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IPA II (2014 - 2020)

Avrupa Birliği Bakanlığı
IPA II Teknik Destek Projesi

Ministry for EU Affairs
Technical Assistance for IPA II

"Advanced training on IPA II programming and selection"

Ankara, 25 November, 2016

Stéphanie Horel

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SESSION 1: PROJECT PREPARATION

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LEARNING OBJECTIVES

- *Understanding and applying methods and tools for project preparation:*
  - *Analysis: Logical Framework Approach*
  - *Design: Logical framework Matrix (LogFrame)*

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What is a project ?

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A series of activities aimed at bringing about clearly specified objectives with a defined time period and with a defined budget

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Project/Policy

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Project Results chain

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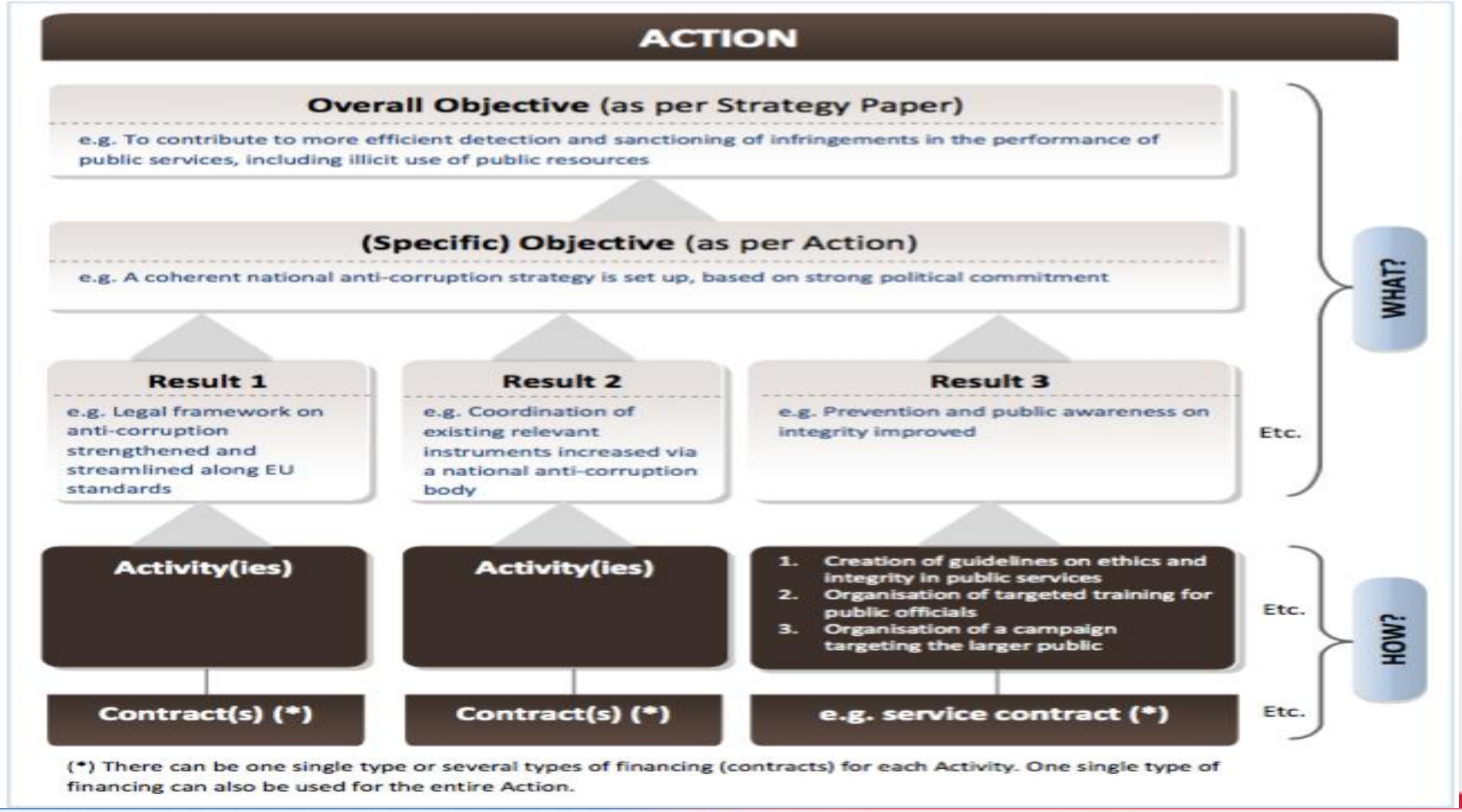

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The Logical Framework Approach

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Objective: Converting ideas and questions into a realistic and manageable actions

LOGICAL FRAMEWORK APPROACH

Key concepts that we will develop further:

FACILITATION
PARTICIPATION
ITERATIVE

CONTEXT SENSITIVITY

ASSUMPTIONS

REACH (who benefits? what do we control?what do we influence?)

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PREPARING PROJECTS: ANALYSIS

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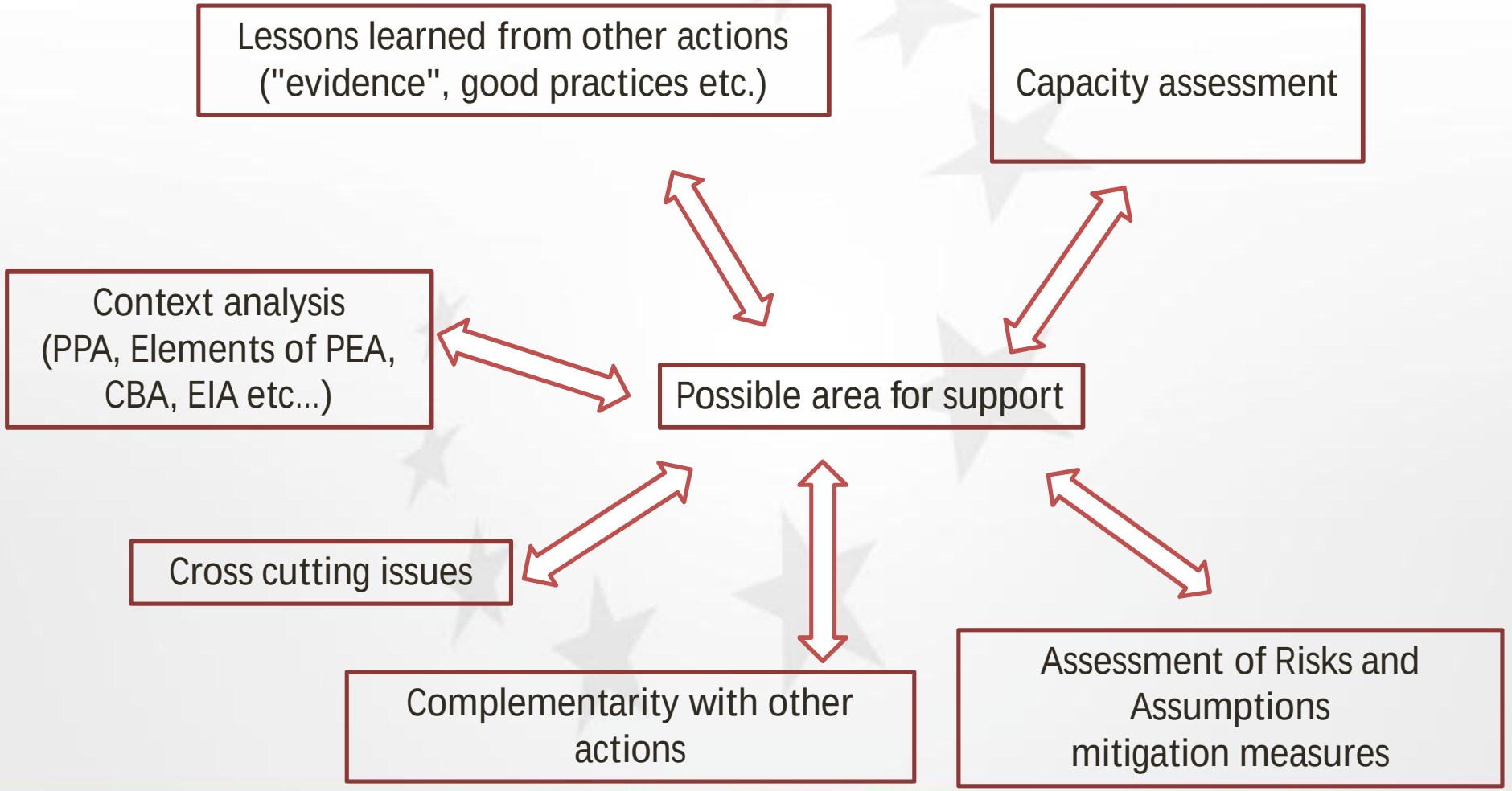

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PREPARING PROJECTS: ANALYSIS

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Partner's Strategy/programmes

Analysis of the context
- Public policy
- Stakeholders
- Elements of Political Economy

Priority areas for support/problem analysis

Gender
EIA
CBA

Lessons learned

Risks and assumptions

Coherence, complementarity, Added value, synergy, Donor coordination

INTERVENTION LOGIC (IL)
Outcomes? Why? Beneficiaries?
What has been done before?
How change might happen, over what period of time, based on what assumptions?
What are the risks?
How will we measure progress and evaluate achievements? What learning indicators do we need?

LOGICAL FRAMEWORK APPROACH

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PREPARING PROJECTS: ANALYSIS

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	Results chain	Indicators	Baseline (incl. reference year)	Current value Reference date	Targets (incl. reference year)	Sources and means of verification	Assumptions
Overall objective: Impact							
Specific objective(s): Outcome(s)							
Outputs							
Activities		*Means:* *Costs*					

The main output of the LFA is the logframe matrix which is used to present information about project impact, outcomes, outputs and activities in a systematic and logical way

LogFrame Matrix is used for planning an action, and for monitoring and results reporting

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PREPARING PROJECTS: ANALYSIS

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7 steps of the Logical framework approach

ANALYSIS PHASE

- **Stakeholder analysis** - identifying & characterising potential major stakeholders; assessing their capacity
- **Problem analysis** - identifying key problems, constraints & opportunities; determining cause & effect relationships
- **Objective analysis** - developing solutions from the identified problems; identifying means to end relationships
- **Strategy analysis** - identifying different strategies to achieve solutions; selecting most appropriate strategy.

PLANNING PHASE

- **Developing Logical Framework matrix** - defining project structure, testing its internal logic & risks, formulating measurable indicators of success
- **Activity scheduling** - determining the sequence and dependency of activities; estimating their duration, and assigning responsibility
- **Resource scheduling** - from the activity schedule, developing input schedules and a budget

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PREPARING PROJECTS: ANALYSIS

STAKEHOLDER ANALYSIS

A stakeholder is:

"any person, group or organisation who can affect…
and be affected by… an outcome or process"

- Primary Stakeholders : victims and sources of problems ; residents ; target group
- Secondary Stakeholders: donors; partners ; Local Authority
- Tertiary Stakeholders: commercial traders; service providers

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PREPARING PROJECTS: ANALYSIS

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STAKEHOLDER ANALYSIS

OBJECTIVES

To identify:

- The needs and interest of stakeholders
- The organizations, groups that should be encouraged to participate in different stages of the project
- Potential risks that could jeopardize the project
- Opportunities in implementing a project

STAKEHOLDER ANALYSIS

EXERCISE 1

- In the Public Administration Reform Sector, think of a potential intervention
- Make a list of all the stakeholders affected by the potential intervention
- Organise stakeholders in the following diagram

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PREPARING PROJECTS: ANALYSIS

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A POSSIBLE STAKEHOLDER MATRIX

Stakeholder and basic characteristics	Interests and how affected by the Problem(s)	Capacity and motivation to bring about change	Possible actions to address stakeholder interests

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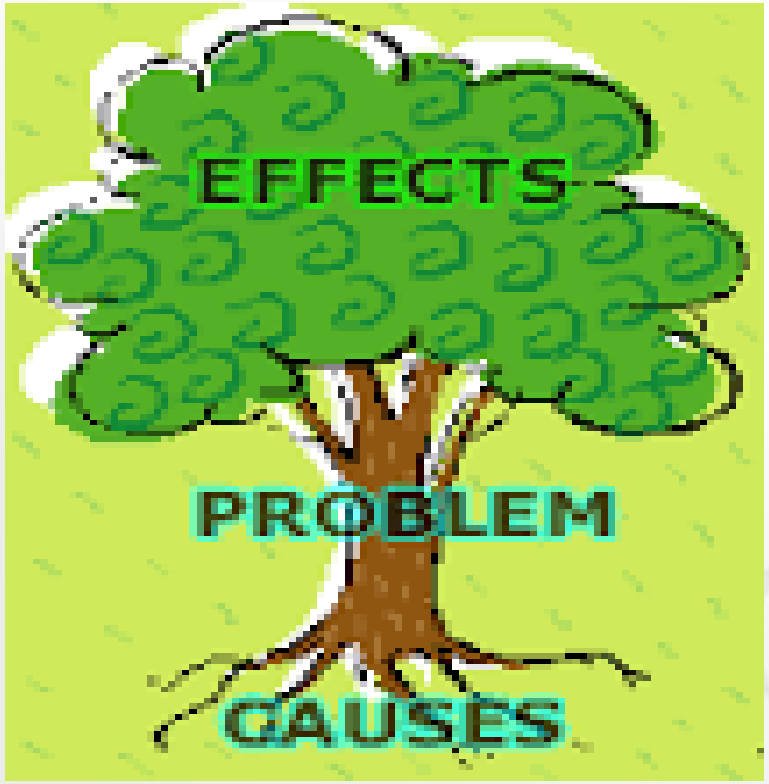
PREPARING PROJECTS: ANALYSIS

PROBLEMS ANALYSIS



PROBLEM TREE

Purpose: Identify major problems and their main causal relationships

Output: Problem tree with cause and effects

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PREPARING PROJECTS: ANALYSIS

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PROBLEM TREE

1. Identify the major problems that the project will address. State problems in negative manner.
2. Group problems by similarity of concerns.
3. Develop the problem tree:
   a) Select a focal problem from the list and relate other problems to the focal problem.
   b) If the problem is a cause of the focal problem it is placed below the focal problem
   c) If the problem is an effect of the focal problem is goes above

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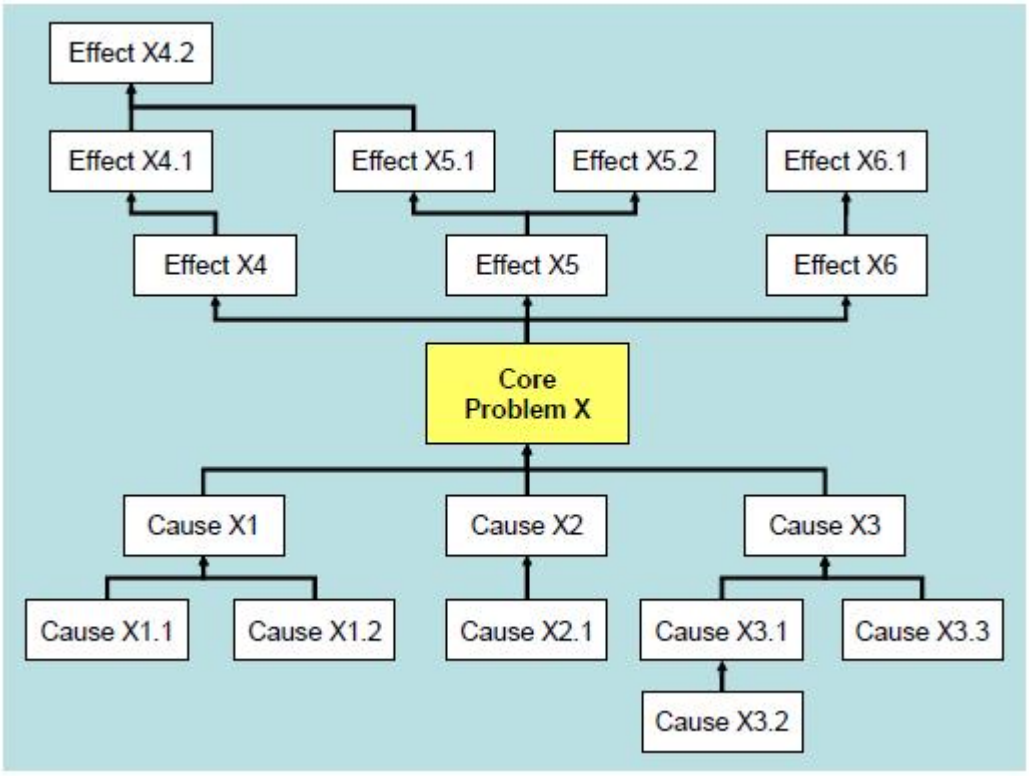
PREPARING PROJECTS: ANALYSIS

PROBLEM TREE



EFFECT

CAUSE

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PREPARING PROJECTS: ANALYSIS

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PROBLEM TREE EXAMPLE

EFFECT

Rice production is insufficient for the population of village x

The irrigation system is faulty

Agricultural practices are unsuitable

The system receives no maintenance

Support services for farmers are not available

Some irrigation structures have been destroyed

Farmers do not have investment capacity

CAUSE

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PREPARING PROJECTS: ANALYSIS

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OBJECTIVE TREE

- Transforming the problem tree into an objectives tree by restating the problems as objectives
- Problem statement converted into positive statements
- Top of the tree is the end that is desired
- Lower levels are the means to achieving the end

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PREPARING PROJECTS: ANALYSIS

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OBJECTIVE TREE

Problems	Objectives
Rice production is insufficient for the population of village x	Rice production is sufficient for the population of village x
The irrigation system is faulty	The irrigation system is working
Agricultural practices are unsuitable	Agricultural practices are appropriate
The system receives no maintenance	The system receives proper maintenance
Support services for farmers are not available	Support services for farmers are available
Some irrigation structures have been destroyed	Damaged irrigation structures are repaired
Farmers do not have investment capacity	Farmers have the resources to invest

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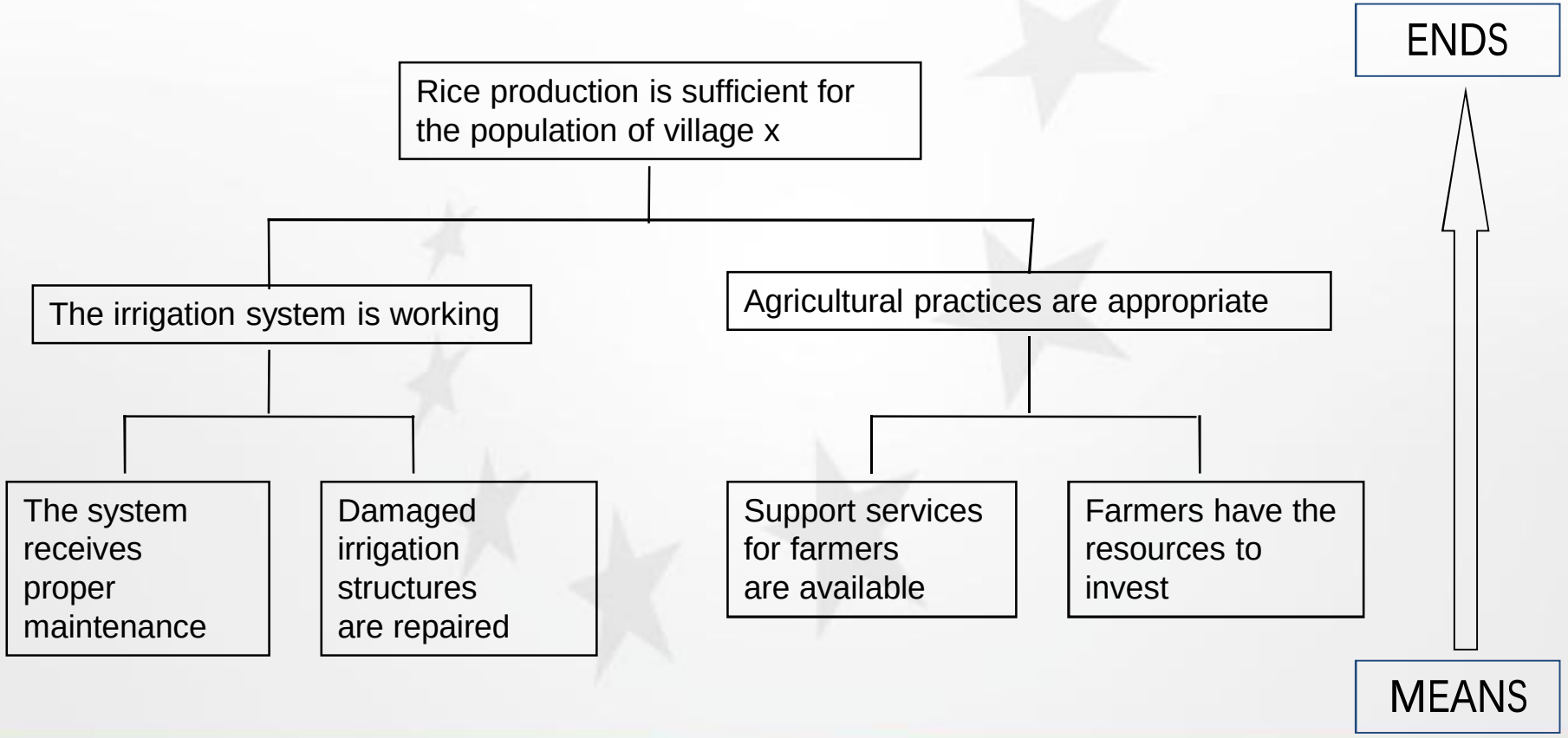
PREPARING PROJECTS: ANALYSIS

OBJECTIVE TREE



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PREPARING PROJECTS: ANALYSIS

STRATEGY ANALYSIS

OBJECTIVE: division of the objectives tree into more consistent smaller sub-units that would compose the core of a project

Each of the sub-units of the objective tree can represent an alternative strategy for the future project

The project objectives set the framework for the strategy of the project

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PREPARING PROJECTS: ANALYSIS

IPA II (2014 - 2020)

STRATEGY ANALYSIS

Some criteria for selection of the project strategy

- ü Key policy objectives, eg. poverty reduction
- ü Target groups, incl. women and men, young and old, disabled and able
- ü Costs/Financial allocation
- ü Financial and economic cost-benefit
- ü Contribution to institutional capacity building
- ü Technical feasibility
- ü Environmental impact

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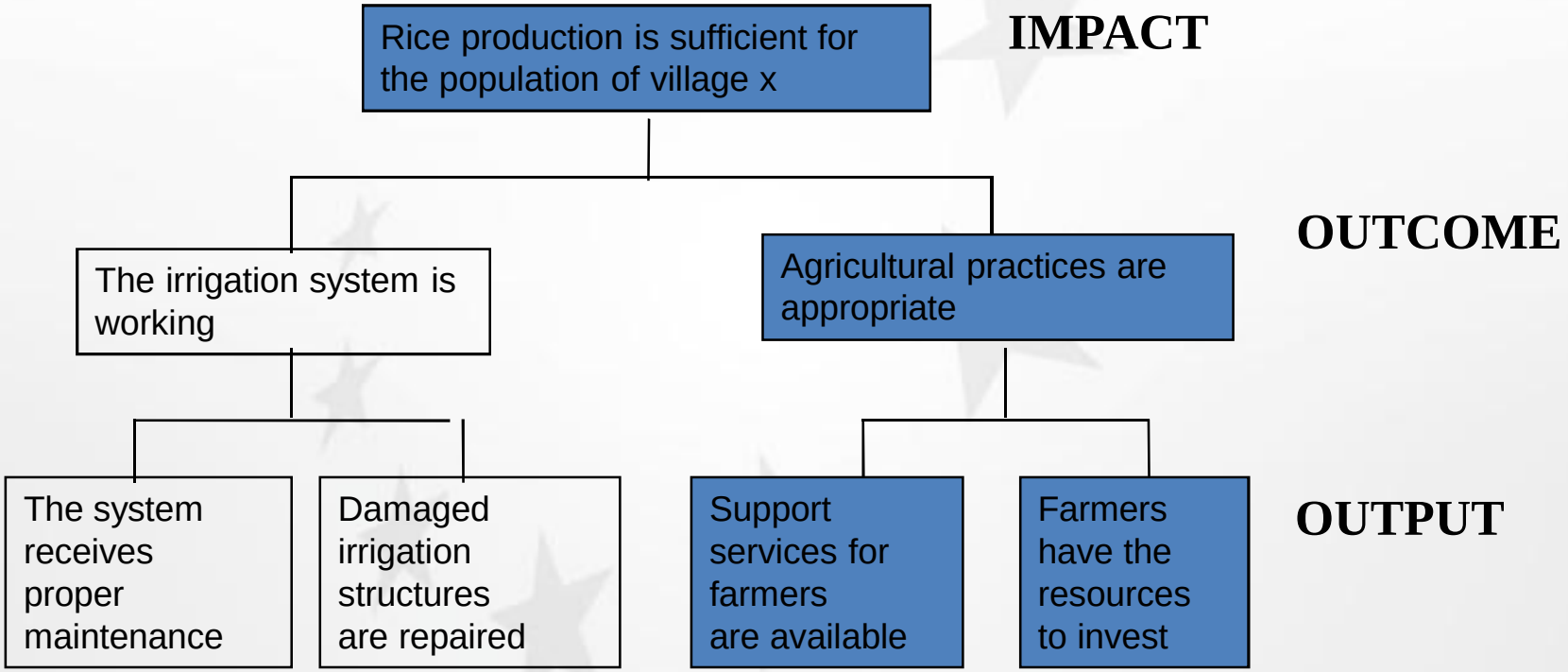
PREPARING PROJECTS: ANALYSIS

STRATEGY ANALYSIS



CHOSEN STRATEGY

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Example of a results chain

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Indirect influence

IMPACT

Rice production is sufficient for the population of village x

Direct influence

OUTCOME

Agricultural practices are appropriate

Direct control

OUTPUT

Support services for farmers are available

ACTIVITY

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DESIGNING PROJECTS: LOGFRAME MATRIX

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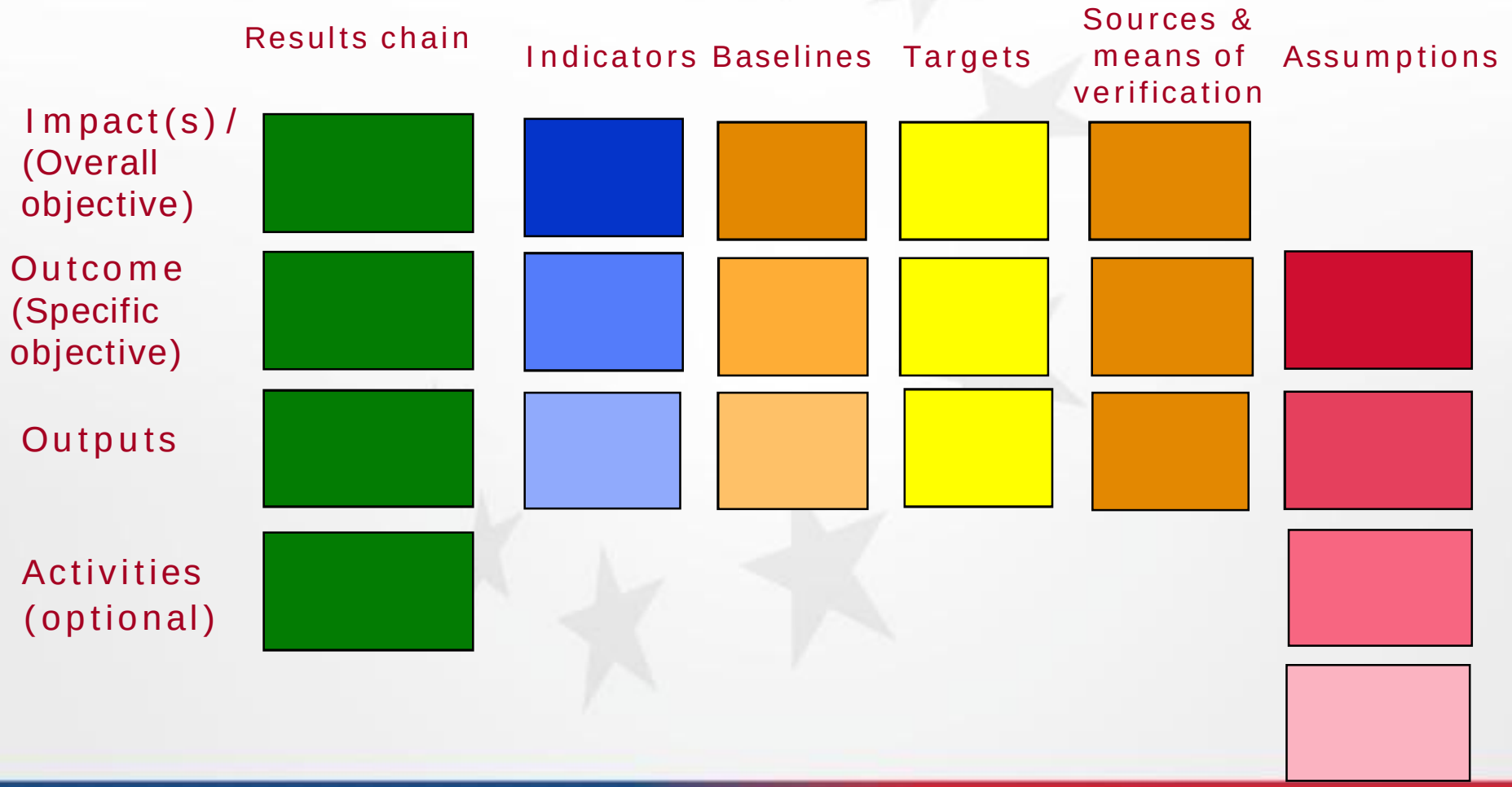

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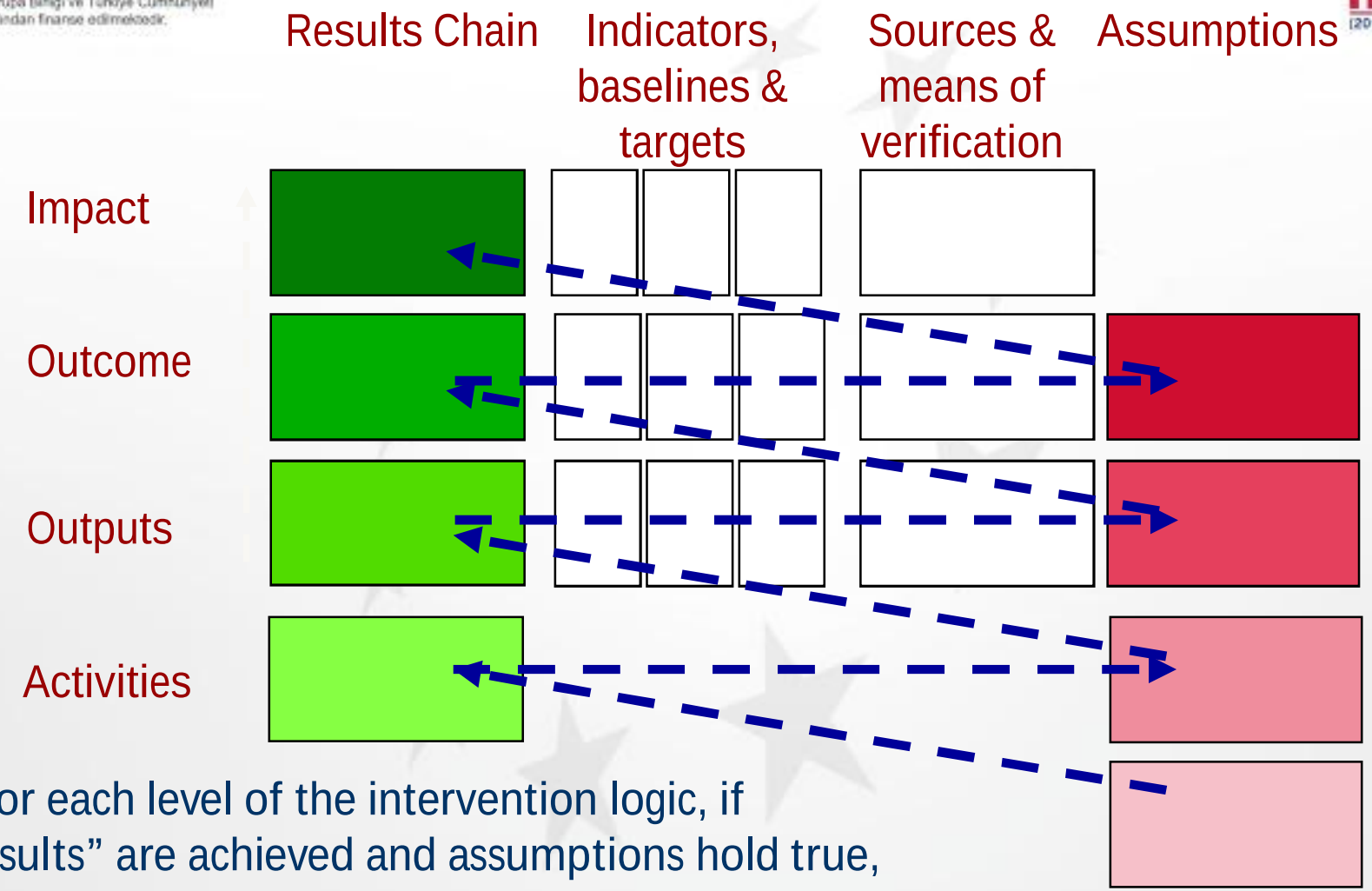
DESIGNING PROJECTS: LOGFRAME MATRIX



« For each level of the intervention logic, if "results" are achieved and assumptions hold true, then ... »

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TIPS FOR IMPROVING FORMULATION

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IMPACT: expressed by CONTRIBUTE TO

EG: Contribute to improve efficiency of the Public Administration

OUTCOME: expressed by IMPROVE/ENHANCE…

EX: *Strengthen the capacities of the Ministry of XYZ; support to the implementation of the new law on XYZ;*

Support to the creation of the XYZ Agency

OUTPUT: ACHIEVED/OBTAINED

EX:

Training Need Assesment is done

Civil servants are aware of the consequences of the new law

Staff is trained on the issue of….

ACTIVITY: Using an action verb:

EX: Development of questionnaires, Organisation of focus groups for the TNA, organisation of a training seminar, of a study visit…..

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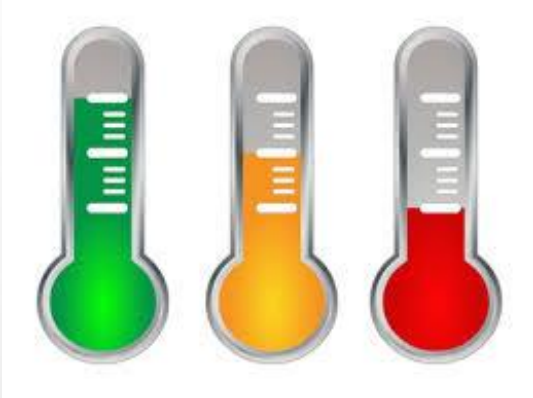
FILLING IN THE LOGFRAME MATRIX



Indicators

A description of the project´s objectives in terms of quantity, quality, target group(s), time and place (What/How much/Who/When/Where)

- Indicators are measures to verify to what extent the results are achieved
- Show how the achievement of an objective can be verified or demonstrated
- Provide a basis for Monitoring and Evaluation

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FILLING IN THE LOGFRAME MATRIX

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Indicators

Each indicator should be SMART :

- Specific: to the objective it is supposed to measure
- Measurable: Quantitatively or qualitatively
- Available: (acceptable, applicable, appropriate, attainable or agreed upon: stress the importance of common understanding and costs
- Relevant: to the information needs of managers
- Time-bound: to know when we can expect the objective/target to be achieved

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FILLING IN THE LOGFRAME MATRIX

Indicators	Specific	Measurable	Available	Relevant	Time Bound
1. Decrease of unemployed women					
2. Adoption of the new law on XYZ:::					
3. Percentage of pilot offices applying new working methods					

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FILLING IN THE LOGFRAME MATRIX

CREDIBILITY, ACCESSIBILITY, COSTS

Sources and means of verification

Tools or means to obtain the information required by the indicators
Include Project documents, reports, field verification, ad-hoc studies

In the LogFrame it should be specified:

-HOW the information is collected
-WHO is collecting/providing the information
-WHEN/HOW REGULARLY the information is collected

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FILLING IN THE LOGFRAME MATRIX

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- Describe necessary internal and external conditions in order to ensure that the activities will produce results
- Assumptions are risks, which can jeopardize the success of the project worded positively, i.e. they describe circumstances required to achieve certain objectives
- Should be relevant and probable, if an assumption is not important or almost certain or endogenous to the project : Do not include
- If an assumption is unlikely to occur: Killer assumption – abandon project

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FILLING IN THE LOGFRAME MATRIX

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RISKS

How/when do we start thinking about risks?

- Above all, from a sound knowledge of the context and stakeholders
- From the objective tree: objectives we expect to be achieved by other factors/parties than the project
- From the problem tree: problems we expect to remain at a bearable level
- From out of the trees: from risks related to new problems emerging in the future

FILLING IN THE LOGFRAME MATRIX

RISKS

LFM focusses on external risk factors.
However, internal risks are often factors of poor performance.

- § Identify them in order to anticipate them
- § Monitor them for sound management

LFM focusses on positives externalities.
However, negative externalities exist & need to be considered.

- § Use the intervention logic thinking process to identify them and plan accordingly
- § Include their analysis in the monitoring and evaluation system of the action

FILLING IN THE LOGFRAME MATRIX

RISKS MATRIX

LF ref.	Risks	Potential adverse impact	Risk level (H/M/L)	Risk management strategy	Responsibility
1	The Program Stream Coordination Unit (PSCU) and ASEAN Secretariat (ASEC) staff do not establish an effective working relationship	Delays in processing proposals through the committee endorsement system	M	Annual Managing Contractor/PSCU staff performance assessment by co-chairs of Joint Selection & Review Panel (JSRP) and appropriate remedial action taken by all parties	Delegation, ASEC and Contractor
1	Promotional activities do not generate an adequate number of quality proposals that meet selection criteria.	Under-commitment of funding and/or selection of relatively poor quality proposals for implementation	L	Widespread and intensive promotional activities using a variety of media and dissemination channels	Contractor
1	Regionality requirements are difficult to meet	Under-commitment of funding, or approval of proposals that could be better handled through bilateral programs	M	Activities only require one European and one ASEAN ***implementing*** partner, but will be open to participation by all member countries	JSRP at appraisal
1	There are not enough 'new' ideas, rather 'old' re-hashed proposals	Expected benefits of the RPS are not fully realised. Good new ideas may be left out of the RPS portfolio	M	Application guidelines and JSRP appraisal checklist emphasise preference for 'new' innovative ideas	JSRP
1.1	Contractor staff for the PSCU are not acceptable to ASEC	Delays in commencing implementation of the RPS	M	EC sends copies of short-listed bidders proposals to ASEC and invites ASEC to sit on selection panel	EC
1.1	Roles of PSCU and European based staff of the contractor are not clearly defined	Duplication of functions and confusion	M	Clear functional roles established during the preparatory stage, building on draft TOR presented in this design document	Contractor
1.2	EC and ASEC do not appoint appropriately qualified/skilled members to the JSRP	Inadequate appraisal of proposals and selection of 'weak' activities for implementation	L	EC and ASEC must commit adequate time/resources to the JSRP process. Stringent appointment process.	EC and ASEC

H= High, M=Medium, L=Low

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FILLING IN THE LOGFRAME MATRIX

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RISKS MANAGEMENT

- Use the intervention logic to Identify, Assess and Monitor risks
- Adopt mitigation measures as soon as you identify the need for them
- Prepare a risk management matrix that includes an assessment of the risk level and possible actions to take
- Include risk monitoring in the monitoring & evaluation system of your project/programme

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FROM THE LOGFRAME TO THE ACTIVITY SCHEDULE

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LOGFRAME

	Activities		

PLAN OF ACTIVITIES

Year	Year 1							By whom?
Month	1	2	3	4	5	6	etc.	
Activity 1								
Activity 2								
Activity 3								
Activity 4								

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FROM ACTIVITY SCHEDULE TO BUDGET

Year	Year 1							By whom?
Month	1	2	3	4	5	6	etc.	
Activity 1								
Activity 2								
Activity 3								
Activity 4								

Means:	Budget
Human resources	
Material/ Equipment	
Travel etc.	

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MOST COMMON MISTAKES IN DEVELOPING A LOGFRAME: MAKE SURE YOU…

- ü Have a coherence in the hierarchy between objectives and results
- ü Formulate objectives and results as if they were already achieved
- ü Define “SMART indicators” (no activity, no vague indicator like criteria)
- ü Do not transpose the activities as indicators of the results
- ü Do not define indicators next to the general objectives (they are irrelevant in most cases)
- ü Do not define sources of verification that are too expensive or impossible to get. In any case, if an expensive source of verification is mentioned, be sure to integrate it in the activities and within the budget
- ü Do not define hypothesis endogenous to the activities you should implement

The successful implementation of the LogFrame depends only on its users

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Thank you
Questions?

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SESSION 2: PROJECT SELECTION

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LEARNING OBJECTIVE

ü *Understanding and applying criteria for adequate project selection*

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- WHY SUCH A SELECTION PROCESS?
- WHAT SHOULD ENSURE THE PROCESS?

EACH SELECTION PROCESS IS SPECIAL

- Different programmes and instruments
- Grants/Tenders
- Open/Restricted; Single step/two step process

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BUT EACH PROCESS MUST ENSURE

- Quality of projects
- Transparency of the process
- Accountability
- Equal treatment
- Impartiality
- Efficiency of the process

EU FINANCIAL REGULATION	Main rules related to the EU Budget
FUNDING INSTRUMENTS + IMPLEMENTATION RULES	Each EU fund or instrument has its own legal basis (Regulation) setting the specific applicable rules eg: eligibility etc... IPA Regulations

PRAG

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Procurement And Grants for European Union external actions - A Practical Guide

Applicable as of 15 January 2016

PRAG – Main Principles

- *Fair competition (to avoid conflicts of interest – e.g., those who programme, manage or administer contract award procedures are excluded from bidding).*
- *Transparency & impartiality (must apply to all contract award procedures).*
- *Best value for money (most technically/economically advantageous offers to be selected).*

PRAG – Grants main rules

6.3.6 Equal Treatment

- Grant award process must be completely impartial.
- Selected by Evaluation Committee with advice of assessors using published eligibility & evaluation (selection & award) criteria.

PRAG – Grants main rules

- 6.3.7 Non-Cumulation

  - No single beneficiary may receive *more than 1 (EC funded) grant* for a given action.

  - *A beneficiary may be awarded only 1 (EC funded) operating grant* per financial year.

PRAG – Grants main rules

- 6.3.8 Non-Retroactivity

  - Only cover *costs incurred after* the date on which the grant contract is signed.

  - No grant may be awarded for actions *already completed.*

  - Expenditure *incurred before* grant application was lodged are not eligible for financing.

PRAG – Grants main rules

- 6.3.10 No-Profit rule

  - Grants may not have the purpose or effect of *producing a profit* for the beneficiary.

  - *Profit is defined as:*

  (a) a surplus of aggregate receipts over costs when request is made for final payment;

  (b) a surplus on the operating budget of a body in receipt of an operating grant.

Eligibility criteria

- of the applicant and its partners, this refers to the applicant's legal and administrative status
- of the action - types of activities, sectors or themes, geographical areas

Evaluation criteria: Evaluation grids

- Selection criteria - applicant's financial and operational capacity
- Award criteria - quality of proposals against the set objectives and priorities
  - Relevance and consistency
  - quality, expected impact and sustainability
  - cost-effectiveness

Operational capacity criteria

- Applicant must have stable and sufficient sources of funding to keep operating throughout the action implementation period and to participate, where appropriate, in its funding;

- Applicants must have the necessary experience, professional competencies and qualifications to complete the proposed action.

Assessments are made on the basis of the supporting documents submitted. Ex: External audit report, the profit and loss account and the balance sheet for the last financial year for which the accounts have been closed.

In case of doubts about the capacity of the applicants, the evaluation committee may ask for additional proof.

Evaluation Grid

1. Financial and operational capacity	Score
1.1 Do the applicants and affiliated entity(ies), if applicable, have sufficient **experience of project management**?	/ 5
1.2 Do the applicants and affiliated entity(ies), if applicable, have sufficient **technical expertise**? (specially knowledge of the issues to be addressed.)	/ 5
1.3 Do the applicants and affiliated entity(ies), if applicable, have sufficient **management capacity**? (including staff, equipment and ability to handle the budget for the action)?	/ 5
1.4 Does the lead applicant have stable and sufficient sources of **finance**?	/ 5

Evaluation Grid, Evaluation Criteria & Project Scoring

- Evaluation criteria are divided into sections & sub-sections.

  - Each sub-section is given a score from 1 to 5 as follows:

  1 = very poor, 2 = poor, 3 = adequate,

  4 = good, 5 = very good

  Priority given to highest scoring applications.

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Evaluation Grid, Evaluation Criteria & Project Scoring

6. Total score and recommendations		Score
6.1	Financial and operational capacity	/ 20
6.2	Relevance of the action	/ 30
6.3	Effectiveness and feasibility of the action	/ 20
6.4	Sustainability of the action	/ 15
6.5	Budget and cost-effectiveness of the action	/ 15
TOTAL :		**/ 100**

Evaluation Grid, Evaluation Criteria & Project Scoring

1. Relevance of the action			Sub-score	**30**
1.1 How relevant is the proposal to the objectives and priorities of the call for proposals?*			5x2**	
1.2 How relevant to the particular needs and constraints of the target country(ies) or region(s) is the proposal? (including synergy with other EU initiatives and avoidance of duplication)			5x2*	

Evaluation Grid, Evaluation Criteria & Project Scoring

1.3 How clearly defined and strategically chosen are those involved (final beneficiaries, target groups)? Have their needs been clearly defined and does the proposal address them appropriately?			5	
1.4 Does the proposal contain specific added-value elements, such as environmental issues, promotion of gender equality and equal opportunities, needs of disabled people, rights of minorities and rights of indigenous peoples, or innovation and best practices [and the other additional elements indicated under 1.2. of the guidelines for applicants]?			5	

Evaluation Grid, Evaluation Criteria & Project Scoring

3. Effectiveness and feasibility of the action	**Section in the full application**	**Comments**	**Score**
3.1 Are the activities proposed appropriate, practical, and consistent with the objectives and expected results?			/ 5
3.2 Is the action plan clear and feasible?			/ 5
3.3 Does the proposal contain objectively verifiable indicators for the outcome of the action? Is any evaluation planned?			/ 5
3.4 Is the co-applicants'/affiliated entities' level of involvement and participation in the action satisfactory?			/ 5
Total score:			**/ 20**

4. Sustainability of the action	**Section in the full application**	**Comments**	**Score**
4.1 Is the action likely to have a tangible **impact** on its target groups?			/ 5
4.2 Is the proposal likely to have multiplier effects? (Including scope for replication, extension and information sharing.)			/ 5
4.3 Are the expected results of the proposed action **sustainable?**: - financially *(how will the activities be financed after the funding ends?)* - institutionally *(will structures allowing the activities to continue be in place at the end of the action? Will there be local "ownership" of the results of the action?)* - at policy level (where applicable) *(what will be the structural impact of the action — e.g. will it lead to improved legislation, codes of conduct, methods, etc?)?* - environmentally (where applicable) *(will the action have a negative/positive environmental impact?)*			/ 5
Total score:			**/ 15**

5. Budget and cost-effectiveness of the action	Section in the full application	Comments	Score
5.1 Are the activities appropriately reflected in the budget?			/ 5
5.2 Is the ratio between the estimated costs and the expected results satisfactory?			/ 5x2
Total score:			**/ 15**

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

SELECTION COMMITTEE

To be eligible, an assessor should

- *not have been involved* in preparatory work for any projects that s/he may be required to assess;
- *nor should they offer their services* under a sub-contract to successful project that they have assessed.

EVALUATION COMMITTEE

All assessors should

- Sign a standard *declaration of impartiality & confidentiality*;
- Attend a training session to acquaint them with *specific aspects of evaluation & assessment*;
- *A*ssess a number of project proposals *(which have passed Administrative & Eligibility Compliance)*;

EVALUATION COMMITTEE

All assessors should

- *Use* an Evaluation Grid & forms following a *format recommended by PRAG* (with each project assessed by at least 2 assessors *working separately* & producing their own *independent assessment*);

- *Strictly follow* the Evaluation Grid & scoring system, including the 5- point scale (very poor to very good) given to them

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Example of an evaluation committe composition

- Appointment and composition: Independant experts/Assesors; EC Officials; Managing Authority Staff (Composition is confidential !!)
  - an appropriate range of competencies;
  - an appropriate balance between academic and industrial expertise and users;
  - a reasonable gender balance;
  - a reasonable distribution of geographical origins of independent experts;
  - regular rotation of independent experts
- Odd number of voting members+chair+secretary
- Confidentiality and Impartiality: Mandatory signature of absence of conflict of interest declaration and of confidentiality agreement

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

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Thank you
Questions?

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