Civil Society Results Manual

Rules and Guidance on How to Design, Monitor and Evaluate, Manage Risks, and Report on Results for the Active Citizens Fund

EEA and Norwegian Financial Mechanisms 2014-2021

April 2021

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I. Introduction

This Manual defines how to manage for results and risks in the planning, implementation and completion of the programmes for civil society (the Active Citizens Funds) under the European Economic Area (EEA) and Norwegian Financial Mechanisms 2014-2021.

The primary objective of this Manual is to provide the relevant stakeholders – Fund Operators (FOs), donor contact points, project promoters, project partners (including donor project partners), and the Financial Mechanism Office (FMO) as Programme Operator of the directly-contracted programmes for civil society – with the detailed rules and obligations to assist them with recommendations in designing, implementing and reporting on programmes.

This Manual is part of the Manual for Fund Operators of the Active Citizens Fund (hence forth 'Civil Society Manual') and is complementary to the Programme Implementation Agreement (PIA). In case of conflict between this Manual and the PIA, the provisions of the PIA must prevail.

After having studied the Civil Society Results Manual, you should be able to:

1. Understand the main concepts of results-based management

2. Design the results framework for a programme

3. Identify and analyse risks and decide appropriate mitigating actions

4. Harmonise calls for proposals with the programme's result framework

5. Monitor, report, and evaluate programme results

A new **information system** (GRACE – Grants Administration and Collaboration Environment) has been developed for the Financial Mechanisms 14-21. The mandatory templates provided or referenced in this Manual (such as the results framework template, the risk assessment and mitigation analysis template, etc.) are be integrated into it, allowing (and requiring) the Fund Operators to make submissions through the system. The only exception to this is the Concept Note, which is submitted outside of GRACE.

Highlighted rules are indicated by   !

II. Results-based management

Alice in Wonderland was told that, "If you don't know where you're going, any road will get you there." This lack of direction is what results management aims to solve. It is about choosing a destination first, then deciding on the route, checking progress against a map and making adjustments, as required, in order to achieve the desired results.

1. What is results-based management?

Results-based management is a management strategy by which all actors, contributing directly or indirectly to achieving a set of results, ensure that their processes, products and services contribute to the achievement of the desired results.[1]

Results-based management is:

- identifying and analysing the problem/issue that needs to be addressed;

- defining realistic expected results based on appropriate analysis;

- clearly identifying intermediaries and end beneficiaries;

- monitoring progress, including through appropriate indicators;

- reporting on the results achieved and resources used;

- identifying and managing risks;

- carrying out timely evaluations; and

- integrating lessons learned into decisions on programming.

2. Why results-based management?

The EEA and Norwegian Financial Mechanisms are committed to being results-oriented.

Result-based management looks beyond activities and outputs to focus on actual results: the changes created, and contributed to, by the programming. By establishing clearly defined expected results, collecting information to assess progress toward them on a regular basis, and taking timely corrective action, Fund Operators can manage the programmes to **maximise achievement of results**.

Good results-based management systems are a source of knowledge capital. They enable organisations to develop a knowledge base of the types of projects, programmes, and policies that are successful, and, more generally, what works, what does not, and why. In this context, they **promote organisational learning**.

Results-based management can also aid in **promoting greater transparency and accountability** within organisations. External and internal stakeholders will have a clearer sense of the status of projects, programmes, and policies.

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[1] All terminology is defined in the Glossary of results-based management terminology in annex on page 39.
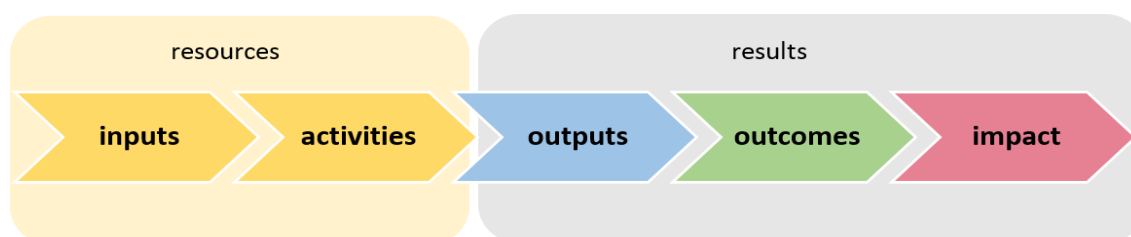
3. What are results?

Figure 1: Results chain

A central element in results thinking is the 'results chain' (figure above), which is an illustration of the anticipated causal relationship between resources and results over time. In other words, we are talking about a cause-and-effect relationship.

Resources: Inputs are the financial, human, material, technological and information resources used for interventions. Activities are the actions taken or work performed through which inputs are mobilized to produce specific outputs.

Results: In line with international standards, we define a result as an *output, outcome* or *impact* of an intervention.

While the results chain shows the causal relationship between its elements over time, this does not imply a linear process only. Like all models, it represents a simplification of a complex reality in which many factors beyond the

control of programme management may affect the results of the intervention, particularly at outcome and impact levels.

As outputs are normally possible to attribute directly to the programme activities performed, there is a tendency for programme managers to focus on activities and outputs in programme monitoring, while neglecting the monitoring of outcomes. However, it is generally accepted that <u>outcomes represent</u> <u>the most</u> <u>important result level in results</u> <u>management</u>.

Although it can be challenging to attribute improvements to the environment or to the wellbeing of a target group to a specific intervention, we should plan interventions so that the results achieved at output and outcome level are *likely* to *contribute* to a long- term effect on society/environment, beyond the intermediaries identified.

4. What is the results chain?

Each programme is based on a hypothesis about how change is expected to take place. This hypothesis is the story of how the inputs will be converted into

> **What are results?**
>
> **Results** are the outputs, outcomes and impacts of an intervention or a programme.
>
> **Outputs** are the products, capital goods and services delivered by an intervention (project or programme) to the direct target group. Outputs are easy to attribute directly to the resources used and the activities performed.
>
> **Outcomes** are the (short and medium- term) effects of an intervention's outputs on the intermediaries or end beneficiaries.
>
> **Impact/objective** is the long-term effects or changes of an intervention on society or the environment.

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programme activities, how activities will produce/ deliver specific *outputs*, what effect those outputs are likely to have on the intermediaries (*outcomes),* and in turn, which longer-term societal effects the outcomes can contribute to (*impact*). This should be made as explicit as possible, and it should be apparent in the *results framework* – a more elaborate presentation of the results chain, presented in a table format – see page 15 for more information and find an example on page 57. It needs to be developed and outlined at the start of the programme cycle – prior to entering into the programme implementation agreement.

It is important to ground the results chain in evidence. Evidence for sound results chain is often found in scientific literature, evaluation reports, stakeholder consultations, conference papers or assessments conducted by reputable institutions, such as the EU, OECD, the World Bank or the United Nations Development Programme to name a few. The more solid the evidence supporting an approach, the better.

5. What is the link between results and risks?

For all types of institutions (local or national government institutions, civil society organisations or businesses), the delivery of their objectives is surrounded by uncertainty.

> Measuring and reporting on results should focus on the effects an intervention has had for the direct target group or end beneficiaries.
>
> If an institution carries out an awareness-raising campaign, it is the effects of the campaign that count. While it is important to measure how many people were reached by the campaign (output), it is even more important to measure how many have increased their knowledge (outcome).
>
> Taking it to an even higher level, we should capture any attitude or behavioural changes triggered by the campaign.

A risk is an event or circumstance that may affect the achievement of expected results. Risks are closely related to results and should consequently be analysed against the results framework of a programme. Risks that are not identified or managed can seriously jeopardise the success of a programme. Risks management, therefore, entails openness and communication between the Fund Operators, project promoters, and the Financial Mechanism Office (FMO).

Because results and risks are closely related, sound results-based management entails active risk management, which is discussed on page 22.

6. How to measure results

In results and risk management, "quality at entry" is the key to obtaining quality in both results *measuring* and results *achievements*. This means that particular attention should be given to defining what we want to achieve, i.e. *relevant and realistic objectives* on all levels. This is described in further detail and illustrated with examples on page 15.

Having identified clear objectives at each level of the results chain, we need to make sure that progress can be measured. Each outcome and its related outputs require one or more *indicators*. Indicators are a means to measure achievement, or to help assess a development. They must be specific, observable and come from reliable data. Indicators can be quantitative or qualitative, or both.

Knowing and describing the *baseline*, i.e. the present situation before an intervention begins, is essential to make credible and meaningful assessments on progress and achievements.

Without knowing the starting point, we cannot measure progress. Based on the *baseline value*

of the chosen indicator, the *targets* are set, i.e. the level or value of the chosen indicators to be achieved by the end of a defined period.

7. Attributing results

A challenge for results measurement is establishing a causal link between a grant-supported initiative and an effect. This issue is generally referred to as the attribution problem, and is due to two main factors. Firstly, there is often a considerable time-lapse between the implementation of activities and the manifestation of effects on the intermediaries(s) and end beneficiaries. Secondly, other donors might have invested in the same programme area, which makes it difficult to assess the degree to which results achieved can be attributed to the interventions supported by the EEA and Norwegian Financial Mechanisms (FMs).

For example, if the respect for human rights increases in a country, this cannot be wholly attributed to an intervention funded by the FM.

Evaluations and research can demonstrate, or at least give an indication of how much of the result may be attributed to one intervention. We encourage Fund Operators to consider carrying out end-of-programme (ex-post) evaluations for every programme, to assess the contribution of the programme to the observed results. For this, it helps to think early about what data (evidence) you might need. See evaluation planning on page 33.

8. The programme model of the EEA and Norwegian Financial Mechanisms 2014-2021

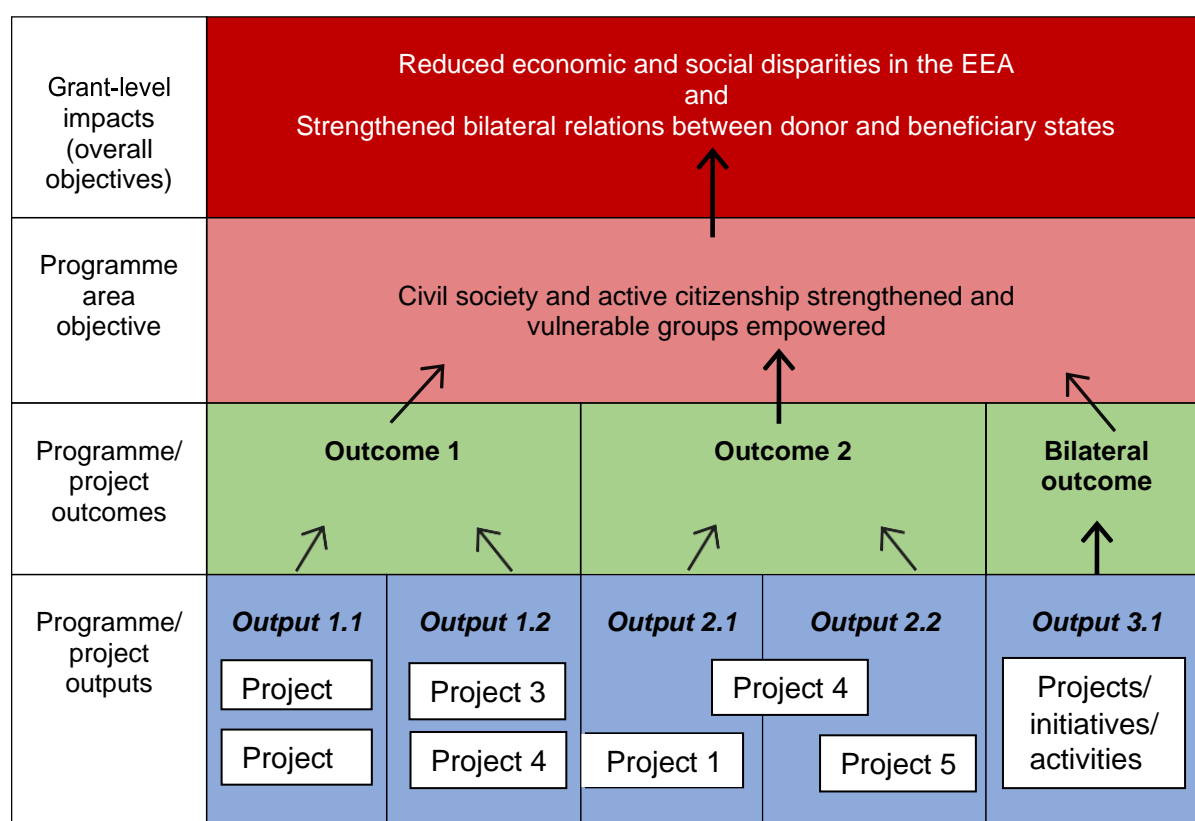| Grant-level impacts (overall objectives) | Reduced economic and social disparities in the EEA and Strengthened bilateral relations between donor and beneficiary states | | | | |
Programme area objective	Civil society and active citizenship strengthened and vulnerable groups empowered				
Programme/ project outcomes	**Outcome 1**		**Outcome 2**		**Bilateral outcome**
Programme/ project outputs	*Output 1.1* Project Project	*Output 1.2* Project 3 Project 4	*Output 2.1* Project 1	*Output 2.2* Project 4 Project 5	*Output 3.1* Projects/ initiatives/ activities

Figure 2: A schematic representation of the programme model (other project-level permutations are possible)

The EEA and Norwegian Financial Mechanisms (FMs) employ the programme model. A **programme** is a structure setting out a development strategy with a coherent set of measures to be carried out through projects[2] with the support of the EEA and Norwegian Financial Mechanisms 2014-2021 and aimed at achieving agreed objectives and outcomes.

In short:

- All programmes for civil society, the Active Citizens Funds, need to contribute to both overall objectives (impacts) of the EEA and Norwegian Financial Mechanisms 2014-2021:

    o Reduced economic and social disparities in the European Economic Area;

    o Strengthened bilateral relations between donor and beneficiary states.

- Each programme must contribute to the programme area objective.

- Each project belongs to a programme and may contribute to one or more programme outcomes. Each project delivers one or more programme outputs.

- Each programme must include the common bilateral outcome.

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[2] A **project** is an economically indivisible series of works fulfilling a precise technical function and with clearly identifiable aims related to the programme under which it falls.

III. Results-based management through the programme cycle

General implementation rules and responsibilities of the actors involved in the Active Citizens Funds are defined in the Programme Implementation Agreement and in the Manual for Fund Operators of the Active Citizens Fund.

This manual refers to the programme management cycle: how to integrate results and risk management into daily work, and how to fulfil the requirements of the Programme Implementation Agreement.

The programme cycle consists of the following main steps and related tasks, with the tasks covered in this manual in blue and underlined.

Programme preparation	Develop the results framework
	Prepare the concept note
	Develop a risk assessment and mitigation analysis
	Enter into programme implementation agreement
Programme implementation and follow-up	Identify potential projects
	Carry out selection procedures
	Implement financial management
	Identify, monitor and report irregularities
	Conduct monitoring
	Report on progress and results
	Evaluate programmes
	Modify programmes
Programme completion	Submit final report

Programme preparation phase

The Memorandum of Understanding establishes the framework for cooperation and includes, inter alia, the identification of programmes, including their main focus and objectives, as appropriate.

On the basis of the allocation to the Active Citizens Fund in their country, and in cooperation with the FMO, the Fund Operators (FOs) develop a concept note defining the scope and planned results of the Active Citizens Fund. The concept note template can be downloaded at www.eeagrants.org.

> Costs related to developing the concept note are regarded as programme preparation and are covered under the management fee.

The concept note will build on the information provided in the bid the FO had submitted prior to being selected.

The Fund Operator, in close collaboration with the FMO, carries out stakeholder consultations by involving the main relevant stakeholders in developing the concept note. The FMO as Programme Operator, and the Financial Mechanism Committee (FMC), assess the concept note and make comments on it. Any comment made by the FMO and the FMC must be taken into account in the programme's further preparation, which will result in the finalisation of a Programme Implementation Agreement.

Figure 3 shows a simplified flowchart of the programme development process – from the Memorandum of Understanding to the Programme Implementation Agreement.

1. Prepare the concept note

The concept note must define the scope and planned results of the programme. It must be drafted by the Fund Operator in cooperation with the FMO and in consultation with relevant stakeholders, including – where relevant – donor contact points and International Partner Organisations. The note must include the justification and main features of the programme. It must describe the expected contribution towards the overall objectives of EEA and Norway Grants. It must further outline how Programme Area Specifics (from the Blue Book) are integrated in the planning and implementation of the programme. This note must also include a tentative overall budget as well as any an overview and/or description of the programme's modalities (including pre-
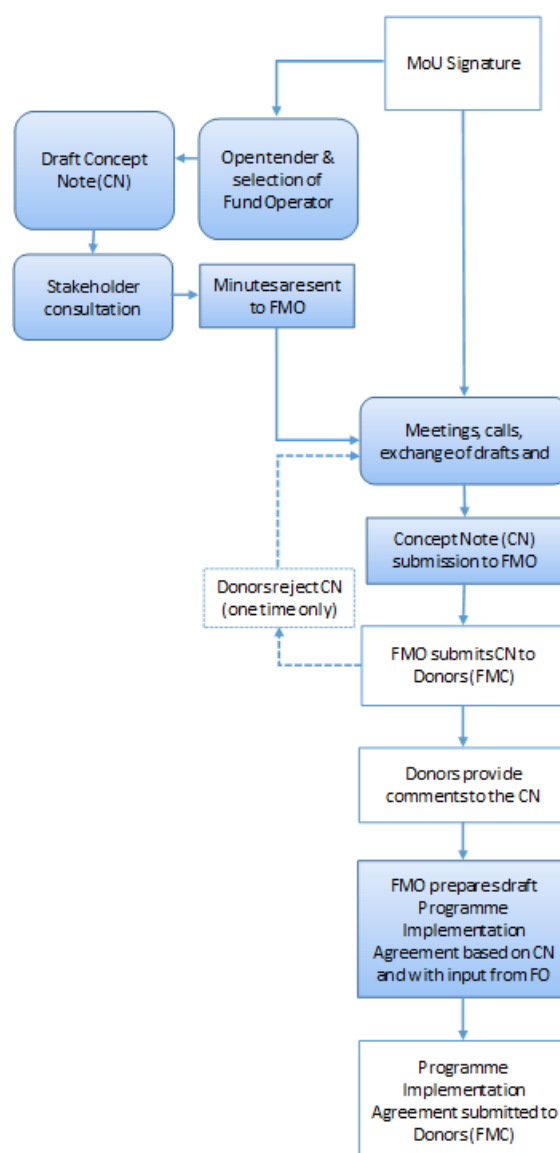

Figure 3: From the MoU to PIA

defined projects). The concept note submitted to the FMO should not exceed 10 pages (including the cover page and annexes).

Stakeholder consultations

The concept note must **not** be prepared as a desk exercise, but must be based on meaningful participation by the main relevant stakeholders.

The first step towards stakeholder consultations is the mapping (identification) of stakeholders. This must be done in cooperation with the FMO based on stakeholder categories relevant for the programme. Once the relevant stakeholders have been mapped, they need to be invited to participate in designing the programme/concept note. National Focal Points (NFP) will be consulted in the organisation of the stakeholder consultation meeting.

Stakeholders can be involved in programme design in various ways, through in-person consultation meetings, online consultations and/or stakeholder surveys. The consultation method will be tailored to the specific country case and facilitate the best possible ways to provide information to and seek inputs from relevant stakeholders.

> **!** **Stakeholder consultations**
>
> The Fund Operator must involve the main relevant stakeholders in developing the concept note.

The design of the programme and the drafting of the concept note should be a participatory process, involving a wide range of stakeholders to reach a consensus. Stakeholders should be identified based on stakeholder categories relevant for the programme, then invited to participate in a workshop (or a series of workshops) where the problem/need is analysed, solutions discussed and agreed on. Such stakeholder consultation meetings will be facilitated by trained facilitators. A detailed outline of how the stakeholder event will be facilitated will be developed by the FMO/the facilitator in close consultation with the Fund Operator.

In-person meetings/workshops can be supplemented by on-line consultations and/or surveys when the number of stakeholders exceeds the optimal number of participants in an in-person consultation (normally up to 50 people). These additional consultation methods can be helpful in reaching a broad range of participants in different geographic areas and target groups.

The conclusions of the stakeholder consultation(s) must feed into the Concept Note, especially the results framework (programme objectives and indicators) part of it.

The objectives of the stakeholder consultation need to be clear and communicated ahead of the meeting(s). The general aim is to agree on the main problems to be solved by the programme and the possible solutions to those problems.

For more information on stakeholder consultations, see the box on good practices on the next page.

Good practices on stakeholder consultations

General principles

1. **Participation**: the most relevant stakeholders, including representative bodies are identified and consulted;
2. **Openness and accountability**: the consultation process and its relation to the concept note is transparent to all involved;
3. **Effectiveness**: stakeholders are consulted at a time when their views can still make a difference; proportionality and specific restraints are respected.

Minimum standards

A. **Clear content**: All communication and the consultation document itself are clear, concise and include all necessary information to facilitate responses;
B. **Timing**: there is sufficient time for the invited stakeholders to prepare and participate in the consultation (a minimum of 2 weeks);
C. **Feedback**: summary/minutes of the stakeholder consultation are sent to all participants.

- The FO produces and circulates a brief discussion paper and an agenda prior to the consultation based on templates provided by the FMO. The agenda and discussion paper are agreed with FMO. The discussion paper provides background information on the Active Citizens Fund in line with the applicable Blue Book text, outlines identified challenges and outcomes and poses key questions to be raised at the consultation meeting;
- Information from prior consultations may be used, but only where it can be justified as directly relevant to the programme (e.g. to the programme scope and objective, to its outcomes, activities, modalities, bilateral ambitions, or target groups).

The report on the stakeholder consultation(s) includes the following information:

The process	- What was done in terms of consultation activities? - Who was present and which institution/organisation did they represent?
The input	- Who contributed? - What are their views and concerns?
Next steps	What are the next steps in terms of how the inputs from the stakeholders will be processed and integrated into the Concept Note?

(a) **Describe the problem/need the programme aims to address**

The concept note must clearly state and **describe the issue(s)** the programme aims to address:

- What is the problem/need the programme aims to address?
- What are the main challenges or barriers to addressing the problem/need?

The analysis of problems/needs guides the planning of programme activities. The identification of problems/needs is most reliable when undertaken in a participatory way, and when grounded on reliable evidence and research. It is important that Fund Operators take into account different groups and consider both general and group-specific problems/needs. For example, men and women often experience problems in different ways, as do people of various age groups, ethnicities and geographic locations.

As relevant, briefly describe how the issue(s) addressed relate to EU and/or national policies and identify any funding gaps connected to the issue(s).

(b) **Describe how the problem/need will be addressed**

A programme must be based on a clear understanding and specification of how any planned interventions are expected to lead to desired outcomes (solutions to the identified problem/need). This will later be translated to the results framework of the programme.

- What is the solution to the problem? How can the need be met?
- What are the expected/planned deliverables (outputs)?
- How will the outputs bring about the expected outcome(s)?
- How will the outcomes contribute towards fulfilling the Programme objective?
- How will the Programme contribute towards fulfilling the two overall objectives of the EEA and Norwegian Financial Mechanisms?

Any proposed solution to solving the identified problem/needs should explicitly address the underlying assumptions and risks. How does one know that the proposed solution might lead to the desired results? What evidence (experience from similar programmes, theory or research findings) underpins the programme design? Providing evidence for the likelihood of success greatly strengthens the concept note.

(c) **Specify the target group(s)**

The success of most interventions depends on the changed behaviours of stakeholders. But these stakeholders, or intermediaries, are not necessarily the ultimate beneficiaries of an intervention. For example, a local government entity (intermediaries) might adopt and implement a local climate change adaptation strategy as a result of our programme, but the end beneficiaries of this changed behaviour are local people and the local environment. For each outcome, the FO must specify:

- Which actors (groups, institutions) will the programme work with <u>directly</u> (the intermediaries)?
- Who will ultimately benefit from the improved practices by the intermediaries (end beneficiaries)?

> **Target groups**
>
> *Defining target groups should always be done from the point of view of a Project Promoter.*
>
> **End beneficiaries**: Individuals, groups or entities expected to reap tangible benefits of an intervention. All projects have end beneficiaries.
>
> **Intermediaries**: Groups (professions or entities) the project seeks to influence to achieve results for the end beneficiaries. Not all projects work with intermediaries.
>
> In some projects, such as service provision projects, some activities are delivered directly to the end beneficiaries. In those cases, no intermediaries are necessary.
>
> **Example A:** In a programme focusing on Roma children's access to primary education, the implementing institution may be an educational NGO. The activities the NGO implements will be to convince the parents to send their children to school. At the same time, the supported NGOs may also try to influence local authorities or schools to put in place an incentive scheme for Roma children attending school.
>
> In this example, the Roma children are the end beneficiaries of the programme, while the parents, the local authorities and the local schools involved in the programme are the intermediaries.

(d) Describe expected impact and sustainability

In this part of the concept note, you need to provide a short presentation of the expected (societal) impact of the programme. Later in the concept note, you will be asked to present a full results framework for the program.

You should also comment on how the expected results of the programme will be sustained beyond the funding period.

(e) Address the common values and principles

Describe how the programme will contribute to the common values and principles as referred to in Article 1.4 paragraphs 1 to 3 of the Programme Implementation Agreement.

In this section of the concept note, please refer to the specific mechanisms and safeguards the programme will have in place to ensure that programme design and implementation is done in harmony with the common values and principles, as appropriate.

(f) Describe the concept note preparation process

Describe **the process** leading to the programme concept note, e.g. stakeholder consultations, feasibility studies, etc. Remember that all steps in developing the concept note should involve the main relevant stakeholders.

Bilateral ambitions

The section must describe how the programme will contribute to strengthening bilateral cooperation between civil society and other entities in the beneficiary country, and entities in the donor state(s).

For example, how will the programme strengthen bilateral cooperation (e.g. in the form of networking, exchange, sharing of best practice, transfer of knowledge and experience between civil society and other entities in the

> Relevant entities in donor states (donor contact points) must be informed already in the concept note stage.

beneficiary country and entities in the donor states) in areas of mutual interest? What are the main areas/fields in which the programme will promote bilateral cooperation? How will bilateral cooperation in these areas improve knowledge and mutual understanding between civil society and other entities in the donor and beneficiary states? How will bilateral cooperation at project level be facilitated?

The section must, moreover, briefly describe any previous bilateral cooperation in the field, including in previous EEA and Norwegian Financial Mechanisms where relevant.

For guidance on how to integrate bilateral results into the results framework, go to the section on Bilateral results and indicators in programmes on page 20.

Further guidance on bilateral cooperation is provided in the Chapter 5.5 of the Manual for Fund Operators of the Active Citizens Fund and in the Civil Society Bilateral Manual.

Cooperation with international organisations

Fund Operators can skip this section of the concept note as it not applicable to Active Citizens Funds.

Modalities

The projects that make up the programmes are selected and implemented by way of various modalities. The modalities include calls for proposals, pre-defined projects, and different types of grants (e.g. grants of varying size, institutional and core grants etc.). The concept note must provide a simple overview of the modalities to be included in the programme, including the estimated allocation of re-granting funds across Programme outcomes, and a justification for the proposed modalities (for example, how will the proposed types of grants help reach specific target groups, geographic areas and outcomes?).

In addition to the overview (in table form), the concept note must include one annex per pre-defined project.

Annexes:

Pre-defined projects (PDPs)

Pre-defined projects are strategic projects that may require a longer implementing period than projects selected through open calls, and that aim to contribute to the overall civil society sector, build capacity and sustainability and address systemic issues. Pre-defined projects must be aligned with the programme result chain, i.e. they must have a clear link to the programme objective and one or more of the programme outcomes. Pre-defined projects may be proposed by the FO in the bid or agreed with the FMO after the selection of the FO. They are implemented by an organisation(s) selected on a competitive basis (which may be a civil society, private or public entity). In justified cases, a pre-defined project may be implemented by the FO.

This annex (one per pre-defined project) must include the project title, a short description of

the background and justification for the project (for example, what challenges and needs within civil society in the beneficiary country does the project address?), an explanation of why it is necessary to pre-define this project, the objective and expected outcome(s) of the project (including specific references to the programme's results framework – the relevant outcome(s), outputs and indicators), a description of the benefits it will bring for the identified target groups, information on the proposed project promoter and possible project partner(s), an estimated budget and timetable for implementing the project . The description should also include the results of any prior stakeholder consultation and feasibility studies (if relevant).

Grant rate and budget

For guidance on budgeting, please consult Chapter 5.8 of the Manual for Fund Operators of the Active Citizens Fund.

2. Develop the results framework

A crucial part of the concept note is the results framework. In fact, in programme design, results frameworks are typically prepared first. They form the basis for the narrative text later. At the concept note stage, FOs are required to submit a somewhat simplified version of the results framework with additional elements to be finalised prior to entering into Programme Implementation Agreement.

A results framework is an explicit articulation (a summary in the form of a matrix) of the results expected from a particular intervention. The results specified typically comprise the longer-term objectives (predefined for the particular programme area chosen) and the outcomes and outputs that precede and lead to those longer-term objectives. The results framework must capture the essential elements of the logical and expected cause-effect relationships among outputs, outcomes, and impact (programme area objective).
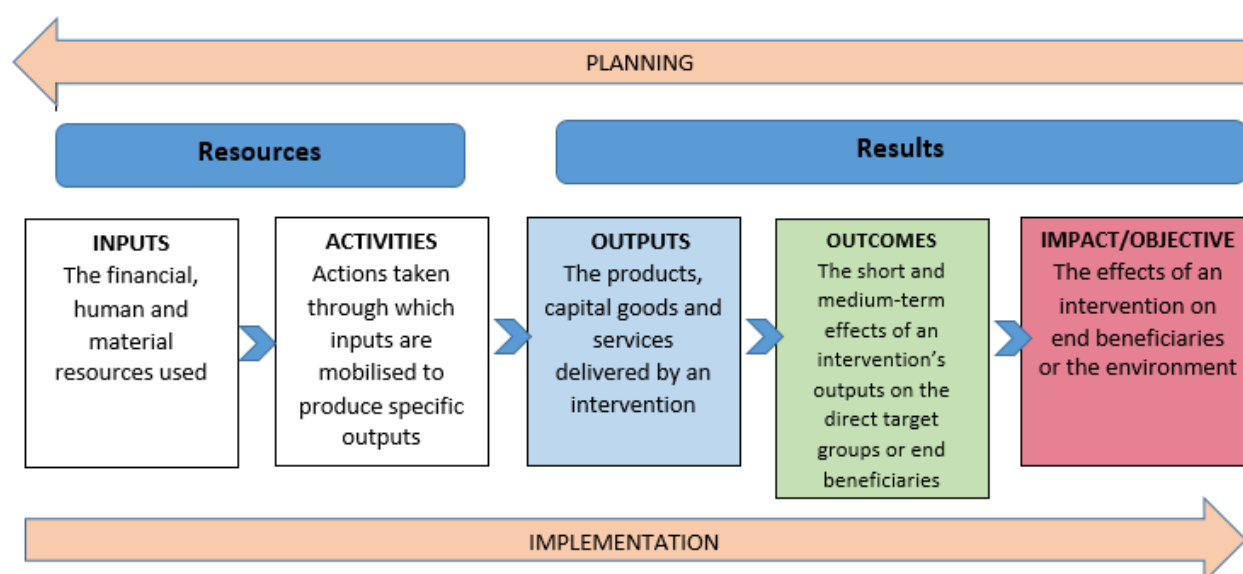
Figure 4: Results chain: planning vs implementation

Unlike implementation, which happens from the left to the right, designing a programme is done from the right to the left. In other words, one backtracks from the impact through outcomes to outputs and activities. The impact-level objective is pre-defined for each programme area. Rotating *Figure 4* 90 degrees counter-clockwise turns it into a simplified results framework – Figure 5.

	Expected programme results
Impact/Objective	
Outcome 1	
Output 1.1	
Output 1.2, etc.	

Figure 5: Simplified results framework

(a) Define programme outcome(s)

Outcomes are the short and medium-term effects of an intervention's outputs on the intermediaries or end beneficiaries. Outcomes are not under the direct control of a programme/project.

An outcome statement should:

- use a <u>verb</u> expressed in the past tense, such as 'improved', 'strengthened' or 'increased', in relation to a process or institution;
- contain only one goal;
- be formulated as an end state (not as a process).

> **!** An outcome statement should avoid phrases such as 'improved through' or 'supported by means of' – the mechanism of change should, instead, be evident from the outputs planned to achieve the outcome.

A single programme should normally not have more than four outcomes. For the Active Citizens Funds, a menu of suggested outcomes has been developed (see Guidance on outcomes and indicators for the Active Citizens Fund in annex 2 on page 42). FOs may use the menu when designing their results framework. For rules on bilateral outcome, see the section Bilateral results and indicators in programmes on page 20.

(b) Define outputs for each outcome

Outputs are the products, capital goods, and services delivered by an intervention. They must be achieved with the resources provided and within the time frame specified. Since outputs are the most immediate results of programme/project activities, they are usually within the greatest control of the implementing organisation. It is important to define outputs that are likely to make a significant contribution to the achievement of the outcomes. There needs to be a logical link between the outputs and the corresponding outcome. No common outputs have been defined for the Active Citizens Funds. Outputs should be developed in consultation with the FMO. For information on bilateral outputs, see the section Bilateral results and indicators in programmes on page 20.

Outputs generally include a <u>noun</u> that is qualified by a *verb* describing positive change. For example:

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- <u>Study</u> of civil society sector's contribution to social capital and employment *completed*
- <u>Police</u> *trained* in understanding gender violence
- <u>Local government staff</u> *trained* in participatory budgeting methodologies

Table 2: Examples of outputs

Weak/bad output	Why is it weak/bad?	Better formulated output
Assistance	Not specific enough	*Will depend on the programme. For example, could be:* Pro-bono legal aid sessions provided
Law on minority representation passed	Not within the sphere of control of the programme – this is an outcome, not an output	*Depends on the intended results chain. Could be:* Written input to the draft law on minority representation submitted

(b) Develop indicators for each outcome and output

Indicators are quantitative or qualitative variables that specify what is to be measured along a scale or dimension. They describe the way to track the intended results and are critical for monitoring and evaluation. Good, relevant indicators are a critical part of the results framework.

Indicators can be either quantitative or qualitative.

Quantitative indicators are variables that measure results in one or several of the following terms:

- Annual number;
- Number;
- Level (on a predefined scale, such as 1-7);
- Average;
- Percentage;
- Rate (example: tuberculosis rate per 100,000 population).

Qualitative indicators reflect people's opinions, judgements, perceptions, and attitudes towards a given situation or subject. They can include changes in sensitivity, satisfaction, influence, awareness, understanding, attitudes, quality, perception, dialogue, or sense of well- being. Most qualitative indicators can be expressed in quantitative (numerical) terms, for example Proportion of people/employees/group who express high level of satisfaction with…, etc.

When submitting updates on achievements of indicators that use percentage as their unit of measurement, Fund Operators should submit (to the extent they have access to this data) the numerator and the denominator used to arrive at the percentage. The information system will calculate the percentage automatically based on these.

Formula:

$$\frac{2}{4} = 50\% \rightarrow P$$

where,

Binary indicators denote the presence or absence of the measurement variable with a simple 'yes' or 'no'. For example, 'paternity leave provision included in the parental leave policy' could be an outcome indicator where the reported value is simply 'yes' or 'no'.

A minimum of one indicator per outcome or output is required, but normally, you will need to develop a set of different indicators to measure a concept, especially at the outcome level. Few, but relevant indicators are better than many, but less relevant indicators.

Output indicators measure the quantity and quality of goods or services purchased, supported or delivered directly by the programme (and its projects). They measure the progress of programme implementation and can be used for accountability of programme funding – they show what has been directly supported or purchased via the programme's activities and funds. Output indicators normally begin to show a value other than zero early in the programme implementation phase.

Outcome indicators, on the other hand, may take some time to show any change due to the time lag required to see the effects of the outputs purchase/delivered/produced.

Units of measurement

To avoid any confusion about what is being measured, the results framework template (in the Programme Implementation Agreement) requires you to make explicit the unit of measurement for each indicator. Examples of units of measurement are: number of people, percentage of people, level of satisfaction on a scale of 1-5, etc. When using a percentage, ensure both numerator and denominator are clear. When using a scale, ensure the scale level criteria are clear.

! An indicator should be expressed in neutral terms, not indicating the direction of change (increase or decrease), nor embedding a target.

For example, "An increase of 30% in the percentage of domestic violence cases prosecuted," should be reformulated to "Percent of domestic violence cases prosecuted." The direction (increase) will be evident from comparing the baseline (25%, for example) with the target (32.5%, for example).

One of the available mnemonic tools for assessing the quality of indicators is **CREAM**:

Clear: indicators should be precise and unambiguous

Relevant: indicators should be appropriate for the concept they are measuring

Economic: indicators should be able to be obtained at a reasonable cost

Adequate: indicators should provide sufficient information on performance

Monitorable: indicators should be amenable to independent validation

Disaggregating indicators

Indicators measuring average values are useful for measuring the overall progress of a country or an intervention, and for comparing the general situation in certain sectors and countries. However, average values tend to mask significant differences between socio-economic groups and geographical regions, as well as gender disparities. As far as possible, therefore, indicators should be disaggregated.

> **!** Relevant indicators must be disaggregated by sex, age, and minority status, as appropriate. Appropriateness will vary by programme area. For example, indicators in projects targeting inter-generational cooperation will need to capture age, while a project on citizen participation in environmental protection would not necessarily do so.

For rules on bilateral indicators, see section Bilateral results and indicators on page 20.

Core indicators

For the 2014-2021 EEA and Norwegian Financial Mechanisms, some core indicators have been developed to be tracked wherever relevant. Core indicators measure aggregated results for specific areas of

> **!** Programmes must use indicators from the list of core indicators whenever relevant. The full list of core indicators is available in V.2.

high political interest for donors. They will be used by the FMO when reporting to donors. A core indicator can be sector-specific or cut across sectors. A core indicator must always be used with its standard wording and must be used by programmes where it is relevant to use.

Suggested outcome indicators

Suggested outcome indicators have been developed for the Active Citizens Funds. These must be used wherever relevant, i.e. they must follow the selected common outcome chosen. FOs can add other relevant outcome-level indicators, if needed. Keep in mind that the more indicators a programme has, the greater the monitoring burden.

Milestones

Milestones are key steps in the programme which have to happen before implementation really gets underway. The use of milestones, where relevant, can help track programme implementation. Milestones can also highlight key risks which need to be taken into account in risk planning and management.

Most programmes, for example, include open calls for projects. One milestone associated with open calls is that the projects have been selected. In a programme which includes public procurement processes, a milestone could be that all the procurement contracts are signed, or all the procurement processes are complete.

> **!** FOs must draw up a list of major milestones for their programmes and submit them to the FMO (as part of the implementation plan) prior to signing the programme agreement. They must report on and update the milestones through the Annual Programme Report and/or Interim Financial Report.

Bilateral results and indicators in programmes

Each programme must contribute to both objectives of the 2014-2021 EEA and Norwegian Financial Mechanisms. This entails that the results framework for each programme covers the results of bilateral cooperation. In each programme, the FO – if possible in cooperation with the donor contact point – must include the **common bilateral outcome** ('Enhanced collaboration between BS and DS entities involved in the programme') and define the output(s) for it. For the outcome and each output, the FO should define indicators.

A donor contact point will be in place to strengthen bilateral relations between civil society in the Donor States and the Beneficiary States. Their role will be to facilitate and support the preparation and implementation of bilateral cooperation under the Active Citizens Funds.

A list of bilateral outcome level indicators is presented in V.2. Any/all of these must be included in the results framework when relevant. The FO may add other bilateral outcome indicators, if necessary.

An indicative, but not exhaustive, list of bilateral output level indicators is also presented in V.2. The FO may use them as appropriate, in addition to adding other relevant bilateral output indicators.

Keep in mind that the more indicators a programme has, the greater the monitoring burden.

(c) **Assign a baseline value and target value for each indicator**

The **baseline** is the situation before the start of an intervention – the reference point for measuring change. **No baseline values are required for output indicators, as all of them should automatically be set to zero**. This way, the programme only measures and reports on the products and services (outputs) delivered during the implementation period.

It is a requirement to provide baseline values for all outcome indicators, as appropriate. FOs must first ascertain if secondary data that provide information about the situation are already available.

> Expenditure related to collecting baseline data is eligible under the programme management fee.

If this is the case, there is no need for separate data collection. Oftentimes, governmental statistical agencies, local government units, universities, and other civil society organisations produce administrative date, reports, and evaluations relevant to the Active Citizens Funds. This secondary data should be used whenever possible. If the available data does not measure the variable set forth in your outcome indicators or measures it at a different level (national vs local, for example), FOs will most likely need to conduct (or commission) a baseline study.

If baseline data exist prior to the start of a programme, additional data collected over the life of the programme must be collected in a consistent manner to facilitate comparisons. For example, consider the drop-out rate for girls 16 and under. If baseline data are obtained from the Ministry of Education, the programme should continue to collect these data from this same source, ensuring that the data collection methodology remains the same.

> ! The Fund Operator must provide baseline values for all outcome indicators, as appropriate. If not available prior to the start of the programme, baseline values may be collected by the deadline specified in the Programme Implementation Agreement.

Targets are specific indicator values to be attained within a specific period (normally from programme start to final year). They serve as guiding posts for gauging whether implementation is proceeding as planned. Setting targets for indicators has often been identified as one of the main challenges in results-based management.

A natural tension exists between the need to set realistic targets and the value, from a motivational perspective, of setting targets ambitious enough to ensure that staff and stakeholders will stretch to meet them; when motivated, people can often achieve more than they imagine.

Table 4: Examples of targets

Indicator	Baseline	Target	What's wrong?
Rate of employment among women	570 876	700 000	Baseline and target not in the same unit of measurement as indicator (indicator is rate while baseline and target are written in whole numbers)
Percent of Roma in Region X with at least secondary education	18%	100%	Target is unrealistic (in general with 100%, but also considering increase in percentage points from baseline)

Targets can be based on:

1. *Historical trends*: What pattern of change has been evident in the past five to ten years on the performance indicator? Is there a trend, upward or downward, that can be drawn from existing reports, records, or statistics?

2. *Expert judgments*: Another option is to solicit expert opinions as to what is possible or feasible with respect to a particular indicator and country setting. Experts are knowledgeable about the programme area and local conditions. They will be familiar with what is and what is not possible from a technical and practical standpoint.

3. *Research findings*: Similarly, reviewing literature, especially research and evaluation findings, may help in choosing realistic targets. In some programme areas, extensive research findings on development trends are already widely available.

4. *Stakeholder expectations*: It is also useful to get input from stakeholders regarding what they want, need, and expect. What are the expectations of progress? Intermediaries can be especially useful in developing realistic targets.

5. *Achievement of similar programmes*: Benchmarking is the process of comparing or checking the progress of other similar programmes. It may be useful to analyse progress of other agencies and partners, to understand the rate of change that can be expected in similar circumstances.

3. Develop a risk assessment and mitigation analysis

Before entering into Programme Implementation Agreement, a <u>Risk Assessment and Mitigation Analysis</u> must be developed and agreed upon. This section provides guidance on how to develop such a plan. The <u>Risk Management Strategy</u> further outlines the principles, responsibilities and process for managing risk.

Taking a closer look at the results framework, we can see that the cause and effect relations between outputs and outcomes, and between outcomes and programme objective (impact) are conditional. If all holds well, we can expect that we will get the results that we want at the end. This means that we (implicitly) make a number of assumptions.

A **risk** is an event or circumstance that may negatively affect the achievement of expected results. An **assumption** is a condition necessary for the success of a programme. An assumption is a positive way of describing a risk, and a risk is a negative way of describing an assumption. For example, consider a risk in a programme providing training to judges.

- Risk = Judges may not be interested in attending training.
- Assumption = Judges will be interested in attending trainings.

Assumptions and risks can be internal or external factors. Internal factors are those we have under control. External factors are influences from outside of our control on the programme.

(a) **Identify risks**

The results framework template can help you identify the risks and the assumptions you make at each level of the results framework.

Below is a simplified illustration of how to identify assumptions/risks using the results framework.

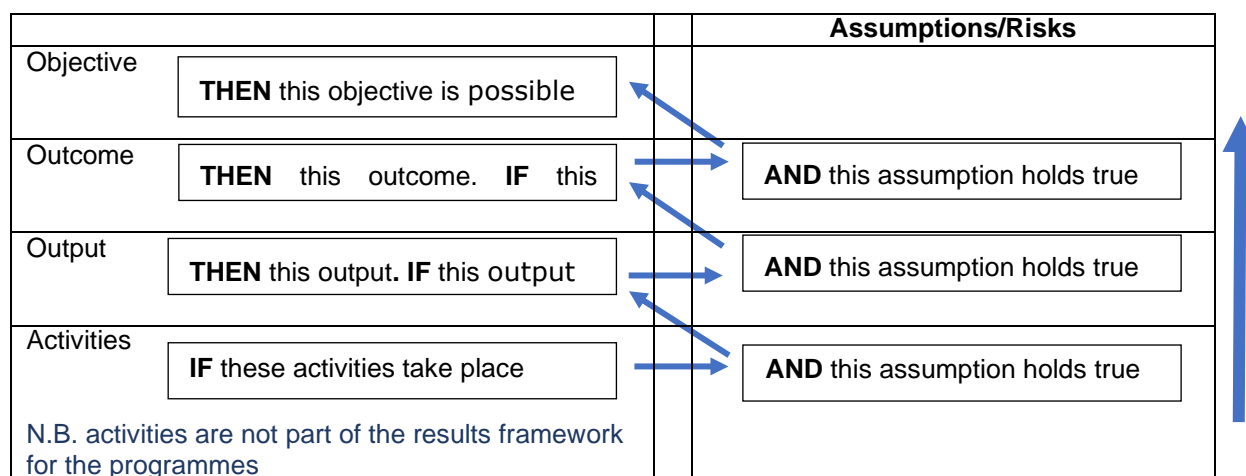| Objective		Assumptions/Risks
Objective — **THEN** this objective is possible		
Outcome — **THEN** this outcome. **IF** this		**AND** this assumption holds true
Output — **THEN** this output. **IF** this output		**AND** this assumption holds true
Activities — **IF** these activities take place		**AND** this assumption holds true
N.B. activities are not part of the results framework for the programmes		

Figure 6: Analysing assumptions/risk using the results framework

Starting at the bottom of the results framework:

- Which assumptions have you made that might affect the production/delivery of a particular output? What are the risks that might arise if those assumptions do not hold true?

- Which assumptions have you made that might prevent the outputs from having the desired effect (outcome) on the intermediaries? What are the risks that might arise if those assumptions do not hold true?
- Which assumptions have you made about the expected outcomes that might have consequences on your contribution to the programme objective? What are the risks that might arise if those assumptions do not hold true?

(b) Categorise risks

Once the risk have been identified and formulated, place them in the mandatory Risk Assessment and Mitigation Analysis template according to the category to which they belong: programmatic or operational. Table 4 provides a description of the types of risks that fall into each of the two categories. The list is not exhaustive, nor will all programmes have all of the types of risk listed.

List each risk on a separate line. Risks should be described in concrete terms. For example, instead of listing 'human resources' as a risk, you should describe what about the human resources might negatively affect the programme objective, such as 'lack of adequate staffing'.

It is not necessary to list all the risks identified. Instead, focus on the risks which you deem to have the highest likelihood/consequence.

Table 4: Risk categories

Programmatic risks
Risks related to inadequate programme/project strategy or processes, technological issues, obtaining permits, and/or lack of time for proper implementation.
Risks related to the influence of policy/legislation (or the lack thereof), or of the political and economic situation on the implementation of the programme/projects.
Risks related to improper strategies put in place to reach the bilateral objective, including using bilateral funds, and actively involving donor state entities (donors contact point).
Operational risks
Risks related to the systems to monitor, measure and communicate results, and/or the FOs' ability to attract, develop and/or retain the right staff in adequate numbers.
Risks related to the deviations from key fiduciary principles of: economy, efficiency, effectiveness, integrity, openness/ transparency, fairness and accountability. Includes risks related to improper or poorly defined procedures or excessively burdensome controls. Also includes risks related to favouritism, including in selection processes (open calls and public procurements).

(c) Analyse and score risks

For each programmatic and operational risk, the likelihood of its occurrence as well as the potential consequence should be determined. The risk level is the combined assessment of the likelihood that risk factor is realised and the consequence of the realised risk. The Active Citizens Funds must use a four-level scale of likelihood and consequence as indicated below.

Criteria	Scores				
	n/a	1	2	3	4
Likelihood of occurrence	n/a	**Very unlikely**	**Unlikely**	**Likely**	**Almost certain**
Consequence for programme outcomes		Minimal	Moderate	Serious	Very serious

Risk rating is perception based, and often involves subjective judgement. As far as possible, the rating should be based on the analyses on evidence, facts and objective data. It is useful to check and/or discuss the rating with others.

When analysing and scoring *consequence*, it is important to evaluate how significant each risk can be to the achievement of the expected results, e.g. to what extent the risk may cause that the whole programme to fail.

> **!** The Risk Assessment and Mitigation Analysis must be updated once a year, to be submitted together with the Annual Programme Report.

Analysing and prioritising risks is a forward-looking exercise. The initial risk assessment should take into account the entire period of the agreement. However, for each subsequent update, risk assessment must focus on the upcoming year.

Based on the chosen likelihood and consequence, the Risk Assessment and Mitigation Analysis template will automatically calculate the overall score for each risk. The template includes automatic colour coding, helping you visually assess the risks you have identified and scored. The colour coding scheme is also known as the 'heat map'.

If a particular risk has an overall score of 4 (almost certain likelihood and very serious consequences), the Fund Operator should consider whether the programme needs to be redesigned in a way that decreases either the likelihood or the consequences of that risk.

(b) Choose and describe risk response

The next steps define and describe which type of risk response to implement. There are four main strategies to consider:

- *Avoid/Terminate:* Redesign or terminate (parts of) the programme or project. For instance, suspend payments in order to clarify issues that may represent risks.
- *Transfer/Share:* Share risk with other partners/funders, pass the impact of the risk to a third party.
- *Accept:* Accept the risks without any mitigating actions, but monitor and manage if the risk level increases. Taking risk is sometimes necessary e.g. in order to reach important policy objectives (the consequences of not taking the risk may be higher than the consequences of not doing anything), or because the mitigating actions required to reduce the risks are not cost-effective. Accepting major/critical risks should always

be documented and justified, discussed in a frank and open manner between the Fund Operator and the FMO. It is typically low-level risks one would choose to accept.

- *Mitigate:* measures and actions to reduce likelihood or consequences. This is the most common risk response, especially with major risks. Mitigating actions are defined as concrete activities required to reducing either the likelihood or the consequences of a specific risk. Mitigating actions should always be related to the specific risk they are intended to address, and must not be presented in general terms.

Risk management

As risks are potential threats to the achievement of planned results, Fund Operators need to pay careful attention to the risks identified in the programme development stage. Mitigating measures should as far as possible be incorporated in the regular work plans of the

> **!** A management and control system must include mechanisms for results monitoring.

programmes or projects. This way, risk management can become part of the daily working routines. In parallel to the monitoring of progress towards results, changes or modifications in the programme's environment may lead to new risks arising, or to major risks disappearing. If any new risks are identified, or changes in circumstances occur, then these must be reassessed and added to the Risk Assessment and Mitigation Analysis submitted in the Annual Programme Report and to work plans/budgets.

Managing and monitoring risks in a systematic, methodological way ensures that we are concentrating on the most important risks (not too many, not too few), and that the work to reduce these risks is kept up to date.

4. Enter into programme implementation agreement

On the basis of the concept note and the donors' comments to it, the FMO must prepare a draft programme implementation agreement setting out the terms and conditions of the programme, as well as the roles and responsibilities of the parties.

At this stage, an implementation plan and timeline including, but not limited to, a risk assessment and mitigation analysis, indicative plan for bilateral cooperation and regional civil society initiatives for the first year and a communication plan will be requested in order to finalise the programme implementation agreement.

The process leading to a draft programme implementation agreement must address all comments provided by the donor states, and discuss and clarify all issues regarding the operation of the programme. Once all issues are agreed upon, the finalised draft Programme implementation agreement will be submitted to the donor states. The donor states might reject the programme in cases where a mutual agreement has not been reached. When approving the programme, the donor states may decide to set conditions and/or require modifications to the draft programme implementation agreement.

5. Identify potential projects

The programme model is designed to better focus efforts and to ensure more targeted support. Fund Operators are tasked with awarding funding to projects under their programmes.

Programmes need to be 'populated' by projects. This can be done in two ways:

- Through open calls
- Through pre-defined projects (in justified cases, and in agreement with the FMO).

Pre-defined projects must be identified in the concept note.

Calls for proposals

Calls for proposals are issued by the Fund Operator, and content, form and publication must comply with the requirements listed in the Programme Implementation Agreement and Civil Society Manual. The calls must specify eligible applicants and possible project partners, include detailed selection criteria (administrative, eligibility and evaluation criteria), be widely publicised and allow ample time for proposals to be submitted.

Calls for proposals must **include the relevant parts of the programme's results framework and explicitly state which outputs the projects are to deliver** and which indicators they are to report against. The call text and the subsequent project contracts with the selected project promoters must include a provision that the selected projects report on results achievement based on outcome indicators from the results framework in the programme implementation agreement.

It is the Fund Operator's responsibility to ensure that the individual projects selected under a programme contribute to reaching the *outcome(s) of the programme*. The call text must be shared with the FMO no later than two weeks prior to the scheduled launch for the call. The FMO may request modification of the call text in order to ensure compliance with the Programme

> **!** Calls for project proposals must be based on the identified outcomes of the programme for which the call is issued.

Implementation Agreement and this Manual. The FMO notifies the Fund Operator no later than one week before the scheduled launch of the call of any suggestions or recommendation for improvement.

Registering projects with the FMO

For each approved project, the Fund Operator must be responsible for providing the information requested by the FMO. The Fund Operator must submit specific project information:

- no later than 15 calendar days after the signing of the project contract;
- no later than 15 calendar days after amendments in projects or revision of project information.

It is the FO's responsibility to ensure a good quality of the data transmitted via the information system. Fund Operators must:

- ensure that correct information about calls, projects and achievements is submitted in a timely manner;
- conduct periodical checks of the information previously submitted and submit any necessary updates.

6. Conduct monitoring

Capturing results is not only important for transparency and accountability but also to ensure continued success and to enable learning. This makes it possible for all involved parties to learn along the way and make adjustments when needed.

Monitoring types and approaches

FOs should not only be concerned with asking '*Are we taking the actions we said we would take*?' but should also ask '*Are we making progress on achieving the results that we want to achieve?*' In practice, this means that the FMO and Fund Operators should employ not only compliance-based monitoring, risk-based monitoring, but also place a strong emphasis on results-based monitoring.[3]

Compliance-based monitoring (administrative and on-the-spot verifications) entails implementation, compliance and finance-based tracking. This type of monitoring reviews the use of allocated funds to ensure that financial resources are in line with activities which were planned to achieve certain results. This approach answers the questions '*Did they do it? Did they mobilise the needed inputs? Did they carry out the agreed activities? Did they deliver the intended outputs?*' It is important to establish a monitoring or control system to check whether money designated for planned activities is indeed being used for those. For more information please see the Civil Society Manual Chapter 9.2 on financial verifications. This approach does not, however, provide the Fund Operators or project promoters with knowledge about the success or failure of that particular project or programme.

Risk-based monitoring entails focusing more on those programmes/projects which pose a risk. Risks could stem from the fact that there is some element of non-compliance, or because there is a risk that intended programme/project results will not be achieved. This monitoring, review of strategies and actions taken by partners and other stakeholders, helps to determine if actions need to be taken to ensure progress toward the most important outcomes.[4]

Monitoring, reporting and evaluation

Monitoring is the observation of programme and project implementation to ensure that agreed procedures are followed, to verify progress towards agreed outcomes and outputs and to identify potential problems in a timely manner so as to allow for corrective action.

Reporting is the presentation of monitoring information. Reporting takes place at different levels, involves different actors and follows various cycles. Project promoters, Fund Operators and the FMO are all reporting. Some reports are made accessible to the general public.

Evaluation is a systematic, objective and independent assessment of the design, implementation and/or results achieved in programmes and projects with the aim of determining the relevance, coherence, consistency, effectiveness, efficiency, impact and/or sustainability of the financial contribution.

None of the above should be confused with audits, which are systematic appraisals providing assurance on any of the following: the legality and regularity of expenditure; whether funds have been used efficiently, economically, and effectively; whether management and control systems were designed in compliance with regulatory requirements, are proportional, and are operating effectively.

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[3] All three types of monitoring should also be cross-referenced in the management and control system description.
[4] Excerpts related to Implementation Monitoring and Results Based Monitoring are adapted from "Ten Steps to a Results-Based Monitoring and Evaluation System"; Kusek and Risk; the World Bank; 2004.

If monitoring reveals that a programme/project is not on track with implementation progress or financing as planned, discussions surrounding the difficulties should be held with the FO, FMO, project promoter, partners and stakeholders and recommendations should be made during the monitoring exercise to rectify the problem. Fund Operators/project promoters should take actions to modify the project plans as necessary, within the scope of the framework of the Programme Implementation Agreement and project contract, in order to get the project back on track toward a successful outcome and to achieving results as planned.
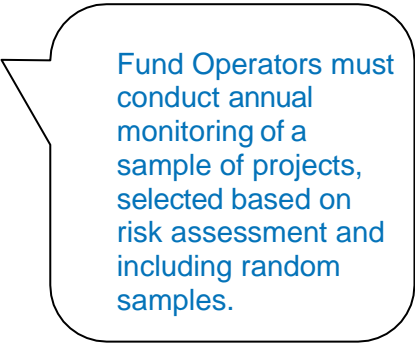
Results-based monitoring is designed to answer the question '*So what?*' and takes implementation monitoring a step further. With this type of monitoring one can answer such questions as: '*What have been the results of the programme/projects for its intermediaries and end beneficiaries? What is important about the fact that outputs have been generated? Have the objectives of the programme/project been achieved via the outcomes? What is the perception of change among stakeholders? How have partnerships been successful (or not) in achieving the desired outcomes?*' This type of monitoring gives the FMO, Fund Operators, and project promoters important feedback on the extent of progress as well as the intended results.

Monitoring planning and tools

Project promoters implement projects and they report on the implementation to the Fund Operators. The Fund Operator subsequently reports to the FMO via the Annual Programme Report. The FOs are responsible for monitoring the overall implementation of all projects within the programme portfolio.

Several standard tools should be used by the Fund Operator for carrying out monitoring. Some key tools are outlined in the following section below. While

the main tools cited here are typical monitoring methods, we encourage frequent and regular flow of information between project promoters and Fund Operators. This is even more important when projects are undergoing difficulties in implementation, and require more frequent checks (monitoring). Telephone calls can be an excellent tool for remaining in closer contact, especially if coupled with additional reporting (with shorter, more pointed reports on the critical issues). This type of monitoring helps resolve bottlenecks in a timely manner by the FO.

> Fund Operators must conduct annual monitoring of a sample of projects, selected based on risk assessment and including random samples.

It is important to remember that follow-up actions must be taken as soon as possible when projects or programmes deviate from plans and timelines. Making use of the tools is important, but expediting the follow-up actions by concerned stakeholders is equally important.

Monitoring plans

As noted in Chapter 8 of the Programme Implementation Agreement and Chapter 6 of the Civil Society Manual, the system for verification, audit and monitoring should be included in the management and control system description of the Fund Operator, which must be submitted to the FMO 3 months from the approval of the programme. The system for monitoring should already take into account the requirements of a monitoring plan, which must

be later presented as part of the Annual Programme Report. See the Suggested monitoring plan template in annex on page 61.

Monitoring Tools

> **Recommended criteria for choosing on-site monitoring visits**
>
> 1) Projects which have a significant impact on the overall objective of the programme should be monitored at least once during the life of the project implementation.
>
> 2) Projects or programmes considered of interest to multiple stakeholders should be monitored to learn more on-site regarding project results. Projects or programmes which are particularly innovative should be checked at least once during the implementation cycle.
>
> 3) Projects exceeding a certain pre-established euro value should be monitored at least once during the lifetime of the project implementation.
>
> 4) Programmes/projects deemed to be at high risk should be monitored and scheduled for a site visit as soon as possible.
>
> 5) For large programmes, those with 30 or more projects, a certain number of projects should be selected for monitoring via a site visit on a random basis. The FMO recommends that each year, a minimum percentage of projects within a programme is monitored on a random basis (such as 5-10%), to ensure the smooth running of the projects.

1. On-site monitoring visits

On site monitoring visits are important monitoring tools, particularly since the monitoring takes place in real time. A site visit is important particularly when projects are perceived to be at risk. However, site visits are also good opportunities for frank discussions among stakeholders regarding progress and planning.

The aim of the monitoring visit is to:

a. discuss project results with relevant stakeholders, based on the initial plans[5];
b. discuss other issues of project implementation and risks to successful completion;
c. consider risk mitigation measures;
d. ensure that adjustment to the projects or programme are discussed, such that results can be attained as planned.

On-site monitoring visits can be merged with on-the-spot verifications. For more information please see the Civil Society Manual section 9.6.4 on verifications.

After the site visit is carried out, the monitoring agent should draft a short report to record what areas of the project or programme have been checked and to list any areas for improvements or modifications. See page 62 for the Suggested monitoring report template for reports from on-site monitoring visits.

2. Review of periodic reports from Project Promoters

For the Fund Operator, the review of period reports submitted by PPs is an important monitoring tool. Those reports provide an overall picture of how the projects are implemented and should indicate significant progress toward the planned results. If the management or implementation is not advancing as planned, it will be

imperative to discuss and implement solutions, so that the project can get back on track.

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[5] Stakeholders in a project or programme may be local community members or civil society organisations who may benefit from the results. They may also be local public authorities. It is important to include beneficiaries of the results during monitoring, to ensure that results are achieved in targeted communities.

3. Review of financial reports from Project Promoters (administrative verifications)

When reviewing the financial reports for projects, and as part of results-based monitoring, Fund Operators should review the stated progress of the project and check whether progress is going according to the implementation plan established at the outset. If substantial deviations occur, the Fund Operator should discuss the deviations with the relevant implementing organisation and encourage the project manager to implement corrective measures accordingly and as soon as possible.

4. Telephone 'meetings' or project meetings at the Fund Operator's offices

Telephone or office meetings, which are less structured than on-site meetings, are also important monitoring tools. Such meetings are less formal, but nonetheless provide valuable opportunities for learning of project or programme updates. Notes from such discussions should be kept on file with the project documents, and follow-up measures should be taken as necessary, depending on the conversation or meeting conclusions.

Programme modifications

Monitoring can uncover information which calls for modifying the programme. It is possible to make modifications under certain circumstances. Keep in mind, however, that any revision to the outputs, outcomes, indicators or targets need to harmonise with the overall results chain, so that the cause-and-effect chain is not broken. These modifications are subject to approval by the FMO and can only be done in consultation with the FMO.

7. Report on progress and results

There are several types of results-based reports:

- **Annual Programme Reports (APR)** – The main purpose of the Annual Programme Report (APR) is to report on the implementation progress and achievements in each programme during the preceding calendar year. Reporting on output and outcome achievements must always be directly related to the latest approved version of the results framework. The APR is due on 15 February.

- **Interim Financial Reports (IFR)** – IFRs are to be submitted twice a year (15 March and 15 September). The September IFR requires the FOs to provide information on progress towards achieving outputs and outcomes, as well as milestones. This provision will normally only be applied once the projects are up and running (see explanation on staggered reporting on the next page).

- **Project-level information (PLI)** – Information on project achievements and their contribution to the programme's outcomes and objective must be submitted to the FMO once a project has been finalised.

- **Final Programme Reports (FPR)** – Final Programme Reports must cover the entire programme period and account for the results, with a focus on outcome-level results and other tangible benefits to the beneficiaries of the programme. The Final Programme Reports will be published.

The reporting cycle shows the different types of reports through the year. The obligations relating to reporting on results are highlighted in blue.
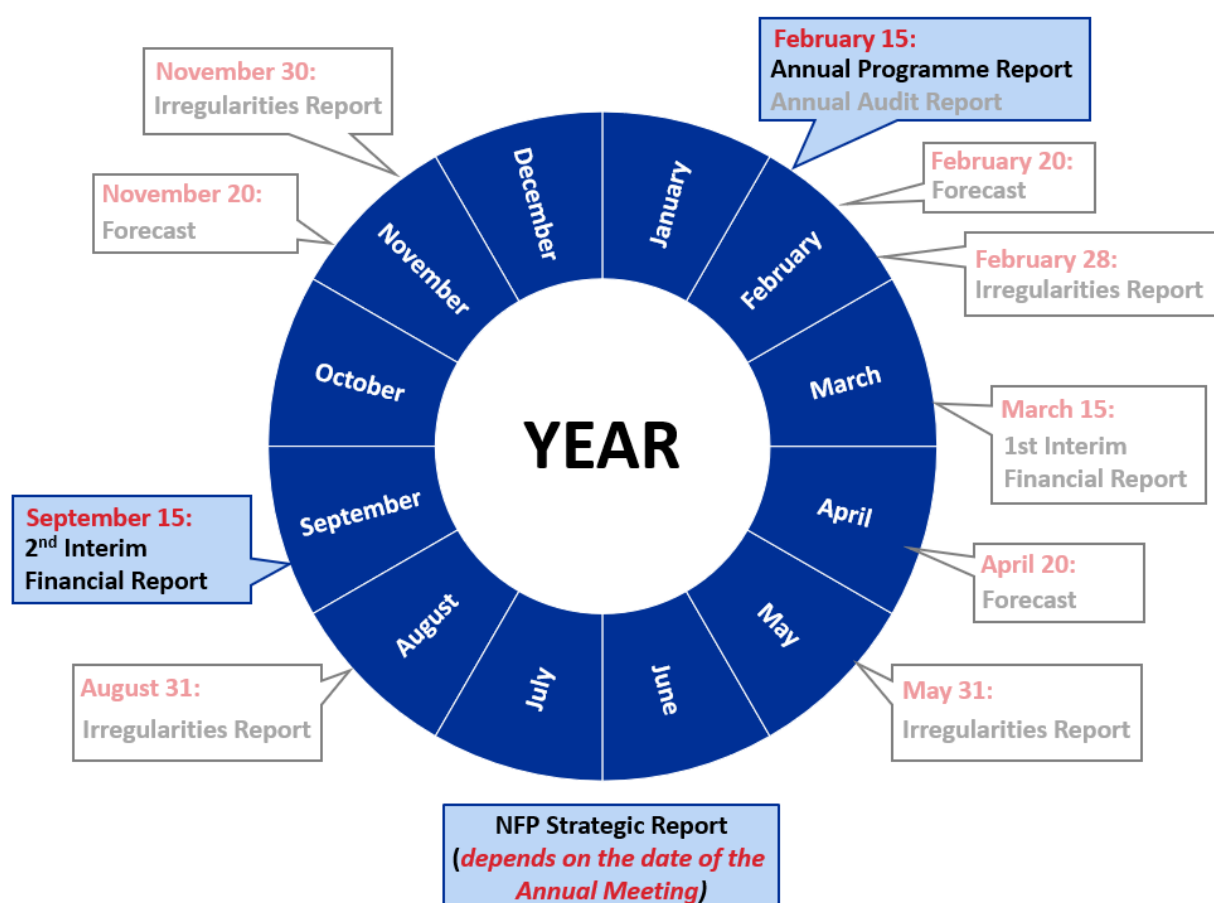
In the 2014-2021 EEA and Norwegian Financial Mechanisms, a **staggered reporting approach** has been introduced for the Annual Programme Reports, whereby only what is really needed in that calendar year is requested. That means, for example, that FOs may not be required to provide information on outcome and output achievements in the first year(s), when the programmes are only organising and launching open calls. Once the projects are up and running, reporting on output, and subsequently outcome, achievements will be added to the APR.

(Annotated) templates for annual programme reports will be made available to each Fund Operator at least 6 months prior to the report being due. Fund Operators are required to use these templates.

8. Evaluate programmes

Evaluation is a systematic, objective and independent assessment of the design, implementation and/or results achieved in programmes and projects.

A key distinction between evaluation and monitoring is that evaluations are carried out by an independent person or organisation, not involved with project or programme implementation. Evaluations are also more rigorous than monitoring in their procedures, design and methodology, and generally involve more extensive analysis. This analysis leads to learning. This learning should be shared with partners and other stakeholders, using the knowledge to inform and improve future decision-making.

Table 5: Comparison between monitoring and evaluation[6]

	Monitoring	**Evaluation**
Timing	Continuous	Periodic: at important milestones such as the mid-term of programme implementation; at the end or a substantial period after programme conclusion
Depth	Keeps track over a fairly short term; oversight; analyses and documents progress	In-depth analysis; Compares planned with actual achievements
Focus	Focuses on inputs, activities, outputs, implementation processes, continued relevance, risk, likely results	Focuses on outputs in relation to inputs; results in relation to cost; processes used to achieve results; overall relevance and coherence/ consistency with national strategies or plans; impact; and sustainability
What is learned?	Answers questions related to what activities were implemented and which results were achieved	Answers questions related to why and how results were achieved. Contributes to building theories and models for change
How is learning used?	Alerts managers to problems and provides options for corrective actions (risk management)	Provides managers with strategy and policy options
Internal or external assessment?	Normally a self-assessment by programme managers, public agencies, community stakeholders, and donors. External consultants may be engaged to carrying out monitoring activities as well.	Analysis by external evaluators.

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[6] Sources: UNICEF and WFP.

Evaluation types and approaches

One normally distinguishes between ***formative*** and ***summative*** evaluations. While a formative evaluation focuses on the learning aspect, a summative evaluation is mainly undertaken for the purpose of accountability (control). Evaluations will normally have both summative and formative characteristics.

Defining the purpose of the evaluation is one of the most important tasks in the evaluation process. The evaluation purpose should be formulated in a way that specifies how the information from the evaluation is to be used.

- Will it be used to help steer a programme more effectively in the future?

- Will it be a tool which can help understand what went right/ wrong and how one can improve in future programmes in a specific area, such as: programme management, improved ways of working in partnership with donor states, or the use of more relevant technologies?

Evaluations are primarily backward-looking *(ex-post)* and focus on activities that have been concluded. They may, however, also be performed for ongoing activities of the Active Citizens Funds, such as in *mid-term programme evaluations.*

An evaluation of high quality is based on facts, reliable data, and/or observations. For the sake of transparency, the results should be publicly accessible, not least to enable others to check facts and the soundness of the analysis. Relevant stakeholders in both the beneficiary state and the donor states should be identified, in coordination with the FMO, and consulted in connection with the evaluation and its implementation, including in the formulation of the Terms of Reference (ToR) and through comments to the draft evaluation report. Evaluations must be impartial and provide a balanced view of strengths and weaknesses. In so far as different parties have conflicting views, the evaluation report should reflect and acknowledge these.

To ensure the greatest possible objectivity, the consultants conducting the evaluation must not have been involved in the planning or implementation of the intervention being evaluated, nor must they have been involved in the activities which are being evaluated, or have any personal interest in the conclusions.

Evaluation criteria

There is a high degree of international consensus with respect to criteria to be applied in evaluations[7]. For the Programmes and Funds supported though the EEA and Norway Grants in the 14-21 Financial Mechanisms, the definitions of evaluation criteria are presented below. Every time "Programme/Fund" is mentioned, it also means all of the projects included therein, both from administrative and content points of view.

Keep in mind that **not all the criteria need to be applied to <u>every individual</u> evaluation.**

> **RELEVANCE:** Is the intervention doing the right things?
>
> The extent to which the Programme's/Fund's objectives and design respond to beneficiaries', country, Donor States', European, and institutions' needs, policies, and priorities, and continue to do so if circumstances change.

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[7] See e.g. OECD, https://www.oecd.org/dac/evaluation/revised-evaluation-criteria-dec-2019.pdf.

Comment:	*This criterion should assess whose interests the Programme/Fund serves. It should verify if the design of the Programme/Fund was based on genuine interests and priorities of the target group(s).*

EFFECTIVENESS: Is the intervention achieving what it was set to acheive?

The extent to which the Programme/Fund achieved its planned results, including any differential results across groups.

Comment:	*"Results" means both outputs and outcomes, with an emphasis on the latter.*

EFFICIENCY: How well are resources being used?

The extent to which the Programme/Fund delivers, or is likely to deliver, results in an economical and timely way.

Comments:	*This criterion goes beyond asking if the Programme/Fund could have been delivered cheaper, but rather investigates if results of equal or better quality could be (or could have been) achieved with less financial, human or other resources.* *"The most economical way" means the conversion of inputs (funds, expertise, natural resources, time, etc.) into outputs and outcomes as compared to feasible alternatives in the context in which the Programme/Fund was implemented.* *The criterion also includes operational efficiency: how well was the intervention managed?*

COHERENCE: How well does the intervention fit?

The degree of compatibility of the Programme/Fund with other interventions in a country, sector or institution.

Comments:	*Coherence includes analysing synergies and linkages between other interventions carried out by the same institution (Programme Operator or Fund Operator). Coherence also implies consistency of the activities with other actors' interventions in the same sector/programme area (for example of activities financed by the EU Structural Funds); complementarity, harmonisation and co-ordination with others; and extent to which the Programme/Fund is adding value while avoiding duplication of effort.*

SUSTAINABILITY: Will the benefits last?

The extent to which the benefits of the Programme/Fund continue or are likely to continue.

Comment	*"Benefit" means a positive change with lasting effects. It should materialise not only on an output level, but also on the level of outcomes, and impact.*

IMPACT[8]: What difference does the programme/fund make?

The extent to which the Programme/Fund has generated or is expected to generate significant positive or negative, intended or unintended, higher-level effects.

Comments:	*"Higher-level effects" means social, economic, and environmental effects that are long-term and/or broader in scope. This means the objectives beyond programme outcomes: objectives of the Programme Area and the objectives of the Grants.* *Regarding any potential negative effects, the Programme/Fund must comply with the 'do no harm principle', and consideration should be given to how those negative effects might be (might have been) mitigated.*

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[8] We do not recommend applying this criterion to mid-term evaluations.

Evaluation planning and tools

Planning of evaluations contributes to the design and implementation of evidence-based programmes and policies. When one plans in advance (at the design stage) for what one wishes to measure at mid-term, or at the end of a programme, one builds in measures or data points which can be used during an upcoming evaluation.

Before an evaluation is started and its terms of reference are drawn up, the following issues need to be decided:

- What is the intended **use of the evaluation**? Who will use the evaluation? When will the results be available?
- What will be the **scope of the evaluation?** A description of the evaluation scope, the background and context, as well as the scope of the contribution of the Active Citizens Funds, and target groups directly affected and the programme's relative importance in the beneficiary state. Will the evaluation concentrate on special themes or issues? Is the main focus on the process or on the results?
- Since an evaluation cannot cover all things, it is important to limit the scope of what will be assessed: What are the **limits or parameters for carrying out the evaluation**? Are there special factors that decide the choice of time period, geography, target groups or Programme area?

Fund Operators are required to commission an evaluation of their programme at some point during the period of the 2014-2021 EEA and Norwegian Financial Mechanisms. Fund Operators are therefore asked to draw up an evaluation plan to be presented in the Monitoring and Evaluation Plan. The Fund Operators should also ensure that the resources necessary for carrying out evaluations are available, and must ensure that procedures are in place to produce and collect the necessary data.

To ensure good design and content of the programme evaluation plan, it is suggested that the plan include the following elements:

- the subject and rationale of the evaluations(s);
- the proposed methods to be used for the programme evaluation, and its associated data requirements;
- provisions that data required for evaluations will be available or will be collected;
- an indicative timetable for commissioning each evaluation;
- the indicative budget for implementation of the plan;
- (an estimate of the human resources involved, including a training plan for them);
- (a strategy to ensure use and communication of evaluations). See the Suggested evaluation plan template in annex on page 63.

> **!** The budget for the evaluation should be proportionate to the scope of the evaluation and the number of questions to be answered.

Based on the plan, the terms of reference (ToR) should be prepared for each planned evaluation, in due course. See the Suggested template for terms of reference for evaluations in annex on page 64.

During evaluation planning, specific questions need to be developed.

> ❗ Whenever a particular evaluation criterion is used in an evaluation, mandatory common questions need to be included.

The mandatory common questions are not the only questions an evaluation should answer. They should be accompanied by other questions.

RELEVANCE:

- How well designed is/was the Programme/Fund?
- In what way does/did the Programme/Fund address the needs of stakeholders (organisations/institutions, target groups)?

EFFECTIVENESS:

- To what extent were the outputs produced and outcomes achieved to the desired quality (as opposed to quantity)? Which factors influenced the achievement of the results (outputs and outcomes)?
- Did any other outputs beyond those listed in the results framework materialise and contribute to the planned outcome(s)? If so, which?
- Did any other outcomes beyond those listed in the results framework materialise and contribute to the programme objective? If so, which?

EFFICIENCY:

- To what extent did the Programme/Fund deliver, or is likely to deliver, the planned results (outputs and outcomes in the results framework) in an economic and timely way?
- Has the implementation of the Programme/Fund experienced any delays? If so, which?

COHERENCE:

- What were the synergies and linkages with other interventions by the Programme/Fund Operator?
- Does the Programme/Fund add value, while avoiding duplication, with other similar programmes in the same programme area(s)? If so, how?

SUSTAINABILITY:

- To what extent are the benefits of the Programme/Fund likely to continue in the next five years?
- What are the financial, economic, social, environmental and institutional capacities of the systems needed to sustain the benefits over time?

IMPACT:

- To what extent did the Programme/Fund spur (or is expected to spur) broader social, environmental or economic effects on people's well-being, human rights, equality, or the environment, beyond its direct beneficiaries?

Evaluation reports

A draft evaluation report must be submitted to the FMO for comments. Other relevant stakeholders may also be invited to comment on the report.

See the Suggested outline of an evaluation report in annex on page 66.

The final evaluation report and a summary for the general public must be published.

Learning and follow-up on evaluation findings

Perhaps the most important part of an evaluation is how the findings are disseminated and how the recommendations are followed up. The section on recommendations in the evaluation report should be clearly addressed to the different stakeholders. When the person/entity coordinating the evaluation distributes the evaluation report to the relevant stakeholders, a letter should be attached listing the key recommendations relevant for each specific stakeholder.

Recommended quality checklist for evaluation reports

- the report addresses all questions included in the ToR in a way that reflects their stated level of priority;
- findings, conclusions, and recommendations are presented separately and are logically coherent;
- each recommendation is directed to a specific stakeholder;
- the evaluation methodology is clearly described and different options are explained and justified;
- the data basis for the analysis is verifiable; and
- findings have been validated through triangulation of information (more than 2 sources, data set, theory, analysis to strengthen the argument);
- partners and persons responsible for the programme or project evaluated have had an opportunity to state their views on the quality of the data, the analysis and the assessments;
- where there is a significant divergence in the views of the evaluation team and different parties in the donor state(s) or beneficiary state, this is reflected in the report;
- the presentation in the report is balanced and impartial;
- the report contains practical and useful recommendations targeted towards identified problems.

9. Programme completion

A Programme is completed when the FMO has approved the Final Programme Report (FPR) and all the outstanding financial obligations have been settled.

V. Annexes

1. Glossary of results-based management terminology

ACTIVITY: Action taken or work performed through which inputs, such as funds, technical assistance and other types of resources, are mobilised to produce specific outputs.

ASSUMPTION: A condition necessary for the success of an intervention.

BASELINE: The situation before the start of an intervention – the reference point for measuring change. More specifically, it is the value of a particular indicator at the beginning of an intervention against which variations that occur are measured.

COHERENCE (Evaluation criterion): The compatibility of the Programme/Fund with other interventions in a country, sector or institution.

DATA COLLECTION METHODS: The modality of collecting achievement data. Some examples of data-collection methods are observation; analysis (of media, records or documents); survey; interview; focus groups; collection of anecdotal evidence.

EFFECTIVENESS (Evaluation criterion): The extent to which the Programme/Fund achieved its planned results, including any differential results across groups.

EFFICIENCY (Evaluation criterion): The extent to which the Programme/Fund delivers, or is likely to deliver, results in an economic and timely way.

END BENEFICIARIES: Individuals or groups expected to reap tangible benefits of an intervention. In service provision programmes some outputs are delivered directly to the end beneficiaries. In that case, no intermediary target groups are necessary.

EVALUATION: A systematic, objective and independent assessment of the design, implementation and/or results achieved in programmes and projects with the aim of determining the relevance, coherence, consistency, effectiveness, efficiency, impact and/or sustainability of the financial contribution. Builds on data collected through *monitoring*.

IMPACT (Highest level of results): Effects of an intervention on society or the environment (positive or negative, direct or indirect, intended or unintended).

IMPACT (Evaluation criterion): The extent to which the Programme/Fund has generated or is expected to generate significant positive or negative, intended or unintended, higher-level effects.

INDICATOR: A quantitative or qualitative variable that specifies what is to be measured along a scale or dimension. It should always be expressed in neutral terms: it should neither indicate the direction or change nor embed a target.

INPUT: The financial, human, material, technological and information resources used for interventions (projects and/or programmes).

INTERMEDIARIES: A target group the programme seeks to influence in order to achieve results for the end beneficiaries.

MONITORING: The observation of programme and project implementation in order to ensure that agreed procedures are followed, to verify progress towards agreed outcomes and outputs and to identify potential problems in a timely manner so as to allow for corrective action. It is

conducted by *data collection* and analysis.

OBJECTIVE: *See IMPACT (Highest level of results).*

OUTCOME: Outcomes are the (short and medium-term) effects of an intervention's outputs on the intermediaries or end beneficiaries. Outcomes are rarely under the direct control of a programme/project.

OUTPUT: Outputs are the products, capital goods and services delivered by a programme to the intermediaries. Outputs are easy to attribute directly to the resources used and the activities performed. They are usually within the greatest control of the implementing organisation.

PROJECT: An economically indivisible series of works fulfilling a precise technical function and with clearly identifiable aims related to the programme under which it falls.

PROGRAMME: A structure setting out a development strategy with a coherent set of measure to be carried out through projects with the support of the EEA and Norwegian Financial Mechanisms 2014-2021 and aimed at achieving agreed objectives and outcomes.

RELEVANCE *(Evaluation criterion):* The extent to which the Programme's/Fund's objectives and design respond to beneficiaries', country, Donor States', European and institutions' needs, policies, and priorities, and continue to do so if circumstances change.

RESOURCES: Inputs and activities towards achieving results. See *INPUT* and *ACTIVITY.*

RESULT CHAIN: An illustration of the anticipated causal relationship between resources and results over time.

RESULTS: Results are the outputs, outcomes and impact of an intervention or a programme.

RESULTS-BASED MANAGEMENT (RBM): Results-based management is a management strategy by which all actors, contributing directly or indirectly to achieving a set of results, ensure that their processes, products and services contribute to the achievement of the desired results. The approach focuses on achieving specified outputs and outcomes, measuring performance, learning and adapting, as well as reporting on achievements.

RESULTS FRAMEWORK: An explicit tabular articulation of the result chain showing the causal sequence for an intervention that stipulates the necessary sequence to achieve desired results – beginning with outputs, culminating in outcomes, and leading to impacts.

RISK: An event or circumstance that may affect the achievement of expected results.

RISK MANAGEMENT: A continuous, proactive and systematic process of identifying, assessing and managing risk in line with the accepted risk levels to provide reasonable assurance as to achieving the expected results.

SOURCE OF VERIFICATION: Source (location) of the data to be collected for a particular indicator.

SUSTAINABILITY *(Evaluation criterion):* The extent to which the benefits of the Programme/Fund continue or are likely to continue.

TARGET: A particular value for a performance indicator to be accomplished by a specific date in the future. It is what the intervention would like to achieve within a certain period of time in relation to one of its expected results (outputs, outcome and/or impact).

TARGET GROUP: See *INTERMEDIARIES and END BENEFICIARIES.*

2. Guidance on outcomes and indicators for the Active Citizens Fund

2.1   Objectives of the guidance on outcomes and indicators

This document provides guidance on the design of the results framework for the Active Citizens Funds under the EEA Grants 2014-2021. It aims to improve the quality of the outcomes and indicators and ensure consistency in the methods of reporting and aggregation of data across the Active Citizen Funds.

FOs are encouraged to align their outcomes and indicators to this framework as much as possible when reporting to the FMO, to allow for aggregated results tracking and reporting across programmes. FOs must select the outcomes and indicators that are appropriate to their programme. The wording of core indicators, where used, should be aligned to the Core Indicator Guidance as much as possible (see below). However, for other indicators, FOs can vary the wording of outcomes and indicators to their specific context, and may wish to use additional outcomes and indicators.

This document includes the compulsory bilateral outcome "Enhanced collaboration between beneficiary and donor state entities involved in the programme" and four compulsory bilateral outcome indicators.

FOs are required to track the geographic location of projects/CSOs funded under the ACF programmes, to be able to report against the country-specific areas and concerns on under-served geographic areas.

Core indicators

Relevant 'core indicators' that are used across all Programme Areas of the EEA and Norway Grants 2014-2021 are integrated into this document. Of them, two are mandatory for all ACF programmes and apply to the entire programme, regardless of which outcome the funding was channelled through: (1) **Number of people engaged in CSO activities**; (2) **Number of CSOs directly funded**.

These two mandatory indicators are not tied to any specific outcome or output but capture the aggregate values across the entire programme. When reporting on them, double counting must be strictly avoided. In other words, only unique CSOs directly funded are to be counted. Definitions and methodology for these core indicators are outlined in the FMO Core Indicator Guidance. The EEA and Norway Grants' information system will integrate the two mandatory indicators into the reporting interface.

Wherever Core indicators are used, please refer to the FMO Core Indicator Guidance document for definitions of each Core indicator as well as guidance on how to measure, monitor and report them.

Use of this guidance

This guidance is intended for use during two stages of programme development:

i.   **Guidance for bidders for the Fund Operator role** when preparing the programme result chain, comprising expected outcomes, outcome indicators and key risks to outcomes.

ii.   **Guidance for selected Fund Operators** when preparing the results framework annexed to the Programme Implementation Agreement (see Mandatory results framework template on page 57).

2.2 Suggested Outcomes and Indicators for the Areas of Support

Possible outcomes	Suggested indicators[9]	Possible disaggregation	Comment
Mandatory core indicators[10] applied at programme level	Number of people engaged in CSO activities[11] (outcome)[12]	Gender, age, ethnicity/language (e.g. Roma)	
	Number of CSOs directly funded (output)	Size/type of CSO	

	Area of support 1: Democracy, active citizenship, good governance and transparency		
Increased citizen participation in civic activities[13]	Number of people engaged in CSO activities[14] (outcome)[15] – applied at programme level	Gender, age, ethnicity/language (e.g. Roma)	
Public institutions consult CSOs in decision making processes[16]	Number of people participating in consultations with a public decision-making body (outcome)	Gender, age, ethnicity/language (e.g. Roma)	
	Number of national policies and laws influenced (outcome)[17]		
	Number of local policies and laws influenced (outcome)		To be separated into distinct indicators
	Number of: (1) operational guidelines by public institutions influenced; (2) judicial decisions influenced (outcome)		
	Number of CSO initiatives consulting people on public policy decisions (output)		
	Number of CSO submissions aimed at influencing (1) policies and laws (2) operational guidelines by public institutions at local or national level; (3) judicial decisions (output)		

[9] Many quantitative indicators should be supplemented with qualitative (narrative) information on the indicator, to be reported in the Annual and Final Programme Reports.

[10] These two indicators apply to the entire programme, regardless of which outcome the funding was channelled through. They are not tied to any specific outcome or output but capture the aggregate values across the entire programme. When reporting on them, double counting must be strictly avoided. Wherever core indicators are used, please refer to the FMO Core Indicator Guidance document for definitions of each core indicator as well as guidance on how to measure, monitor and report them.

[11] CSOs are defined as civil society organisations supported by the Active Citizens Funds, both project promoters and their partners.

[12] People, persons or individuals refers to individuals who are targeted by projects that are supported by the ACF.

[13] CSO/civic activities are activities that engage the active participation of citizens in initiatives that address their needs and/or aims.

[14] CSOs are defined as civil society organisations supported by the Active Citizens Funds, both project promoters and their partners.

[15] People, persons or individuals refers to individuals who are targeted by projects that are supported by the ACF.

[16] Public institutions refer to local, regional or central government institutions and public authorities/agencies.

[17] Wherever core indicators are used, please refer to the FMO Core Indicator Guidance document for definitions of each core indicator as well as guidance on how to measure, monitor and report them.

	Number of practices, policies, laws consulted with CSOs (output)		
Strengthened democratic culture and civic awareness[18]	Share of persons who show civic awareness (outcome) Number of institutions providing civic education (outcome) Number of CSOs engaged in civic education (output) Number of students educated about civic rights (output)	Gender, age, ethnicity/language (e.g. Roma)	Baseline needed once projects are selected Baseline needed once projects are selected
Strengthened civil society watchdog/advocacy role	Number of national policies and laws influenced (outcome)[19] Number of local policies and laws influenced (outcome) Number of: (1) operational guidelines by public institutions influenced; (2) judicial decisions influenced (outcome) Number of initiatives successful in obtaining information on public/private decision-making (outcome) Number of CSOs using evidence/research to support their advocacy and policy work (outcome) Number of CSO submissions aimed at influencing (1) policies and laws (2) operational guidelines by public institutions at local or national level; and/or (3) judicial decisions (output) Number of CSOs engaged in monitoring public and private decision-making (output) Number of legal actions on transparency and good governance filed/lodged (output) Number of initiatives (including Freedom of Information requests) to promote transparency in public/private decision making (output)		To be separated into distinct indicators Baseline needed once projects are selected To be separated into distinct indicators

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[18] Democratic political culture depends on the acceptance by both citizens and political elites of a shared system of democratic norms and values. These include tolerance of diversity, interpersonal trust, social capital and a sense of political efficacy on the part of individuals. A democratic political culture also requires that citizens have knowledge about their system of government.

[19] Wherever core indicators are used, please refer to the FMO Core Indicator Guidance document for definitions of each core indicator as well as guidance on how to measure, monitor and report them.

	Number of CSOs supported to conduct research informing their advocacy work (output)		

	Area of support 2: Civil society organisations actively defend human rights and promote equal treatment on the grounds of racial or ethnic origin, religion or belief, gender, disability, age, sexual orientation, or gender identity		
Increased support for human rights	Share of target group favourable to human rights (outcome)	Gender, age, ethnicity/language (e.g. Roma), migration status	Baseline needed once projects are selected
	Share of people who disapprove of public statements that express negative views or hatred towards specific groups in society (outcome)		Baseline needed once projects are selected
	Share of people who know it is a crime to incite hatred based on race, ethnicity or gender (outcome)		Baseline needed once projects are selected
	Number of beneficiaries of services provided (outcome)[20] [21]		
	Number of advocacy/awareness raising campaigns carried out on human rights (output)[22]		To be separated into distinct indicators (advocacy/ awareness-raising)
	Number of advocacy/awareness raising campaigns carried out on counter speech and anti-discrimination (output)[23]		
	Number of CSOs engaged in advocacy work on human rights (output)		
	Number of CSOs registering and reporting human rights violations (output)		

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[20] See Programme Area Specific: 'Provision of welfare and basic services shall only be supported as part of actions addressing awareness-raising, advocacy, empowerment and reform initiatives'. These services could include e.g. legal aid to protect against discrimination or to defend human rights; etc.

[21] Wherever core indicators are used, please refer to the FMO Core Indicator Guidance document for definitions of each core indicator as well as guidance on how to measure, monitor and report them.

[22] Wherever core indicators are used, please refer to the FMO Core Indicator Guidance document for definitions of each core indicator as well as guidance on how to measure, monitor and report them.

[23] Wherever core indicators are used, please refer to the FMO Core Indicator Guidance document for definitions.

	Area of support 3: Social justice and inclusion of vulnerable groups		
Vulnerable groups are empowered[24]	Number of vulnerable individuals reached by empowerment measures[25] Number of beneficiaries of services provided (outcome)[26] Number of unaccompanied asylum-seeking minors receiving services (outcome)[27] [28] Number of children and youth reached, at risk of early school leaving (outcome)[29] Number of CSOs providing economic empowerment training to vulnerable people (output) Number of CSO initiatives consulting vulnerable groups on public policy decisions (output) Number of new or improved methods developed to address the needs of vulnerable groups (output) Number of CSOs advocating for the needs of vulnerable groups (output)	Gender, age, migration status, ethnicity/language (e.g. Roma)	

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[24] The expression 'vulnerable groups' refers to women, ethnic, minorities, immigrants, and other disadvantaged groups, who in many countries have not been part of the traditional mainstream that has benefitted from economic growth. For this reason, these disenfranchised groups have tended not to participate in the political process, nor have they learned the advocacy or monitoring skills needed to represent or safeguard their own interests.

[25] Wherever core indicators are used, please refer to the FMO Core Indicator Guidance document for definitions of each core indicator as well as guidance on how to measure, monitor and report them.

[26] See Programme Area Specific: 'Provision of welfare and basic services shall only be supported as part of wider actions addressing awareness-raising, advocacy, empowerment and reform initiatives'.

[27] See Programme Area Specific: 'Provision of welfare and basic services shall only be supported as part of wider actions addressing awareness-raising, advocacy, empowerment and reform initiatives'.

[28] Wherever core indicators are used, please refer to the FMO Core Indicator Guidance document for definitions of each core indicator as well as guidance on how to measure, monitor and report them.

[29] See Programme Area Specific: 'Provision of welfare and basic services shall only be supported as part of wider actions addressing awareness-raising, advocacy, empowerment and reform initiatives'.

	Area of support 4: Gender equality and gender-based violence[30]		
Improved attitudes towards gender equality and gender-based violence	Share of target group favourable to gender equality (outcome)[31]	Gender, age, ethnicity/language (e.g. Roma)	Baseline needed once projects are selected
	Share of target group disapproving of gender- based violence (outcome)		Baseline needed once projects are selected
	Number of national policies and laws influenced (outcome)[32]		
	Number of local policies and laws influenced (outcome)		
	Number of: (1) operational guidelines by public institutions influenced; (2) judicial decisions influenced (outcome)		To be separated into distinct indicators
	Number of awareness raising campaigns carried out (output)[33]		
	Number of CSOs engaged in advocacy and watchdog work on women's rights (output)		To be separated into distinct indicators
	Number of CSO submissions aimed at influencing (1) policies and laws (2) operational guidelines by public institutions at local or national level; (3) judicial decisions (output)		
	Number of CSOs engaged in monitoring public and private decision-making (output)		

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[30] Indicators under other outcomes may be relevant to this outcome.

[31] Wherever core indicators are used, please refer to the FMO Core Indicator Guidance document for definitions of each core indicator as well as guidance on how to measure, monitor and report them.

[32] Wherever core indicators are used, please refer to the FMO Core Indicator Guidance document for definitions of each core indicator as well as guidance on how to measure, monitor and report them.

[33] Wherever core indicators are used, please refer to the FMO Core Indicator Guidance document for definitions of each core indicator as well as guidance on how to measure, monitor and report them.

	Area of support 5. Environment and climate change[34]		
Increased civic engagement in environmental protection/climate change	Number of people engaged in CSO [environmental protection/climate change] activities (outcome)	Gender, age	
	Number of people participating in decision-making on environmental matters/climate change (outcome)		
Increased access to justice in environmental matters/climate change	Number of national policies and laws influenced (outcome)[35]		To be separated into distinct indicators
	Number of local policies and laws influenced (outcome)		
	Number of: (1) operational guidelines by public institutions influenced; (2) judicial decisions influenced (outcome)		To be separated into distinct indicators
	Number of CSO submissions aimed at influencing [environmental protection/climate change] (1) policies and laws; (2) operational guidelines by public institutions at local or national level; (3) judicial decisions (output)		
	Number of awareness raising campaigns carried out (output)[36]		
	Number of CSOs engaged in advocacy on environmental protection/climate change (output)		
	Number of innovative (new or improved) methods developed to address environmental protection/climate change (output)		
	Number of legal actions on environment/climate change filed/lodged (output)		

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[34] Indicators under other outcomes may be relevant to this outcome.

[35] Wherever core indicators are used, please refer to the FMO Core Indicator Guidance document for definitions of each core indicator as well as guidance on how to measure, monitor and report them.

[36] Wherever core indicators are used, please refer to the FMO Core Indicator Guidance document for definitions of each core indicator as well as guidance on how to measure, monitor and report them.

2.3   Suggested Outcomes and Indicators for Capacity Building[37]

Possible outcomes	Suggested indicators[38]	Possible disaggregation	Comment
Enhanced capacity and sustainability of civil society (organisations and the sector)	Number of CSOs participating in learning initiatives funded by the programme[39] (output)		
	Number of CSOs with transparent and accountable governance procedures[40] (outcome)		Baseline needed once projects are selected
	Number of CSOs with effective management procedures[41] (outcome)		Baseline needed once projects are selected
	Number of CSOs using an M&E system for their work (outcome)[42]		Baseline needed once projects are selected
	Number of CSOs that regularly disseminate information on their activities and results to the public[43] (outcome)		Baseline needed once projects are selected
	Number of CSOs with at least two funding sources, each comprising at least 30% of their total annual budget (outcome)[44]		Baseline needed once projects are selected
	Number of CSOs referencing research/evidence in their advocacy work (outcome)[45]		Baseline needed once projects are selected
	Number of joint initiatives conducted by CSOs in collaboration with other CSOs (outcome)	Public, private, research entities	
	Number of initiatives implemented through partnerships between CSOs and public/private entities (outcome)		

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[37] Indicators in this section may be relevant to the areas of support in section 1 and can be adapted and included among the indicators under section 1.

[38] All quantitative indicators should be supplemented with qualitative (narrative) information on the indicator.

[39] It is recommended that the FO reports on the output 'capacity building provided to CSOs' using the output indicator 'Number of CSOs participating in capacity building initiatives funded by the programme'. FOs should disaggregate this indicator (in their own M&E system) by the different types of capacity building provided by their programme, such as: # CSOs participating in learning initiatives in transparent and accountable governance, # CSOs participating in learning initiatives in effective management, # CSOs participating in learning initiatives in diversifying funding, # CSOs participating in learning initiatives in strategic communications, # CSOs participating in learning initiatives in monitoring and evaluation, # CSOs participating in learning initiatives in accessing and using research/evidence to support their work, # CSOs conducting an assessment of their organisational capacity, #CSO working with Roma/CSO not working with Roma.

[40] Please see Suggested methods for measuring frequently used capacity development indicators on page 54.

[41] Please see Suggested methods for measuring frequently used capacity development indicators on page 54.

[42] Please see Suggested methods for measuring frequently used capacity development indicators on page 54.

[43] 'Regularly' needs to be defined for each project.

[44] Please see Suggested methods for measuring frequently used capacity development indicators on page 54.

[45] Please see Suggested methods for measuring frequently used capacity development indicators on page 54.

Possible outcomes	Suggested indicators[46]	Possible disaggregation	Comment
	Number of national policies and laws influenced (outcome)[47] Number of: (1) operational guidelines by public institutions influenced; (2) judicial decisions influenced (outcome) Number of CSO platforms and networks supported (output) Number of CSOs advocating for improvements to the legal/policy environment for civil society (output) Number of partnerships between established/strong and less established/weaker/smaller CSOs (output) Number of CSOs that are members of civil society networks/platforms (output) Number of partnerships between CSOs and public/private entities (output)		To be separated into distinct indicators

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[46] All quantitative indicators should be supplemented with qualitative (narrative) information on the indicator.
[47] Wherever core indicators are used, please refer to the FMO Core Indicator Guidance document for definitions of each core indicator as well as guidance on how to measure, monitor and report them.

2.4   Suggested Outcome and Indicators for Regional Civil Society Initiatives

Each programme is required to use the common regional civil society outcome.

Outcome	Possible indicators[48]	Possible disaggregation	Comment
Strengthened regional (cross-border) cooperation in the civil society sector	Share of CSOs with improved knowledge from regional cooperation (outcome) Number of initiatives jointly implemented by entities across borders (outcome) Number of CSOs participating in regional cooperation (output) Number of participants in events funded by the regional civil society initiatives fund (output)	Country of origin of CSO	

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[48] All quantitative indicators should be supplemented with qualitative (narrative) information on the indicator.

2.5   Common Bilateral Outcome and Indicators for Bilateral Cooperation

Each programme is required to use the common bilateral outcome and four mandatory bilateral outcome indicators. Other bilateral indicators may be used if relevant, including those from the Core Indicators guidance.

Programme objective: Civil society and active citizenship strengthened and vulnerable groups empowered			
Outcome	**Indicators**	**Possible disaggregation**	**Comment**
Enhanced collaboration between Beneficiary State and Donor State entities involved in the programme	**Mandatory bilateral outcome indicators[49]:** Level of trust between cooperating entities in BS/DS (on a scale) (outcome) Level of satisfaction with the partnership (on a scale) (outcome) Share of cooperating organisations that apply the knowledge acquired from bilateral partnership (percent) (outcome) Share of participants in bilateral initiatives funded by the ACF bilateral fund reporting improved knowledge/methods/approaches (outcome)[50] **Bilateral output indicators:** Number of projects involving cooperation with a donor project partner (output)[52] Number of bilateral cooperation initiatives funded by the ACF bilateral fund (output)[53] Number of individuals participating in bilateral activities funded by the ACF bilateral fund (output)	State type[51]	Baseline needed once projects are selected Baseline needed once projects are selected

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[49] Wherever core indicators are used, please refer to the FMO Core Indicator Guidance document for definitions of each core indicator as well as guidance on how to measure, monitor and report them.

[50] This bilateral outcome indicator reports only on programme-level bilateral cooperation funded under the ACF bilateral fund (see PIA Chapter 5.1).

[51] Beneficiary state/donor state.

[52] Wherever core indicators are used, please refer to the FMO Core Indicator Guidance document for definitions of each core indicator as well as guidance on how to measure, monitor and report them.

[53] This bilateral output indicator reports only on programme-level bilateral cooperation funded under the ACF bilateral fund (see PIA Chapter 5.1).

2.6   List of Core Indicators

The Core indicators that are most relevant for the ACF have been added to the ACF results framework.

The FO is free to use all Core indicators from the list if relevant for the programme. The full list and supporting Guidance document providing definitions and methodology for these Core indicators are outlined in the Core Indicator Guidance:

https://eeagrants.org/resources/eea-and-norway-grants-2014-2021-core-indicator-guidance.

2.7   Suggested methods for measuring frequently used capacity development indicators[54]

At the start and end of the project, Fund Operators must assess the relevant dimensions of organisational capacity of the project promoters participating in capacity building activities funded by the programme. As a minimum, this assessment should be administered to the relevant project promoters, i.e. those CSOs receiving funding from the programme.

Outcome: Enhanced capacity and sustainability of civil society organisations and the sector

Outcome indicator: Number of CSOs that regularly disseminate information on their activities and results to the public

Measurement method (for the baseline and achievements): Self-assessment tool (survey) administered to the relevant project promoters (at start and end of each project)

Number of CSOs that regularly disseminate information on their activities and results to the public Criterion:	Scoring: 0 = not fulfilled 1 = partially fulfilled 2 = fully fulfilled
Functional webpage (URL active)	
Profile in a social network (Facebook, Twitter, etc.)	
Webpage updated with all important activities, achievements, publications of the CSO	
Annual report published and available to the public	
At least one publication per year in national or local media	
At least one public event per year	
Minimum score necessary to be counted = 7 Minimum score not to be displayed to the project promoters	Total score:

Outcome indicator: Number of CSOs with effective management procedures

Measurement method (for the baseline and achievements): Self-assessment tool (survey) administered to the relevant project promoters (at start and end of each project)

Number of CSOs with effective management procedures Criterion:	Scoring: 0 = not fulfilled 1 = partially fulfilled 2 = fully fulfilled
Clear organisational structures with lines of accountability and responsibilities defined in the by-laws	
Organisational vision and mission clearly defined in the by-laws and other strategic documents	
Terms of reference/job descriptions for managers and other staff exist	
Policies and practices for human resources development exist, which include training for staff (paid and unpaid), mentoring and supervision and staff appraisal procedures	
Minimum score necessary to be counted = 5 Minimum score not to be displayed to the project promoters	Total score:

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[54] The outcome and indicators listed here may be worded slightly differently in some programmes.

Outcome indicator: Number of CSOs with transparent and accountable governance

Measurement method (for the baseline and achievements): Self-assessment tool (survey) administered to the relevant project promoters (at start and end of each project)

Number of CSOs with transparent and accountable governance Criterion:	Scoring: 0 = not fulfilled 1 = partially fulfilled 2 = fully fulfilled
Clear written documentation of governance procedures exists (by-laws; internal regulation documents)	
Board reviews performance on a regular basis	
Board is actively engaged in providing overall strategic direction	
Ethical code adopted	
CSO consults users, beneficiaries and other stakeholders in decision making and activities	
System for prevention of conflict of interest exists with regard to board's decision-making in place	
Results of the CSO work communicated publicly on a regular basis through events, annual reports and other publications; presence on the internet	
Minimum score necessary to be counted = 9 Minimum score not to be displayed to the project promoters	Total score:

Outcome indicator: Number of CSOs using an M&E system for their work

Measurement method (for the baseline and achievements): Self-assessment tool (survey) administered to the relevant project promoters (at start and end of each project)

Number of CSOs using an M&E system for their work Criterion:	Scoring: 0 = not fulfilled 1 = partially fulfilled 2 = fully fulfilled
A monitoring and evaluation plan is in place, containing a clear set of objectives and indicators aligned with the mission	
There is a dedicated budget (line) for monitoring and evaluation	
There is a dedicated monitoring/evaluation unit OR staff have clearly defined monitoring/evaluation responsibilities	
Data collection tools are in place (electronic or otherwise)	
Formal evaluations of the CSO's work are carried out	
Minimum score necessary to be counted = 5 Minimum score not to be displayed to the project promoters	Total score:

Outcome indicator: Number of CSOs using evidence/research to support their advocacy/policy work

Measurement method (for the baseline and achievements): Self-assessment tool (survey) administered to the relevant project promoters (at start and end of each project)

Number of CSOs using evidence/research to support their advocacy/policy work Criterion:	Scoring: 0 = never 1 = occasionally 2 = almost always
The organisation has collected concrete evidence when preparing to influence decision makers	
The organisation has referenced evidence/research in its written communication with decision makers	
The organisation has a dedicated research officer, or a staff member dedicates a portion of his/her time to research	
Minimum score necessary to be counted = 4 Minimum score not to be displayed to the project promoters	Total score:

Outcome indicator: Number of organisations dispose of at least 2 sources of funding each of which is larger than 30% of its total yearly budget

Measurement method: Survey administered to the relevant Project Promoters at the end of each project.

Does your organisation dispose of at least 2 sources of funding each of which is larger than 30% of its total yearly budget?	YES/NO
If yes, please provide details.	

Outcome/output indicator: Number of initiatives implemented through partnerships between CSOs and public/private entities

Measurement method: Survey administered to the relevant Project Promoters at the end of each project. Did your project involve any partnerships with public/private entities?	YES/NO
If yes, how many partnerships with public entities? How many partnerships with private entities?	

Outcome/output indicator: Number of initiatives implemented through partnerships between CSOs and other CSOs

Measurement method: Survey administered to the relevant Project Promoters at the end of each project.

Did your project involve any partnerships with other CSOs?	YES/NO
If yes, how many? Please provide details.	

3. Mandatory results framework template

This column is not included in the Concept Note

This column is not included in the Concept Note

This column is not included in the Concept Note or the Programme Implementation Agreement

PA		Expected programme results	Indicators	Unit of measurement	Baseline values for indicators	Baseline year	Target values for indicators	Assumptions/Risks
PA15	**Programme objective**	[Copy the objective for the relevant programme area from the Blue Book]						
PA15	**Outcome 1**	[Mandatory – at least 1 indicator]	[Mandatory – at least 1 indicator]	[Mandatory for each indicator]	[Baseline value, mandatory for each indicator]	[Mandatory for each indicator	[Mandatory for each indicator]	
	Output 1.1	[Mandatory – at least 1 indicator]	[Mandatory – at least 1 indicator]	[Mandatory for each indicator]	0 [most output indicator baselines are zero by default]	[Mandatory for each indicator	[Mandatory for each indicator]	
	Output 1.x							
PA15	**Outcome n**							
	Output n.1							
	Output n.x							
PA15	**Regional civil society initiatives outcome**	Strengthened regional (cross-border) cooperation in the civil society sector	[Mandatory – at least 1 indicator]	[Mandatory for each indicator]	[Baseline value, mandatory for each indicator]	[Mandatory for each indicator	[Mandatory for each indicator]	

	Regional CS initiatives output 1	[Mandatory – at least 1 indicator]	[Mandatory – at least 1 indicator]	[Mandatory for each indicator]	0 [most output indicator baselines are zero by default]	[Mandatory for each indicator	[Mandatory for each indicator]	
	Regional CS initiatives output x							
Bilateral	**Bilateral outcome**	Enhanced collaboration between beneficiary and donors state entities involved in the programme	[Mandatory – at least 1 indicator]	[Mandatory for each indicator]	[Baseline value, mandatory for each indicator]	[Mandatory for each indicator	[Mandatory for each indicator]	
	Bilateral output 1	[Mandatory – at least 1 indicator]	[Mandatory – at least 1 indicator]	[Mandatory for each indicator]	0 [most output indicator baselines are zero by default]	[Mandatory for each indicator	[Mandatory for each indicator]	
	Bilateral output x							

4. Checklist for results frameworks

	Yes	No
A. Results chain		
Does the programme have a clear and coherent results chain?		
Is the means/ends relationship between outputs, outcomes and the objective plausible?		
Are the key assumptions underlying the results chain clear?		
Are the key risks to the programme clear?		
B. Outcomes		
Is each outcome phrased as a single clear, concise statement that does <u>not</u> include the means of achieving the outcome?		
Is each outcome phrased as an end situation (as opposed to a process)?		
Is each outcome a change statement describing institutional/sector capacity or performance change, or benefits for direct beneficiaries (if service delivery)?		
Is the common bilateral outcome included? (except in exceptional cases)		
Does each outcome have a causal link to the programme area objective?		
C. Outputs		
Does each output describe what goods, services will be produced/delivered/procured directly by the programme?		
Is each output distinctly different from other outputs (not overlapping)?		
Does each output have a clear, plausible, causal link to a particular outcome under which it belong?		
D. Indicators		
Is each indicator directly relevant to the outcome or output which it is trying to measure?		
Is the unit of measurement for each indicator clear?		
Does each indicator have a baseline value assigned to it? For output indicators, the baseline is zero. For outcome indicators, the baseline will not be zero. If the baseline is not available, there should be a credible plan developed for how to define the baseline.		
Does each target have a target value assigned to it – in the same unit of measurement as the indicator?		
Have the relevant Core Indicators been used?		
Have the relevant bilateral outcome indicators been used?		

5. Mandatory risk assessment and mitigation analysis template

The FOs must use the Excel version of the Risk Assessment and Mitigation Analysis until the new information system is in place.

Programmatic risks

Risk description	Likelihood	Consequence	Risk score	Response to risk	Description of response
[text]	[drop-down menu]	[drop-down menu]	[system generated]	[drop-down menu]	[text]
[text]	[drop-down menu]	[drop-down menu]	[system generated]	[drop-down menu]	[text]
[text]	[drop-down menu]	[drop-down menu]	[system generated]	[drop-down menu]	[text]

Operational risks

Risk description	Likelihood	Consequence	Risk score	Response to risk	Description of response
[text]	[drop-down menu]	[drop-down menu]	[system generated]	[drop-down menu]	[text]
[text]	[drop-down menu]	[drop-down menu]	[system generated]	[drop-down menu]	[text]
[text]	[drop-down menu]	[drop-down menu]	[system generated]	[drop-down menu]	[text]

Risk score

Low
Medium-low
Medium-high
High

6. Suggested monitoring plan template

Project ID	Project name	Timing	Type of monitoring	Monitoring modality	Monitoring reason/topic	Contact details
		(Q1/Q2/Q3/Q4)	(results/risk/compliance – can be combined)	(site visit, online site visit, phone or online meeting, review project reports, etc.)	(check procurement, observe quality of activities, check reporting system, follow up specific risk, etc.)	(name, email, phone)
0001						
0002						
000x						
000y						
000z						

7. Suggested monitoring report template

Programme (number and title)	
Fund Operator (FO)	
Visited projects (numbers and titles)	
Monitoring carried out (from-to dates)	
Background to Programme/ Reason for the Monitoring	

Overall grade of the effectiveness and implementation of the monitored initiative(s) on a scale of 1 to 4

4	The situation is considered highly satisfactory.
3	The situation is satisfactory, but there is room for improvements.
2	There are issues which need to be addressed.
1	There are serious deficiencies.

Effectiveness (achievement of results)	
Implementation (efficiency and risk management)	

I. Description of how the monitoring was conducted

In this section, please refer to any special methods used (if relevant) for the monitoring. Please include a list of the contacts made, with the dates of meetings / monitoring visit, as well as any additional documents used for analysis or research that can be helpful as reference materials.

II. Findings

In this section, please address fully each key question from the terms of reference. Add any other relevant findings you would like to relay to the FMO. Add any other findings.

III. Stakeholders' comments

In this section, please add any relevant comments you might have been given by the Fund Operator, project promoters, and any other interviewed stakeholder.

IV. Recommendations

Refer back to the key questions and provide your conclusions and recommendations. Please provide your views on lessons learned that should be taken into account for the new funding period.

8. *Suggested evaluation plan template*

Programme Information				Evaluation Information							
Programme and code	**Programme area(s)**	**Programme duration (Start/End)**	**Programme budget (EUR)**	**Type of evaluation** Formative/ Summative	**Purpose of evaluation** Reason and learning goals	**Evaluation category** Mid-term/Ex post	**Evaluation timing** Start/End	**Data needs and collection methods** Reports, interviews, surveys, other	**Evaluation budget (EUR)**	**Past evaluations** (if any) Type and completion date	**Learning and knowledge sharing** How will findings be shared with intended audiences and users? Who are they?

9. Suggested template for terms of reference for evaluations

Adapted from [Writing Terms of Reference for an Evaluation: A How to Guide (World Bank)](#).

Introduction

Normally, an introduction to the agency/organisation commissioning the evaluation, as well as the mention of the programme(s) to be evaluated.

Background and context

The opening section of the ToR typically provides an orientation about the overall programme to be evaluated. Depending on the complexity of this programme, this section might be a few paragraphs or a couple of pages.

Include:

- The current objectives and intended outcomes of the programme being evaluated;
- A history of the programme;
- The context in which the programme is situated;
- The roles and responsibilities of various key stakeholders in designing and implementing the programme;
- Any studies or evaluations that have been conducted on the programme.

Main purpose of the evaluation

The rationale for the evaluation and the key overarching evaluation objective. An explanation about who has initiated this study and reasons for the timing, including any impending shifts for the programme or stakeholders.

Scope

This section presents the parameters of the evaluation in terms of its scope and limits. The scope should be realistic given the time and resources available for implementing the study. Details here could include the time period and covered by the evaluation, number of projects to be looked into, selection criteria for sampling, and issues that are outside of the scope.

Main questions

Specific evaluation questions should be identified in the ToR. Depending on the type and purpose of the evaluation, such questions should address specific demands for information related to the following [evaluation criteria](#):

- Relevance
- Effectiveness
- Efficiency
- Coherence
- Sustainability
- Impact

Methodology

Key elements generally highlighted here include:

- The overarching methodological framework (for example, case study, sample survey, desk review, mixed methods, and so forth)
- Expected data collection and analysis methods, with descriptions of any instruments used to collect needed information
- Availability of other relevant data, such as existing local, regional, or national data, or data from similar programs
- The process for verifying findings with key stakeholders

Many ToRs leave room for the evaluator(s) to define a more detailed methodology in line with the prescribed purpose and scope.

Deliverables and timing

The products expected of the evaluation team should be specified. Details should include the following:

- Specific information about the products to be produced by the evaluators
- The structure and format for each product. This would include any expectations regarding length and content (for example, the order of sections or the inclusion of an executive summary).
- The language(s) in which deliverables should be written.

Timing of both the data collection and analysis stage, as well as each deliverable, including any meetings or presentations.

Team

Any specification on thematic, geographic, methodological, linguistic, gender and/or other preference for the team, including the number of consultants.

Budget

The commissioner of an evaluation should consider what funds are available to support the tasks envisioned for the evaluator(s). In cases where a limited budget will likely constrain the scope and methodology of the study, an effective practice is to state the available budget and ask proposers to describe what they can expect to achieve. Alternatively, if the budget is somewhat flexible, the ToR can ask evaluators to come up with their own estimates based on the tasks they propose.

Contact person

Who is the person/persons in your agency/organisation who can be contacted in case of questions? Include the person's email and telephone number.

Annexes

The Terms of Reference may include as an annex a suggested template for the final evaluation report.

10. Suggested outline of an evaluation report

Executive summary

A summary of the evaluation, ideally not exceeding 5 pages. It should present the evaluation criteria, the questions, main conclusions and recommendations. It should be provided in English.

Background and context

Depending on the complexity of this programme and the evaluation undertaken, this section might be a few paragraphs or a couple of pages.

This should include:

- Concise description of the programme evaluated
- Main purpose and scope of the evaluation, including evaluation questions

Brief overview of the methodology used

This section should include the description of stakeholders and data sources consulted. It should list any limitations of the data collection methods and the approach used for analysing the evidence. Depending on the scope of the evaluation, this section might be as short as one page or take several pages.

Findings and conclusions

This is the most important part of the evaluation report. It should be structured according to evaluation criteria and the questions contained under each criterion. For each evaluation question answered, the evidence should be clearly presented, followed by clearly indicated corresponding conclusions.

Recommendations

This section presents any recommendations stemming from the evaluation. Ideally, these would be structured according to whom they are addressed.