

APFED Showcase Programme Handbook

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Drafted by

Institute for Global Environmental Strategies (IGES)

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INTRODUCTION

Background to the APFED Showcase Programme

The Asia-Pacific Forum for Environment and Development (APFED) is a regional group of eminent experts, which was officially launched at ECO ASIA in October 2001, with support of the Ministry of the Environment, Japan. The first phase of APFED activities was concluded in December 2004 with the adoption of the APFED Final Report that laid out a future vision and more than 100 policy recommendations for a sustainable future of Asia and the Pacific. The APFED I Final Report can be accessed at: http://www.apfed.net/pub/apfed1/final_report/pdf/final_report.pdf.

The second phase of APFED activities was commenced in April 2005. APFED II intends to reinforce its feature of “knowledge management” and “innovation facilitation” for the region. The APFED recommendations rely on the principal belief that continuing dialogue with key stakeholders, sharing experiences and wisdom with others, and proposing challenging new ideas will enable this region to be more sustainable in the long run. In this respect, APFED will continue to advocate a sustainable society in the Asia and the Pacific region, by promoting implementation of its recommended policies, measures and actions in collaboration with a wide range of stakeholders.

To achieve such a sustainable society, we need “innovation”, that is an introduction of new ideas, goods, services, or practices to change existing unsustainable practices. Some innovations are already included in the APFED recommendations. However, there are barriers of implementing innovative activities such as uncertainty of impacts and/or resistance of certain stakeholders. Because of different political, social, cultural and economic conditions, feasibility of such “innovations” differs from one country/area to another. To address such barriers of “innovations” and promote sustainable development of the region, “APFED Innovation Showcase for Sustainable Development” (APFED Showcase Programme) was proposed in the APFED Final Report and launched in 2006 as an implementation arm of the second phase of activities of APFED.

Purpose of this handbook

The APFED Showcase Handbook is prepared to assist all stakeholders involved in project implementation (e.g. NetRes institutions, implementing organisations and other supporting agencies) to share the common understanding of the key elements of the APFED Showcase Programme. The key elements include i) expected outcomes, ii) administrative procedures including financial rules, iii) roles of respective organisations involved in Showcase projects, iv) key points of monitoring and evaluation. This handbook is distributed to NetRes institutes and implementing organisations as guidance, and shall be further elaborated every year, reflecting the experiences accumulated through implementation of Showcase projects.

ABOUT THE APFED SHOWCASE PROGRAMME

A. Purpose of Programme

Showcase projects are expected to showcase innovative approaches that **support the development, implementation, monitoring, and information dissemination of innovative policies, measures and actions for promoting sustainable development in Asia and the Pacific region**. As a showcase project, each project is expected to generate tangible changes of behaviours and practices towards enhancing sustainability and/or improvement of environmental performance. To this end, measurable performance indicators shall be set up for demonstrating the impacts of the project. It is also expected that showcase projects **create practical knowledge and lessons that can be shared with other stakeholders** who are involved in sustainable development projects in the region through the APFED Good Practice Database and other means.

B. Outline of Programme

Under the Showcase Programme, proposals for Showcase projects are publicly collected from the Asia-Pacific region around March-April. A shortlist is prepared by the APFED Secretariat and the Showcase Facility Secretariat during mid-June to July. Among the proposals received, 10 to 13 projects are selected at the APFED Panel meeting held every summer following a screening process. A grant of up to US\$30,000 is provided to respective projects. The amount of the grant given to a Showcase project varies according to the nature and scale of the projects as well as the availability of funds. Detailed procedures will be explained in Procedure Section.

Project implementing organisations assume primary responsibilities for self-monitoring and self-evaluating of project implementation and preparing reports thereon for submission to APFED. To ensure that respective projects meet the expectations of the Programme, the projects shall be complementarily monitored and evaluated by one of the Network of Research Institutes for Sustainable Development (NetRes) established under APFED. For each of the approved projects, a NetRes institute shall be assigned to support the implementation of the project. In principle, the grants to projects shall be channelled through the designated NetRes institute after the completion of a contract between the NetRes institute and the project implementing organisation.

C. Selection Criteria

APFED Showcase selection criteria consist of **innovativeness**, asking whether the project components include innovative elements and lessons contributing to the creation of “knowledge” useful for sustainable development in the region; **applicability**, creating lessons be useful for other areas of the AP region; **effectiveness**, attaining the project objectives through proposed activities; **feasibility**, identifying time schedule, financial plan, human resources, and possible risks; **long-term self-reliance**,

continuing activities after the completion of the project; and **linkage with APFED recommendation and activities**, being relevant with other APFED activities such as APFED Policy Dialogue. These criteria shall be regularly revisited in the course of the Showcase Programme.

D. Actors

Secretariats

The Programme is operated jointly by the United Nations Environment Programme Regional Office for Asia and the Pacific (UNEP ROAP) as APFED Showcase Facility Secretariat and the Institute for Global Environmental Strategies (IGES) as APFED Secretariat. The Secretariats will provide overall guidance for implementation of showcase projects whenever necessary. In principle, the Facility Secretariat (UNEP ROAP) is to be a window for communication with the implementing organisations (IO).

NetRes Institutes

The roles of NetRes institutes are to support the development and refinement of the selected project proposals, monitor and facilitate the effective development of project implementation, support the preparation of the project reports, evaluate the project performance, and report the project progress to Secretariats. They may also advise UNEP/ROAP and IGES to suspend or terminate the support provided under the APFED Innovation Showcase programme when unforeseen circumstances arise that may prevent the effective implementation of the project (See Section G: Project Duration). As of October 2008, eight institutes are a member of NetRes as follows.

China:	Chinese Association of Environmental Science (CAES)
Fiji:	University of South Pacific (USP)
Japan:	Institute for Global Environmental Strategies (IGES)
Korea:	Korea Environment Institute (KEI)
India:	TERI (The Energy Research Institute)
Singapore:	Singapore Institute for International Affairs (SIIA)
Pakistan:	Sustainable Development Policy Institute (SDPI)
Thailand:	Thailand Environment Institute (TEI)

Implementing Organisation

Implementing organisations are applicants as well as practitioners of a project. They are required to undertake effective project implementation, following the guidance of APFED and NetRes institutes that are guiding the project. Contributions from IOs to the APFED Programme reports and dissemination of good practices are expected.

E. NetRes Support Cost

The NetRes support costs between US\$8,000 and 10,000 are determined, taking into account the

distance from a project site to where NetRes institute is located, and disbursed by the Facility Secretariat. This cost covers the whole cost of project supervising, including the travel cost of the NetRes institute members, guidance provision, monitoring and evaluation of a project. NetRes institutes are required to effectively use the NetRes support cost funds for rendering to IOs technical support, undertaking monitoring & evaluation and supporting the report preparation. Other than the agreed NetRes support cost funds, no additional funds shall be provided for NetRes institutes. A payment schedule shall be designated in the individual memorandum of understanding (MOU) between the Facility Secretariat and the NetRes institute.

F. Basic Principle of Funding

The granted funds may be used to support stakeholder consultations, feasibility studies, pilot scheme experimentation and demonstration. Mere literature review, report writing, procurement of equipment and meetings / workshops without showing any intent to make immediate behavioural changes and improve environmental performance shall not be eligible for funding under the Programme. Disbursements to IOs are made by the Facility Secretariat through each NetRes institute that is responsible for a project. A disbursement schedule shall be designated in the individual letter of agreement (LOA) between the implementing organisation and NetRes institute. The common modality is that each disbursement is made upon the submission of required documents. Detailed procedures are explained in Section 6 of this Handbook.

Box 1 Principle and rules of funding**1 Personnel Cost**

(a) The following cost for the personnel can not be funded by the Showcase Programme.

- management of implementing organisations, such as directors
- financial officers
- administration staff
- government officers

(b) Regarding the personnel cost for the part-time staff involved in project activities during the project period (e.g. site manager, project staff), up to half of working days of project period / each activity period can be covered by the Showcase Programme.

(c) The costs for external experts such as resource persons supervising technical aspects of projects can be funded. Such a cost should remain within the reasonable balance and should not exceed 30 % of total funds provided by the Programme.

2 Overseas Travel Cost

In principle, overseas travel cost can not be funded by the Showcase Programme. If a project is undertaken in more than one country or has a regional scope of work, travel costs to destinations within the region can be allowed up to 15 % of the total funds under the Programme.

3 Cost for Construction

In principle, construction costs shall not exceed 50 % of the total funds provided by the Programme. Funding conditions may differ based on the nature of the project.

4 Others

Financial plans shall be subject to examination by APFED Secretariat and Facility Secretariat and required for revision if necessary.

G. Project Implementation***Site Visit***

NetRes institutes in charge of a Showcase project are expected to make a site visit for 2 to 4 times to monitor and evaluate the project and give technical advice. They are required to report on the field trip to APFED and Facility Secretariats with a short mission report, photographs, and if possible, short video clips highlighting the status or progress of project implementation.

Project Duration

The project implementation period differs from project to project, but can range from 6 to 24 months including monitoring and evaluation periods.

However, in the process of the project implementation plan, if either of the following conditions is met, suspension or withdrawal of a project shall be considered.

- (a) When NetRes institute finds significant discrepancies between a proposal and the actual situation of the project site, in particular with regard to the items included in the selection criteria, they shall notify the Facility and APFED Secretariats. If both Secretariats find the situation critical, such a proposal will be withdrawn.
- (b) If neither the NetRes institute nor the implementing organisation is able to continue the showcase project for compelling reasons, such as natural disasters, wars, epidemics or other causes beyond their control, the NetRes institute may terminate the implementation of the showcase project with the consent of the implementing organisation as well as upon consultation with both the Facility Secretariat and the APFED Secretariat. Upon termination for the reasons, the Facility Secretariat, the NetRes institute and the IO shall settle the financial accounts based on the actual amount used for the Showcase project before the termination.
- (c) If a NetRes institute faces significant delays in the project implementation or difficulty in the completion of the project, the NetRes institute shall immediately notify the Facility Secretariat in writing. The Facility Secretariat can terminate the implementation of the Showcase project if the delay or discontinuation is not acceptable.

Documentation Requirement

IO and NetRes are requested to submit the following documents to Facility and APFED Secretariats. Required documents include registration as NGO or other legal entity, MOU, LOA, the revised project proposal (original project proposals are submitted at application), implementation plan (Apx.1), mid-term self-evaluation report (Apx.3), and final evaluation report (Apx.4) with summary report (Apx.5). NetRes is to support the refinement of evaluation reports drafted by IO. Additional requests on document submission may be made according to respective LOA between IO and NetRes institute, and also by the request of APFED and Facility Secretariats. The timing and responsible agencies for each document are exemplified in Table 1 and 2 for IO and NetRes respectively.

H. Dissemination and Outreach

It is very important to disseminate the outcomes of showcase projects and share them with other stakeholders to encourage and promote sustainable development project in the Asia-Pacific region. Therefore, IOs as well as NetRes institutes are expected to make efforts to disseminate the outcomes of the project through their channels and the media.

The APFED Good Practice Database is one of the tools to disseminate lessons learned from the Showcase project. In addition to the database, the APFED Secretariat jointly prepares research papers or journal articles on showcase projects with NetRes institutes to attract a wider audience. Workshops to share the outcomes of projects will also be organised under the framework of APFED.

PROCEDURE

Table 1: Procedure of APFED Showcase Programme for implementing organisation (IO)

Procedure	Implementing Organisation (IO)	Required Documents	
<ol style="list-style-type: none"> 1. Selection & notification, verification of IO and project approval 2. Appointment of NetRes 3. MOU between Facility Secretariat (UNEP ROAP) and NetRes 4. LOA between IO and NetRes 5. Refinement of project design 6. Disbursement of funds to IO upon receipt of LOA and implementation plan <p>◆ Site visit of NetRes</p>	<ol style="list-style-type: none"> 1. To send documentation for verification of registration as NGO or other legal entity 4. To sign LOA with NetRes 5. To refine the project proposal and develop implementation plan (IP) with NetRes (IP must clarify <u>innovativeness</u>, <u>mechanism for self-reliance and scope of the project</u>, and <u>roles and responsibility of stakeholders</u>) <p>◆ To guide NetRes partners in the field</p>	<ol style="list-style-type: none"> 4. LOA 5. Revised project proposal and Implementation Plan (Apdx. 1) <p>◆ Photos and, if possible, video clips</p>	Initial
<ol style="list-style-type: none"> 7. Regular monitoring and evaluation 8. Mid-term evaluation <p>◆ Site visit of NetRes</p> <ol style="list-style-type: none"> 9. Disbursement upon receipt of mid-term report 	<ol style="list-style-type: none"> 7. To undertake project activities and keep record of activities and the outputs 8. To conduct mid-term evaluation, prepare mid-term report, and submit to NetRes <p>◆ To guide and report the progress to NetRes partners in the field</p>	<ol style="list-style-type: none"> 8. Mid-term self-evaluation report (Apdx. 3) and revised implementation plan according to the evaluation <p>◆ Photos and, if possible, video clips</p>	Implementation
<p>◆ Site visit of NetRes</p> <ol style="list-style-type: none"> 10. Final evaluation and disbursement upon receipt of final report 11. Preparation of data sheet 	<p>◆ To guide and report the progress to NetRes partners in the field</p> <ol style="list-style-type: none"> 10. To conduct final evaluation, prepare final report and submit to NetRes 11. To prepare data sheet for APFED Good Practice database if necessary 	<p>◆ Photos and, if possible, video clips</p> <ol style="list-style-type: none"> 10. Final evaluation report (Apdx. 4) including summary (Apdx. 5) 11. Data sheet for APFED Good Practice Database if necessary 	Final

Note: The numbers in the columns (Procedures, Implementing Organisation and Required Documents) correspond to each other. The number of times and timing of site visits and funding disbursements differs according to LOA.

Table 2: Procedure of APFED Showcase Programme for NetRes

Procedure	NetRes	Required Documents	
<ol style="list-style-type: none"> 1. Selection & notification, verification of IO and project approval 2. Appointment of NetRes 3. MOU between Facility Secretariat (UNEP ROAP) and NetRes 4. LOA between IO and NetRes 5. Refinement of project design 6. Disbursement of funds to IO upon receipt of LOA and implementation plan ◆ Site visit of NetRes 	<ol style="list-style-type: none"> 3. To sign MOU with Facility Secretariat 4. To sign LOA with IO 5. To advise on the refinement of project proposal and the development of implementation plan (IP) 6. To submit the refined proposal and IP to APFED and Facility Secretariats ◆ To undertake the field visit to verify the feasibility of the implementation plan and report to APFED and Facility Secretariats 	<ol style="list-style-type: none"> 3. MOU 4. LOA 5. Revised project proposal and Implementation Plan (Apdx. 1) ◆ Site visit report (*photos and, if possible, video clips) 	Initial
<ol style="list-style-type: none"> 7. Regular monitoring and evaluation 8. Mid-term evaluation ◆ Site visit of NetRes 9. Disbursement upon receipt of mid-term report 	<ol style="list-style-type: none"> 7. To advise on the refinement of implementation plan throughout the project period 8. To advise on the refinement of mid-term self evaluation report and implementation plan according to the evaluation and submit to APFED and Facility Secretariats ◆ Field visit and reporting 	<ol style="list-style-type: none"> 8. Mid-term evaluation report (Apdx. 3) and revised implementation plan ◆ Site visit report (*) 	Implementation
<ol style="list-style-type: none"> ◆ Site visit of NetRes 10. Final evaluation and disbursement upon receipt of final report 11. Preparation of data sheet 	<ol style="list-style-type: none"> ◆ Field visit and reporting 10. To verify, refine and submit final evaluation report to APFED and Facility Secretariats 11. To provide overall evaluation for APFED Good Practice Database if necessary 	<ol style="list-style-type: none"> ◆ Site visit report (*) 11. Final evaluation report (Apdx. 4) including summary (Apdx. 5) 12. Data sheet for APFED Good Practice Database if necessary 	Final

Note: The numbers in the columns (Procedures, Implementing Organisation and Required Documents) correspond to each other. The number of times and timing of site visits and funding disbursements differs according to LOA.

PART I. INITIAL PHASE: FROM SELECTION TO LAUNCH

1. Selection to Approval

The APFED Secretariat and Showcase Facility Secretariat call for proposals between April and June every year. Proposals submitted to the APFED Showcase Facility Secretariat are examined and a shortlist is prepared between mid-June and July. Ten to thirteen projects from the shortlist are selected at the Panel meeting in July to early August by the APFED Showcase Panel with the comments and suggestions for further improvement. After the selection, the Facility Secretariat notifies the results to the successful applicants. Applicants or implementing organisations of selected projects are requested to submit their legal status for verification of organisations. Project approval shall be made after the legal status of IO is confirmed. Successful applicants are requested to incorporate the suggestions and recommendations made by APFED Panel members.

2. Appointment of NetRes Institute

By the time of final approval, the APFED and Facility Secretariats shall appoint one of the NetRes institutes to each showcase project for monitoring and technical guidance towards the project implementation (Refer Section D for member NetRes). Appointed NetRes shall start reviewing the proposal and prepare suggestions for the refinement of project design.

3. MOU between Facility Secretariat and NetRes

The memorandum of understanding (MOU) shall be prepared between the Facility Secretariat and the appointed NetRes. The MOU should specifically indicate the roles of both agencies, funding modalities, outputs, and other agreements. The first disbursement from UNEP to NetRes is 50 % of NetRes support costs. The second disbursement is the cost of project implementation and shall be made upon the submission of revised proposal and the implementation plan.

4. LOA between IO and NetRes

Once the Implementation Plan is agreed between the implementing organisation and NetRes institute, Letter of Agreement (LOA) shall be concluded between the two. LOA should include project outline and contract duration, disbursement modalities, reserved rights, documentation requirements and the timing of submission, responsibilities of both NetRes and IO, and other rules between both agencies. It is recommended that the common modality of fund disbursement is that 60 % of total shall be paid upon the submission of the revised proposal and the implementation plan, 30 % upon the submission of the mid-term evaluation report, and the remaining 10 % upon the final evaluation report.

5. Refinement of Project Design (Preparation of implementation plan)

APFED aims at the compilation of lessons and practical knowledge through the demonstration of

innovative activities that will eventually contribute to the replication of similar projects in other areas. Therefore, successful applicants (implementing organisations) are asked to revise their proposals and prepare implementation plan (Apdx. 1) to ensure the project to meet the objectives of the Showcase Programme (Refer Section A & C). The applicants are strongly recommended to follow the guidance described in Box 2 as well as to take into account the comments and suggestions made by the Showcase Panel, APFED and Facility Secretariats and NetRes institutes.

An implementation plan consists of the following elements: project goal, purposes, elaborated outputs and impacts, elaborated activities (details of activities in the proposal), which correspond to each output, identifiable performance indicators and baseline, measurement methods, external risks and assumption that contribute to the project progress (positive or negative), activities and responsibilities, and the persons in charge, and lastly the time frame over the project period. Such information should be depicted in a logical framework attached to the implementation plan. A logical framework helps monitor and evaluate the progress and changes and ensure what is achieved and not. **The implementation plan shall be the basis for M&E during and after the project implementation and used as a tool for communication among stakeholders involved in the project.**

Box 2 Guidance: Key considerations in preparing the implementation plan

When implementing organisations prepare the implementation plan (form attached in Appendix 1) in collaboration with NetRes institute, the following points shall be considered.

- (a) Expected outcomes/outputs shall be identified.
- (b) Verifiable indicators for monitoring and evaluation shall be identified, with due consideration of objective of the project. Baseline information and data shall be collected before the implementation.
- (c) Innovative elements and the mechanism for self-reliance of the project shall be well considered in (a) and (b) above.
- (d) Roles and responsibility of concerned organisations (IO, partner organisations, NetRes) shall be clarified.
- (e) NetRes shall provide inputs to make the project more feasible and practical as an APFED Showcase project and discuss with the implementing organisation.
- (f) Site visits by NetRes shall be scheduled for at least three times in the project period. The frequency of on-site monitoring and evaluation by the NetRes institutes will be determined considering the nature of the project and availability of funds.
- (g) The financial rules of the APFED funds shall be considered (Refer Box 1 Principle and rules of funding).

Box 3 Sample Logical Framework

Narrative Summary	Verifiable Indicators	Measurement Methods	Risks & Assumption	Baseline	Progress
<p>Goal: To promote green procurement (GP) in government and private sectors in Thailand</p>	Federal govt adopts GP for purchasing and promotes GP in regional govt and public schools	<i>Sources of information</i>	<i>External factors to contribute or restrict progress</i>	<i>Referring to verifiable indicators</i>	<i>Changes being monitored with verifiable indicators since the original status (baseline)</i>
<p>Purpose: 1. To develop the capacity for Thai GP 2. To create knowledge sharing system for govt. and private sectors</p>	<p>1. Share of environmentally sound goods at the local market 2. # of sectors having membership in GP committee</p>	<p>1. Data available at NESDB website 2. Data obtained from GP committee</p>	Products are certified with green label	<p>1. 7.5 % in 2005 2. 31 membership in 2005</p>	<p>1. 14 point increases in two years 2. 65 membership as of January 2008</p>
<p>Outputs: 1.1 Needs of local communities and authorities are identified 1.2 Pilot enterprises for the project are selected 1.3 Handbook is ready for use 2.1</p>	<p>1.1 Prioritised local needs 1.2 # of pilot enterprises 1.3 # of Handbook disseminated to target sectors 2.1</p>	<p>1.1 The chart and list of local needs obtained from the survey 1.2 The record obtained from the survey 1.3 The record kept during the dissemination 2.1</p>	A sufficient number of enterprises accept to collaborate	<p>1.1 N/A in 2005 1.2 0 in 2005 1.3 0 in 2005 2.1</p>	<p>1.1 350 kinds of local needs identified 1.2 25 1.3 70 2.1</p>
<p>Activities for outputs:</p> <p>1.1 Conducting consumer survey 1.2 Conducting corporate survey 1.3 Developing handbook 2.1</p>	<p>Inputs (physical / financial) 1.1 Questionnaire and interview survey for 2 wks 1.2 Contact with interest enterprises by January 1.3 Literature review and expert consultation \$1,000 by February 2.1</p>	<p>Measurement Methods</p>	<p>Risks & Assumption All funds available on time</p>		

THEN, outputs are obtained

IF, activities are carried out

AND, the assumption is satisfied

5.1. Logical Framework

A logical framework specifies the cause and effect relationship among project goals, purposes, outputs and activities (Box 3), and suggests the back-to-back planning of activities. The final goals are achieved when the designated purposes are satisfied. The purposes result from several outputs that are materialised by the outcomes of elaborated activities.

Every purpose and output should have verifiable indicators that are relevant in line with the narrative summaries. Measurement methods of indicators as well as data availability shall also be examined during the preparation of the implementation plan. It is important to note that selection of indicators relevant to the purposes and outputs is critical for M&E, while complicated indicators are not desirable and practical. A balance between ambitiousness and easiness should be maintained. The scope of the project shall be revisited at this stage. Target groups, beneficiaries and geographical coverage shall be clearly identified, so that stakeholders can easily recognise the project boundary.

External factors or risks related to the planned activities often have a negative (or positive) influence on project implementation. Therefore, assumptions at each stage should be made. To observe the changes, baselines must be clarified prior to the project implementation. In conclusion, there should be logical sequence between realisation of final goals and each outcome and its corresponding activities.

6. Disbursement of funds

Upon the receipt of a revised project proposal, an implementation plan and conclusion of the letter of agreement (LOA), it is recommended that the sixty % of total disbursement is made by the Facility Secretariat to IO through NetRes that is responsible for a project.

◆ Field Visit of NetRes institute

NetRes institutes are suggested to make site visits three times to ensure the sound implementation of the Showcase projects. The visits shall be scheduled first in the preparation of an implementation plan of very beginning of implementation; second in the middle of implementation; and lastly after the completion of the project for final evaluation. The first visit to a project site by NetRes shall be made at this stage to examine whether the submitted implementation plan is feasible and effective. This shall be carried out at around the launch of a project. The observation shall be reported with photos and, if possible, video clips along with a site visit report to the Secretariats.

PART II. IMPLEMENTATION PHASE

7. Monitoring and Evaluation (M&E)

Monitoring and evaluation is to produce useful knowledge on innovative practices to realise sustainable development on the ground. M&E is a tool and process of knowledge management and lesson compilation for all the stakeholders involved. The compiled information will be shared among APFED members in similar sectors / regions to promote and apply demonstrated practices.

Monitoring should be conducted regularly as part of project management. Monitoring shall focus on the implementation status of planned activities, the achievement level of the expected outputs, and external conditions that affect project implementation. Whenever the discrepancy between the implementation plan and the current situation is found, the implementation plan needs to be revised.

Self-evaluation will be conducted by the implementing organisation in a participatory manner in which beneficiaries, target groups, business sectors and other organisations are involved. Moreover, a NetRes institute is responsible for monitoring, conducting on-site evaluation to objectively examine the validity of the self-evaluation, and providing advice to keep a project on track based on the implementation plan. Occasionally APFED Secretariat will also be involved in the evaluation process to learn from the field and to improve the Showcase Programme.

IO should formulate an evaluation plan for conducting the self-evaluation. The evaluation plan should identify who is responsible for the evaluation, and should contain details on preparation, implementation and reporting of the evaluation. Evaluation criteria should cover relevance, effectiveness, self-reliance and participation elaborated below with benchmarks and measurable indicators through field observation, reports, questionnaire surveys, consultative workshops, interviews and other means.

Criteria for Evaluation:

- **Relevance** is to measure the appropriateness of the project approach and design. It measures whether the needs and priorities of the target groups are addressed by the expected outputs and activities.
- **Effectiveness** is to measure the outcomes in relation to the resources assigned to achieve these outcomes. Changes of status are measured and compared with the value before the activities according to the indicators set in the logical framework. Reference groups or areas can be used for comparison.
- **Self-reliance** of the project is to measure the sustainability after the project implementation. It should examine whether the existing mechanisms can maintain the outcomes with internally obtained financial, human and organisational resources through practiced activities.
- **Participation** is to measure the degree of involvement by community and other stakeholders in

the process of the project design and implementation. Suggested indicators could be the numbers and engagement of stakeholders participated in consultative workshops, project operation and evaluation. Surveys of beneficiaries of the project will also show their actual perceptions of the project activities.

In addition, the analysis of promoting / inhibiting factors for effective implementation should be made. Both internal and external factors contributing to the realisation of expected outcomes should be gathered and shared. NetRes is encouraged to conduct a comparative survey using other case studies and projects implemented in the same theme / region.

Another important requirement of M&E, in particular for evaluation, is to meet financial needs. A project must be complete with the proposed budget as a project is to showcase the achievement with a definite fund and be a model of future projects.

Box 4 Observation points for on-site monitoring and evaluation

Management issues

1. How far have the various activities and objectives proposed in the project proposal and implementation plan been undertaken or achieved?
2. Have the stakeholders/partners that are envisioned for supporting the project been involved in project activities?
3. Have co-financing and in-kind contributions foreseen for the project been provided?

Implementation issues

1. Has the project been successful in demonstrating its innovativeness as proposed in the project proposal? What is new? What is different?
2. Has the IO been applying a proper set of benchmarks and indicators to measure and demonstrate progress (knowledge, behaviour, environmental performance)?
3. What is the interface between the project activities and macro-policies and market/financing mechanisms?
4. What can be the lessons to be shared with other local communities or other countries?
5. Has the project benefited multiple stakeholders and/or environmental and socio-economic situations? How?

Other required actions during the field visit

1. Collecting photographs and videos for visual documentation and presentation of project activities
2. Suggesting measures to improve effectiveness in project implementation, lesson sharing and report writing
3. Developing stories to tell about “problems, actions, solutions, impacts and future challenges” in the context of the project

8. Mid-term evaluation

Mid-term evaluation shall be conducted in the middle of implementation. Implementing organisations conduct a mid-term self-evaluation and prepare a draft report, followed by the verification of NetRes institutes (See Apdx. 2). NetRes institutes are requested to visit the project site and refine the mid-term evaluation report according to the field observation. The finalised mid-term evaluation report shall include revised implementation plan based on the mid-term evaluation results and be submitted by the NetRes institutes to the APFED Secretariat and the Facility Secretariat. Advice and recommendation by the Secretariats may be provided. Timing of submission of the progress report shall be decided between the NetRes institute and the IO, and be identified in the implementation plan.

◆ Field Visit of NetRes institute

A NetRes institute should schedule the second site visit at this stage to elaborate the implementation plan through face to face communication with implementing organisations. It conducts on-site monitoring / evaluation and discuss with implementing organisation for validation of mid-term self-evaluation drafted by IO and possible needs for revision of the implementation plan based on the progress and changing situation of project implementation. The results of field evaluation shall be reported to APFED Secretariat with a report, photos and, if possible, video clips.

9. Second Disbursement

The second disbursement, thirty % of total budget, to IO shall be made by the Facility Secretariat through NetRes upon the completion of the mid-term evaluation report.

PART III. FINAL PHASE

◆ Field Visit of NetRes institute

NetRes is required to undertake a field visit at the completion of the project to evaluate the products and achievements based on the benchmarks set up in the beginning.

10. Final Evaluation and Disbursement

Upon completion of the project, the IO shall conduct a self-evaluation of the project and prepare a final self-evaluation report. The evaluation shall be refined / verified by the NetRes based on a field survey and consultation with the IO, and submitted to the APFED and Facility Secretariats within three months after the finalisation. The formats of the final evaluation report and final evaluation report summary are attached as Appendix 3 and 4, respectively.

The report shall include the outline of the evaluation study, used methodology, results, lessons applicable and useful for similar attempts and/or sectors, and the findings on innovative characteristics of the project in addition to the implementation plan, records of surveys (interview/questionnaire) and meetings (workshops), bibliography, and the financial record as annexes. The recommendations from NetRes shall also be provided. The analyses and conclusion in the report shall be logically related each other (refer Section 7 for basic criteria of evaluation). The report shall explain the evidence and supporting information, analyses of factors promoting and inhibiting achievement of the project, and evaluation judgement (conclusion) in a convincing way.

The remaining balance of 10 % shall be disbursed by the Facility Secretariat through NetRes upon the receipt of the final evaluation report.

11. Preparation of data sheet for the APFED Good Practice Database

NetRes institutes shall request IO to fill in a data sheet for the APFED Good Practice database. The database plays an important role of demonstrating the innovative activities and disseminating the experiences a project had obtained. Although this process is made on the condition of successful completion of the project, all the Showcase projects are expected to demonstrate a good practice and be a model of future projects in Asia and the Pacific region.

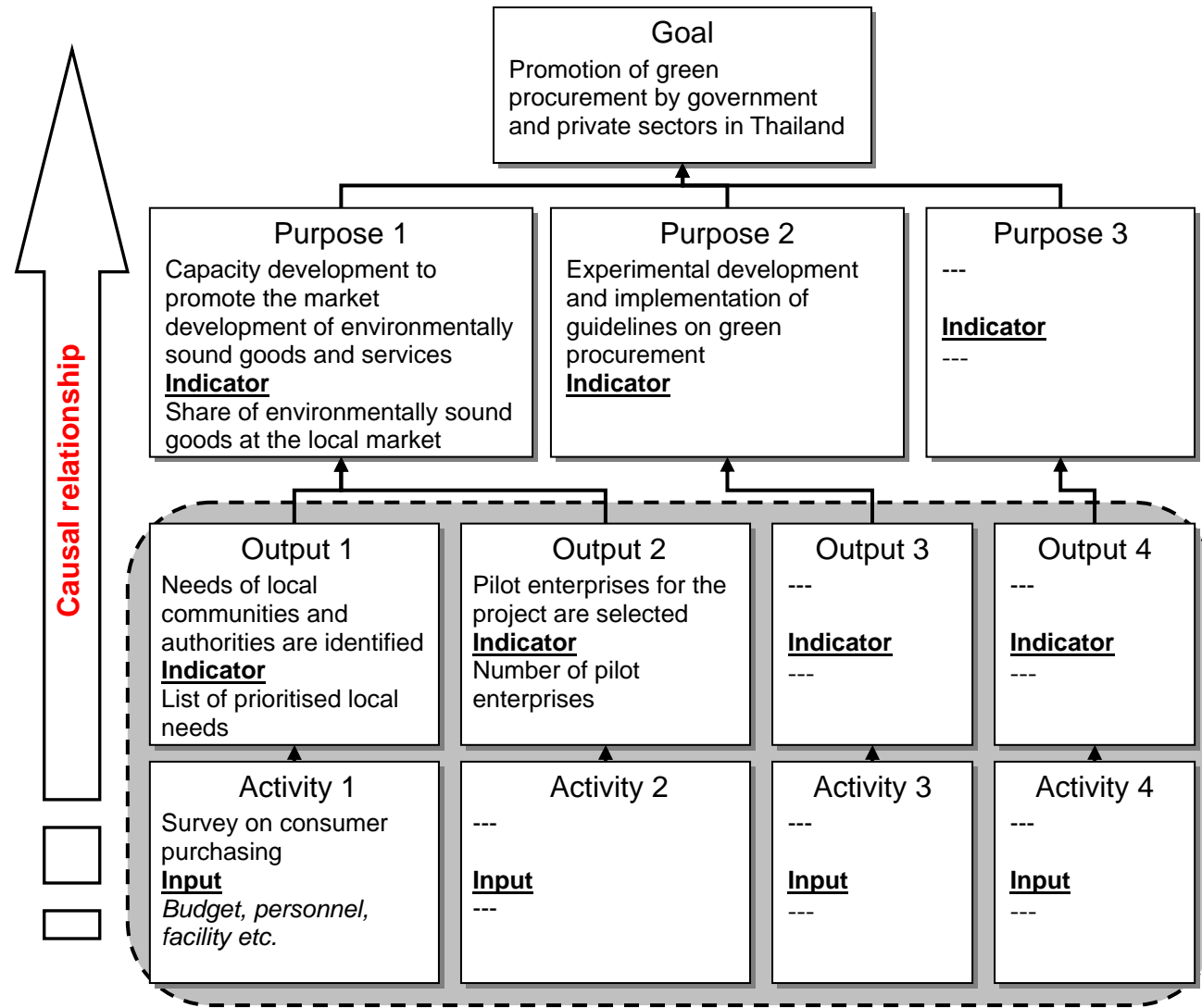
APPENDIX

Box 5 How to make implementation plan

This chart shows the flow of logical framework. The goal will be achieved by the fulfilment of purposes. The purposes will be satisfied with the outputs led by the activities.

Before making logical framework, the following points shall be given attention.

- ◆ The Logical Framework includes overview of project, implementation schedule & budget and monitoring & evaluation methods.
- ◆ It should be **concise** (no more than two pages), **free-standing** (understandable to those coming to it first time) and **comprehensible** (acronyms should be avoided).
- ◆ It should be a **basis for consequent monitoring and evaluation** (regular review and amendment needed).
- ◆ **Beneficiaries** should be involved in the designing of the logical framework.



Implementation Plan

Project #	<i>(Office use)</i>
Project title:	
Country	country / province / district
Selected year	
Implementing organisation:	
Partner organisations:	
NetRes	
Project duration:	month / year - month / year (months)

1. INTRODUCTION
2. GOAL
3. PURPOSE – *project components including scope*
4. ELABORATED OUTPUTS AND IMPACTS – *gained by the achievement of activities below*
5. ELABORATED ACTIVITIES
 - Activity 1
 - Activity 2
 - Activity 3
6. INDICATORS AND BASELINE – *indicators measuring changes and initial status (baseline)*
7. MEASUREMENT METHODS
8. RISK & ASSUMPTION – *external factors contributing to or restrict progress*
9. MODALITY – *who takes what responsibility*
10. TIME FRAME AND FINANCIAL PLAN – *referring to 5. Elaborated Activities* (sample)

Activities	Time frame					Financial plan
	YY / MM	YY / MM	YY / MM	YY / MM	YY / MM	\$ Total APFED fund
Activity 1	X	X				\$ Cost of activity 1
Activity 2		X	X	X	X	\$ Cost of activity 2
Activity 3			X		X	\$ Cost of activity 3
Implementation plan	X					
Mid-evaluation plan			X			
Final evaluation plan					X	
Site visit by NetRes	X		X		X	

11. Logical Framework and Progress Monitoring

Narrative Summary	Verifiable Indicators	Measurement Methods	Risks & Assumption	Baseline	Progress
Goal:		<i>Sources of information</i>	<i>External factors to contribute or restrict progress</i>	<i>Referring to verifiable indicators</i>	<i>Changes being monitored with verifiable indicators since the original status (baseline)</i>
Purpose: 1. 2.	1. 2.	1. 2.		1. 2.	1. 2.
Outputs: 1.1 1.2 2.1 2.2	1.1 1.2 2.1 2.2	1.1 1.2 2.1 2.2		1.1 1.2 2.1 2.2	1.1 1.2 2.1 2.2
Activities for outputs:	Inputs <i>(physical / financial)</i>	Measurement Methods	Risks & Assumption		
1.1 1.2 2.1 2.2	1.1 1.2 2.1 2.2	1.1 1.2 2.1 2.2			

Mid-term Evaluation Report

Project #	<i>(Office use)</i>
Project title:	
Country	country / province / district
Selected year	
Implementing organisation:	
Partner organisations:	
NetRes	
Project duration:	month / year - month / year (months)

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1. BACKGROUND

- 1.1. Project Background
- 1.2. Project Overview

2. PROGRESS

- 2.1. Project Implementation
 - 2.1.1. Planned and Actual Input
 - 2.1.2. Planned and Actual Activities
- 2.2. Achievement of Outputs
- 2.3. Problems Identified

3. MEASURES TO BE TAKEN

- 3.1. Measures by Implementing Organisation
- 3.2. Measures by NetRes Institute
- 3.3. Measures by APFED Secretariat

ANNEX

Annex 1: Implementation Plan

Final Evaluation Report

Project #	<i>(Office use)</i>
Project title:	
Country	country / province / district
Selected year	
Implementing organisation:	
Partner organisations:	
NetRes	
Project duration:	month / year - month / year (months)

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SUMMARY (Apdx. 4)

1. OUTLINE OF THE EVALUATION STUDY

- 1.1. Project Background
- 1.2. Project Overview
- 1.3. Study Objectives
- 1.4. Scope of Work
- 1.5. Study Period

2. METHODOLOGY

- 2.1. Evaluation Questions
- 2.2. Methodology
- 2.3. Schedule of the Study

3. RESULTS

- 3.1. Project Implementation

- Planned and Actual Input
 - Planned and Actual Activities
- 3.2. Relevance
- Priority of the Targeted Issues
 - Needs of Target Group / Target Area
 - Relevance of Project Scope, Expected Outcome and Approach
- 3.3. Effectiveness
- Achievement of the Project Objective
 - Attribution of Outputs on the Project Objective
- 3.4. Self-reliance of the Project
- 3.5. Participation
- Analysis of Factors Attributable to Project Results
- 3.6. Conclusions

4. LESSONS LEARNED

5. RECOMMENDATIONS TO THE IMPLEMENTING ORGANISATION (by NetRes)

ANNEX

Annex 1: Implementation Plan

Annex 2: Records of Surveys (interviews and questionnaires) and Meetings (workshops)

Annex 3: Bibliography

Annex 4: Financial Record

(3) Inputs

NetRes Institute (Showcase Facility)

Implementing Organisation

Others

II. EVALUATION

Period of Evaluation	month / year - month / year
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1. Summary of Evaluation Results

(1) Relevance

(2) Effectiveness

(3) Self-reliance

(4) Participation

2. Contributing Factors

3. Conclusion

4. Lessons Learned

5. Recommendations for the Project/IO (to be prepared by NetRes Institute)