by them, and to be responsible for honouring their commitments, without qualification or exception. Accountability includes:

- Achieving objectives and high-quality results in a timely and cost-effective way,
- In fully implementing and delivering on all mandates to the Secretariat approved by the United Nations in compliance with all resolutions, regulations, rules and ethical standards;
- Truthful, objective, accurate and timely reporting on performance results;
- Responsible stewardship of funds and resources;
- All aspects of performance, including a clearly defined system of rewards and sanctions; and with due recognition to the important role of the oversight bodies and in full compliance with accepted recommendations.

As in other UN bodies, there are four main dimensions of accountability at ECA: organizational, programmatic, resources and staff accountability.<sup>6</sup>

#### a) Organizational accountability

The UNECA accountability framework is founded upon the United Nations financial regulations and

<sup>5</sup> Defined in resolution of the GA: A/RES/64/259; From: 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)

<sup>6</sup> The following paragraphs have been adapted from the UN-Habitat Programme Accountability Framework

rules, as approved by the General assembly, in accordance with the provisions and principles of the UN Charter. ECA is accountable to the General Assembly through the Executive Secretary for providing leadership and direction to achieve the organizational mandate and mission, its obligations under the General Assembly, the commitments made in the strategic plans and approved biennial programme of work.

### ***b) Programmatic accountability***

ECA's programmatic accountability is defined through its strategic plan and the work programme. The Executive Secretary is accountable and responsible for all activities of ECA, as well as its administration. The Executive Secretary is accountable to the Secretary General through the senior management compact, which includes, in addition to the programmatic and financial objectives, specific human resources objectives and targets agreed upon with the Assistant Secretary-General for Human Resources Management.

ECA's sub-regional directors, divisional directors, and other senior managers are accountable to the Executive Secretary for contributing to the achievement of planned results of the GA approved strategic plan and work programme and budget, by providing an enabling environment including the necessary policy, programme, operational and management guidance and oversight to their respective areas of operation. Sub-programmes report on achievements through the preparation of programme performance reports and annual reports, which include key performance indicators to measure progress.

### ***c) Accountability for resources***

ECA directors and staff members are accountable for the effective management of human, financial, technical, information and contractual resources entrusted to them. This is done by ensuring that spending is responsible with sound stewardship, that decision making is transparent, that risks are identified and mitigated, that deliverables are produced on time and within budget, that assets are safeguarded, that employees are valued, and that human and intellectual capacities are developed.

The United Nations has established a broad range of regulations and rules, policies and practices for the efficient and effective management of resources, which form the basis on which ECA and all its staff are held accountable. All United Nations staff are obligated to comply with the Financial Regulations and Rules and with administrative instructions issued in connection with those Regulations and Rules. Any staff member who contravenes the Financial Regulations and Rules or corresponding administrative instructions may be held personally accountable and financially liable for his or her actions<sup>7</sup>.

### ***d) Staff accountability***

Managers at all levels of ECA are expected to provide their staff with the appropriate authority, resources and tools to enable them to assume responsibility and be accountable for fulfilling their duties. Staff, in turn, are accountable for exercising their authority and achieving agreed results as outlined in their E-PAS by using resources and tools in an effective and efficient manner, in accordance with UN and ECA regulatory frameworks, rules and regulations. Staff are equally expected to keep themselves informed of all relevant information pertaining to their roles, such as regulations, rules, policies, procedures and standards, and for sharing their own professionally acquired knowledge as and when appropriate. Knowledge and information sharing is a cornerstone of organizational excellence, as it enables staff to continuously further their professional development while contributing to fulfilling the mandate of ECA.

<sup>7</sup> UN (2013) Financial Regulations and Rules of the United Nations. ST/SGB/2013/4 1 July; Rule 101.2

**Table 1: The ECA Chain of Accountability**

Responsibility & Authority		Accountability	Mechanism
<b>Charter of the United Nations General Assembly &amp; other intergovernmental bodies</b>			
<ul style="list-style-type: none"> <li>Provide mandates &amp; overall policy guidance to the Secretary-General for the execution of these mandates as well as those given to the Secretary-General directly by the Charter of the United Nations.</li> <li>Approve strategic framework.</li> </ul>	↓	<ul style="list-style-type: none"> <li>Accountable for development &amp; proposal of strategic objectives &amp; priorities, for administering the Secretariat &amp; for execution of legislative mandates</li> </ul>	<ul style="list-style-type: none"> <li>Reports of Secretary-General</li> <li>Financial &amp; budget performance reports</li> <li>Programme performance reports of Office of Internal Oversight Services</li> <li>Report of Joint Inspection Unit, Board of Auditors, Independent Audit Advisory Committee</li> </ul>
<b>Secretary-General</b>			
<ul style="list-style-type: none"> <li>Set goals &amp; strategic imperatives for the implementation of mandates; delegates responsibility &amp; authority for: (a) management of departments; &amp; (b) management of human &amp; financial resources of Secretariat to the Under-Secretary-General for Management.</li> </ul>	↓	<ul style="list-style-type: none"> <li>Accountable for policy advice; programme delivery; management of department, &amp; effective management of human &amp; financial resources</li> </ul>	<ul style="list-style-type: none"> <li>Management Performance Board</li> <li>Senior management compact</li> <li>Human resources action plans</li> <li>Reports of Office of Internal Oversight Services</li> <li>Report of UN Board of Auditors</li> <li>Evaluation Reports</li> </ul>
<b>Executive Secretary ECA</b>			
<ul style="list-style-type: none"> <li>Responsible for all activities of ECA, as well as its administration.</li> <li>Provides overall direction setting on substantive &amp; managerial matters &amp; leadership to ECA in realization of its objectives &amp; implementation of its programmes</li> </ul>	↓	<ul style="list-style-type: none"> <li>Appointed by &amp; accountable to Secretary-General</li> </ul>	<ul style="list-style-type: none"> <li>ES compact with SG</li> </ul>
<b>Deputy Executive Secretaries ECA</b>			
<ul style="list-style-type: none"> <li>Responsible to oversee work of knowledge generation &amp; knowledge delivery by sub-programmes &amp; Divisions</li> <li>Support &amp; advise the ECA Executive Secretary on overall direction setting for substantive &amp; managerial matters</li> </ul>	↓	<ul style="list-style-type: none"> <li>Recommended by the ECA Executive Secretary &amp; endorsed by the Secretary-General</li> </ul>	<ul style="list-style-type: none"> <li>e-Performance</li> </ul>
<b>Division Director/ Sub-Regional Director / Centre Coordinators</b>			
<ul style="list-style-type: none"> <li>Responsible to deliver strategic, institutional &amp; programmatic mandate of ECA while exercising delegated authority, ensuring compliance with relevant rules, regulations, procedures, &amp; due process</li> </ul>	↓	<ul style="list-style-type: none"> <li>Accountable to the Deputy Executive Secretary</li> </ul>	<ul style="list-style-type: none"> <li>Performance Reports of divisions &amp; sub-Regions</li> <li>e-performance</li> </ul>
<b>ECA Staff</b>			
<ul style="list-style-type: none"> <li>Responsible for performance at work, application of work standards, UN core values &amp; competencies in day-to-day tasks</li> </ul>		<ul style="list-style-type: none"> <li>Accountable for conduct &amp; performance, observing work standards</li> </ul>	<ul style="list-style-type: none"> <li>Individual Work Plan</li> <li>e-performance</li> </ul>

Accountability goes beyond robust internal controls and includes the political covenant with member States, recourse for stakeholders to complaints and response mechanisms, transparency within organizations to member States, beneficiaries and the general public and a strong personal and organisational culture of accountability.



## e) Quality assurance

Quality Assurance is a critical accountability function that is the responsibility of all ECA staff throughout all stages of the programme and project cycle. The quality assurance function of ECA is guided by the Commission's Operational Quality Policy and Plan 2014-2017, which is currently being revised for the period 2018-2021. The requirements to be fulfilled are derived from the Commission's strategic direction and its work programme, and embodied in its quality objectives, which are available in Annex 14. The Operational Quality Section (OQS) in SPOQD provides support and guidance for improving the quality of ECA's products and services within its mandate to promote the economic and social development of Africa. Essential quality assurance procedures, structures and tools for reviewing major ECA products and services are available through OQS and the P/PM e-platform. OQS also provides a series of briefings to improve staff awareness about the Commission's quality assurance function.

Quality assurance panels such as the Programme/Project Committee will undertake quality reviews. The Operational Quality Section will ensure that lessons learned from the reviews and quality assurance system in a particular programming cycle are reflected in subsequent ones. The quality assurance system will be embedded into the results system rather than being a parallel system to facilitate the work of programme managers and the focal points who will assist them.

### **Guiding principles for quality assurance in ECA**

The approach of ECA to quality assurance will be guided by the following principles:

- 1 - **Focus on beneficiaries:** ECA exists to serve its beneficiaries, and therefore should understand their needs, meet their requirements and strive to exceed their expectations.
- 2 - **Leadership:** Senior management is committed to setting and communicating strategic direction for ECA, and aligning the organizational structure with established direction.
- 3 - **Involvement of staff:** The production of quality products and services is the responsibility of every member of staff. Therefore, their full involvement is necessary for ECA to achieve its objectives.
- 4 - **Prevention-based process management:** Activities and resources are best managed as processes. Processes should be managed in a consistent manner aimed at preventing quality problems.
- 5 - **System approach to management:** ECA is a system of interrelated and interconnected processes. To achieve its objectives efficiently and effectively, these processes should be managed as a system.<sup>9</sup>
- 6 - **Evidence-based decision making:** Effective decisions are based on the analysis of data and information, including feedback from beneficiaries.
- 7 - **Partnership development:** ECA will develop and maintain mutually beneficial relationships with its partners.
- 8 - **Continual improvement:** ECA should strive to continually improve its overall performance by harnessing the collective knowledge and skills of its staff, clients, and partners.
- 9 - **Recognition:** ECA should celebrate success by publicly recognizing exceptional performers.
- 10 - **Social responsibility:** ECA will operate responsibly by minimizing its impact on the environment, employing a diverse workforce, and mainstreaming a gender perspective in its processes.
11. **Risk management:** ECA will engage in risk aversion planning, and continuously monitor its context, performance and the consequences of its activities to ensure that risks to beneficiaries, stakeholders, staff and the organization are averted or mitigated.

## Accountability structures

### **Programme and Project Proposal Reviews**

A committee will be in charge of reviewing programme and project proposals for technical quality (per development framework and organisational standards). The QRC committee that is already in place is the logical committee to take up this responsibility. There will be a threshold for these reviews, based on proposed budget. Only programmes and larger projects will pass through the higher level ECA-wide review committee; smaller proposals will need to be reviewed within Divisions, preferably by Divisional committees that mobilise division-wide technical and administrative perspectives.

**Box 3: The Programme & Project Review Committee/Quality Review Committee (PPRC/QRC)**

The PPRC/QRC is an accountability mechanism of ECA that reviews programme and project documents against clearly defined criteria. The primary function of the PPRC/QRC is to ensure the alignment of proposals with ECA's strategic objectives, and to assess the technical and managerial quality of their design. It will also assess the integrative aspects of designs and their capitalisation of opportunities for synergies.

Composition:

- Chair of the PPRC – Director SRO-CA;
- Five members from multiple divisions, including ACG
- Secretary of the PPRC – SPOQD/OQS;

Key templates: CN template, & review criteria; PD template & review criteria

In addition to the review of technical/development quality, the larger programme and project proposals will be reviewed at portfolio level for their financial and administrative implications for ECA. The likely body for such a review function is the ACABM.

**Box 4: The Advisory Committee on Administrative and Budget Matters (ACABM)**

The ACABM contributes to organisational accountability in ECA at the portfolio level by reviewing the financial and administrative implications for ECA of proposed programmes and large projects prior to funding and implementation. The ACABM uses clearly defined criteria to conduct these reviews. These reviews will consider the financial and administrative risks, capacity and sustainability implications of implementing programmes and large projects within the overall portfolio capacity and available resources (financial and otherwise) of ECA.

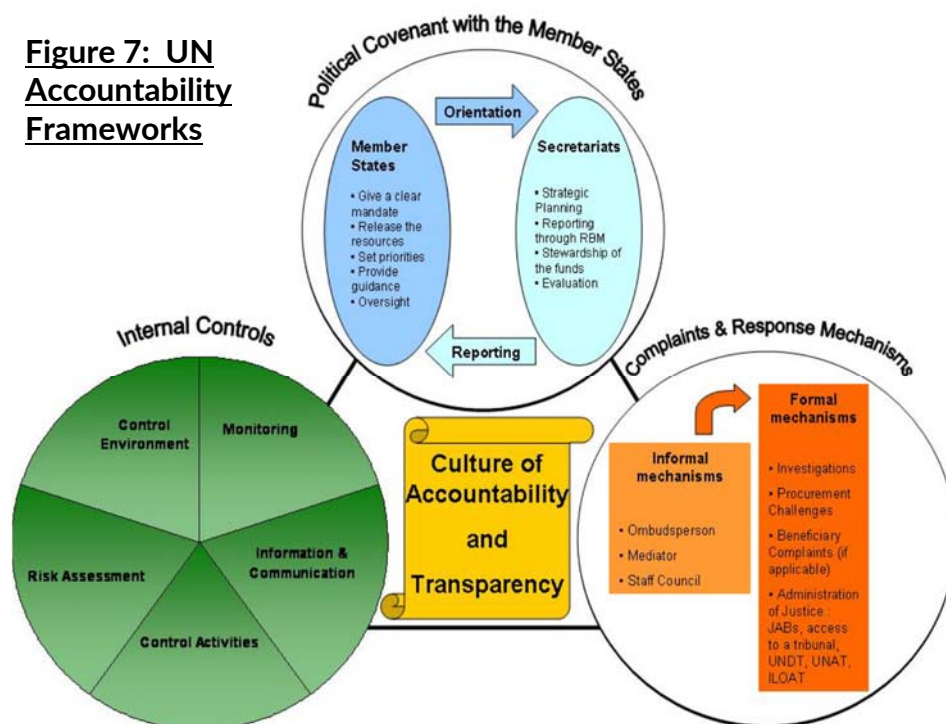
Composition:

- Chair of the ACABM – Director SPOQD;
- Director of DOA;
- Three section chiefs (On rotational basis)
- Senior Budget Officer
- Secretary of the ACABM – SPOQD/PPBS;

Key templates: F&A review template & criteria; Accountability cover sheet with signatures

For an illustration of Accountability Frameworks in the UN, see figure on the right<sup>8</sup>

**Figure 7: UN Accountability Frameworks**

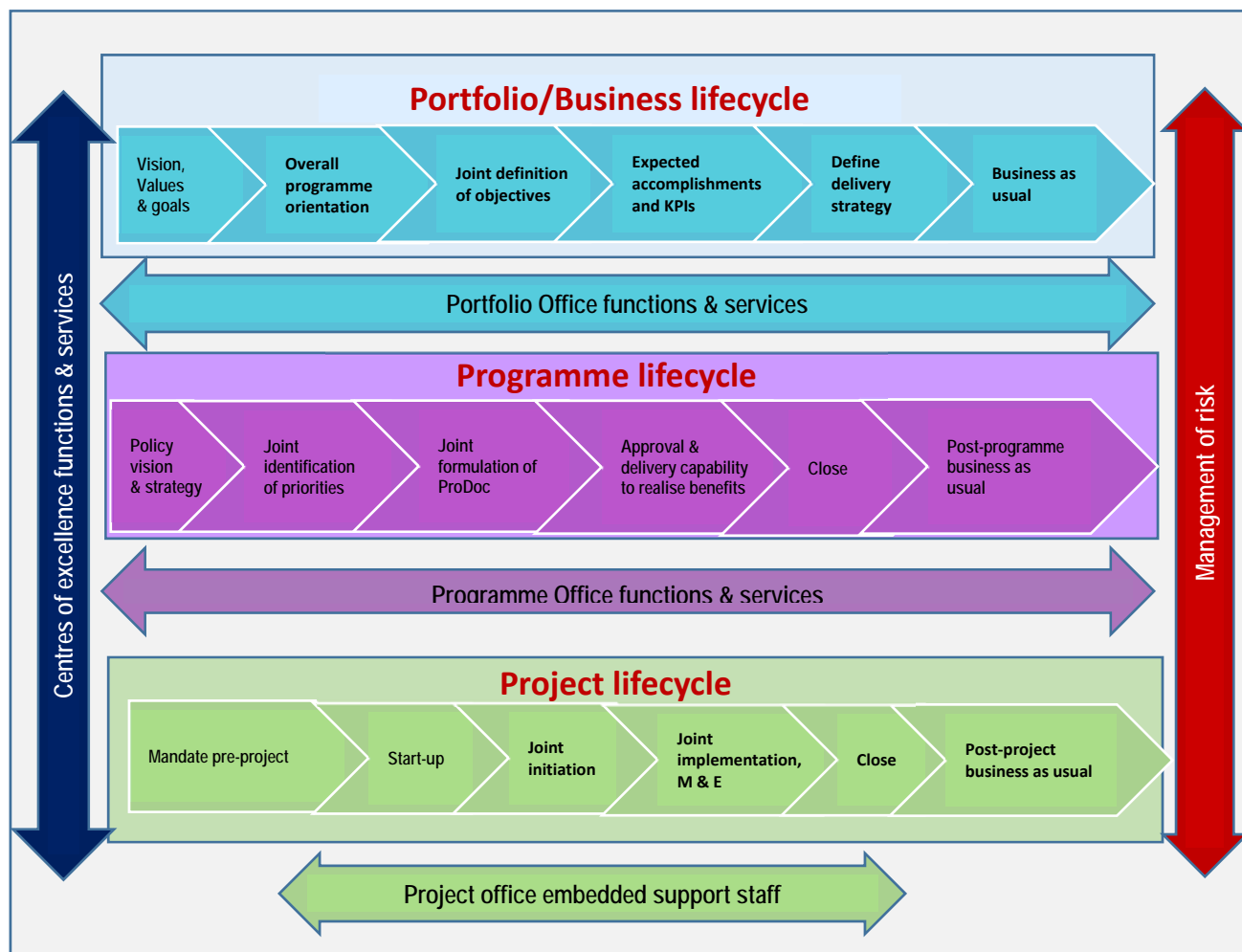


<sup>8</sup> From: Zahran, M.M. (2011) Accountability Frameworks in the United Nations System. JIU [https://www.unjiu.org/en/reports-notes/JIU%20Products/JIU\\_REP\\_2011\\_5\\_English.pdf](https://www.unjiu.org/en/reports-notes/JIU%20Products/JIU_REP_2011_5_English.pdf)

## Management levels

The overall organisation and management of ECA's contributions to development in Africa can be clustered functionally into three levels – Portfolio, Programme and Project management.

**Figure 8: Portfolio, Programme and Project Lifecycles**



In a very simplified summary, the three levels can be interpreted as:

- managing **portfolios** is about choosing which projects and programmes should be undertaken
- managing **programmes** is about delivery of outcomes and business benefits
- managing **projects** is about delivery of outputs or products.

The management roles of these three levels are further elaborated in the following paragraphs<sup>9</sup>.

## 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 benefits of applying a portfolio approach include:

- maintaining a balanced and strategically aligned portfolio in an evolving context;
- improving delivery of programmes & projects through a portfolio-wide view of risks, dependencies, and scheduling based on capacity of different divisions & units;

<sup>9</sup> Adapted from: Association for Project Management (APM) – <https://www.apm.org.uk/body-of-knowledge/>

- better use of limited resources by matching demand and supply and optimising the allocation of available resources.

Achieving these benefits is dependent on:

- a clearly articulated strategy;
- senior management commitment and active championing of portfolio management processes to ensure that stakeholders collaborate in pursuing the strategic goals;
- a clear governance structure that is understood by stakeholders;
- a portfolio management structure and function to provide impartial analysis and decision-making support to portfolio management, projects and programmes.

Good governance of the portfolio will enable continuous, coherent and consistent improvement in the management of programmes and projects. A well-managed portfolio will facilitate improving ECA's functional maturity. There is no single Portfolio Manager, but the role of **Portfolio Management and Support** is in the realm of SPOQD.

## Programme management

*Programme management* is the coordinated management of projects to achieve beneficial outcomes, aligned with strategies leading to organizational impact.

The core programme management processes are:

- project coordination: identifying, initiating, overseeing, and at times, redefining and terminating projects within the programme.
- transformation: managing processes so that outputs contribute to outcomes;
- benefits management: defining, measuring and monitoring benefits;
- stakeholder engagement: ensuring on-going, productive, two-way communication with all key stakeholders.

Responsibility for these processes lies with: a portfolio manager (or portfolio management structure) and a programme manager. The portfolio manager (SPOQD) is accountable for achievement of the programme contribution to the organizational strategy, and for providing senior-level commitment and oversight to the programme. The **programme manager** is responsible for day-to-day management of the programme including the coordination and oversight of projects. Programme managers are comprised of Divisional Directors, Sub-Regional Office Directors, and Centre Coordinators, who are supported by decentralised PMOs.

## Project management

*Project management* is the application of processes, methods, knowledge, skills and experience to achieve the project objectives. This involves the comprehensive planning, delegating, monitoring and control of all aspects of the project, and the motivation of those involved, to achieve the project objectives within the expected performance targets for time, cost, quality, scope, benefits and risks.

The core components of project management are:

- defining the project rationale, i.e., the reason why a project is necessary;
- specifying quality, quantity and timing of the deliverables,
- identifying project requirements, estimates of resources needs and timescales;
- preparing a project document as a business case to justify the investment;
- securing key agreements and funding;
- developing and implementing a management plan for the project;
- leading and motivating the project delivery team;
- managing the risks, assumptions and modifications in the project;
- monitoring progress against plan and budget;
- financially managing the project budget;
- maintaining communications with stakeholders and programme management;
- closing the project in a controlled fashion when it is complete;
- facilitating evaluations (with EvalS).

Responsibility for these processes lies with a Division Director (programme manager) and a section chiefs/technical staff (project manager). The programme manager is accountable for achievement of the business case and providing senior-level support to the project. The project manager is responsible for day-to-day management of the project and must be competent in managing the six key aspects of a project, i.e., scope, schedule, finance, risk, quality and resources. Typically, Project Managers are mostly Section Chiefs or Technical Officers.

### **Event management<sup>10</sup>**

**Event management** is the application of project management approaches to the creation and development of large scale events such as conferences, launching and dissemination of flagship publications, or Expert Group Meetings. It involves studying the brand, identifying the target audience, devising the event concept, and coordinating the technical aspects/writing before actually launching the event. The process of planning and coordinating the event is usually referred to as event planning; it includes planning, budgeting, scheduling, site selection, coordination with all internal actors, acquiring necessary permits, coordinating transportation participants, arranging for speakers/panellists, event security, catering, coordinating with third party vendors, and emergency plans.

The principal differences between the three main approaches or levels are further illustrated by the characterisations below.

**Table 2: Comparing characteristics of Portfolios, Programmes and Projects**

Portfolio	Programme	Project
Collection of projects, programmes, or smaller portfolios with common theme	Outcome (desired benefit) known at the start, Outputs (deliverables) defined as programme evolves	Outputs (deliverables) and how they can be delivered can be known at the start
Balancing strategic objectives	Knowing when to drive for certainty	Driving certainty
Tight governance and control structure	Tight governance and control structure	Tight governance and control structure
Single sponsor for portfolio, may have others for projects and programmes	Single sponsor for programme, may have others for projects	Single sponsor
Budgets and timescales continually balanced to deliver strategic objective	Budgets and timescales defined as part of programme	Budgets and timescales known at the start
Managing people and organisational issues, balancing skills and finance	Managing people and organisational issues, developing new capabilities	Managing technology, specialist skills, contracts to deliver
Success measured in movement towards organisation's strategic goals	Success measured in creation of usable capacity or business benefits	Success measured in creation of specified deliverables within time and cost
Long duration during which balance of portfolio may change	Long duration during which work, skills and behaviours will change	Work, skills and behaviours change over lifecycle
Manager: outcome focused, driving for consensus, holistic approach, political awareness	Manager: outcome focused, comfortable with uncertainty, strategic vision, political awareness and high EQ, good leadership	Manager: output focused, driving for certainty, management and control orientated
Cross organisational boundaries	Cross organisational boundaries	Generally single organisation

## **Technical Cooperation development and appraisal flow**

The matrix (Table 3) on the following page outlines the steps, decisions, and actions that ensure ECA accountability during the processes of design and development of programmes and projects. Details of these steps are explained in the following chapters, and referenced templates are in Annex Section 3 of the manual.

<sup>10</sup> Adapted from: [https://en.wikipedia.org/wiki/Event\\_management](https://en.wikipedia.org/wiki/Event_management)

**Table 3: Technical Cooperation development and appraisal flow**

Step	Tools	Task by whom	Review by	Assessment results & follow up		Internal data base
Programme/Project idea identified – from Member State request, SF, APB, past evaluations/ research, plus emerging issues	SF, PRFs, S-PRFs Idea template (core problem to be addressed, link to ECA mandates, potential benefits, possible strategy, suggested lead division)	Division (programme), Section (technical officer)	SPOQD	Acceptable, fits SF and S-PRF	Mobilise prog/proj leader to develop CN; consider for idea devel funds	List as ‘idea’ in an idea pool
				Good idea, but does not fit current mandates	File in data base of ideas May also refer to other agencies	
				Not appropriate for ECA	Reject	
Concept note developed	Using CN template Doc review, possible field mission	Division (programme), Section (technical officer), consult wider in ECA				When complete, list as CN
Concept note appraisal and approval	Using CN checklist	Self-appraisal in Division/programme	PPRC/QRC	Good CN, fits for ECA	Mobilise design team, begin PD devel, consider for proposal devel funds	Enter into list of Concept Notes, ‘pipeline’ status
		Appraisal by virtual team – 3 technical reviewers with no conflict of interest to the project		Good idea but needs amendments	Back to designer/division for work; amendments be certified by SPOQD based on PPRC/QRC comments	
		CNs for programmes and large projects to PPRC/QRC		Idea with potential but needs major reformulation	Back to designer/division; rework and resubmit	
				Not appropriate for ECA	Reject	
Programme/Project document developed	Situation analysis (problem, gender, context, stakeholder, institutional) Solution analysis (alternatives, risks, sustainability,	Programme/Project design team, led by division Consult with DOA, PRMS, gender, etc. On-going engagement with PPBS				When complete, enter into list of proposed programmes/ projects, draft PD, ‘pipeline status’

	resource/input requirements) Strategies (M&E plan outline, communication, funding; timeline, operational plan) Use PD template					
Programme/Project document appraisal and approval	Using PD checklist  Principal focus – relevance to mandates, technical quality, feasibility (internal to project) Assess capacity of ECA to deliver/handle the project;	Self-appraisal within Division/programme & project design team  Appraisal by PPRC/QRC [for TC projects, if value over US\$150K]	PPRC/QRC	Good PD, fits for ECA	If RPTC or XB, to ACABM DA to DESA	List as PD, 'pipeline' status
				Good idea but needs amendments	Back to designer/division for work; amendments be certified by Secretary to PPRC/QRC before approval	
				Idea with potential but needs major reformulation	Back to designer/division; rework and resubmit	
				Not appropriate for ECA	Reject	
Finance and Administration Implication Review	Using template, and checklist with criteria  Special focus on risk, sustainability, funding options; including what will be ECA's contribution from available resources?	Review/appraisal by ACABM	ACABM	Clearance for negotiating contract with funder	Refer to PRMS and Legal for any necessary agreements	After agreements, lead division to enter into Umoja and update status to 'on-going/active'
				Clearance for submission to funder and co-financing from ECA funds	Refer to PRMS and Legal for any necessary agreements, e.g., contribution agreements (with funder), financing agreements (with IPs)	
				Approval contingent on acquisition/release of funds	To be referred to PRMS to prioritise for mobilising resources	
				Approval contingent on making specific amendments	Back to design team with comments; for resubmitting to Secretary of P before final approval	

# Phase 2 Identification

## 2.1 Programme/Project Identification

Programme/Project identification entails clarifying the needs, problems and objectives that the programme or project intends to address with a relevant response (i.e., a programme strategy or a project intervention), as well as the stakeholders to be involved in the implementation of the programme or project. This phase focuses on elaborating and understanding of the context, emerging issues and problems to be addressed. Previous activities and efforts done in this and other relevant fields are to be explored in order to avoid duplication, to build on previous efforts, learn from successes and failures and orient the project in the correct direction.

The programme goal and outcomes should be based on sub-programme objective and its Expected Accomplishments, while the project goal and outcomes should be based on the sub-programme ProDoc. There should be a theory of change application in the identification of project ideas. A thorough desk review, or an expert group meeting, can help in the formulation or refinement of focused programme objective. Generative research is also particularly important at the programme level. ECA has wealth of knowledge and should do knowledge audits on a periodic basis. At the project level, systemic country needs assessment from an indigenous perspective can support a critical analysis of whose problems we are really trying to solve.

Most programme or project identification efforts can be initiated with a desk review or an expert group meeting. A desk review examines ECA research/publications and existing background literature related to the potential programme or project, including current programme and project documents as well as evaluation reports of past efforts. Keeping a registry of ideas will facilitate planning. Keep track of requests from RECs and Member states in a systemic way so they can be built into the programme and project design process. Maintain a checklist of evidence to be attached as part of project identification; the checklists can include documented requests from stakeholders.

An expert group meeting is an alternative; by bringing together experts in the thematic area, one can access considerable knowledge that is relevant for programme or project identification. Experts invited to such meetings should include both theory experts and persons with implementation experience. Collaborative discussions are particularly useful, including mutual discussions across divisions, SROs and technical advisory services for joint identification of projects. It is also important to engage with beneficiaries in identifying needs and opportunities. The approach to project identification should be systematic, e.g., joint planning across the various entities within UN, including various thematic committees and regional commissions.

In the case of projects arising directly from Member State requests, it is often preferable to mobilise a field/scoping mission for a participatory initial needs, resources and opportunities assessment. If the project is small and no funds are available for an identification mission, then the identification could be done based on a desk review and virtual contacts with Member State representatives. Be careful to look into internal capacity assessment results, especially when external perspectives are limited for any reason.

Review of past and present work in the problem area is particularly useful in identifying the different potential stakeholders to be involved. Refer to the works of the RCM & SRCM; also the bureaus of statutory meetings & their outcomes. All actors with substantial involvement, e.g., those who cause the problem, are affected by it and those who might provide potential keys to the solution, should be identified and contacted. The various significant actors could include government officials, politicians, beneficiaries, civil society and the private sector. Through this process, issues, problems, objectives and desired benefits can be clearly identified. This will provide a clear foundation and framework for a project design.



## 2.2 Programme/Project Concept

Programme and project design should be done in a collaborative way through a participatory approach including the requesting member State(s), the key stakeholders, the prospective donor/s and ECA staff. During this phase, other units within ECA that have relevant knowledge, competence and specialisation should be consulted. This will ensure that programme and project will promote interdivisional collaboration and programme synergy, and will be in line with the latest policies, strategies, methodologies and approaches that have been tested and are mainstreamed in ECA's philosophy and normative work.

The design will build on the identification phase by exploring the modalities of intervention, institutional arrangements and a legal framework, among others. This will set out the overall design framework of the project that will guide the full-scale design in the following formulation phase.

The result of the design process is a programme/project proposal that can be appraised, has funding potential, and provides the basis for programme/project implementation, monitoring and evaluation. In ECA there are two types of project documents, containing varying degrees of detail. These are the: programme/Project Concept Note and programme/Project Document (ProDoc or PD). The purpose of these documents is to ensure that full and high-quality design does not take place without first ascertaining that the proposed programme/project is consistent with ECA strategic objectives and responds to funding priorities. The format of the appropriate document may also depend on specific donor requirements or funding mechanisms, and the complexity and scope of the programme/project.

### Concept Notes for initiatives (programme/project/event)

The initiative Concept Note is an initial document that is prepared during the identification and early design phases of developing a sub-programme ProDoc and individual project PD. The concept note should not replace a programme or project document. It should provide enough information to enable ECA, constituents, development partners and other stakeholders to assess the strategic value of any proposal – and whether it is appropriate to be developed into a full programme/project/event design.

The following Table 4 is not a CN template, but an overview of what should be in a concept note and some guiding questions to help in developing the required details. A full template/format for a CN, a checklist for self-assessment of a CN, and criteria for review (administrative and technical) of a CN are available in Section 2 of the Annexes to this manual.

**Table 4: Content guidance for concept notes**

Section	Core content	Guiding questions
<b>Background information &amp; justification</b>	<ul style="list-style-type: none"> <li>• State rationale; a Problem statement; &amp; Background of the problem</li> <li>• Give a justification of initiative's relevance in relation to national and/or regional development &amp;/or economic priorities &amp; needs (Putting Africa First &amp; Good Fit principles);</li> <li>• Describe how the programme/project fits with existing ECA and/or UN projects in the country(ies) or region(s) concerned</li> <li>• If this proposal is a continuation of an earlier project, give a brief summary of the success or lessons of the previous work</li> </ul>	<ul style="list-style-type: none"> <li>• <i>Why would ECA want to execute this initiative?</i></li> <li>• <i>Why is this considered as a serious problem &amp; what negative effect does it have on which member States (if any);</i></li> <li>• <i>Any previous efforts to solve the problem (work done in this area, discussed in different fora)?</i></li> <li>• <i>Is this a new initiative or a continuation or strengthening of an earlier initiative?</i></li> <li>• <i>what linkage(s) exist with other similar initiatives (previous or on-going within or outside the commission)?</i></li> <li>• <i>What is the linkage with ECA's PPB &amp; Mandate?</i></li> </ul>

		<ul style="list-style-type: none"> <li>• <i>What are the gender gaps/inequalities to be addressed?</i></li> <li>• <i>What are global &amp; sub-regional needs?</i></li> <li>• <i>What is ECA's comparative advantage?</i></li> <li>• <i>What value addition is ECA bringing?</i></li> </ul>
<b>Programme/ Project objective</b>	The programme/project objective should be each stated in one sentence.	<p>It should answer the following questions:</p> <ul style="list-style-type: none"> <li>• <i>What is the overall objective of the programme/ project?</i></li> <li>• <i>What does the programme/ project aim to achieve?</i></li> </ul>
<b>Programme/ Project expected impact, outcomes &amp; outputs</b>	Brief description of the expected programme/ project Impact (long-term results), Outcome (medium-term results); & expected Output(s) (short-term results). Indicators of achievement should be gender sensitive.	<ul style="list-style-type: none"> <li>• <i>How can the success of the programme/ project be measured?</i></li> <li>• <i>What effect will this programme/ project have on gender inequalities?</i></li> <li>• <i>Who will benefit from the programme/ project? &amp; in what ways?</i></li> <li>• <i>What benefits to the direct beneficiaries (target group)? What benefits for the ultimate beneficiaries (general population)?</i></li> </ul>
<b>Programme/ Project Strategy</b>	Briefly describe overall approach to be taken; Socio-economic & developmental challenges to be addressed or opportunities to build on, e.g., competing economic & development issues; Describe any integration of approach during implementation, e.g., Inter & cross divisional collaboration including the role of SROs & IDEP	<ul style="list-style-type: none"> <li>• <i>How will the programme/ project build on ECA's comparative advantages?</i></li> <li>• <i>What kinds of partnerships will be involved? Who are likely to be those partners? &amp; what is their role likely to be?</i></li> <li>• <i>How gender will be mainstreamed?</i></li> <li>• <i>How will quality be maintained?</i></li> <li>• <i>What is the prog/project duration?</i></li> </ul>
<b>Programme/ Project roles &amp; responsibilities</b>	Potential initiative implementation, governance, & oversight/backstopping structures. Also the potential roles of participating Divisions, Sections & Sub-Regional Offices.	<ul style="list-style-type: none"> <li>• <i>Who will do what? Within the programme/ project &amp; in the support/supervisory structures?</i></li> <li>• <i>Define internal &amp; external roles &amp; responsibilities</i></li> </ul>
<b>Resource requirements</b>	Indicate a realistic estimate of resource & budget needs, expected donors, likelihood of funding. Would also be good to have an indicative schedule & set of resource requirements for developing the full proposal <sup>11</sup>	<ul style="list-style-type: none"> <li>• <i>What is needed by when?</i></li> <li>• <i>What are HR &amp; Procurement's timescale estimates for providing the desired inputs?</i></li> <li>• <i>What are the time scale estimates for arranging agreements &amp; legal clearances?</i></li> <li>• <i>What are the sources for funding?</i></li> </ul>
<b>Sustainability planning &amp; risk assessment</b>	Outline plans for sustainability of prog/proj interventions/strategies/influence beyond the life of the initiative or external support Identify critical operational & financial risks, potential adverse outcomes – & strategies to mitigate the risks	<ul style="list-style-type: none"> <li>• <i>What can be done to ensure sustainability of prog/proj benefits &amp; influence beyond the end of support?</i></li> <li>• <i>What process for identifying lessons that could be used in scaling up successful aspects of the initiative?</i></li> <li>• <i>What are the critical risks with this initiative, &amp; how can they be mitigated?</i></li> </ul>

<sup>11</sup> this should acknowledge the realities of ECA that it is likely to be a minimum of 6 months to move from concept note to well-developed Project Document approved and ready for starting implementation.

## Appraisal of Concept Notes

### a) *Self/peer appraisal*

Share and review the programme/project concept note (CN) with staff members within your division and other divisions that will contribute to the achievement of the EA. Solicit comments and feedback, particularly on the content and scope of the programme/project, in accordance with relevant quality assurance standards within ECA. Experience has shown that most programmes and projects are very ambitious, especially when they are dealing with burning socio-economic and development issues; this can be corrected when it is collectively reviewed by the team members.

Before the programme/project CN is finalized by the division, a copy of it should be submitted to SPOQD/PPBS and PRMS for review and comments, particularly in the areas of content, format, budget, donor priorities and consistency/compliance with the UN rules and regulations.

### b) *PPRC/QRC review and approval of Project Concepts*

In order to set minimum quality standards, ECA has one consistent approval process for all programmes and large projects. Regardless of the lead Division or funding sources (XB, RB, RPTC and DA funded projects), all ECA programme and large project Concepts are reviewed and approved by the Programme and Project Review Committee (PPRC/QRC).

For a programme concept note, the sub-programme director clears it with the respective DES before submitting to PPRC/QRC. For a project concept note, the Project Manager obtains authorization from the Lead Division Director (programme manager) to submit a final draft of the concept note for review by the PPRC/QRC.

The PPRC/QRC reviews both the overall portfolio of programme/project concepts in the Programme Frameworks, and emerging concepts during the biennium using specific criteria (see Box 5 this page).

#### Box 5: Criteria for Programme Concept Notes

- **Coherence:** Logic and rationale in relation to the Sub-programme strategy and EA;
- **Structure:** Clarity in the roles and responsibilities of Divisions and Sub-Regional Offices, coordination mechanism and accountability between them;
- **Capacity:** How the expertise in divisions and Sub-Regional Offices will be used to deliver the projects and how shortfalls in capacity can be addressed; due diligence/capacity assessment of proposed implementing partner(s);
- **Programme Support:** Feasibility to recruit staff/consultants and procurement of services within the proposed period;
- **Partnerships:** Use of partnerships in implementing the ABP, in particular to leverage ECA's catalytic role;
- **Geographic Balance:** Appropriate geographic balance between different levels of engagement at sub-regional and national levels, and suitability of geographic locations for activities;
- **Risk:** Implications of relevant risk and opportunities;
- **Resource Mobilization:** Potential and ability to attract donor funding.
- **ECA Programming Principles** (see Phase 1).

The decisions of the PPRC/QRC will be one of three:

- a) Concept note is acceptable and should proceed for programme/project document development
- b) Concept note needs amendments to be inserted before proceeding
- c) Concept is unacceptable in current form and needs to be reformulated (advice will be given)

The Programme Manager (Director of the Lead Division) and SPOQD/PPBS will be responsible for following up on the decisions of the PPRC/QRC with the Project Design team.

## Programme/Project Document

The next stage of preparation after a concept note will be a programme document (ProDoc)/project document (PD). The ProDoc and PD are used for appraisal of the project plans and form the basis for subsequent approval, implementation, and monitoring and evaluation. They will go beyond the outline level of a concept note to provide sufficient information for programme managers and project managers to implement the programme and project and report progress. The full process and contents of a programme/project document are discussed the next chapter.

# Phase 3 Formulation –

## 3.1 Formulation of a programme at sub-programme level

ECA is moving away from implementing isolated projects towards maintaining programmes with a cohesive portfolio of projects that relate to broader strategic objectives, and together create greater impact than the sum of the individual projects. A well-designed programme represents the link between ECA's SF/APB and its projects.

While the SF and APB are biennial strategic planning and budgeting documents, a programme at sub-programme level will be formulated every four years, i.e., once in every two biennium planning processes. Each programme will be based on a credible analysis (more about the requisite analysis process below) and designed to show the intervention and outcome pathways to achieve a sub-programme objective and contribute to other sub-programme objectives. ECA will be mandating an evaluation of all ECA sub-programmes every four years beginning 2020, i.e., at the end of the first four-year programme. This means that each ECA sub-programme should have a complete four-year programme document (ProDoc) by early 2018.

All ECA Projects and business plans in each sub-programme must be based on and show their contribution to the sub-programme results framework (S-PRF). In addition, all of ECA's large scale, long duration projects (2+ years – spanning more than one biennium) and Centre business plans must undergo a rigorous stakeholder and situation analysis (see details below).

## 3.2 Programme design steps

### Step 1 - Stakeholder engagement

There are two key points to keep in mind regarding stakeholders and programme design. One is the value of having a clear and deliberate member State involvement throughout the design process. This will help focus the programme on the 'real' issues and the correct stakeholders<sup>12</sup> to target, mobilise interest in contributing to the programme and project implementation, and help to ensure sustainability of the programme and project-induced capacity, behaviours and benefits. The second key point is the need for gender-informed expertise during the programme design and planning. This is in line with ECA's gender mainstreaming mandate.

After developing your concept and an outline of your planned action, a mapping of all relevant stakeholders who may need to be included is crucial.

The benefits of using a stakeholder-based approach are that:

- You can use the ideas and opinions of influential stakeholders to shape your initiatives at an early stage. Not only does this make it more likely that they will support you, their input can also improve the quality of your initiative (programme/project/event).
- Gaining support from powerful stakeholders can help you to mobilise more resources, which also makes it more likely that your initiative will be successful
- Communicating with stakeholders early and frequently will ensure they have a good understanding of the initiative and that they are able to support the initiative actively when necessary
- Stakeholder analysis helps to anticipate people's reactions to an initiative, and thus to build actions into the plan that will engage people's support.

<sup>12</sup> In most, but not all, cases ECA's interventions are targeted at the ministerial/specialized department level of the Member States

A **stakeholder** is any person or organization who can be positively or negatively impacted by, or cause an impact on the actions of an organization. A very comprehensive definition of stakeholders includes any individuals, groups, or organizations who may affect, be affected by, or perceive itself to be affected by a decision, activity, or outcome of an initiative (programme/project/event).

**Stakeholder analysis** aims to identify the stakeholders likely to be affected by the activities and outcomes of an initiative (programme/project/event), and to assess how those stakeholders are likely to be affected. It is a vital tool for identifying those people, groups and organizations who have significant and legitimate interests in specific issues. Stakeholder analysis has the goal of developing cooperation between the stakeholders and the initiative team and, ultimately, assuring successful outcomes for the initiative.

Experience has shown that inclusion of a full range of stakeholders is not only essential for successful decision-making, but also for promoting equity and social justice in all development efforts. When decisions are made, priorities set, and actions taken without involving the relevant stakeholders, the result is usually misguided strategies and inappropriate action plans which are badly (if at all) implemented and which may have negative effects on the intended beneficiaries and the community at large.

### ***Preparing for a full situation analysis – with Member States input***

**Previous research findings, needs analyses and evaluations** provide a starting point for a situation analysis. Additional research may be required for some issues, e.g., a **gender analysis**. Although there are many sources of information on the constraints or problems, rigorous and systematic analysis is required to understand their underlying relationships. It also requires a sensitised design team to gather information and reflect on accessible resources and sources of resilience.

The information required to undertake the situation analysis is usually distributed among different people, including ECA staff, constituents and other stakeholders<sup>13</sup>. The programme Manager/Division Director at ECA headquarters should consult relevant Sub-Regional Offices for assistance in identifying key stakeholders and how to engage them in planning exercises. When stakeholders may become **partners** in implementing the project, Programme Managers should consult Phase 5 later in this manual<sup>14</sup>.

**Constituents** can provide essential insights into the significance of the problems, based on their stake in the issues, their experiences, and the national or regional context. **Stakeholders** have a deep understanding of the core problem affecting them, especially when the causes are immediate to their environment. **Other agencies and key informants** that have worked in similar fields or in the same geographical area, will also have useful experience that can be helpful. These may include, for example, government institutions, national organizations, universities and independent think tanks.

The design team must consider carefully how it intends to manage this process of stakeholder consultation, since there may be significant costs associated with it. An optimal approach uses facilitated workshops and participatory approaches to ensure that the process is transparent and owned by the relevant stakeholders. This, in turn, increases the chances of the programme and projects being successful and the outcomes being sustainable. Programme success strongly depends on reaching agreement among stakeholders regarding the exact target groups/ministries/departments, the nature of the problem the programme/project will address, the acceptability of the intervention strategy, and a common understanding of what will be the indicators for programme/project success.

## **Step 2 - Situation analysis**

A programme is essentially a cohesive collection of structured actions to solve a certain problem. Therefore, programme design must start with an agreed understanding of the existing situation. The

<sup>13</sup> For ECA, Member State stakeholders are called Partners. Other key stakeholders may include the two Pan African Institutions, AUC and the African Parliament; also RECs, bilateral and multi-lateral agencies, etc.

<sup>14</sup> See also: ECA Partnership Strategy; and the Guidance note on selection and engaging IPs

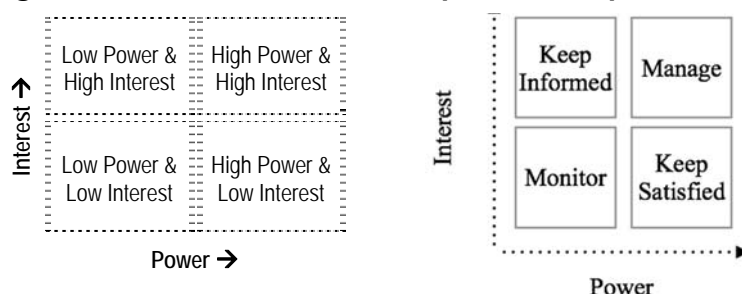
analysis of the situation will seek answers to: *what is the problem to be addressed; what are its causes and consequences; who does it affect; and what other key stakeholders are involved?*

A **situation analysis** consists of the following interrelated analyses:

- **Stakeholder analysis** focuses on understanding the policies, role, interests, relationships, strengths and weaknesses of all of the different groups with an interest in the project, and the economic and social context in which they operate. Stakeholder analysis is a tool that helps to develop an understanding of different stakeholders, their characteristics, motivations, expectations and constraints.

**Steps in a stakeholder analysis** - A stakeholder analysis is performed at the start of new initiatives or when there is a need to clarify the consequences of envisaged changes. The first step in stakeholder analysis is to develop a categorized list of the members of the stakeholder community relevant to the core content of the initiative concept. When the list is reasonably complete, it is then possible to profile the significant stakeholders. When the profiling has been done, a power-interest grid (see figures just below) can be used to visually map the stakeholders and assign priorities in a coherent and replicable way. After the mapping has been done, strategies can be clarified for how to communicate and work with the 'highest priority' stakeholders.

**Figure 9: Power-Interest Grid – profile & implications**



[Full details of how to conduct and document the steps in a stakeholder analysis – listing, profiling, mapping, and planning communications – are included in Annex 3.1]

- **Target group analysis** is carried out to obtain an in-depth characterization of the group that must ultimately be the beneficiary of the project, its needs and its priorities. **Direct recipients:** These are primarily the relevant government ministries of the Member States, but it may also include others, e.g., specialized offices/departments, educational/training institutions, think tanks and civil society organizations. **Ultimate beneficiaries:** ECA programmes and projects rarely provide services directly to this group; more commonly, ECA targets this group through the strengthening of institutions and policies that support, or advocate on behalf of the ultimate beneficiaries. For example, although the direct recipients of a programme's services may be policy makers, the ultimate beneficiaries might be unemployed youth, landless women, etc. The programme documents should describe the ultimate beneficiaries of the policy changes, even when the programme has no direct control over the way the direct recipients interact with the ultimate beneficiaries.
- **Gender analysis** - ECA's programmes must assess how the programme will be able to contribute to transformative change that gives equal rights, opportunities and treatment to women, men and youth as beneficiaries, participants and decision makers. **Gender mainstreaming** is not an "add-on" or a "step" that has to be taken while drafting a programme document, but is a **mandatory approach** to all phases of the programme and project cycle<sup>15</sup>. During the programme and eventual project design phase, the situation analysis should be gender-responsive, providing information that allows for understanding of the specific concerns and needs of women and men<sup>16</sup>. Remember also, not all women have the same views and concerns simply because they are

<sup>15</sup> Gender mainstreaming is defined as a process and a strategy to make women's as well as men's needs and concerns an integral dimension in a project's design, implementation, monitoring and evaluation phases. In this way, women and men benefit equally, and inequality is not perpetuated.

<sup>16</sup> See Annex 3.5 for a Checklist to be used in a gender review of a proposal – with proposal sections and related guiding questions

women. A situation analysis that does not provide gender-differentiated information will significantly reduce the programmes' results in advancing gender equality, and could exacerbate inequalities<sup>17</sup>.

- **Institutional analysis** – this analysis focuses on the relationships between the different types of agencies, and in particular, the relationship triangle between government agencies, programme management and the target population. While the stakeholder analysis examines the characteristics of different stakeholders, the institutional analysis focuses on the relationships between the major players. The institutional analysis, or mapping, provides a study of formal and informal relationships between stakeholder groups/organisations. A good understanding of the institutional framework is essential, because the structure of interaction among the different stakeholders greatly determines what can be done and how. The institutional mapping helps identify obstacles and potential strengths in relationships. This improves the understanding of the problem the programme/project wants to address, because in many cases inadequate institutional relationships can be at the root of the problem. [See Annex 3.2 for concepts and approach to institutional analysis]
- **Problem analysis** is intended to identify and define in precise terms the core problem that must be addressed, its effects and its causes. [see next section]

## Step 3 - Problem & solution analysis

### Problem Analysis

Analysing the problems and issues that the programme seeks to address requires clarification of their causes and impacts as well as the factors that constrain their solutions, together with identifying the stakeholder groups mostly affected. The key to the design of successful programmes and projects is to understand the cause(s) of the problem or constraint, because problems and their causes do not exist in isolation, but are intimately linked to people, groups or organizations. The problem analysis guides decisions on how to prioritize problems, and therefore how to set programme/project objectives.

Different stakeholders (constituents, beneficiaries, ECA units, other agencies) should be part of the information gathering and problem analysis process<sup>18</sup>, because critical insights<sup>19</sup> may be missed if some of them do not have a voice in programme/project design. For example, it is difficult to imagine that gender issues have been fully considered in the analysis if consultation is limited to only one sex.

### Problem tree

The problem tree is a useful tool to conduct a structured problem analysis; it is used in programme/project design by ECA and many other development agencies. The problem tree methodology helps organize understanding about the causes and effects associated with a given problem. It can generate a sufficiently thorough analysis for the purpose of programme/project design in a short period of time. It can also be used in participatory exercises, such as those in stakeholders' workshops. Once a sub-programme has defined its programme, all projects that will be developed within that programme must have their own problem tree analysis upon which a specific solution tree can be built. [see problem tree examples in Annexes 3.2; Figure 3.2a for programme and figure 3.2b for project]

### Strategy (solution) analysis

Developing problem solutions will build on the approach and methodology used to address the identified problem. A very useful tool for this step is to create a 'solution tree' (or an 'objectives tree') that addresses the underlying causes, immediate manifestations, and long term impacts of the causes and effects in the problem tree. This is done by rephrasing each of the problems as positive desirable changes. The objectives tree visualizes how different objectives interrelate to achieve the desired

<sup>17</sup> refer to ECA Gender strategy/policy

<sup>18</sup> The quality of the information gathered and of the assumptions made must not be taken at face value, and should be challenged, verified and validated. As a result, it is often useful to bring different groups together to interact in a facilitated workshop – for example in order to confront, discuss and construct a new and shared understanding of the problem.

<sup>19</sup> One of the effects of poor problem analysis is that the objectives and expected results of the project are not easy to define, and therefore progress is difficult to monitor.



situation, in the same way as the problem tree visualizes how a set of interrelated causes produces a specific problem. [see solution tree examples in Annex 3.2; figure 3.2c for programme and figure 3.2d for project]

The appropriate solution/s will depend on the nature of the problem, the comparative strengths of the ECA, as well as the wider policy context. The problem analysis will usually suggest different, sometimes conflicting, programme/project strategies, all of which need to be considered. In some cases, experience from other interventions, countries, sectors and agencies, the priorities of constituents and other stakeholders, the likelihood of success, consistency with other ECA strategies, budget and time, etc., may all reveal alternative approaches.

Often the design team will instinctively and quickly arrive at an obvious strategy. It will still be useful, however, to consider alternatives and to document the analysis, since once a particular strategy has been agreed, the alternatives tend to be forgotten<sup>20</sup>. Examining lessons learned from other programmes and projects and drawing inputs from the wider ECA will help in understanding why decisions on particular strategies should be taken. **Evaluations** of previous programmes and projects, developed in a similar context to solve analogous problems, can be an important source of relevant knowledge/lessons learned to use in the design of a new proposal. The alternative analysis should identify and compare various options to assess their feasibility, and ultimately, to agree on one strategy for action to address the problem. [See Box 6 this page for guiding questions to assist in this analysis]

**Box 6: Checklist for review of strategy options:**

- Should all the identified problems and/or objectives be tackled, or only a selected few?
- What are the positive opportunities that can be built on (i.e., from the target group and the stakeholders' analysis)?
- What is the combination of interventions that is most likely to bring about the desired results and promote sustainability of benefits?
- How is national ownership of the project best supported, including development of the capacity of Member State institutions?
- What are the likely capital and recurrent costs implications of different possible interventions, and what can realistically be afforded?
- What is/are the most cost-effective option(s)?
- Which strategy will impact most positively on addressing the needs of the poor and other identified vulnerable groups?
- How can potential negative environmental impacts best be mitigated or avoided?

## Step 4 – Prepare Sub-Programme Results Framework

Once the appropriate programme and project solutions and strategy have been identified, programme and project objectives can be stated. Programme and Project objectives (or goals) are statements about the specific changes that the sub-programme and its respective projects will bring about.

### Objective/Output Analysis

ECA is committed to results-based management. What matters in **RBM** are results, i.e., the significant real changes that can be observed. Stating objectives as achieved/changed situations places the focus of the objective analysis on results. If objectives are worded as activities, the focus is on the process and not on the final result. It is therefore important to distinguish among principal levels of results.

<sup>20</sup> It is useful both in terms of the rationale for selecting the chosen approach, and also for subsequent evaluation.



There are three key results levels for any intervention:

- 1) Overall objectives or development goals should explain why the anticipated interventions are required in the broader development context. The programme goal should reflect the wider impact and long term benefits by ultimate target groups, as a result of changes in attitude, behaviour and performance of other immediate target groups. For an ECA programme, the objective/goal statements are generally adapted from the statements of the sub-programmes in the SF while the project objective/goal will contribute to one or two EA statements of a sub-programme.

- Example of a programme goal/objective statement:

*“To accelerate economic transformation and inclusive development in Africa”*

- Example of a project objective statement:

*“To contribute to measurable evidence of economic transformation and inclusive development in Africa in XX member States within 3 years”*

- 2) Programme Outcomes/Expected Accomplishments and project outcomes should explain why the programme and project interventions are necessary for the immediate target groups. They explain the anticipated results or outcomes of the programme interventions (i.e., the effects) of those target groups’ changes in 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.

- Example of a programme outcome statement

*“Enhanced capacity of member States in forecasting and macroeconomic analysis and in the design, implementation and monitoring of development plans and strategies that promote inclusive growth, sustainable development and structural transformation”*

- Example of a project outcome statement

*“Measurable increase in the capacities of national experts and policy-makers to assess and analyse the causal factors of youth unemployment, with particular emphasis on the mismatch of skills and skill portability”.*

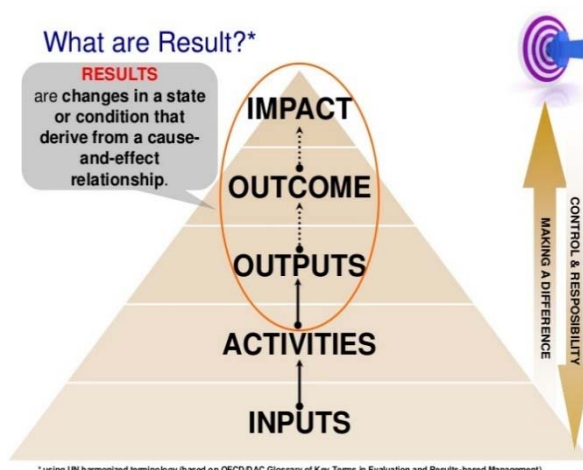
- 3) Programme and Project outputs are the delivery of goods and services produced and made available to target groups, when efficiently making use of the project inputs through its activities.

These result levels are linked together into what is commonly referred to as a **results chain**. Results at each level aggregate to contribute to the results at the next and higher level. **RBM** does not look at the project activities, but rather at the achievements that the project activities bring about. In a world in which there is increasing competition for resources, and in which donors expect tangible results from the funds they grant, it is important to clearly and credibly demonstrate the added value of ECA’s work.

## Results Frame Matrix (also called a LogFrame)

The Results frame matrix is basically a one-sheet summary of the programme or project. In its simplest form, there are 16 cells in a 4 by 4 matrix as shown in Table 5 below<sup>21</sup>:

**Figure 12: Result levels**



<sup>21</sup> [refer also to glossary]

**Table 5: Typical Results Frame Matrix**

Narrative summary of objectives and outputs	Objectively verifiable indicators (OVI)	Means of verification (MOV)	Assumptions & major risks
<b>Goal</b> - Development Objectives – (Long term impact and benefits)	E.g., economic growth, reduced poverty, better yield etc.	Documentation of impacts, what information, in what form, by whom	
<b>Outcome – Sub-programme EA/</b> Project Immediate outcome - ( <i>Effects at programme/ project level of making use of outputs</i> )	E.g., changes in behaviour or measurable capacities of groups or institutions	Documentation of effects, what information, in what form, by whom	
<b>Outputs</b> (activities and services produced by the project)	In many cases it is useful to have several OVIs	In many cases it is useful to have several MOVs per output	
Activities	Specification of key inputs/ costs	Documentation of activities, what information, in what form, by whom	

**Vertical Logic:** The vertical logic is the reasoning which "connects" the three main-levels in the matrix; **efficiency and delivery** of the outputs, having **effects** through the purposes, and reaching the goal through **relevance and impact**. [see Table 6 below]

**Table 6: LFA/Results Frame Principles and Definitions, Logic and Assessment**

Project Key-Structure	The Logic to be measured by observing the Indicators	Form of Assessment
GOAL, i.e., overall development objective, expresses the wider impact and long term benefits to the ultimate target groups as a result of achieving the project purpose	Impact and Relevance	Evaluation of Impacts
Outcome, i.e., immediate programme EAs/ project outcomes, expresses changes in behaviour or performance among target group members/institutions by using outputs.	Effects of outputs on target groups	
OUTPUTS, i.e., the goods or services which the programme/ project must produce and make available to the target groups to facilitate purpose achievement		
Activities	Efficiency	Monitoring of Workplans
Inputs		
Assumptions, Major Risks and Prerequisites		Survey & pre-appraisal

### Selection/identification of indicators

Indicators must be chosen or “constructed” so that they are objectively verifiable (contain substantial, independent, factual, plausible, obtainable elements). Indicators are useful only to the extent that means of verification are available and values can be established. Measurements can be quantitative, qualitative (standards, functions, effectiveness), or behavioural (change of use, attitude, performance). ECA example: “Increased number of member States that have formulated, reviewed or implemented a gender-sensitive policy framework or reform related to climate change and development as a result of ECA support.”

Defining indicators for ECA’s normative work (such as policy advice, advocacy, and regional coordination) can be challenging. However, if a detailed programme has been developed, indicators can more readily be identified. For example, if a programme’s desired outcome is “improved capacity of Member States to design, implement and monitor land policies and programmes that ensure secure gender land rights and effective and efficient use and management of land for sustainable development”, then the actual change can be measured by assessing the mainstreaming/application of gender rights in land policies and programme as a result of the ECA programme and its projects. Measuring the change from normative activities can strengthen ECA’s ability to show its achievement of results. Again, many

ECA programmes and projects involve activities on capacity-building, which may be difficult to measure. The critical questions in this case are 'What capacity is to be developed?', 'What will show whether that capacity has changed?'

From a gender mainstreaming perspective, the development of indicators is perhaps one of the most crucial steps. Having gender sensitive indicators (and collecting gender disaggregated data), as per the above example, is the best way of ensuring that activities and outputs, and by extension outcomes and impact, pay attention to the needs of women and men alike.

The use of indicators can be made into an elaborate science demanding a major workload. Using a large number of different indicators, however, has no merit in itself. The key to good indicators is credibility – not volume of data or precision in measurement. A quantitative observation is no more inherently objective than a qualitative observation. Large volumes of data can confuse rather than bring focus. It is more helpful to have approximate answers to a few important questions than to have exact answers to many unimportant questions.

For each indicator, a source of **baseline** data should be specified. Baseline data are needed to be able to measure changes brought about by the project activities. The baseline defines the current situation (and recent trends), before the implementation of the project/activity. In addition to the baseline, a **target** should be set for each indicator before the outset of the programme and eventually project/activity. Programme and Project Managers should establish the baseline and targets for the project by consulting relevant stakeholders and reviewing existing data and literature. For complex and/or large-scale programmes and projects, it may be necessary to hire a consultant or institution to carry out a detailed baseline analysis.

**Limits:** Indicators only indicate; they do not explain. Determining that change has occurred does not tell the story of why it has occurred. Indicators constitute only one part of the logical and substantive analysis needed for development efforts to succeed. In addition, success requires common sense, sound managerial judgment, leadership and creativity – none of which can be replaced by the use of indicators.

## Setting targets

The indicators in the results framework are able to show if there is any change and what direction, but they should not include the direction or amount of change desired in the indicator statement. These qualities are essential, however, in the target statements that are used by programme/project management to develop work plans over the life of the programme/project and assess the rate of progress in meeting its objectives.

**Table 7: Setting targets at Output, Outcome and Impact/Goal Levels**

Level of Objectives	Dimensions of Minimum Targets				
	Target Group (Who)	Quality (How Good)	Quantity (How Much)	Physical Extent (Where/What content is it)	Time (by When)
<b>GOAL</b> , i.e., What benefits are expected from using the project outputs?	WHO will benefit from the fact that the project outputs are used?	WHAT will be the improved benefit from using the project outputs?	HOW MANY people will benefit, or HOW LARGE will the total benefit be?	WHAT is the minimum extent or area in which the benefits will accrue?	WHEN is the long term benefits expected to materialise?
The purpose must be sufficient to contribute significantly to goal achievement					
<b>OUTCOME</b> , i.e., How are the target groups expected to use/utilise the project outputs?	WHO is expected to use the outputs?	HOW precisely will the target groups use the project outputs?	HOW MANY persons, groups or organisations will use the project outputs/	WHAT is the minimum extent or area in which the outputs will be used?	WHEN will the target groups use the outputs?
All outputs as specified by the indicators must be sufficient to facilitate purpose achievement					
<b>OUTPUTS</b> , i.e., Goods and services made available by the project to its target groups	WHO will receive, have access to, or make the outputs available?	WHAT will be the improved goods and/or services provided to the target group?	HOW MANY of these goods and/or services will be provided to the target group?	WHAT is the minimum extent or area in which the goods and services will be available?	WHEN will the goods and services be available?

## Assumptions and risk analysis

**Assumptions** are events that can significantly influence the success of a programme or project, but are beyond the control of the programme and project manager and staff. All ECA programmes and projects operate in complex social, institutional and political contexts where many factors may interfere with implementation, such as shifts in the political environment, changes in the constituents' priorities and needs, etc. There are four levels of assumptions; starting at "management" assumptions and moving up the logical framework to "sustainability" assumptions.

- **Management assumptions**, linking outputs to activities. There should be few if any important assumptions at this level, since programme and project design must ensure that there is a reasonable chance of management being able to deliver the outputs.
- **Implementation assumptions**, linking programme and project outcomes to outputs. Since programme and project management is not able to control what happens with the outputs, there are important assumptions at this level that are critical to the success of the programme/project.
- **Development assumptions**, linking programme and project outcomes to goal (e.g., to the EA). At this level, the key question is: how is achieving the immediate outcome of the sub-programme going to contribute to the overall ECA overall objective? and how is achieving the immediate outcome of a programme and project going to contribute to a sub-programme objective/goal?
- **Sustainability assumptions**, relating to the sustainability of the development and immediate objectives (see Sustainability Checklist<sup>22</sup>).

**Assumptions** analysis is based on the concepts of importance<sup>23</sup> and level of risk. Risk is the likelihood that the assumption will not hold true. An assessment of the importance of each assumption and the probability of it being true is required<sup>24</sup>. Risk analysis can be performed by classifying the probability of occurrence on a three-level scale:

1. **Almost certain:** This is when there is an extremely high probability that the positive assumption will hold true. Such assumptions will not require extensive monitoring as they are unlikely to compromise the programme and project.
2. **Medium probability:** This is when there is some probability of the positive assumption (external factor) holding true, but not total probability. It is necessary to monitor these assumptions during implementation, to be able to develop an adequate response at the first sign negative change.
3. **Low probability:** The worst case scenario is when an important positive assumption has a very low probability of holding true. Assumptions that are relevant and unlikely to hold true pose a crucial dilemma for programme and project designers, who basically have two alternatives to deal with them – redesign the programme and project or design careful contingency plans.

ECA has adopted the Secretariat-wide ERM and Internal Control framework and its guide for Managers. The aim of the ERM approach is to improve risk management through identification, assessment, and management of risks in all its programmes, projects and operations. This will be done through embedding risks analysis and activities in all programme and project designs, defining roles and responsibilities in risk analysis and management, risk-based decision-making, monitoring and communicating ERM internally and externally through periodic formal reporting by management. [see risk register template and instructions in ANNEX Section 6]

## Caution on results frameworks (and logframes)

In spite of its advantages and widespread use in the development community, the results framework also has some limitations. It is a snapshot of a situation at a certain moment in time. Therefore, it may be necessary to adjust the matrix in the course of time, as conditions change. Likewise, managers should avoid applying the tool too rigidly, as there is a danger of restricting programme and project management rather than facilitating it. The major weakness of the logical framework lies in its adherence to the principle of linear causality, and the lack of information on unintended side effects, both of which can limit proper reflection of complex realities.

<sup>22</sup> To be created and put in an annex or a text box

<sup>23</sup> Importance is the influence that the assumption has on the achievement of the result and its sustainability. External factors have different degrees of influence, some of which may have a low bearing on results, whereas others may be decisive.

<sup>24</sup> (see ANNEX Section 6– Preparing a Risk Register.)

## Step 5 - Planning for M&E system

The **Monitoring** and **Evaluation** (M&E) system needs to be understood as a critical component of a well-designed programme and project. The M&E system is an integrated approach to reflection and communication. Monitoring is a continual process that provides up-to-date information on the programme and project's performance, whereas evaluation is conducted at a specific point (mid-term and terminal) for an in-depth analysis of whether the programme/project achieved its planned results, what the programme/project performance has been, the identification of corrective actions (usually at mid-term), and formulation of lessons learned.

**Table 8: Complementary roles of monitoring and evaluation**

Monitoring	Evaluation
<ul style="list-style-type: none"> <li>Links activities &amp; their resources to outputs &amp; outcomes</li> <li>Translates desired outcomes into performance indicators &amp; sets targets</li> <li>Routinely collects data on indicators, &amp; compares actual results with targets</li> <li>Reports progress to management &amp; alerts them to problems</li> </ul>	<ul style="list-style-type: none"> <li>Analyses why intended results were or were not achieved</li> <li>Assess specific causal contributions of activities to results</li> <li>Examines the implementation process</li> <li>Explores unintended results</li> <li>Provides lessons, highlights significant accomplishment or program potential, &amp; offers recommendations for improvement</li> </ul>

While it is necessary to prepare a full M&E plan for a programme proposal at sub-programme level, it is not necessary to prepare a fully detailed programme and project M&E plan at this design point<sup>25</sup>. Instead, it is recommended that the design team summarizes the programme and project M&E system, including the processes, procedures and responsibilities foreseen for M&E activities. For example, monitoring might require carrying out a series of activities for data collection, processing and analysis, drafting reports, etc. that will necessitate the inclusion of staff, resources and activities in the programme and project workplan/schedule and budget. Some activities – such as developing a baseline – can be rather expensive. Keeping these activities, and their related costs in mind can reduce bottlenecks at the start-up of programme and project activities. Table 9 below summarizes some general principles that should be kept in mind when considering designing a monitoring system.

**Table 9: General Principles of Designing for Monitoring in an M&E System**

Principle	Description
Focus on results & follow-up	Good monitoring looks for “what is going well” & “what is not progressing” for progress towards results; records this in reports along with recommendations; & follows-up with decisions & actions.
Good design	Good monitoring depends to a large measure on good design. If a programme & project is poorly designed or based on faulty assumptions, excellent monitoring is unlikely to ensure its success. The design of a realistic chain of outcome, outputs & activities is critical.
Regular monitoring visits	Regular monitoring visits by managers focusing on results & follow-up to verify & validate progress towards objectives is important. Bilateral or tripartite meetings dedicated to assessing progress should take place regularly. Results of these meetings should be documented & kept on file.
Regular analysis of reports	Regular analysis of reports from programme managers & other partners should be undertaken to present issues & discuss potential solutions.
Participatory monitoring mechanisms	The use of participatory monitoring mechanisms should be encouraged. This is important to ensure commitment, ownership, follow-up & feedback on performance.
Clear criteria & indicators	Good monitoring does not just rely on subjective judgements but uses ways to assess objectively progress & performance based on clear criteria & indicators. Efforts must be made to improve performance measurement systems, developing indicators & baselines without which it remains difficult to assess progress towards the outcomes.
Lessons learned	It is important to actively generate lessons learned to ensure learning through all monitoring tools, to adapt strategies accordingly & not repeat mistakes. The use of electronic media for sharing lessons can be important.

<sup>25</sup> It is not compulsory to prepare a full M&E plan during project document development, because specific surveys, studies or research are often needed in order to obtain essential baseline information and refine the project indicators. An M&E plan is normally developed during project start-up.

If the M&E system (including baseline, monitoring and evaluations) is not planned or budgeted in the programme and project design, there is a great risk for the manager realising during implementation that he/she has insufficient resources (human, technical or financial) to implement the M&E system. Moreover, there is still time during design phase to change the indicators if it turns out that measuring any of them is unrealistic or too expensive.

Design of the M&E system can be organized into six consecutive stages:

1. **Establishing the purpose and scope.** The first question should be “why do we need M&E and how broad should our system be?” Ideally the M&E system should embrace all levels of the programme and project: activities, products, immediate objectives and impacts. Donor requirements and interests of the stakeholders may also imply particular requirements for the scope of monitoring.
2. **Identifying indicators.** Once the scope of the monitoring system has been defined, the next issue is to define the knowledge needed to verify the progress towards the results in order to manage the programme and project. This list of indicators produced with the results frame is validated and refined during planning of the monitoring system.
3. **Planning the collection and organization of information.** This step is concerned with designing the way in which the necessary information will be obtained. This includes the methods (which may be qualitative or quantitative), and the tools (e.g., surveys, document revision, interviews, etc.). In ECA, data collection should be done every quarter to feed into IMDIS and other six monthly report requirements.
4. **Planning processes and events for reflection.** These processes are vital for attributing sense to the collected information and for using it to improve the programme and project. Examples of reflection events include: participatory revision of the programme and project strategy at the beginning of the programme and project, development of the M&E plan with stakeholders, regular field visits, etc.
5. **Planning reports and communications.** Report preparation must be included in the work plan, so as to plan in advance the time and resources needed. The ways in which they will be communicated to the different stakeholders (which may vary between stakeholders) must also be planned. In ECA, the IMDIS, XB, DA and RPTC funded programme and project reports are due every 6, 12, 18 and 24 months.
6. **Planning the necessary conditions and capacities.** The last step is to determine the necessary means to make sure the M&E system functions in practice. For instance, the capacity building needs – such as tools, training, etc. – of the stakeholders participating in the programme and project’s M&E system, must be reflected in the work plan and budget.

The monitoring and evaluation matrix facilitates the preparation of the M&E plan for programme and projects. It is a tool that constitutes the main elements of the monitoring plan, and can be used to develop the M&E plan jointly with stakeholders during a planning workshop.

## Step 6 – Complete Programme and Project Documents

The concluding step in programme and project formulation will be development a full draft of the Programme and project Document according to the ECA template. It will include a detailed budget, terms of reference and all necessary supporting documentation, such as a detailed WorkPlan. As a rule, staff members should use the standard ECA format for Programme and Project Documents, which is outlined in ANNEX Section 3. However, in cases where the donor insists on a specific format (e.g., with the EC), the programme and project document should also fulfil their requirements.

It is a requirement that any programme or project implemented by ECA should always be subject to UN rules and regulations. For example, it will be necessary to agree on the stipulation of a caveat assuring the acceptance of the application of the UN rules and regulations governing the implementation of technical co-operation programme and projects. Relationships with donors and other funding institutions must be formalised through MOUs and letters of agreement to pave the way for smooth collaboration.



## a) Plan of Operation

It is important during the process of project design (which will be based on a programme document) to ensure that action is directed towards intended results. To do so, it is necessary to have a preliminary operational plan prior to project implementation. Operation planning defines how you will operate in practice to implement a project– what capacity is needed, how resources will be engaged, how risks will be dealt with, and how sustainability will be ensured. The development of detailed implementation and work plans is not compulsory<sup>26</sup> during the drafting of a project proposal, unless explicitly required by the donor. However, the development of an implementation plan is strongly recommended during project design since it is a practical tool to demonstrate whether the project is feasible in terms of responsibilities, schedule and resources.

**Table 10: Plan of Operation**

Project Title:

Date:

Outputs	Activities	Time	Type of Inputs Required				Comments
Listing of all outputs in numbered order	Listing all activities numbered in reference to the outputs	Broad timing	Local personnel, facilities, institutions	Consultants <sup>27</sup>	Funding	Others	Cross-references to trainings, institutions & other parallel commitments

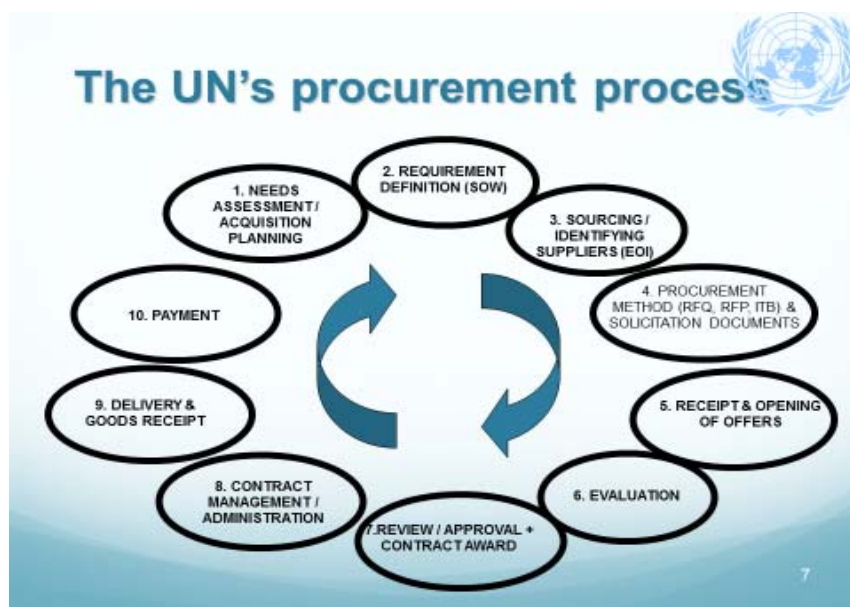
Notes: Timing can be shown broadly, but will be improved by using a GANTT chart format (bar chart) and presenting per half year or annually.

## Procurement of goods and services

The procurement of essential goods and services (including consultants) is carefully regulated in the UN system to prevent fraudulent practices and ensure quality. As such, it is a highly controlled system with multiple checkpoints (see process map just below), and therefore it takes time. Programme and project planners must discuss their proposals with the Division of Administration, including the Procurement Unit and Human Resources, at an early stage in the planning process to understand and accommodate their plans to the requirements of the system.

**Figure 13:  
Procurement  
process steps**

The Process starts from requisitioners who assess their requirements and submit acquisition plans defining items needed (description, estimated costs and expected delivery dates) to Procurement Unit (PU)<sup>28</sup>. The requisitioners should raise an electronic 'shopping carts' and submit TORs (for services and works). The requisitioners



defines the technical evaluation criteria to be adopted in the evaluation of technical proposals by vendors who respond after the PU floats the bidding opportunities.

<sup>26</sup> It is not obligatory, because in many cases there may be delays between the time a project proposal is drafted (in the design phase), and when it becomes operational. The implementation plan (and work plan) will ultimately need to be updated in greater detail based on the current situation at start-up. When this happens, a project review with the donor and stakeholders should be carried out. In cases where the implementation is likely to start soon after the design is complete, it is useful to prepare both the implementation plan as well as the work plan for the first year.

<sup>27</sup> Consultant recruitment is done through INSPIRA, with an on-line template

<sup>28</sup> The Procurement Unit is a unit under the Supply Chain Management Section of Division of Administration

Items required may be available in system contracts or new requirements. For system contracts (open to requisitioners), a 'shopping cart' has to be created by the requisitioner and PU then generates the Purchase Order. For new items, an Expression of Interest is floated by the PU, whereby a preliminary pre-qualification is done by the PU. Depending on requirements and their value, either a RFQ, ITB or RFP is floated. After the bid closure, a bid opening committee opens bids and hand them over to the PU. As applicable, technical offers are sent to the requisitioner for Technical assessment, and then the PU conducts a commercial evaluation for bids that are compliant with the technical requirements. The PU carries out the BVM analysis and final evaluation and submits the case for procurement review committees as appropriate (LCC, HCC, and DoA). After receiving clearance from the appropriate authority, the contract will be awarded. A Purchase Order/Contract will be created and then the vendors will deliver goods and/or services according to timelines stipulated in the PO/Contract. Payment shall be made by Finance after the requisitioner certifies receipt of the requested goods/services.

### **Implementation Analysis (reflection on the Work Plan/Plan of Operations)**

The work plan is the summary plan of operations/activities (details from project planning matrix) that will be carried out to produce the outputs (also in the matrix) over a given time line. All resources needed in terms of personnel, equipment and finances are specified during the planning phase and linked to the activities. The required resources (and identification of the committed sources) must be carefully analysed with relevance to the planned activities.

The purpose of a preliminary implementation plan is to create an overview of activities, schedules and resources that will be developed into a more detailed work plan at project start-up.

**Table 11: Preliminary Implementation Plan**

Output	Work breakdown structure activity	Responsibility	Schedule	Resources	Budget
1	1.1				
	1.2				
2	2.1				
	2.2				

Building a good implementation plan includes preparing the following four elements:

- The **responsibility column** sets out who is responsible for each activity<sup>29</sup>, by allocating duties to different people within the team. Good project planning ensures that responsibility for outputs and activities gets assigned to specific units, teams or individuals.
- The **schedule column** focuses attention on the time factor and critical events, by giving priority to certain activities. The schedule states when each activity starts, its duration and when it will be completed. This is usually presented in the form of a bar chart<sup>30</sup> that sets out the sequence of activities and links them to critical events or milestones.
- The **resources column** sets out requirements to achieve the project objectives<sup>31</sup>. This may include personnel, consultants, premises, equipment, and other items critical to project delivery. The planning phase of a project should consider the procurement component. Early and accurate planning is essential to avoid last minute, emergency or ill-planned procurement, which is contrary to open, efficient and effective – and consequently transparent – procurement. The ultimate goal of procurement planning is coordinated and integrated action to fulfil a need for goods, services or works in a timely manner and at a reasonable cost. Most savings in the procurement process are achieved by improvements in the planning stages.
- A **budget** estimating the cost of the resources. ECA has specific guidelines and procedures for budgeting<sup>32</sup>.

<sup>29</sup> The set of all activities required of a particular individual or organization forms the duty statement or terms of reference for that assignment

<sup>30</sup> The Gantt or bar chart is a simple but powerful tool to use. It is easy to read and can be used to track progress against time. The chart uses the activities from the work breakdown structure.

<sup>31</sup> The rules and procedures governing procurement of goods and services are set out in various ECA documents.

<sup>32</sup> Will need to reference these guidelines. For XB projects, the budget should be prepared using standard Umoja classes in Annex 4.5.



The preliminary implementation plan should be based on the stated objectives, and take into consideration the available resources to implement the project (people, time and funds), therefore ensuring that the project is also realistic. Where objectives and resources do not match, or dependent activities such as procurement of specialized goods and services cannot be delivered in a timely manner, either additional resources need to be mobilised, objectives be scaled down or alternative plans be established.

The information obtained from the above steps will enable project designers to describe the project's specific management arrangements. It is important to clearly reflect in the project proposal the role and responsibility of the accountable ECA office<sup>33</sup>, the administrative backstopping division<sup>34</sup>, the technical backstopping division<sup>35</sup> and ECA collaborating divisions/Offices<sup>36</sup>. To bring this information together in a concise fashion, it is crucial to provide enough evidence for the relevant divisions and offices to have adequate administrative and technical capacity to carry out the project.

### **Expected funding streams**

Funding streams for ECA programmes and projects come from different sources. It can be from the Regular Budget (RB), Regular Programme of Technical Cooperation (RPTC), Development Account (DA), and or Extra-budgetary (XB) sources. Ideally, funding for a project or programme should be sought when the PD has been fully developed and approved by all partners. In reality, that is rarely the case, unless the project seeks non-earmarked (unrestricted) funds from ECA core-funding. Where specific funding sources are known or expected, the different anticipated (or committed) sources of funds should be indicated in the PD.

## **b) Communication strategy**

A communication strategy for a programme/project should be designed in a participatory manner, involving all relevant stakeholders in the discussions (governments, donors, direct recipients and ultimate beneficiaries). This will provide all stakeholders with the possibility of expressing their communication needs and discussing issues such as what sort of information each stakeholder wants, what the best vehicles are for its delivery, and with what frequency. Communication arrangements put in place must be described in the project document, e.g., in a section on "accountability framework" or "knowledge management and sharing". Internal communication (e.g., through knowledge sharing activities) should be accompanied by an external communication strategy to disseminate information on results to a wider audience (e.g., policymakers, the media, decision makers, influencers and the general public).

## **c) Knowledge management strategy/approach**

Programme & project management (P/PM) is very knowledge dependent, hence, successful knowledge management (KM) integration will be essential to achieve successful programs and projects. It is critical to incorporate KM throughout the program and project management life cycles by ensuring that KM process and systems are in place and capturing all the knowledge assets of every programme and project.

Knowledge management services (through PIKMD - Knowledge Service Section) will:

- Provide guidance, tools and services to assist programmes and project with identifying, capturing, documenting and disseminating P/PM knowledge and information products;
- Ensure that all who are involved in P/PM have the latest and relevant information related to the various phases of P/PM;
- Increase visibility and accessibility of knowledge and information from programmes and projects to ECA and its partners and other stakeholders;
- Develop a single, accessible body of knowledge on ECA programme and project management to facilitate consulting, sharing, M&E and auditing of ECA practices as they relate to P/PM;

<sup>33</sup> This is the director of the SRO or division responsible for managing overall implementation of the project.

<sup>34</sup> This is the Division of Administration.

<sup>35</sup> This is the technical divisions/office that provides operational advisory, mentoring, training and support services to the project implementation division.

<sup>36</sup> These are the Divisions/SROs/IDEP that provide certain inputs or are responsible for a specific output.

- Create awareness of P/PM and assist with the sustained follow-up of programme outputs after project delivery/completion;
- Ensure that tacit knowledge, lessons learnt and best practices are documented, shared and contributing to new programme and project designs;
- Enable accountability of all ECA P/PM activities through records management.

The above will be made possible by strengthening ECA's knowledge management culture through applying the knowledge management cycle (See Figure 14a below). Knowledge products and services will be identified across the six programme/project phases (programming, identification, formulation, project approval, implementation and lessons learned) with appropriate techniques and approaches. All knowledge items will be reviewed and the processes applied as seen in Figure 14b below.

**Figure 14: Knowledge Management cycles**

**14a: Knowledge management cycle**



**14b. Knowledge item process cycle**



Training and learning resources will be provided to ensure that KM is mainstreamed into P/PM. In addition, a knowledge sharing e-platform will be developed to enable easy access to information resources on P/PM, including research, knowledge guides, tools, promotions materials, and best practices. This platform will include tools and activities to facilitate knowledge networking and collaboration amongst peers and partners (P/PM Community of Practice).

The Knowledge Services Section will work with programme/project managers at the conceptualization stage to:

- Develop a high-level KM Strategy document focused on P/PM activities and processes (What, where, & how)
- Develop KM products and tools checklists for each stage of the PPM Project Cycle
- Work with PMOs to understand their information and knowledge needs & address any KM related challenges

# PHASE 4 PROGRAMME & PROJECT APPRAISAL & APPROVAL

## 4.1 Appraisal and approval

**The Appraisal** process for programme/project documents is an analytical assessment of the proposed project design to ensure that ECA standards for development cooperation have been met – and that the proposal is consistent with ECA objectives and priorities, national development frameworks and donor criteria – before being presented to a donor to obtain resources. Appraisal is an important quality assurance check within the project cycle.

Appraisal is a key step in the approval process for ECA, and it is compulsory for every programme and project, regardless of funding source. The primary criteria are relevance (to ECA's strategic objectives and national priorities), management feasibility, technical soundness, sustainability, and adherence to ECA programming standards. Appraisal not only helps improve efficiency by strengthening project design; it also helps ensure programme and project accountability.

Appraisal functions:

- **Quality assurance of proposals** - in coordination with the originating and technical Divisions and SROs, with a focus on the results chain and the programme and project's fit within overall ECA strategic priorities.
- **Internal clearance and coordination** - with management and support services, for preliminary advice at the programme/project design stage: Finance, Procurement, HR, Security, Communications.
- **Transparency, information sharing, and promotion of integration** - through increasing potential synergies between projects, regardless of funding source.

During programme and project design, the appraisal is carried out at two levels:

- a) The *first* check is a *self-assessment*, carried out by the design team using a checklist<sup>37</sup> and following the ECA programming principles<sup>38</sup> to ensure that all essential quality criteria are being addressed.
- b) The *second* quality check is an independent assessment, carried out by the Programme & Project Proposal Review Committee (PPRC/QRC). The members of the PPRC/QRC have no direct responsibility for this proposal and have not participated in the design process. They independently examine the proposed project using an appraisal checklist and provide suggestions for improving its design, in terms of both technical and management issues.

### 4.1.1 Technical Quality Appraisal & Approval process

The ECA Programme & Project Proposal Review Committee (PPRC/QRC) is an in-house peer review committee, that gives comments and feed-back to the sub-programme responsible for developing the proposed project or programme. The PPRC/QRC consists of Senior Managers and some Staff Members in ECA responsible for key issues. It will have a calendar of regular meetings, which will include transparent information about deadlines for submission to be considered in each meeting.

All ECA programmes plus technical cooperation projects<sup>39</sup> with a budget above **USD 250,000** must go through a process of being presented to and approved by the PPRC/QRC at CN and ProDoc/PD stages. The PPRC/QRC will also be responsible for reviewing Centre Business Plans/Programme Documents and Sub-Programme Results Frameworks.

The procedure for programme and project appraisal by the PPRC/QRC goes as follows:

<sup>37</sup> See ANNEX 2.3

<sup>38</sup> See Box 2 in Phase 1 Programming

<sup>39</sup> Note: "Event" proposals will have a separate template and appraisal/approval channel via the ACABM.

- The draft Programme and Project Concept Notes and Programme Document (ProDoc) and Project Document (PD) are sent by the originating Division/SRO/IDEP to the PPRC/QRC Chair through the Secretary of the PPRC/QRC, ahead of the deadline for the next meeting. It is also possible to request a special meeting, e.g., for very large projects or projects contingent on an urgent timetable with an engaged funder. The CNs, ProDocs and PDs should be with the Secretary at least two weeks before the meeting to allow enough time for members to review them. Meetings will ideally be conducted to assess more than one CN, ProDoc or PD.
- The PPRC/QRC Secretary sends CNs, ProDocs and PDs to all members of the PPRC/QRC, either electronically or by hard copy. The CNs, ProDocs and PDs should also be sent electronically to the Sub-Regional Offices, who have the opportunity to submit comments electronically before the meeting.
- At the meeting, the Staff Member responsible for the CN, ProDoc and PD will present the programme/ project. All participants are given the chance to comment on drafts in the meeting. The Secretary will inform the meeting of comments (if any) submitted in advance from Staff Members unable to attend, including Sub-Regional Offices. If a member of the PPRC/QRC is unable to attend the meeting, he/she should nominate another Staff Member of the division or section as stand-in.
- There are four conclusions possible from the PPRC/QRC: a) approval as presented; b) endorsement on the condition that comments laid down in the minutes of the meeting are incorporated in the new version of the CN or ProDoc/PD; c) the PPRC/QRC may determine that the CN/ProDoc/PD needs to be reformulated/re-submitted, and gives critical advice toward that end; or d) rejection, as inappropriate for ECA.
- It is the duty of the Secretary to write the minutes from the meeting. Draft minutes should be circulated among those present at the meeting for comments with a short deadline. When the PPRC/QRC Chair decides that the minutes are final, they are circulated to all members of the PPRC/QRC, including those who were unable to attend.
- It is now the task of the presenter/responsible Sub-programme/Office to amend the CN/ ProDoc/ PD according to the conditions laid down in the minutes of the meeting, and send it to the PPRC/QRC Secretary for review.
- The PPRC/QRC Secretary will review the new amended CN/ProDoc/PD; if satisfactory when checked against the comments decided by the PPRC/QRC meeting, will recommend it to the Chair for signature.
- After being formally endorsed by signature of the PPRC/QRC Chair, the Secretary will forward the approved proposal document to the Secretary of the ACABM for the funding review (RPTC & XB).
- The SPOQD will be responsible for notifying the Lead Division (programme manager), the project design team (Project Manager), and the Partnership & Resource Mobilisation Office (PRMS) of the approval status, so that they can now move ahead to explore funding opportunities. The SPOQD will also enter the PD into the ECA internal data base of projects as a 'pipeline' project<sup>40</sup>.

### ***Programme/Project Quality Standards and Review Criteria***

Summary list: Programmes & Projects must meet the following 10 general criteria to be successful in the appraisal process.

- **Feasibility and technical quality:** The programme/project must be feasible vis-à-vis specified results, timeframes and resources. The desired outcome can be achieved within the programme/ project boundary and capacity of ECA and/or available partners. The programme/project must also be technically sound and up-to-date in its thematic focus area and strategy.
- **Coherence & coordination:** The programme/ project is based on an approved Programme Framework, and must support an APB EA. The programme/project should complement other existing ECA programmes/projects; Proposed programme/project implementation arrangements must demonstrate a commitment to cross-divisional cooperation and the optimal use of expertise from ECA's divisional and Sub-Regional Offices. All implementation governance and execution structures must be clearly identified along with a programme/project organogram.

<sup>40</sup> the status will be changed to 'active/on-going' once funds are released and the project is entered into the Umoja system (See Phase 5)

- **Relevance:** The programme/project must respond to problems of the stakeholders and demonstrate relevance to the strategic objectives of ECA. The programme/project's geographic location and relevant management arrangement must maximize support for ECA to achieve the APB EAs.
- **Stakeholders:** The programme/project must clearly identify and engage with stakeholders, including target groups and beneficiaries.
- **Budgeting:** The programme/project must be cost-effective in preparation, and demonstrate that its benefits with implementation will exceed the costs. Expectations for resource mobilization must be reasonable. 100% of financing resources must be identified and confirmation letters obtained from all probable co-financiers. The budget must be adequate to the task, including duration of the programme/project. The duration should also include at least 6 months for inception, and 6 months for financial closure [see elsewhere about 'event management' for short term event arrangements]. All budget figures are correct, meet standards, and consistent throughout the document.
- **Accountability:** The programme/project must clearly show the anticipated lines of authority and accountability, including the roles and responsibilities of Division, SRO, and partners.
- **Risk Management Strategy:** Programme/project risks must be clearly identified in a risk register. Feasible and appropriate mitigation/management plans for addressing the foreseen risks must be presented. Ideally, the residual risk after mitigation should be nil.
- **Monitoring & evaluation:** The programme/project must include an effective monitoring plan for tracking progress against outputs and outcomes, and tracking delivery by Divisions, Sub-Regional Offices, and partners. An evaluation plan must be clearly articulated to support performance management.
- **Cross-cutting Issues:** The programme/project must address potential outcomes and impacts on environmental, economic and social conditions, and respond to gender-related issues.
- **Sustainability and Replicability:** The programme/project document must demonstrate that the benefits generated by the programme/project are likely to be sustainable, and that implementation arrangements to increase replicability have been thought through.

## 4.1.2 Financing and Administrative Review

This phase is where the financial and administrative implications of proposed programmes and projects are reviewed at a portfolio level. The ACABM is the accountable body overseeing the portfolio<sup>41</sup> of ECA. The core task of the ACABM is to consider the financial and administrative implications of each proposed programme and large project on the resources and capacity of ECA to deliver and meet its organisational objectives. Financial implications may involve consideration of overheads for XB-funded projects and potential waivers for very promising projects, matching funds and co-funding arrangements, etc. Administrative implications may involve consideration of current workloads and capacity of institutional systems, phasing of implementation, etc. While the PPRC/QRC has focussed on the internal qualities of the individual proposal, the implication review by the ACABM will be examining financial and administrative implications for ECA at the level of the whole Commission.

The proposed programmes and projects to be reviewed by the ACABM will be required to submit a completed template that includes a programme/project summary sheet, a risk register, a resource/input plan (budget) and a set of questions focussed on the implication issues.

### Principles and criteria for final approval

Programme and Project proposals will not be approved by ECA management for implementation until:

- The technical quality of the proposal has been appraised and endorsed by the relevant SRO/s, the accountable division, and the PPRC/QRC; and
- The portfolio implications of the proposal, with its risk register, and resource/input plan (budget) have been reviewed and endorsed by the ACABM.

### Potential decisions of the ACABM

- a) approval with no contribution of additional funds – e.g., for Centre Business Plans with

<sup>41</sup> 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]

- committed donor funding
- b) approval with some contribution of ECA funds – e.g., direct funding or co-funding via XB, DA, RPTC resources. These approved proposals will be referred to the PRMS to negotiate contribution agreements (with the funder) and financing agreements (with the IPs)
  - c) approval contingent on acquisition/release of funds – i.e., keeping the proposal in ‘pipeline’ status. These proposals will also be referred to the PRMS to prioritise for mobilising resources.
  - d) approval contingent on making specific amendments – e.g., addressing risks that had not been identified in the written proposal with appropriate mitigation arrangements; restricting the pace of implementation or the duration of the programme or project based on organisational capacity limitations. The design teams for such proposals will be expected to address the comments in written resubmissions to the Secretary of the ACABM. The Secretary of the ACABM will review the amended proposal, and if found satisfactory when checked against the comments decided by the ACABM meeting, will recommend it to the Chair for signature.

## 4.2 Agreements & partnering

### 4.2.1 Technical cooperation agreements

ECA engages in programmes and projects that are aimed at fulfilling its mandate and objectives. To implement these, ECA receives contributions from donors. ECA seeks to implement its programmes and projects in cooperation with implementing partners. Agreements are necessary to establish a legal framework and ensure smooth implementation of the programmes, projects and activities, protect the Organization and its Staff Members and facilitate monitoring, evaluation and lessons learned. ECA negotiates and engages in four types of technical cooperation partnership agreements (see table 12 below for comparison of these four types).

**Table 12: ECA technical cooperation partnership agreements**

General framework agreement	Tripartite agreements/ Multi-Partner Cooperation Arrangements	Contribution agreement [cost support agreement]	Financing agreements [Implementation agreements]
ECA + any organizational partner	ECA + Pool of Partners	ECA + Donor/Funding Partner	ECA + Implementing Partner
<ul style="list-style-type: none"> <li>Broad partnership framework (e.g. MOU)</li> <li>Long term agreement for technical cooperation (usually 3 to 5 years)</li> <li>Based on comparative advantages complementarities</li> <li>Defined objectives, areas mechanisms of cooperation</li> <li>No financing involved</li> <li>Not legally binding</li> </ul>	<ul style="list-style-type: none"> <li>Multi-year arrangement that involves more than two partners, e.g., ClimDev Programmes, south-south triangular cooperation.</li> <li>Is usually multi-year</li> <li>May include funding and non-funding partners in a collaborative arrangement</li> <li>Complex governance arrangements, e.g., coordination secretariat function, technical, financing political advocacy roles assigned based on</li> </ul>	<ul style="list-style-type: none"> <li>Short or medium term agreement for technical cooperation (usually 1 to 3 years), as Joint Financing Arrangement (JFA) MOUs, LoAs.</li> <li>Well-articulated project document/ concept note, results based budget with logframe &amp; reporting templates</li> <li>Defined roles for partner organizations, including co-financing, M&amp;E, project governance etc.</li> <li>May serve for conduit (pass-through) arrangements</li> <li>Legally binding</li> </ul>	<ul style="list-style-type: none"> <li>Short term agreement for technical cooperation (1 year)</li> <li>Project document/ concept note, results based budget with logframe reporting templates</li> <li>Funding involved tied to deliverables (ideally 30% advance, second instalment 40%, third instalment 20% and 10% last instalment)</li> <li>Due diligence process for selecting IPs</li> <li>Outlines detailed recipient obligations, e.g., securing financial records</li> </ul>

	comparative advantages		• Legally binding
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## 4.2.1 Partnership issues

Partnerships are essential for ECA to deliver significant results, have a wide outreach and achieve impact in advancing Africa's structural transformation and economic policy agenda. They are a platform for leveraging resources and ECA's comparative advantages. As such, partnership activities must be consistent with ECA's vision and business model, mutually beneficial and in line with the guiding principles articulated in the ECA Partnership Strategy. ECA makes every effort to avoid, at all costs, partnerships with institutions whose objectives and/or operational modalities are not in line with its values, mandate or **established UN rules and regulations** and that may in anyway bring its credibility into question with member States and funding partners.

### Box 7: Guiding principles in the ECA Partnership Strategy

All partnerships & partnership arrangements with ECA should:

- i) be aligned to ECA's objectives & priorities in providing opportunities for innovation & deepening of ECA's work in its niche areas of policy research & knowledge delivery (*Principle of alignment*);
- ii) be built on shared values & complementarity of purpose (*Principle of complementarity*);
- iii) be driven by a focus on results (*Principle of results orientation*);
- iv) have mutual benefits, exploit synergies & build on comparative advantages of all partners involved (*Principle of mutuality & balance of advantage*); and
- v) be value adding (*Principle of value addition*).

ECA enters into implementing partnership agreements with the following six categories of organisations:

- African Union Commission, Economic Communities
- African Development Bank & UN Regional Commissions,
- League of Arab States Agencies & Programmes
- Member States & Regional Development Partners
- Non State Actors
- South-South & Triangular Cooperation

### What an IP is:

- A government or non-government agency engaged as an entity responsible and accountable for managing and delivering an agreed project, on behalf of ECA, and as provided for in a legal instrument, with ECA funding and technical oversight. The IP takes full responsibility for the programmatic and operational aspects related to the agreed project, including delivery of outputs/ achievement of results and timely submission of programme and financial reports
- Relations are based on shared common values and objectives. IPs are expected to bring added value, awareness of local conditions, access/network and/or technical expertise not available in ECA to the joint delivery of projects. Each IP is expected to make its own contribution - expertise and staff/resources - to the achievement of jointly defined results.
- Prior to transferring funds to IPs, it is expected to establish **governance structures** and other **measures of accountability** to ensure that funds will be used efficiently, for intended purposes, and with minimum risk of fraud, corruption and mismanagement. Agreements signed between ECA and the IP must not have the purpose or effect of producing a profit for the IP

### What IPs are not:

- Institutions engaged to deliver goods, services or other work. For example, a training firm engaged to deliver a training programme to staff; an evaluation firm engaged to undertake a mid-term review; a service contract for holding conferences at UNCC etc.
- Grantees that receive funds from ECA to implement their own projects
- Sub-contracting entities engaged to bypass application of UN rules and regulations, e.g., procurement.

See Section 5.1 and PRMS document for more guidance on IP selection and management.



# Phase 5 Implementation

Project implementation encompasses a set of actions aimed at achieving the project objectives as previously planned and agreed during project design, and which are contained in the approved project document. These include:

- Mobilising project inputs in the quantity and quality required, and in a timely manner;
- Carrying out activities to produce the project outputs required to achieve the outcomes of the project;
- Monitoring project delivery of outputs and the outcomes induced by beneficiaries use of the project outputs.

## 5.1 Commence implementation

When the relevant agreements have been signed, and funds availed to the project, it is time to start the implementation. The date of the signature for approval by the donor is the date of project commencement.

### Project start-up:

#### a) Initiate project in Umoja

XB projects – the responsible implementing (or lead) division initiates the grant in Umoja including the master data of the grant, budget and work break down structure. The grant set up in Umoja and the work break down structure of the project is approved by Trust Fund Unit and PPBS/SPOQD respectively. At this point, the project is completely initiated in Umoja, and is ready for implementation, disbursement, and reporting (See Annex Section 4 for budget templates). The following process map (Figure 15) shows the funding flow for voluntary-funded contributions and how they are channelled through Umoja Projects (PJ) for Cost Controlling purposes.

**Figure 15: End to End XB Grant Life Cycle**



DA projects - Once the project document is vetted internally by PPBS/SPOQD it is sent to DESA/CDO. When HQ is satisfied, they create the project structure in Umoja along with the

appropriation. The Budget unit in SPOQD loads the detailed allotment by object line base on the appropriation. After the allotment is posted in Umoja, it is ready to be spent for the activities.

RPTC projects - Once the project is approved, SPOQD is notified and funds are pre-committed as per the signed agreement with IPs. SPOQD then notifies Finance section who review supporting documents and authorize commitment. SPOQD commits the funds and informs the implementing Division. At this point, the funds are ready to be requested with a budget monitoring form from the Project Manager.

## ***b) Project team inception planning***

Project Managers should consider holding a **Project Inception Meeting** to bring the project team members and external partners together, and to reach a common understanding of the project tasks.

The results of a successful inception meeting include:

- **Design review** - Project partners and staff are familiar with the design of the project and share its vision, approach and methods to achieve the stated results; the log-frame and work-plan are revisited and updated/fine-tuned if needed; Project linkages with relevant ongoing/planned projects are assessed;
- **Accountability** - There are clear roles and responsibilities within a common accountability framework, e.g., a RACI matrix that includes PM, PMO, Project Steering Committee (PSC), IPs, PA, as well as links to Division and SPOQD; All projects must have structures in place that define roles and responsibilities and ensure accountability. The organizational and management arrangements of the project should be clearly set out in the PD, as well as being appraised before the approval.
- **Financing review** - The budget (all sources of funding) is understood by all and co-financing for the first year of the project from the project partners is verified and confirmed. Project team members are familiar with the substantive and financial reporting processes, and formats and quality standards are agreed upon, and the rules for budget revision are known. External partners are familiar with ECA rules and regulations.
- **Procurement and recruitment plans** are finalized (with input from DOA, as needed);
- **Communication lines and methods** are agreed upon (including feedback loops);
- **M&E plan** is agreed upon and its costs known (with input from SPOQD/EvalS as needed). Verify the baseline and targets; A plan for filling any gaps concerning baseline data is agreed upon and its costs determined;
- **Project risks** are re-assessed and risk management plan in the project document is validated/updated.

The meeting concludes by confirming the implementation plan in the PD with the project team (including partners) and formally committing to it before project implementation begins.

## ***c) Start-up tasks after the inception meeting***

The Project Manager starts implementation of the project by carrying out the following tasks in cooperation with the project team:

- Review the work plan and budget for the first year, together with the project team members, partners and supervisor;
- Set up a first Steering Committee Meeting – where it is required;
- Set up the project filing system, in which all project implementation documents will be recorded;
- Finalize contracts (financing agreements) with implementation partners and co-financing arrangements;
- Allocate the budget based on the secured funding.

## ***d) Project steering committee (if needed)***

A **project steering committee** may be established to provide additional management guidance during project implementation. If the project needs a steering committee, the Terms of Reference (ToR) for the steering committee should be prepared before the project implementation starts, including a regular meeting schedule (often once a year). The composition of the steering committee may vary

depending on the nature of the project; however, it is recommended to keep the size small (less than ten members). Members of the steering committee should be selected in a way that balances and diversifies perspectives and areas of expertise of the committee, and should have sufficient authority and experience to guide the project during implementation. Often these members will come from related partner agencies and stakeholders. A typical project steering committee will include one representative from ECA, one from an implementing partner, two technical experts on the subject of the project, one donor representative, and relevant government representatives.

## Standard implementation management per UN systems

The implementation of activities and the financial management are undertaken in accordance with UN Financial Rules and Regulations. The detailed step-by-step procedures for the following processes are contained in the UN rules and regulations document<sup>42</sup>.

- a) **Financial administration** – budget, accounting in Umoja, disbursement per UN rules and regulations; budget revision
- b) **Personnel** – preparing TORs, recruitment, contract negotiations
- c) **Contracts for Services** – preparing TORs, pre-qualification & short listing, selection, contract, monitoring
- d) **Agreements** – prepare activity brief, budget, identification, negotiate, clearance, administration and monitoring
- e) **Procurement of equipment and supplies** – specifying, requisition, purchasing, receipt and inspection
- f) **Training** – identifying appropriate source; placement, travel, financing/ logistics, monitoring; learning plans and commitment
- g) **Events** (Workshops/Seminars/Conferences) – proposal, identification of host, MoU, travel, logistics; evaluation, report
- h) **Monitoring & Reporting** – narrative reports, schedule, financial statements, annual report, final expenditure reports, evaluation/terminal report

# Fund Management

## Overview/introduction

Financial resources are essential to the delivery of programme and projects and should be properly managed throughout the programme and project cycle. In the management of each project, financial management forms a functional area which falls within the overall responsibility of the Project Manager. A Project Manager holds the primary responsibility to ensure that the desired results are achieved within the project's budget, with oversight by the Programme Manager (Division Director). At each stage of the project cycle, the Project Manager needs to perform related tasks summarised below on financial management and report regularly to the Programme Manager:

### PLANNING & DESIGN

Understand ECA's funding structure and how the project can be funded. Estimate cost for project delivery and develop a budget breakdown based on results hierarchy of the project and the projection of available funding.



### REVIEW & APPROVAL

For XB projects, once the project is approved, the project manager initiates a project accounting process in Umoja with the responsible PMO, i.e., master data creation, budget and set up project work break down structure (WBS). For DA projects, HQ/DA creates the allocation of the approved amount in Umoja and notifies SPOQD who notifies respective Divisions. For RPTC once resources for IP are approved, SPOQD initiate pre-commitment and informs Finance who authorize commitment, SPOQD commits the funds and informs implementing Division

<sup>42</sup> [http://www.unsceb.org/content/united-nations-financial-rules-and-regulations?field\\_mechanism\\_tid=All&ctype=All&page=3](http://www.unsceb.org/content/united-nations-financial-rules-and-regulations?field_mechanism_tid=All&ctype=All&page=3)

**IMPLEMENTING  
& MONITORING**

Facilitate payments for expenses and procurement for necessary goods and services to deliver activities in accordance with project delivery plan. Monitor project's financial performance (spending rate relative to plan, correct use, value for money) and take necessary management actions (e.g., budget revision or adjustment).

**COMPLETION  
& CLOSING**

Make sure the project is operationally completed within budget, and finalize administrative processes for formal completion and closure<sup>43</sup>.

## Financial management system - Umoja

ECA uses Umoja for processing and accounting for the project budget, and the expenditure items in the project budget should be recorded in accordance with the Umoja budget codes (See Annex Section 4). PMOs hold main rights to access and manage information on Umoja. If necessary, a Project Manager can also request access for Umoja.

## Extra-budgetary (XB) funding for projects

This section summarizes the project management procedures to be followed and the financial services functions to be performed by Project Managers as well as by Project Management Officers in the implementation of projects funded from ECA's Technical Cooperation Trust Funds. Trust Funds are established, administered and controlled in accordance with the policies contained in the Secretary General's bulletin ST/SGB/188 on the establishment and management of trust funds.

It is imperative that before a general Trust Fund is established, the prospective donor be made fully aware of the UN policies and procedures regarding Trust Funds, so as to ensure that the management of proposed trust fund is consistent with the policies, programmes, priorities, aims and purpose of the UN. Prospective donors should be advised in particular that all trust funds are subject to charges for programme support functions executed by ECA.

### Box 8: Programme Support Cost (PSC)

PSC is the percentage of direct costs that the UN collects as overhead on extra-budgetary expenditures. The PSC rate for XB funds should be 13%, unless otherwise formally agreed and approved by the Controller. The 13% rate was decided in GA resolution [A/RES/35/217](#) and applies to ECA as a programme of the UN. The PSC revenue supports proper funding of corporate services in operational management, and ensures the indirect costs of supporting activities for XB contributions (project appraisal, administration, recruitment, etc.) is not borne by ECA's core resources. Administration and management of PSC is defined in administrative instruction [ST/AI/286](#). For all secured XB funding, the PSC rate and amount should be listed in the PD (duration and cost table). The rate should be indicated separately per funding source unless all have the same rate. PSC rates should be calculated only from the direct costs for project implementation (the costs that can be clearly attributed to the operation of the project).

Grants and Project administration is a team effort. Although the project manager has the primary responsibility for the management of the project, the programme manager (Division Director) has an oversight role. The DoA/Trust Fund unit is set up to provide the PM with technical advice and the financial information necessary to effectively manage the project and assures that all parties comply with the terms of the donor's agreement. Within SPOQD, PRMS and PPBS are liaisons between the donor and the project manager to ensure that the projects are properly authorized and conducted in conformity with administrative requirements of the UN and the donor.

## Transferring XB funds to Implementing Partners

**Step 1:** The Implementing Division will process budget monitoring form and Trust Fund Unit will obligate the total agreed amount of the agreement and process down payment.

<sup>43</sup> Details on project close out are covered in the section on project closure at the end of this chapter

- Step 2:** Implementing Division to transfer the 1st instalment of the project budget upon receipt of a request for the release of funds
- Step 3:** IP to acknowledge receipt of funds within seven days of receipt (Implementing Division to follow up the process). Each disbursement is tied to deliverables, once verified as satisfactory, it will trigger payment of next or final tranche
- Step 4:** Progress report to be submitted by the IP based on the time frame stipulated in the agreement (to be followed by Implementing Division)
- Step 5:** A final report and certified financial statement are submitted as per time frame in the agreement, usually no later than 3-6 months after activities are completed
- Step 6:** Trust fund unit will finally clear advance to IPs based on the financial report submitted

## Managing XB budget revisions

A Budget Revision is needed when:

- Additional funds are received and/or allocated to the project account<sup>44</sup>;
- There is an agreed and approved change in the work plan, and sometimes project duration;
- Funds are reallocated between the budget lines<sup>45</sup>.

No more than two Budget Revisions should be raised in a year - preferably only one in each half of the year. Reallocations between budget lines should be limited to the total amount provided in the project document. The request for budget revision should be submitted to sub-programme director along with:

- Cover page (signed by the project manager)
- Revised budget page
- Revised Result based work plan
- Extract from Umoja which shows current status of the project budget
- Justifications for the revision

The implementing section/project manager will upload the approved budget revision in the system and the unreleased and released budget will be approved by SPOQD and Trust Fund Unit respectively; the unreleased portion of the total commitment is not factored into the financial accountability for the project until it is released. (See Annex Section 4)

## Regular Programme of Technical Cooperation (RPTC) funding

RPTC was established by the GA to provide the UN with flexible resources for responding to urgent/emerging needs and priorities of developing countries. RPTC is a regular budget fund that is allotted to ECA on biennial basis. Like any RB accounts, revisions in RPTC are done at ECA's level during the second half of the second year of the biennium. The revision of budget utilisation rates, and analysis of under and over usage of funds and securing justifications for the variances is the role of SPOQD. As a Regular budget fund, the RPTC funds are available for two years and all expenditure are to be liquidated by the end of the first year of the next biennium after which time any non- usage is recalled and classified as savings by SPOQD.

### Implementing RPTC with partners

The following steps guide financing of RPTC project with IPs:

- Step 1:** Implementing division to conduct a due diligence process for selecting IP. (See Annex Section 9 for IP guidance on due diligence)
- Step 2:** Once the project is approved, SPOQD is notified and pre-commit funds as per the signed agreement with IPs. SPOQD then notifies Finance section who review supporting documents and authorize commitment
- Step 3:** SPOQD commits the funds and inform the implementing Division
- Step 4:** Project manager process IP agreement

<sup>44</sup> This will require a PD revision; see sub-chapter 5.7 below on project revisions.

<sup>45</sup> (taking into account the cost increase or decrease)

- Step 5:** Once IP agreement is signed, the Project manager submits budget monitoring form to SPOQD requesting transfer of the 1st instalment to IP
- Step 6:** IP to acknowledge receipt of funds within seven days of receipt (Implementing Division to follow up). Each disbursement is tied to deliverables, once verified as satisfactory, it will trigger payment of the next or final tranche
- Step 7:** IP to submit progress report based on the time frame stipulated in the agreement (to be followed by Implementing Division)
- Step 8:** A final report and certified financial statement to be submitted no later than three months after completion of project activities

## Development Account (DA) Projects

DA funding is a mechanism to channel regular budget resources to capacity-building projects. (See Box 9 for DA project selection criteria).

Steps in the process of designing a DA project:

- Step 1:** The GA determines the priority area to be covered by the DA tranche
- Step 2:** Department of Economic and Social Affairs (DESA)/CDO sends guidelines/templates for developing CNs and full PD (including template for results-based work plan and budget details)
- Step 3:** DESA/CDO formally invites ECA to apply and gives deadline and budget limits.
- Step 4:** SPOQD invites Divisions, SROs and IDEP to apply and provides support to prepare concept notes per quality requirements (thematic priority, structure of the PD, etc.) fixed by DESA/CDO. EvalS is involved during development of the project M&E plan to ensure evaluability.
- Step 5:** CNs are submitted to PPRC/QRC for review and selection of CN to be submitted to DESA for consideration
- Step 6:** During CN development, a Quality Assurance Group (QAG) is set up between DESA, SPOQD and the applying division to review and support the effort
- Step 7:** A virtual review of the CNs will be organised with the PPRC/QRC for ECA's own accountability assurance
- Step 8:** The applying Division, in collaboration with SPOQD, finalises the PD
- Step 9:** At this point, the PD will be presented to the PPRC/QRC for technical review; after which it will be sent to DESA for review with the QAG.
- Step 10:** When approved, DESA then requests ECA to issue an allocation for this project so that the Division can start implementation

### Box 9: Generic criteria for all DA projects:

- i. Must result in durable, self-sustained initiatives to develop national capacities, with measurable impact at field level, ideally having multiplier effects;
- ii. Be innovative & take advantage of ICT, knowledge management & networking of expertise at the sub-regional, regional & global levels;
- iii. Utilize the technical, human & other resources available in developing countries & effectively draw on the existing knowledge, skills & capacities within the United Nations Secretariat;
- iv. Create synergies with other development interventions & benefit from partnerships with non-United Nations stakeholders.

## Budget Allocation for DA projects

- PPBS provides to UNHQ the cost centre and Functional Area for the selected project, so that HQ can issue the allotment.
- HQ creates the allocation of the approved amount in Umoja
- Finance informs the concerned Division when the money has been disbursed and can start implementation

## Planning, monitoring and evaluation of DA projects

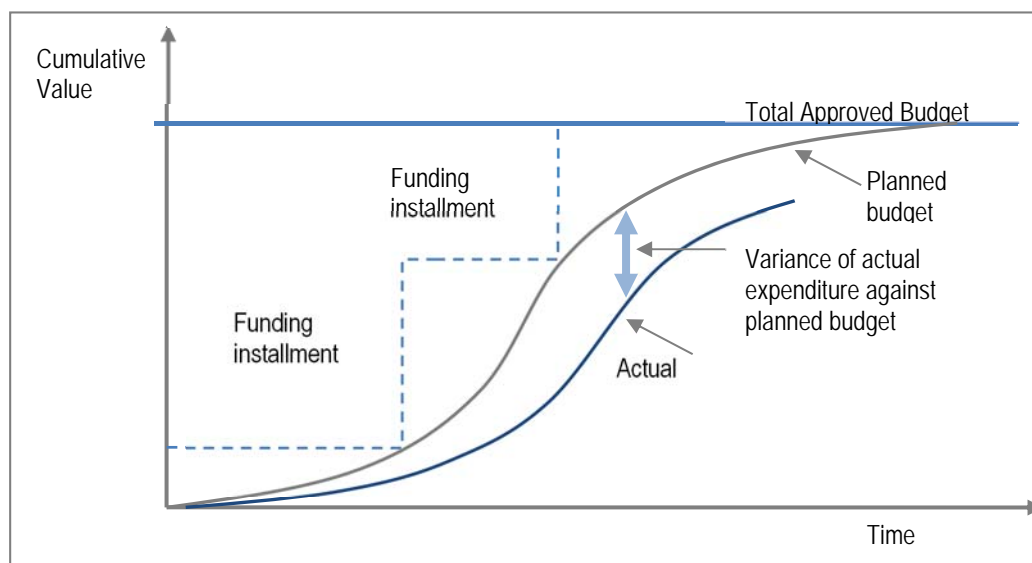
All objectives, expected accomplishments, indicators and main activities of the project are stated in the PD along with a results framework that indicates the intervention logic and the means of verification. Based on a template provided by DESA/CDO, divisions are required to submit an annual progress report to DESA/CDO. SPOQD supports the Division to provide a high quality and evidence-based annual report. Once cleared by SPOQD, annual progress reports are sent to DESA for approval. All

DA projects require a mandatory evaluation upon completion of activities – with at least 2% of each project's budget earmarked for this purpose.

## How to monitor financial performance (all funding sources)

Based on the planned budget and the instalment schedule of secured funding, Project Manager can measure and monitor financial performance of the project. Figure 16 below is a conceptual illustration of how to use the planned budget as baseline, and measure the actual expenditure against it. While budgets should be as accurate as possible, it should be recognized that a budget is essentially a plan and that variances will occur during implementation. Depending on the project's progress, actual expenditure can be either higher or lower than planned at given time.

**Figure 16: Project expenditure and financial performance**



It is the responsibility of the PM to analyse the gap between the actual expenditure and planned budget on regular basis, and review the financial analysis against programmatic performance of the project (i.e., activity delivery, attainment to outputs etc.). Based on this review and analysis, the PM should direct the project to be delivered within the threshold of total budget. For example, if the financial data shows over-expenditure of budget when output is not delivered on schedule, the PM needs to carefully review the relevant factors, report status and take corrective action in consultation with the programme manager (division director).

Managing and recording relevant expenditure information is critical for monitoring financial performance, especially when the project involves implementation by partners. The expenditure report is the main tool to monitor the project expenditures. ECA will only accept expenditures that are in line with the approved budget. The expenditure report should be reviewed in tandem with narrative progress reports. The frequency of requirements for expenditure reports should be defined in planning stage in consultation with PMOs and DoA/Trust Fund Unit and SPOQD/PPBS. The minimum requirement is the submission of certified financial statement every six months. Quarterly fund utilisation rate will be prepared by the Trust Fund Unit and submit to the SMT by PPBS for review and decision making. PMOs, in consultation with PMs and Programme Manager, should initiate midyear budget revisions if there is a need to reconcile project expenditure

## Audit:

Audits are normal accountability exercises in the UN to ensure that regulations and rules are strictly adhered to so that development results will be achieved. All projects are subject to audit by the UN Internal and External Auditors appointed by the UN GA. Auditors have the right of access to all official records associated with a project. Auditors may visit implementing and support divisions to review documentation and interview personnel who have certified expenditures on projects. For this reason,



it is of utmost importance that individuals who have been entrusted with approving and certifying responsibilities to keep track of, and be able to confirm that the report or expenditure they have certified was accurate at the time it was signed.

# Human Resource Management

## Recruitment and preparation

XB funded projects – due to the potential for long delays between approval and release of donor funds, there is a need to start pre-recruitment activities during the latter stages of project formulation, especially for very critical roles, like the Project Manager and other professional staff. In planning the recruitment of international professional staff, a time lapse<sup>46</sup> of four to six months between the request and the actual arrival of the individual to take up the post should be taken into account. HR requires at least six weeks in order to process the recruitment before the effective date of appointment, i.e., medical clearance, visa issuance for the contract, travel, etc.

Meanwhile, there are good practices that could speed up the process and avoid delays. This can begin by discussion with HR about development/adaptation of an appropriate job description, as well as getting access to lists of any persons pre-qualified for the desired position. Advertising the position can also be done to gather more PhP for consideration, as long as the adverts make no promises and say this is only for pre-qualification screening. The UN has a category of Rostered candidates who can be picked within a short time. Basically, all steps up through interviews can be done except final selection. Once the funds are released, ECA HR will proceed with the hiring process, which has its own time constraints embedded due to UN rules and regulations, e.g., HR communicating directly with referees.

Induction – all staff (and consultants) new to ECA, or to the position, the programme/ sub-programme, or the location will require some form of induction. HR can work with the Division to facilitate an appropriate induction package (content) and process.

## Roles and responsibilities

The expected roles and responsibilities for programme and project personnel are based on a **responsibility matrix**<sup>47</sup> that is prepared during implementation planning. It should be reviewed and updated at the beginning of the implementation when revising the workplan. The matrix is a summary based on all the individual terms of reference. Each column assigns responsibility for specific tasks, activities and outputs. This methodology ensures that staff time and expertise are focused on results and each staff member sees clearly their own contribution towards the final outputs. From a results perspective, defining the project personnel's responsibilities increases motivation and encourages team building and support.

The following Table 13 provides guidance about critical roles in the management of programme and project implementation for individuals and structural units in ECA. Operationalising these roles and responsibilities is essential for ECA to professionalise the quality of Programme and Project Management in the organisation, and to ensure accountability.

**Table 13: Summary of roles and responsibilities in project implementation**

ROLE	Key Programme & Project Management Responsibilities
Programme manager (Division/ SRO Director)	<ul style="list-style-type: none"> <li>Effectively &amp; efficiently manages available human &amp; financial resources to ensure timely delivery of programmed outputs.</li> <li>Effectively assists, guides &amp; supports programme (&amp; project) managers in meeting their objectives &amp; outputs</li> <li>Technical &amp; budgetary/financial oversight, review project narrative &amp; finance reports &amp; endorse or critique/give feedback, as needed;</li> </ul>

<sup>46</sup> HRD requires at least one month in which to process the recruitment before the effective date of appointment.

<sup>47</sup> See Annex 6.3 for a RACI chart

	<ul style="list-style-type: none"> <li>• Certifying officer</li> <li>• Raise problem issues as needed with Portfolio management/SPOQD</li> <li>• Liaise with clients &amp; donors</li> <li>• Ensure compliance with signed grants/funding agreements &amp; appropriate UN policies, rules &amp; regulations, including use of appropriate project management manual &amp; tools</li> <li>• Ensure proper management of technical cooperation funds &amp; other resources entrusted to Division/SROs programs &amp; projects, including review &amp; approval of programme/project budgets &amp; monitoring of certified financial statements.</li> <li>• Ensure reporting is done according to agreed standards &amp; in a timely manner.</li> <li>• Review &amp; approve XB resources, including budget monitoring forms;</li> <li>• Ensure due diligence process for selecting implementing partners is adhered to; and</li> <li>• Respond to queries from funding partners &amp; auditors including implementation of recommendations from audit &amp; evaluation reports</li> </ul>
Project Manager (e.g., Section chief, technical officer)	<ul style="list-style-type: none"> <li>• Accountable for the day-to-day management of the project within the defined schedule &amp; budget.</li> <li>• Leads &amp; motivates project delivery team; Manages project team members' roles &amp; responsibilities</li> <li>• Actively manages all project activities &amp; problems &amp; raise issues as required to Programme Manager; managing risks, assumptions &amp; modifications in the project;</li> <li>• Final author/editor of project reports</li> <li>• Liaise with Steering Committee</li> <li>• Complies with signed grants/funding agreements &amp; appropriate UN policies, rules &amp; regulations, including use of appropriate project management manual &amp; tools</li> <li>• Properly manages technical cooperation funds &amp; other resources entrusted to projects, including the review &amp; approval of project budgets &amp; the monitoring of certified financial statements.</li> <li>• Ensures reporting is done according to agreed standards &amp; in a timely manner.</li> <li>• Applies correct due diligence process for selecting implementing partners</li> <li>• Leads design: define rationale, i.e., reasons why project is needed; specify quality, quantity &amp; timing of deliverables; identify requirements, estimate resource needs &amp; timescales; prepare business case to justify investment; secure key agreements &amp; funding; develop &amp; implement a management plan;</li> <li>• Maintains communications with stakeholders &amp; programme management;</li> <li>• Closes the project in a controlled fashion when it is complete.</li> </ul>
Programme Management Officer	<ul style="list-style-type: none"> <li>• Develops, implements, monitors &amp; evaluates assigned programme/projects</li> <li>• Provides direction &amp; sound, innovative advice</li> <li>• Delivers thorough, well-reasoned contributions, including reports</li> <li>• Implements corrective action with respect to operational issues.</li> <li>• Maintain records of communications, financial records, &amp; progress</li> <li>• Carry out monitoring &amp; reporting in Umoja</li> <li>• Provide data &amp; preliminary analysis for project reports</li> </ul>
Programme Assistant/ Budget Assistant	<ul style="list-style-type: none"> <li>• Provide full range of programme/project management assistance</li> <li>• Establish &amp; maintain well-organised internal databases &amp; information management systems, including financial records</li> <li>• Thoroughly understands &amp; applies policies, guidelines &amp; procedures</li> </ul>
Steering Committee – (for Pan African led programme)	<ul style="list-style-type: none"> <li>• Review progress against approved work plan &amp; budget; advise Project Manager to ensure project achieves desired outputs &amp; outcomes</li> <li>• Provide guidance to PM so that project business case remains valid, especially among stakeholders whose behaviour must change if project is to achieve its planned results</li> <li>• Provide guidance to Project Manager on needed changes or revisions of project</li> </ul>
PPRC/QRC	<ul style="list-style-type: none"> <li>• Appraisal for technical quality review, at CN &amp; PD stages</li> </ul>
ACABM	<ul style="list-style-type: none"> <li>• Financial &amp; administrative implication review of proposed programmes &amp; large projects</li> <li>• Allocation of funds from resources available to ECA needed for approved projects</li> </ul>
SPOQD	<ul style="list-style-type: none"> <li>• Portfolio manager – oversight &amp; support for all programmes &amp; projects</li> <li>• Capacity building for PMs, PMOs</li> <li>• Budget design &amp; management</li> </ul>
DoA	<ul style="list-style-type: none"> <li>• HR – for recruitment of staff &amp; consultants</li> <li>• Procurement – for mobilising goods &amp; services</li> <li>• Trust fund unit – for management of XB funds</li> <li>• Finance – production of certified financial statements</li> </ul>
IDEP	<ul style="list-style-type: none"> <li>• Training design &amp; implementation</li> </ul>

PIKMD	<ul style="list-style-type: none"> <li>• Publication, Communication &amp; knowledge service</li> <li>• e-platform design &amp; support</li> <li>• TA in records management</li> </ul>
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The following Table 14 is comprised of direct unedited extracts from Generic UN Job Profiles for the categories of staff in ECA who are most directly involved with programme and project management.

**Table 14: Generic Job Profiles – UN Approved [extracts]**

Title	Results expected:
Division/SRO - D1 (i.e., Division Director)	Produces high-quality outputs on key issues. Effectively & efficiently manages available human & financial resources to ensure the timely delivery of programmed outputs. Provides solid substantive support in the servicing of various committees & intergovernmental bodies; reports for these bodies are clear & focused on the issue at hand & the meetings or seminars are well-organized meetings or seminars & address the topics covered in a comprehensive manner. Effectively develops staff under his/her supervision, including their on-going learning & development. Effectively assists, guides & supports programme managers in meeting their objectives & outputs
Chief of Unit/ Section - P5	Produces high-quality outputs on key issues. Effectively assists, guides & supports programme managers in meeting their objectives & outputs. Provides substantive support in the servicing of various committees & intergovernmental bodies. Effectively develops staff under his/her supervision, including their on-going learning & development.
Senior Programme Officer - P5	Develops, implements, monitors & evaluates assigned programme/projects. Provides direction & sound & innovative advice on a wide range of issues, including developing strategies for issues on a long-term & large-scale basis to ensure timely & cost-effective delivery of results that ensure the best interests of the organization, and/or client. Delivers thorough, well-reasoned contributions, e.g., policy recommendations, complex papers, analysis, substantive sections of reports & studies, publications, etc. Implements corrective action with respect to operational issues.
Programme Officer - P4	Develops, implements, evaluates, effective leadership & management of major projects & teams; demonstrates timely delivery of outputs in accordance with overall objectives & policies. Plays a lead role in identifying significant issues & develops well-reasoned, innovative approaches to deal with these issues. Serves as an effective spokesperson internally & externally & forms strong partnerships with relevant parties
Programme Officer - P3	Develops, implements, monitors & evaluates assigned programme/projects. Provides thorough, well-reasoned written contributions, e.g., background papers, analysis, sections of reports & studies, inputs to publications, etc. Develops & maintains effective working relationships. Promulgate coherent policies, & consistent adherence to these by clients. Efficiently uses of resources.
Programme Assistant – GS-7	Provides the full range of programme/project management assistance at all stages of the business cycle, & of reliable research support. Thoroughly understands the context of programmes/projects & issues & independently handles a wide range of activities & follow-up action. Demonstrates initiative in the identification & resolution of a wide range of issues/problems, & effectively handles unforeseen situations. Establishes well organized internal databases & information management systems. Effectively organizes & supervises office support staff. Consistently applies appropriate policies, guidelines & procedures. Effectively, & in a timely manner, liaises & interacts with colleagues & concerned parties internally & externally.

## Staff performance

Managing performance is an integral part of the work of the Project Manager and the supervisors concerned, all throughout the year. It is a continuous dialogue between staff and their supervisors about the project, its objectives and priorities, the results expected and contributions made. It involves planning, performance evaluation and feedback. Each staff member is responsible for carrying out the duties and responsibilities of his/her position to the best of his/her abilities, in order to meet the performance management standards of the position s/he occupies.

As noted in Section 1.2 on Programme Accountability, accountability includes all aspects of performance, including a clearly defined system of rewards and sanctions; and with due recognition to

the important role of the oversight bodies and in full compliance with accepted recommendations. It is important for programme and project management processes during implementation to include strategies to identify, document, publicly recognise and reward behaviours that exemplify organisational values, are innovative and bring better effectiveness or efficiency to the organisation, or meet and exceed expected performance of designated roles.

## Managing consultants and consultancies

For short consulting assignments, ECA technical specialists can be considered, based on their expertise, familiarity with and interest in the project. If this entails periods of four weeks or more, it is appropriate for the project budget to cover the salary and other costs of the official (on temporary assignment). For shorter periods, the project pays only the travel and the daily subsistence allowance (mission status). It is sometimes difficult to draw the line between an ECA technical input, which should not be at the expense of regular budget, and general project support work. Direct consultancy inputs from ECA expertise should be included in the project budget.

## Establishing and maintaining open communication channels

The Project Manager and team will need to ensure that constituents, partners and other project stakeholders are kept informed and fully involved during implementation. To a large extent the success of the project depends upon harmonious relations between all of those who participate in its activities. A key aspect of the Project Manager's job is facilitating the integration of everyone's efforts.

## Partnership management

### *Implementing partner (IP) selection – requirements*

IPs are generally expected to bring added value, access/network and/or expertise not available in ECA to the joint delivery of projects. As such, they are entrusted to be fully accountable for successfully managing the programmatic and financial aspects of the agreed project, as per the signed partnership instrument. It is therefore critical that IPs be selected based on their expertise and capacity to deliver in a timely way with the agreed quality specifications. The selection process must be carried out with adequate due diligence and in an objective, consistent and transparent manner.

Pre-engagement assessment of IPs forms part of the ECA corporate risk-based approach to programme management and has the following two objectives:

- a) evaluate potential IPs with a view to determining if they are “best-fit” with respect to delivering defined project outputs and activities; and
- b) assess internal and external risks associated with engaging the IP plan for any risks and put in place the required controls.

Divisions/SROs/Centres (programmes) are required to show that IPs they choose to work with have undergone assessments using ECA's capacity and risk assessment tool<sup>48</sup> to:

- a) protect ECA's investments and reputation;
- b) ensure that agreed outputs are delivered on time and within the agreed budget; &
- c) get assurance that channelled UN/ donor funds will be managed in accordance with acceptable fiduciary standards and stringent procedures.

The process of selection of an IP should ensure that:

- a) maximum number of potentially suitable IPs have been considered (minimum is 3);
- b) the assessment of prospective IPs is impartial and objective; and
- c) the prospective IP has the technical, financial, managerial, administrative capabilities required to deliver on agreed outputs.

<sup>48</sup> See *PRMS document - Implementing partner (IP) pre-engagement capacity & risk assessment tool*

## Partnership risk management

Maximising opportunities and mitigating risks associated with pursuing partnerships is an integral part of programme management roles and responsibilities. Risk-based partnering promotes a careful analysis of potential internal and external risks, followed by formulating mitigation strategies to bring reduce risks and their potential impact. A 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. [See more details about partner selection in section 5.1 below]

### Types of risks common in partnering

Risks can arise internally within ECA and externally from the IP and project environment. The following classification can help to guide the risk assessment process. The four most common risks associated with partnership include:

- **Operational risks** - e.g., inability to meet delivery targets in a satisfactory or timely manner, limited capacity to manage the project, change of focal points, change of government officials responsible for overseeing project implementation, communication failure, project staff attrition, delayed recruitment/ engagement of project staff, loss of data due to technological failure, etc.
- **Fiduciary risks** - e.g., financial management not meeting agreed/ international standards, disallowed expenditures, deviation from agreed budget, shifting of resources between budget lines, absence of segregation of duties at various stages of transaction (reviewing, certifying and approving financial transactions). etc.
- **Fraud and corruption risks** - e.g., forging signatures, falsifying documents and financial statements to obtain benefits, collusion or anti-competitive actions during a procurement process, payroll fraud, processing the cost of personal travel as part of an official travel, etc.
- **Reputational risks** - e.g., inability to deliver on time and on budget (ineffective and inefficient), conflict of interest, failing to ensure an effective 'strategic fit', engaging an IP with questionable human rights records, or that is dissolving and/or has no legal status, etc.

## Risk assessment

A simple risk register matrix (see Table 15 below) can be used to list and systematically prioritise the identified risks, and to identify mitigation strategies<sup>49</sup>. This register should be in the proposed project document, but it should also be a living document, continuously reviewed and updated to reflect the on-going dynamics of the project environment.

**Table 15. Risk mitigation plan**

Risk	Likelihood of risk (rare, unlikely, moderate, likely, very likely)	Impact of risk (trivial, minor, moderate, major, extreme)	Mitigation strategies, incl. internal controls, admin and legal requirements	Likelihood of residual risk after mitigation
1.				
2.				

In preparing the matrix, the identified risks, both individually and collectively, should be assessed and ranked according to their:

- likelihood of occurrence: how likely is the risk to occur? (rare, unlikely, moderate, likely, very likely); and
- potential severity/ impact – what would the impact be if the risk were to occur? (trivial, minor, moderate, major, extreme).

## Partnership management workflow and responsibilities

<sup>49</sup> The risks that are "extremely high" and "high" will need corresponding mitigation responses developed to reduce the likelihood/ impact of the risks to project objectives.

### Responsibilities

- **Section Chief** – responsible to assess if the prospective IPs' are the “best fit” to implement the project output/ activity, and oversee the assessment of the IP
- **PMO** – responsible to liaise with potential IPs to get the assessment tool completed and submitted along with supporting documentation; to gather and compile relevant documents, and keep records of the selection process; and to carry out the preparatory work, including preliminary appraisal of the capacity and systems of prospective IPs through review and verification of documentation

### Issues & common pitfalls

It is critical that the accountable and implementing officers for the initiative (programme or project) understand the value of and commit to early planning and involvement with SPOQD (PPBS & PRMS).

The key roles in processing and supporting agreements are:

- **PPBS** – review of project documents and budgets/ reports
- **PRMS** – review of agreements against standard templates, UN rules and donor requirements;
- **Legal Office** – legal interpretation, review and clearing of agreements; general legal support
- **DoA** - Designated Trust Fund Manager/ ECA Authorised Signatory

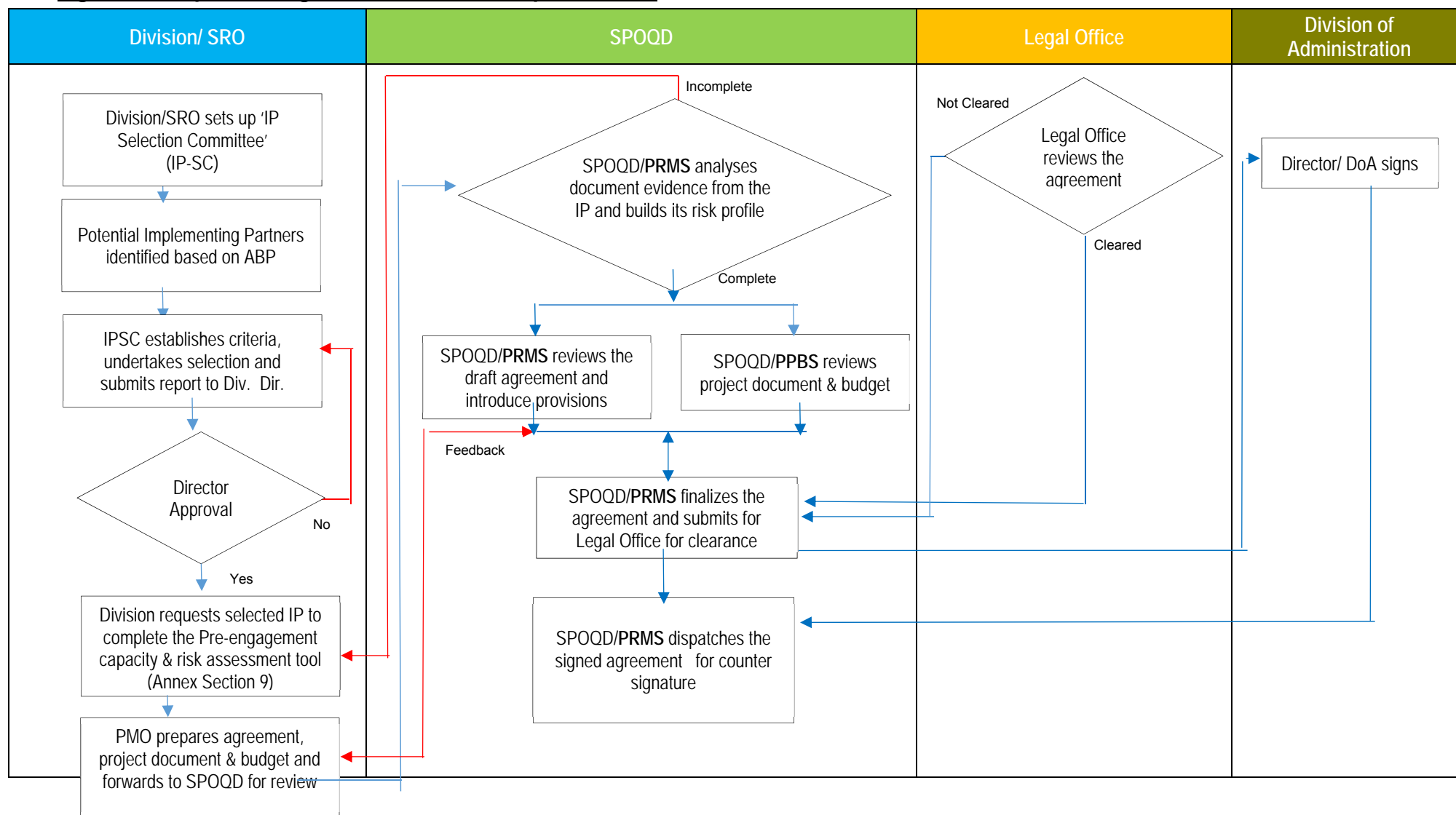
Well-formulated proposal documents are essential for defining clarity of roles and scheduling deliverables, disbursements, frequency and timing of reports, etc. The approved programme/project documents will become the basis for transferring funds and delivering the agreed initiative on time.

**Table 16: Major partnership challenges and mitigation measures**

Challenge	Mitigation measure
Significant advance payments expose ECA to fiduciary risks	The <i>partnership guidance document</i> <sup>50</sup> defines the current rules on tranche size as a proportion of programme/project budget
Limited technical and operation capacity of IPs leading to late/non-delivery Frequent change of IP focal points/ staff turnover etc.	Careful pre-selection review and use of the due diligence screening will help to address these issues Crafting IP agreement provisions with a view to addressing identified risks
IPs not meeting reporting obligations/ Poor quality of reports; Narratives and financial reports are often not in line with the agreed template	Scheduling regular programme/project reviews to monitor reporting and adherence to partnership agreements/ commitments;
Too many amendments, no-cost and cost extensions	Regular programme/project reviews with IPs; dialogue/ engage with the SPOQD support teams will help to prevent this issue; Failing that, PRMS and Finance may impose sanctions
Financial irregularities, e.g., deviations from approved budget, disallowed costs, use of funds for unapproved cost items etc.; Uncertified and unsigned financial reports	Requires careful review of financial capacity during due diligence assessment, careful monitoring and review/discussion of financial reports with IP and Finance
Weak monitoring and review of agreements	Internal oversight and possibly capacity building within ECA; also performance monitoring of managers; link with OQS for quality assurance criteria and include in the initial agreement; Documentation of communications between divisions and IPs during the implementation of agreement

[See more details about partnership principles in Section 4.2.1 above]

<sup>50</sup> To be available on the P/PM e-platform

**Figure 17: Implementing Partner Selection responsibilities**



## 5.2 Monitoring and reporting

### Monitoring overview

Monitoring is “a continuing function that uses a systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing development intervention with indications of the extent of progress in the achievement of desired outcomes as well as progress in the use of allocated funds.” (OECD/DAC Glossary). Monitoring tracks the actual performance or situation against what was planned or expected according to pre-determined standards.

Monitoring is one of the most important responsibilities of any programme manager. Good monitoring includes a balanced mix of reporting and analysis, verification of progress towards results and ensuring the participation of key stakeholders. In RBM, the implementation process is significant only in terms of what it *leads to* – or what *follows from* the process of planning, managing and implementing. It is important to get to outcomes and not just outputs.

### The monitoring plan

Monitoring plans must be designed with both periodicity and accountability in mind:

- **Periodicity:** Monitoring should be based on the periodicity of project events (monthly, quarterly, seasonally, annually) and on decision-making (corrective action, review meetings, etc.) It should be done in sufficient detail to allow for the accomplishment of activities (or milestones), but should not become time-consuming.
- **Accountability:** Monitoring should lead to action. As a result, data and reporting should be directed at responsible officials, and should focus on governance structures and accountable offices departments.

The credibility of monitoring findings and assessments depends to a large extent on the manner in which the activity is conducted. The mechanisms to be used for monitoring the project should be indicated in the Project Document, including the key monitoring indicators. Ideally, monitoring indicators should reflect the sub-programme results framework and its anticipated outcomes.

The monitoring plan is usually prepared in consultation with project partners. The monitoring plan should prescribe a reporting period and unit of reporting that is consistent with the project structure, capture the periodicity of events, and provide information that is useful to project teams, units, constituents, donors and other project stakeholders. The plan should also include communication and reporting plans.

The monitoring plan should set out a schema for data collection and analysis/ reflection. This should include: (a) the indicators; (b) the source of data, frequency of collection and responsibility for collection and analysis/reflection; and (c) the report format (unit, level of aggregation, periodicity), and the individual(s) responsible for updating/using it. The following elements should be included in the monitoring plan:

**Table 17: Core elements of a monitoring plan**

Project results structure	Indicators (WHAT?)	Data source			Report use	
		Frequency of collection (WHEN?)	Method of collection (HOW?)	Responsibility for collection & analysis (WHO?)	Format for reporting (AS WHAT?)	Responsibility for use (FOR WHOM?)
<i>Impact</i>	Specified in evaluation plan					
<i>Expected accomplishment</i>		Annual				
<i>Outcomes</i>						
<i>Outputs</i>		Quarterly				
<i>Activities</i>		Monthly				
<i>Inputs</i>		Monthly				

- **What? Progress indicators, definition and targets:** *Indicators* define how performance will be measured along a scale or dimension, while the targets identify the planned level of results to be achieved within a given timeframe.
- **When? Frequency and schedule for data collection:** Depending on the level (outputs, activities, inputs) it may make sense to collect data monthly, quarterly, semi-annually, annually or less frequently. There is no general rule on how often data should be collected.
- **How? Means of verification and data source:** The approach or method of data collection for each indicator; it should specify whether it consists of primary data collection (collected directly through feedback or surveys from project beneficiaries), or secondary data collection (from existing sources such as national statistics or reports). The former is both more specific and costlier than the latter.
- **Who? Responsibilities for acquiring data:** Responsibilities should be clearly assigned to a particular individual, team or office.
- **As what? Data analysis plans:** It is advisable to plan in advance not only for the collection of data, but also for data analysis, reporting and use, and to identify analysis techniques and the data presentation formats to be used.
- **For whom? Reporting and information plans:** *Constituents* and other project stakeholders should be kept informed on progress. Reporting requirements (donor reporting, review meetings, governance structures, ECA management) should be taken into account in the monitoring plan.

## Monitoring mechanisms

- **Routine tracking of activities and outputs** – using templates for standardized data entry
- **Periodic internal reviews** – e.g., semi-annual and annual programme and project reviews with key questions to be discussed about progress on outputs and outcomes, unintended outcomes, occurrence of expected assumptions and risks, or emergence of new risks. These reviews can include project team, partners, steering committee, and programme representative
- **After action reviews** – e.g., after a major event or intervention activity, asking what was expected, what actually occurred, what lessons and recommendations for the future. Participants can be the same as with periodic reviews, or limited to those involved directly with the event or activity
- **Missions/Field visits:** This is another tool that can be used to monitor progress and to collect information on a project's progress. Such visits are usually carried out by ECA staff, or by donor government representatives. Such missions should have been planned in the work plan and included in the budget at the design stage. Mission reports form part of the information used to prepare the progress reports,
- **Budget monitoring:** Project managers should keep their own records on the use of the project budget, monitoring encumbrances (obligations) against allocations. The budget can be monitored by the Programme and Project Managers through Umoja.

## Key monitoring questions

There are several key questions Project Managers should ask when monitoring project processes:

- *Is the project on schedule?* – The concern here is about meeting the requirements of the project specifications. If there are variations to the project's schedule, then decisions are required on whether, and how, to deal with these variations.
- *Does progress with project implementation correspond to expected financial expenditure?* There should be a strong monitoring link made between technical progress and financial expenditure.
- *Is the project working as well as it could work?* – This can be unpacked into questions such as: 'Is the project team functioning effectively? What shows it?' 'Are the project's processes/systems for reporting, allocating work, communication, and budget monitoring performing reliably and efficiently?' what shows it? Such questions should be considered at each project team meeting and in project reports. The questions should not simply be asked; they should also be answered, and of course the answers should be acted on.

For monitoring outputs, there are three additional questions:

- *Are the outputs being produced on schedule?* - This is a question about the extent to which contractual requirements are being met. In case the answer is 'Yes with exceptions', a judgment is required as to what remedial action is required.
- *Are the outputs as good as they could (reasonably) be; and if not, in what respects could they be better?* - The aim of this question is not to induce gloom in the team, but to learn for future work within the project or for future projects.
- *Is the project on track to achieve the outcomes?* The team should review if project activities essential to promote achievement of outcomes are on track. This will require the Project Manager / partners and stakeholders to periodically review the logic of the project design. Have any new 'pathways' that may lead to the desired results emerged? Are the risks and assumptions still valid?

## Reporting

The reporting function translates project monitoring into a useful tool. Good reporting fosters two-way communication with different audiences. The reports should be meaningful, concise and issue-focused, targeted to the audience and interesting to read. It is useful to present planned and actual results together, with an analysis explaining any deviation, and record the action proposed (see Table 18 below). Note that regular reporting on the progress of the project should be done according to the clauses laid down in the pertinent Agreements.

**Table 18: Monitoring report format**

Reference period:	Indicator(s)	Targets (plan)	Achievements (actual)	Analysis (reasons for difference)	Target (for next period)
<i>Development objective</i>	Leave for evaluation plan				
<i>Impact</i>		Desired changes	Actual changes		
<i>Expected accomplishment/ Outcomes</i>		Planned targets	Actual achievements		Revised targets for period
<i>Outputs</i>		Planned schedule/ deadlines	Actual progress		New schedule
<i>Activities</i>		Budget	Expenditure		Revised budget
<i>Inputs</i>					
<i>Action proposed</i>					

Donor reporting obligations are specified in the signed agreement. Timely and good quality reporting is a contractual obligation; it is also essential for good relations with donors and facilitating future funding. Donor reporting includes technical progress reports, certified financial statements, and evaluation reports.

**Table 19: Summary of ECA reporting requirements**

Type	Frequency	Format	Preparation by	Cleared by	Submit to
Programme Performance report (IMDIS)	Six-monthly (end of June & end of Dec);	Electronic, using template	Project Manager	Division Director	HQ through IMDIS
ES report to COM	Annually by 15 January	Electronic, using template	SPOQD/PPBS	Director SPOQD	Member States
Programme/Project performance (XB, DA & RTPC)	Six-monthly (end of June & end of Dec);	Electronic, using template	Project Manager	Division Director	Funding Partners, DESA & HQ
Mission/Field Visit Reports	Whenever a mission talks place	Electronic, using template	Person or team who goes on mission	PM, project team & Division director	Umoja

<b>Expenditure Report</b>	Six-monthly (End of June & end of Dec);	Electronic, using template	<b>Trust funds &amp; finance</b>	Project Manager & SPOOD	Funding Partners, DESA & HQ
<b>Inventory of NEE (items over USD 1,500)</b>	Annually by 31 Jan & within 60 days of project completion	Electronic attached to progress report	<b>Project manager</b>	Division Director	HQ
<b>Final Programme/ Project Report</b>	Within 40 days from project completion	Electronic, using template	<b>Project Manager/ implementing partners</b>	Division Director	Funding Partners, DESA & HQ
<b>Final Certified Financial Statements</b>	Within 60 days from project completion	Electronic, using template	<b>Project Manager &amp; implementing partners</b>	Director then SPOOD	Funding Partners, DESA & HQ
<b>Mid-Term Review (MTR) / Mid Term Evaluation (MTE) Reports</b>	Just before mid-point of project implementation	Electronic, using template	<b>Commissioned EvalS (MTE)</b>	PM, Division director, SPOOD/EvalS	Funding Partners, DESA
<b>Terminal Evaluation Report<sup>51</sup></b>	After project completion & before the project closure	Electronic, using template	<b>EvalS</b>	PM, Division director, SPOOD/EvalS	Funding Partners, DESA

## Managing Project Information

Managing records on a project is an essential activity that ensures availability of the detailed and timely records of a project from start to finish. Project records are crucial in getting things done in effective way and unravelling challenges that project teams may face when making the information accessible to partners and other users. Poorly managed project records will lead to difficulties for program managers to focus on the most relevant information contained in project documents and unclog bottlenecks and update stakeholders, leading to failure to account to stakeholders and donors because of inaccurate, incomplete or non-existent information. Project documents include (but are not limited to) business case documents, feasibility and research study reports, contracts such LoA, MoUs etc., work plans, budgets and financial reports, minutes of meetings, progress reports, personnel records, project risk analyses and relevant management actions, project revisions, challenges and lessons learned. It also includes communications - with the project team, other ECA staff, partners, stakeholders and consultants.

The procedures to manage project documents are guided by the overall Archives and Records Management (ARM) framework for the Commission which includes policy, procedures, standards, and retention schedules and tools. The framework acknowledges that records management follow life cycle and continuum models from when they are created or received, through to their use, maintenance and temporary storage before finally being destroyed or archived permanently. As part of the ARM programme, an electronic document and records management system has been implemented to ensure that all records are captured, managed, preserved and made accessible. The system provides functionality and workflows that ensure ease of the indicated operations as well as streamlining and centralising the distributed records generating activities across the house. It is the responsibility of the Project Manager to ensure that records generated at each stage of the project are properly captured, maintained and updated to reflect the ongoing project activities and procedures. This is critical in preparing for analysis/ reflection, lessons learned, and helping teams capture and retrieve necessary information to be shared with partners and/or the public. Training, reference tools such as “how to” videos, and documents will be provided through PIKMD and the P/PM e-platform to the relevant officers handling records to ensure that they are well equipped to manage the records and other information emanating from the programmes and projects.

<sup>51</sup> Management is required to provide a management response to evaluation recommendations.

# Managing revisions

## Project revisions

Change is always a factor in the project management environment. Taking early corrective action is a key objective of monitoring project implementation, and a major responsibility of programme and project management. Understanding the causes of discrepancies is critical to successful corrective action. Project managers are responsible for continually assessing the project's business justification and making adjustments to achieve the intended results. Regularly revising and updating the project documents is important for accountability, transparency and effective communication.

Discrepancies and shortfalls may be due to problems or conditions within the project's control, such as project organization, administrative systems and personnel changes (project managers), or shortages or delays in the provision of inputs. The Project Manager can remedy such problems by instructing personnel to take action, or by making minor modifications to the work plan. Meanwhile, disappointing results, delays or cost overruns may also be due to situations outside the control of the project, such as political disturbances, natural disasters, etc. External factors and trends should be monitored as part of tracking project assumptions and risks.

Project managers, in consultation with the programme managers, have to take the lead in the revision process, while working closely with PMOs. While some routine revisions should be handled between project managers, supervisors or the Division Directors, revisions beyond the division Directors' delegated authority should be reviewed and cleared at the corporate level. In the case of ECA projects, thresholds related to project outcomes, duration, and budget determine whether review and approval is required from DESA, ACABM or the PPRC/QRC.

Here following are the important steps in the revision process.

- Step 1.** For all types of project revisions<sup>52</sup>, the Project Managers must prepare the required documents in consultation with the responsible PMO and relevant sub-programmes;
- Step 2.** The Project Manager must secure clearance for Project Revisions from his/her Supervisor (programme manager);
- Step 3.** Project Managers should then submit the completed revision request template and associated documents<sup>53</sup> to the sub-programme Director with;
- Step 4.** When the Revision requires DESA/funding partner approval, SPOQD will consult DESA/the concerned funding partners, to seek their views and suggestions depending on the type of revisions. DESA/the funding partner will provide comments to the proposed project revision, which the Project Manager needs to take seriously into account. Whenever the latter fails to happen, the Sub-Programme Director will suspend the project until action is taken. If this situation persists, the SPOQD will not authorize expenditure for DA, and the Sub-Programme Director will not authorize expenditure for XB projects in the financial system (Umoja). In the case of RPTC projects, the CDD director must authorize any project revision before expenditure is incurred.
- Step 5.** Upon approval, the Project Managers, with help of the responsible PMOs, should update the relevant information in the IMDIS, Umoja and Project filing system. (See Annex 4.6)

## Project Extensions

Projects should aim to deliver their results in line with the originally designed and approved work-plans. The Project Manager is responsible for monitoring the delivery of a project against its work-plan, and anticipating and mitigating problems as they arise so as to minimize the need for project extensions. Such extensions increase the transaction costs of ECA (and partners), result in poor performance ratings, and overhead income loss in the case of XB projects.

<sup>52</sup> A revision for a specific project should not be requested more than 2-3 times in a year.

<sup>53</sup> Revisions will be cleared by SPOQD. Note, however, that it will take 3-5 days for SPOQD to review and clear revisions if complete information is provided. If the submission is incomplete, it may take up to 2 weeks to clear.

Project extensions may be requested due to external risks (e.g., force majeure) or delivery problems. Requests for extension can be granted but should be treated as exceptional. The project manager should regularly be reporting and reviewing progress with the programme manager. The programme manager will have the ultimate responsibility to provide justification for extension to SPOQD and the donor. No-cost extensions requests should be submitted in time to enable ECA and the donor to process them before the end of the project, which means at least three months before the expected end.

# Phase 6 Lessons learned

## 6.1 Project Completion and Close out

All projects are designed with a definite end and must be formally closed. It is the responsibility of Project Manager to complete the project according to the schedule. Project completion and closure are determined by the dates indicated in the original agreement signed with the donor, or in subsequent approved project extensions. A project may be brought to premature closure if the project is no longer viable, or the business case of the project is no longer valid. Regardless of the reason for closure, the Project Manager is accountable for finalizing all administrative procedures for project completion and closure, and should work with the PMO to complete the necessary final project revisions and ensure compliance with UN Financial Rules and Regulations.

The timely ending of activities and closure of projects require the key managerial roles of the programme manager (Division Director), Project Manager and PMO together with well-coordinated action by all support units concerned. It is of utmost importance to plan the end of activities and financial transactions of the project in line with the established end dates of the proposal and donor agreement, in order to maintain good working relationships with donors. The project manager and programme manager (Division Director) should be fully aware of the provisions of the agreement, as they are responsible for complying with them.

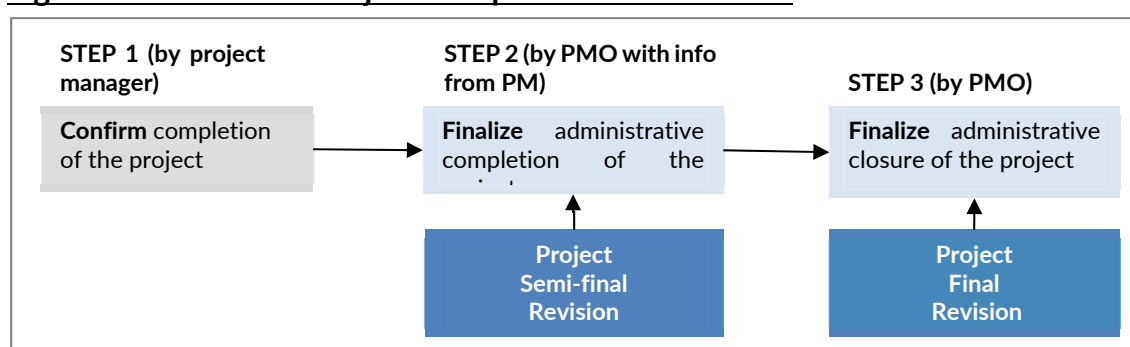
### Operational and Financial closure, by funding source:

#### ***XB funded projects***

At the end of an XB/DA/RPTC-funded project, ECA is required to submit a final financial report detailing project expenditures and a final substantive report of the results achieved, especially at outcome level. Donors are increasingly interested in the value for money, or the social returns on investment. These final project reports are often requested within 90 days after the end of the project. The preparation of the final (terminal) report of the project is the direct responsibility of the respective project managers.

A project is considered completed when all planned activities and outputs listed in the project document have been delivered. If the project is implemented by partners, the partners should submit the final narrative and certified financial statement- as specified in the signed partnership agreement - to the Project Manager when they complete the delivery of planned activities and/or outputs and/or the project reaches its end date. The documents should be prepared in accordance with the terms of conditions of the relevant partner agreement and project document.

**Figure 18: Process of Project Completion and Closure<sup>54</sup>**



<sup>54</sup> For step 2 & 3, See Annex Section 4 for budget and revision templates



A project will be operationally closed when all the planned project activities have been completed; and financially closed when all payments have been made and outstanding obligations on the project fully liquidated. A project is deemed to be operationally and financially closed when the above two conditions have been met, and the mandatory final financial and final narrative technical reports transmitted to the partner/donor.

### ***Development Account/DA funded projects***

In principle, DESA requires closure of DA funded projects automatically as per the date in the approved project document (usually 31<sup>st</sup> December). Except in very rare cases, no more activities or expenditures are allowed after this date, and no extensions. This date is also when the Project manager (and the accountable Division Director) are expected to submit a final project report that includes a financial statement (See template for final DA project report in Annex Section 11). If there are any unspent funds, they sent to UN DESA/CDO where all such funds from the different projects and implementing UN entities are bundled into a residual balance that is used to create a new tranche for another round of projects.

Approximately three months after closure, DA projects are required to have an independent, external evaluation, i.e., about March or April. This exercise is supported by SPOQD/EvalS, and usually lasts for 1-2 months, depending on the size of the project. The costs of the evaluation should have been included in the project budget (minimum is 2% of the total budget of the project), and the money allocated before the 31 December closure of accounts. Therefore, good planning is needed by the project to prepare for the evaluation. The evaluation report is first reviewed and cleared internally by ECA, and then sent to DESA/CDO.

### ***RPTC funded projects***

The closure of an RPTC project entails the following:

- The first step is to review the closure checklist in order to ensure that project closure is completed smoothly and efficiently
- The next step is to handle over the deliverables to the Stakeholder (Member States, pan-African institutions etc.). This is also an opportunity to inform all stakeholders of the closure of the project, passing all the documentation to the archiving system, closing contractual services (consultancy, other service providers, etc.).
- Shortly after the project has been closed there is a Post Implementation Review. This review allows to identify the level of success of the project and list any lessons learned for future projects.

### ***Closure involving partners***

#### **Lack of or delay of reporting**

If a partner fails to comply with any project closure requirements such as delivery of the Final Report and/or Final Audited Statement of Account within two weeks from the project completion date, the Project Managers should send follow-up reminders to the partner on monthly basis for a period of one year and keep the PMO informed. Such reminders should constitute written evidence (e.g., emails and letters) showing that all possible steps have been taken to obtain such reports (e.g., escalating the issue to supervisor or senior managers). In special circumstances, and subject to the approval of Division Directors, this may impede future partnership agreements with the organization which failed to submit reports. If necessary, a request for write-off can be submitted to close the project as described above.

#### **Write-off process/Call for audit**

ECA may write-off a receivable amount when it has transferred funds to a partner and the partner is unable to account for the funds. Before requesting for a "write-off", the programme manager should create an audit trail testifying of its due diligence in trying to either make the partner comply with the contract terms, or alternatively recover the cash advanced and not reported for. The audit trail should be made of, at least, a written reminder every 3 months, over a period of 18 months, of the partner's obligations, stating ECA's expectations vis-à-vis the partner. The wording as well as the seniority of

the signatory of the reminder should escalate gradually to reach at the last stage the blacklisting of the partner signed by programme manager/Division/SRO Director.

The write-off is governed by the regulation 6.4, Rule 106.8 and 106.9 of the UN Financial Rules and Regulations which states that the “Secretary-General may, after full investigation, authorize the writing-off of losses of cash, stores and other assets, provided that a statement of all such amounts written off shall be submitted to the Board of Auditors with the accounts.” In case it instead appears that the cash advanced has been misappropriated, the audit trail will serve as supporting document to request for audit as per the signed IP agreement and per UN audit rules and regulations

The ECA programme manager also initiates action with respect to the following matters:

- **Contracts for project personnel:** This entails coordinating with HR (for international experts) and the respective SROs and the project manager (for national personnel).
- **Disposal of equipment and other assets:** The final destination of equipment, furniture and other assets is often stipulated in the agreement, or can be agreed and negotiated between ECA, the donor, and the national counterpart prior to the end of the project. As a general rule, project equipment purchased with project funds is transferred to the project beneficiary at the conclusion of the project.

Any encumbrances and expenditure initiated after the project end dates will be the liability of the programme manager.

## 6.2 Quality assurance

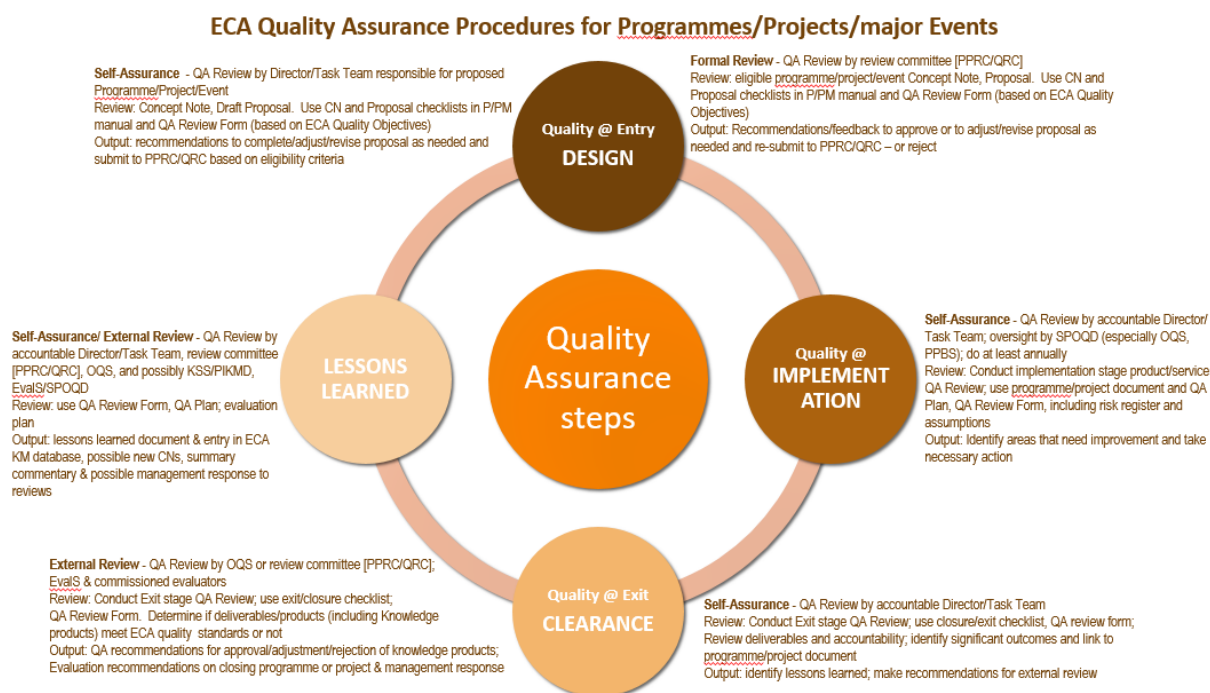
### Quality assurance of ECA programmes/projects/events

The quality assurance (QA) approach for ECA initiatives (programmes/projects/events) is outlined in the figure on the next page. It summarizes the main roles and responsibilities of the responsible organizational Divisions during self-assurance and of OQS and/or quality assurance panels during external reviews. The ECA Quality Assurance process outlined in the figure links very well with the phases of P/PM. Phases 1-4 of P/PM will be addressed by QA “quality at entry”, P/PM Phase 5 by QA “implementation”, and P/PM Phase 6 by the QA “quality at exit” and “lessons learned” components. QA guidance documents will be available from the Operational Quality Section (OQS) in SPOQD and on the P/PM e-platform.

Quality Assurance at ECA is organized into two Tracks. Under Track 1, the Divisions, SROs and IDEP will set quality goals for initiatives under their responsibility, with an associated quality assurance plan to be monitored over the lifecycle of the products and services. Under Track 2, OQS and/or quality assurance Panels will undertake quality assurance reviews of the products and services. For strategic products and services, quality assurance panels (QAPs) will undertake the reviews. The quality review process will include reviews of programmes and major projects/events by the Project/Programme Review Committee/Quality Review Committee, which serves as a Panel under the ECA quality assurance function. In each of the QA reviews, the following key issues will be assessed<sup>55</sup>:

- *To what extent does the initiative (programme/project/event) comply with ECA quality objectives?*
- *To what extent does the initiative comply with provisions of its concept note or guidelines for its production or delivery?*
- *Are the quality goals and plans set by Divisions, SROs and IDEP based on the quality objectives?*
- *Are lessons learned in previous programming cycles reflected in the current one?*
- *Are the Quality Assurance guidelines and policies being followed? If not, why?*
- *Have quality goals and plans set by Divisions, SROs and IDEP been met?*

<sup>55</sup> For more details, see Annex Section 14

**Figure 19: ECA quality assurance process for ECA initiatives**

## 6.3 Evaluation

Evaluation is integral to ECA's programme and project management. Evaluative thinking throughout the P/PM cycle enables ECA to improve programme management and performance, and to provide substantive accountability to ECA's member States, HQ and funding partners. ECA subscribes to UNEG's definition of evaluation (see Box 10 below), but also makes provisions for unintended outcomes. These may be positive or negative, but are often overlooked, especially in monitoring and evaluation that focuses only on quantifying desired results.

Evaluation addresses what works and why, as well as what does not work. Evaluations are a key element of RBM and pose three fundamental questions:

- Are we doing the right thing?
- Are we doing it right?
- Are there better ways of achieving the expected/desired results?

Evaluations provide the basis for assessing the outcome/impact, relevance, effectiveness, efficiency, and sustainability of ECA programmes and projects, as well as ECA's contributions in the areas of gender, human rights, and policy influence.

As such, evaluations of programmes and projects in ECA seek first and foremost to:

- enable programme managers to demonstrate and measure performance (during programme and project design, planning and implementation, e.g., with evaluative reviews and mid-term evaluations);
- identify where improvements can be made to design or delivery methods;
- identify good practices and lessons for the future;
- assess the impact of ECA activities on Africa's transformational agenda at national, sub-regional

### **Box 10: ECA's definition of EVALUATION, per UNEG**

*"(Evaluation is) ...an assessment, as systematic and impartial as possible, of an activity, project, programme, strategy, policy, topic, theme, sector, operational area, institutional performance, etc. It focuses on expected and achieved accomplishments, examining the results chain, processes, contextual factors and causality, in order to understand achievements or the lack thereof. It aims at determining the relevance, impact, effectiveness, efficiency and sustainability of the interventions and contributions of the organizations of the United Nations system. An evaluation should provide evidence-based information that is credible, reliable and useful, enabling the timely incorporation of findings, recommendations and lessons into the decision-making processes of the organizations of the United Nations system and its members".*

and regional levels (e.g., at the end of a programme phase or a project cycle, or ex post at some time after completion);

- provide disclosure as a means of achieving accountability and transparency in the way ECA implements its programme activities and uses its resources.

In ECA, evaluations are divided into two broad categories: external and internal. This distinction is based on who conducts the evaluation. External evaluations ensure impartiality and assess the value of programmes based on the extent to which they have discharged their objectives and contributed to higher-level outcomes and impacts. The term 'external evaluation' should be used strictly for evaluations that are managed and conducted by independent entities, such as OIOS or the Joint Inspection Unit (JIU), which have no stake in ECA. Internal evaluations are performed within ECA and can be managed or conducted by ECA staff. Divisions, SROs and IDEP are responsible for undertaking programme self-assessment at 18 and 24 month intervals of any given biennium.

The SPOQD Evaluation Section (EvalS) provides support and technical assistance in the form of guidance, tools and quality checks of programme self-assessments, including the ECA Evaluation Policy. These guidance documents will also be posted on the P/PM e-platform.

**Table 20: Evaluation coordination and management - roles and responsibilities**

Type of evaluations	Scope of evaluation	Division, SROs & IDEP responsibility	SPOQD responsibility
Mandatory external evaluation	<ul style="list-style-type: none"> <li>• Requested by member States or other stakeholders; undertaken by independent UN oversight bodies, such as OIOS or JIU.</li> <li>• Evaluations are broad in scope &amp; commonly analyse strengths &amp; weaknesses &amp; make recommendations for improving effectiveness, efficiency, sustainability, impact &amp; relevance.</li> </ul>	<ul style="list-style-type: none"> <li>• Provide external evaluators with relevant information, data, input to inception report, data, repository of clients, stakeholders, partners</li> <li>• Provide input to corporate management response</li> </ul>	<ul style="list-style-type: none"> <li>• EvalS prepares formal management response &amp; includes in published evaluation report</li> <li>• EvalS monitors follow-up actions stemming from evaluation &amp; its management response.</li> </ul>
Mandatory self-assessment (Self-evaluations)	<ul style="list-style-type: none"> <li>• Mandatory assessments performed once every two years. Required for all UN Secretariat programmes &amp; framed by the Programme Budget result framework.</li> <li>• Reported through biennial Programme Performance Report.</li> <li>• Self-evaluations measure extent of achieving expected accomplishments, using achievement indicators &amp; methodology/ means of verification as defined in the PPB.</li> </ul>	<ul style="list-style-type: none"> <li>• Divisions, SROs &amp; IDEP are responsible for carrying out programme self-assessment at 18 &amp; 24-month intervals of any given biennium.</li> </ul>	<ul style="list-style-type: none"> <li>• Provide support &amp; technical assistance as guidance, tools for programme self-assessments.</li> <li>• Provide guidance in selection of data, collection methodology, evaluation approach, means of verification, self-evaluation criteria etc.</li> </ul>
Discretionary internal evaluations	<ul style="list-style-type: none"> <li>• Internal evaluations managed per criteria in ECA evaluation policy: useful to test theories of change, identify unintended outcomes, &amp; assess cross-cutting issues; focus on relevance, efficiency, effectiveness, impact &amp; sustainability of programmes &amp; business strategies; serve primary purpose of organizational learning.</li> <li>• Types of evaluation: Strategic, thematic, sub-programme evaluations (including those of ECA Policy Centres, Project evaluations (including DA projects), Evaluation of organizational performance &amp; other evaluations;</li> </ul>	<ul style="list-style-type: none"> <li>• Based on programme performance reports of previous biennia, provide input to ECA evaluation plans</li> <li>• Ensure required budget is secured in preparing programme budgets &amp; XB funding</li> <li>• Provide external evaluators with relevant info, data, &amp; input to inception report;</li> <li>• Ensure use of evaluation findings, recommendations &amp; lessons learned;</li> <li>• Use evaluations for performance improvement &amp; appraisals.</li> </ul>	<ul style="list-style-type: none"> <li>• EvalS is evaluation manager</li> <li>• External consultants contracted to ensure impartiality of process.</li> <li>• Coordinate &amp; manage evaluation processes</li> <li>• Alert SMT about significant process or outcome-related issues</li> <li>• Maintain public repository of evaluation resources to facilitate sharing ECA's evaluative knowledge of policy influence &amp; social change</li> </ul>
Other type of evaluations	<ul style="list-style-type: none"> <li>• Global evaluations managed by an external funding partner. This type of evaluation applies to XB-funded</li> </ul>	<ul style="list-style-type: none"> <li>• Provide external evaluators with relevant information, data, input to</li> </ul>	<ul style="list-style-type: none"> <li>• Coordinate ECA input to inception report, methodology,</li> </ul>

	programmes with ECA as one of the recipients of the project/programme alongside other implementing agencies.	inception report, data, repository of clients, stakeholders, partners	evaluation criteria <ul style="list-style-type: none"> <li>• EvalS prepares formal management response; includes in evaluation report</li> </ul>
After-action reviews	<ul style="list-style-type: none"> <li>• Corporate and programme-based after-action reviews based on feedback surveys</li> </ul>	<ul style="list-style-type: none"> <li>• Divisions, SROs &amp; IDEP for programme-based events</li> </ul>	<ul style="list-style-type: none"> <li>• SPOQD for corporate events, such as COM &amp; ADF</li> </ul>

# ANNEXES

[replace with ANNEXES document from here onward]