

Policy Planning, Monitoring and Evaluation Handbook Annexes





British Embassy
Tbilisi



UKaid
from the British people



*Empowered lives.
Resilient nations.*

This publication was prepared and published by the Administration of the Government of Georgia with the assistance from the United Nations Development Programme (UNDP) and UK aid from the UK Government. Its contents do not necessarily reflect the views of UNDP and UK aid from the UK Government.

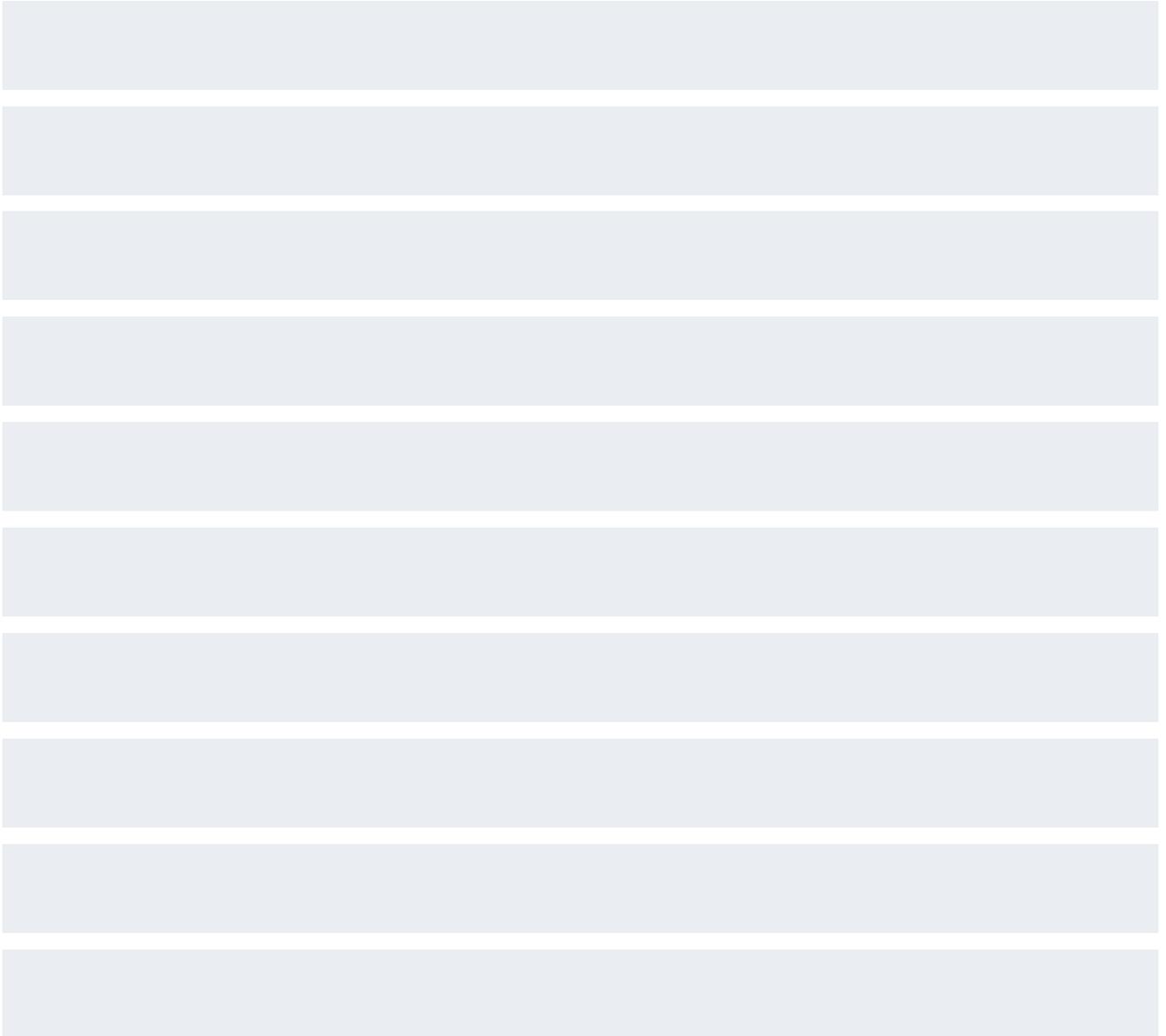
Policy Planning, Monitoring and Evaluation Handbook Annexes



Administration of the Government of Georgia
Policy Planning Unit

GOV.GE

Annexes



Manual for Conducting Situation Analysis

Policy Planning, Monitoring and Evaluation Handbook

Annex 1

Introduction

This supplementary manual is designed to provide public servants with additional details about the conduct of situation analysis in the process of developing a strategy or, in certain cases, sector action plan.

The aim of situation analysis

The first step in development of a strategy is to conduct of initial problem analysis known as the situation analysis. Defining policy-related problems and their root causes is the central aspect of the development of a policy and corresponding policy documents. Without a thorough understanding of problem of a given policy, efforts undertaken on each other stage of the policy cycle may take wrong directions and intended results be difficult to materialize.

The situation analysis must rest on the **evaluation of previous strategy (if any)**. A comprehensive **baseline study** may also be carried out for the situation analysis. However, it is not advisable to include the entire report of the baseline study in the situation analysis section of a proposed policy document; it suffices to provide, in a structured manner, key findings, problems and their root causes supported by relevant data, so as to give readers a general understanding of challenges in the field.

The situation analysis should result in answering the following questions:

- ➔ What type of problem are we dealing with?
- ➔ What is the scale (size) of the problem and its prevalence in the entire population?
- ➔ What factors may cause this problem?
- ➔ What is a likelihood of the problem to emerge and at what frequency it may emerge?
- ➔ Who and what does the problem affect?
- ➔ Who has the ability and capacity to manage or solve the problem most effectively?

A properly conducted situation analysis alone may result in outlining sectoral priorities, potential goals, objectives, impact and outcome indicators and data sources, all of which will comprise the main part of the logical framework of a policy document.

Method 1: Problem Tree Analysis

A problem tree analysis is a method of defining a problem, its scale and causes. A problem tree reviews all the root causes and consequences of a problem that are already known and outlines the context of problem development (as well as potential solutions).

This method allows to think about the meaning and context of the problem by collecting relevant empirical evidence and communicating with stakeholders to learn about their opinions.

The problem tree analysis is the most recommended method for conducting a situation analysis, especially for designing a proper logical framework – correct definition of vision, sectoral priorities, goals, objectives, impact and outcome indicators which, at the end of the day, ensures a results-oriented planning.

The process of creating a problem tree requires interactive meetings to exchange opinions, which should help identify core problems, root causes and effects relationship among them. It is advisable to engage key stakeholders (civil society members, representatives of academic circles, private sector and other government institutions) in the process so as to ensure that the problem tree analysis rests on a common agreed vision of the situation.

Designing of a problem tree includes the following steps:

#	Stage	Explanation
1	Identifying and agreeing the core problem in a sector.	All participants discuss and agree on one most important problem (or following from the complexity of an issue, several problems). Selected problems shall be existing ones, not hypothetical, imaginary or anticipated. The core problem is the trunk of the tree
2	Identifying and agreeing root causes (primary and secondary) of the core problem.	The next stage involves the identification of the problem's: ➔ Primary root causes, and ➔ secondary root causes (if any). Root causes become roots of the tree.
3	Identifying and agreeing negative effects of the core problem.	The final, third stage involves the identification of direct effects (impact) of the core problem. Negative consequences become branches of the tree.

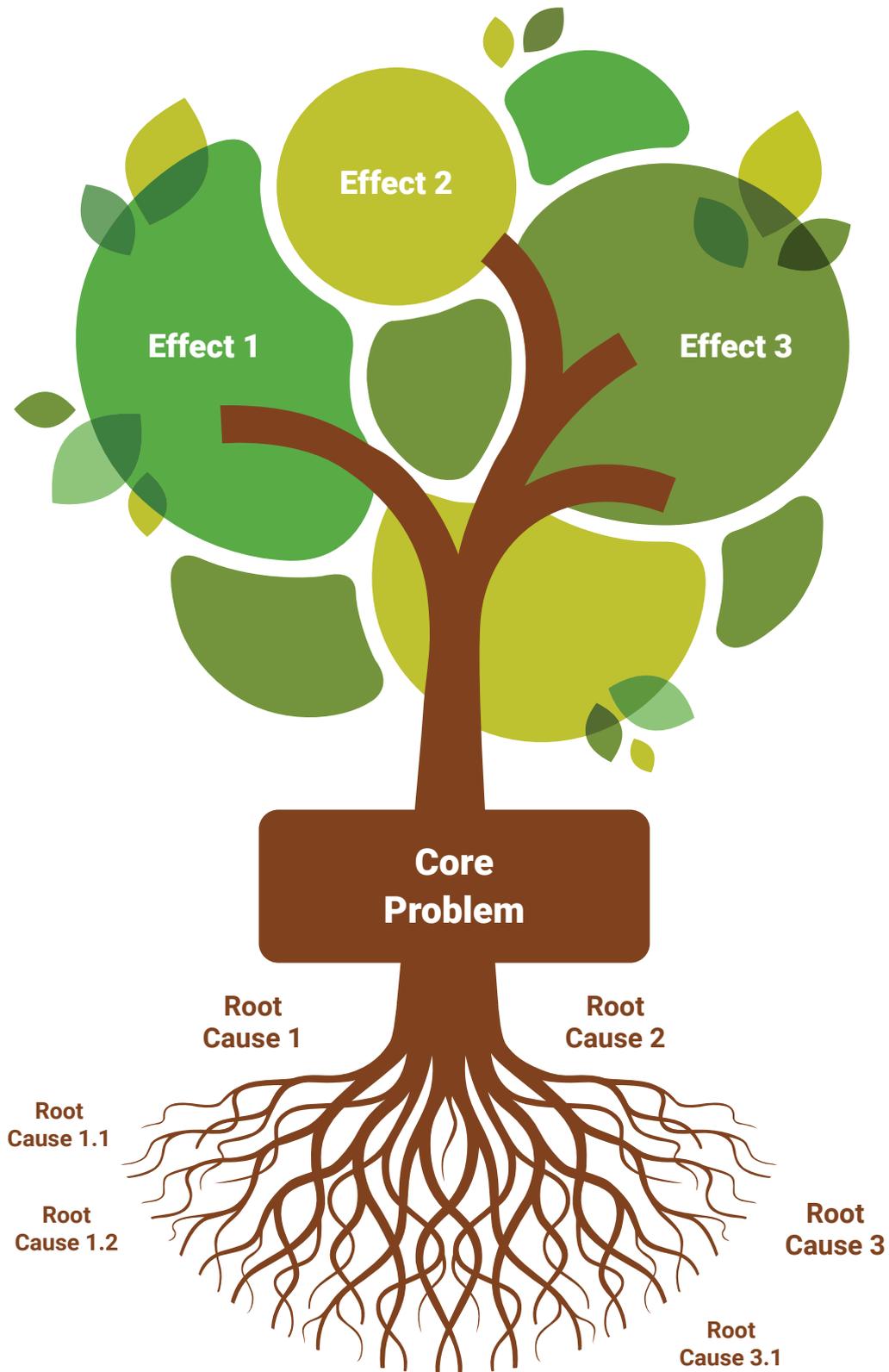


Image of a Problem Tree

In the course of discussion, a problem tree may be repeatedly revised and corrected until the participants arrive at agreement that a problem tree and relationship of the causes and effects demonstrated is comprehensive.

A problem tree must graphically display how one problem is linked to another problem and how they, for their part, are linked to the core problem. A real situation is quite complex in the majority of cases. Links between causes and consequences is often two-way with causes and effects, sometimes, representing problems themselves. The interdependence of the majority of problems is not simple and straight. It is important to reveal such interconnections, but the attention should be paid to the most important links among them. Overloading a problem tree will undermine the effectiveness of this method.

After creating a problem tree, a strategic planning process often uses an “**Objective Tree**” tool too, which provides positive formulations of the issues identified in the problem tree and may become a structure of a logical framework defining a strategic part of the policy document.

Method 2: PESTLE analysis

PESTLE analysis is a tool to analyze **factors** affecting a policy. Main factors are political, economic, social, technological, legal and environmental.

Political: How do political processes (elections, government program, political priorities, etc.) affect a policy? Are there any other (new) political obligations that must be taken into account in a policy?

Economic: How do current or forecasted economic development indicators (consumption, employment, inflation, income level, etc.) affect a policy and its target group? Will additional solutions be required?

Social: What is the impact of demography, cultural restrictions, level of education and healthcare on a policy and its target group?

Technological: How does the technology affect (positively or negatively) a policy and its target group? Which new technologies, if available, may improve effectiveness and cost efficiency of a policy a?

Legal: Is the existing legal framework conducive to planned changes? How does a proposed policy contribute to the implementation of European or international commitments? What is the impact of European or international legislation? Is there a need to draft new laws or bylaws? Is there a need to revise, amend them?

Environmental: How do the climate change, environmental pollution and other environmental factors affect a policy area?

Method 3: SWOT analysis

SWOT analysis is one of widely applied tools in developing policy document. This analysis is carried out by means of working meetings with stakeholders and focus groups.

Main stages of SWOT analysis are:

- 1. Defining and analyzing the scope of SWOT** – it is important to define the scope and purpose of SWOT analysis to indicate the direction to participants. The purpose of SWOT analysis may be narrow or broad, general or specific. It is also important to decide on the mode of discussion – whether it is an opinion exchange meeting, a focus group or any other;
- 2. Selecting participants** – representatives of public, private, civil society, international donor organizations or academic circles;
- 3. Preparing a baseline information** – before starting a SWOT session, participants must be provided with the baseline information which must contain the definition of goals, brief overview of a policy issue (a general problem, evidence, past efforts) and intended results;
- 4. Conducting focus groups:** it is important to appoint an experienced moderator/facilitator who will lead these meetings. The moderator shall allow every participant to express their views and ensure that debates are productive. The moderator must have the qualities of a leader in order to generalize expressed opinions and clearly formulate them into concrete issues;
- 5. Analyzing results:** this stage involves defining the existing situation, main problems, potential internal and external root causes and their strengths and weaknesses which must serve as a basis for formulating goals and objectives. Persons engaged in SWOT analysis may have to select several most important issues in order to focus the attention on. SWOT analysis must result in a table that, as a rule, sums up information and is part of a policy document. It may be part of the main text or an annex.

	Strengths	Weaknesses
Internal	S – Strengths	W – Weaknesses
External	O – Opportunities	T – Threats

Manual for Designing of Logical Framework

Policy Planning, Monitoring and Evaluation Handbook

Annex 2

Introduction

This supplementary manual is designed to provide public servants with additional details about designing of an intervention logic and logical framework in the process of developing a strategy or, in certain cases, sectoral action plan within the policy planning and coordination system of Georgia.

The aim of logical framework

A properly and thoroughly conducted situation analysis enables the development of **strategic section** of a policy document. This section presents a government vision, sectoral priorities (if any), goals, objectives, impact and outcome indicators, baseline and target values. This is the most important part of a policy document as it formulates strategic approaches to a sector.

A summary of the strategic part will be provided in a logical framework. A logical framework is the backbone of results-based management. Therefore, it is very important to understand importance of this process and its results at the initial stage of policy planning. It is precisely the logical framework that serves as the basis for developing the main part of a strategy document.

It is recommended that the work on structure and text (narrative) of policy document's strategic part begins after the logical framework has been designed and agreed within the coordination body. Since the formulation of goals and objectives may change during the operationalization process (work on the indicators), substantial time and resources may be saved if the text is written on the basis of properly agreed logical framework.

Considering the above mentioned, a coordinating agency must start developing a logical framework once the process of situation analysis and prioritization has been completed.

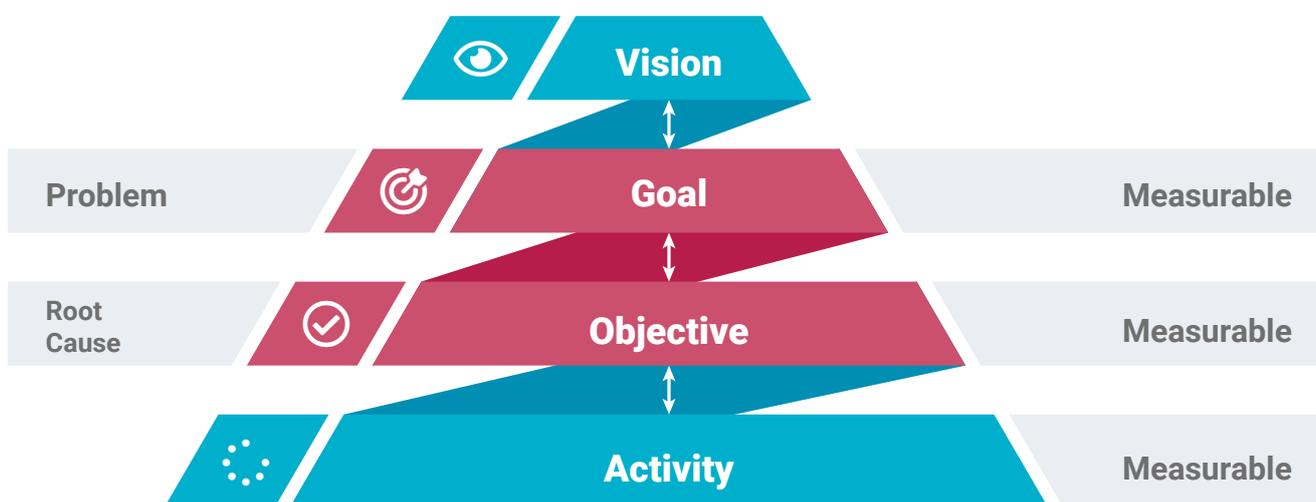
Goals and Objectives

According to the Handbook, in the policy planning and coordination system of Georgia, a strategic part of policy document must consist of the following sub-chapters:

- ➔ Vision
- ➔ Sectoral priority (if any when a field is broad. Has only a technical connotation);
 - ➔ Goal;
 - ➔ Objective;
- ➔ Logical framework (may be presented as a separate document - annex).

A logical framework must unite all the above parts in one space. However, a particular attention must be paid to the results of first and second levels:¹

1. First level - **goal** - long-term
2. Second level - **objective** - medium-term



It is important to ensure that both levels are measurable. Operationalization of goals and objectives means representing them as measurable units, which can be done by developing indicators.

At the stage of planning, it is necessary to identify the responsible agencies for achieving the goals and objectives in order to ensure ownership and to report on them thereafter. However, this does not mean that no other agency can be designated as a responsible agency under the same obligation.

¹ While the third level – the level of activities – must be provided in an action plan.

Key Performance Indicators

Results of all the three levels in the policy planning and coordination system of Georgia must be measurable by indicators. Consequently, there are three types of indicators in the system:

<p>Activity</p> <p>Output Indicator</p>	<p>Outcome</p> <p>Outcome Indicator</p>	<p>Goal</p> <p>Impact Indicator</p>
<p><i>Explanations</i></p>		
<p>Goods or services immediately delivered as a result of activity.</p>	<p>Medium-term result that may be delivered because of implementation of activities (outputs).</p>	<p>General and long-term effect that happens because of achievement of outcomes.</p>
<p><i>For example:</i></p>		
<ol style="list-style-type: none"> 1. Developed and Adopted public “service+” standard; 2. Number of trainings conducted for employees; 3. Number of retrained employees 	<p>Share of public services meeting the “service+” standard</p>	<p>Level of Satisfaction of public service users</p>
<p><i>Recommended number of Indicators</i></p>		
<p>1 - 5</p>	<p>1 - 3</p>	<p>1 - 3</p>

Proper development of indicators is a rather difficult and labor-intensive process that requires the availability of quality data. At the stage of situation analysis of policy development, when data is collected and analyzed, at least impact and outcome indicators need to be outlined, which will be completed with corresponding (baseline and target) values at the following stage.

Indicators may be **quantitative** and **qualitative**. The main difference between them is the methodology of calculating the measurement of results, which may be represented by qualitative and quantitative **data**.

Quantitative indicator is expressed in **numerical data**. It may include *absolute number, share, ratio/rate or percentage*.

For example:

- ➔ **Number** - Number of nurses in Georgia (19 000);
- ➔ **Share** - the share graduates of nurse/obstetrics bachelor programs in the total number of graduates (+ vocational program graduates) (5%);
- ➔ **Ratio** - the ratio between doctors and nurses (0.8/1);
- ➔ **Percentage** - the percentage of male doctors (10%).

Qualitative indicator measures quality, opinion, perceptions, stage or status of process. Representing qualitative data in quantitative values is difficult but possible and this is the main difficulty in formulating such indicators.

A qualitative indicator may be presented in quantitative data by means of **categorical data** and may be expressed in the following forms: *yes/no, compliance, extent of, degree of*. It may also be presented in the form of a *numerical data, score, ranking*.

- ➔ **Compliance** - the compliance of nurse/doctor ratio in Georgia with the WTO standard (incompliance at 3.2);
- ➔ **Extent of** - how non-prestigious is the nursing profession for doctors, nurses and managers (54%);
- ➔ **Degree of** - degree of satisfaction of users with healthcare services (%);
- ➔ **Ranking** - the ranking of nurses in Georgia among European countries according to the WTO database (52nd);
- ➔ **Score** - an average score of nurse/obstetrics bachelor's program graduates.

When defining a qualitative indicator, it is possible to develop an independent index (mainly at the level of outcome and impact) and to present baseline and target values by means of these very index scores. In such a case a methodology of calculating index must be provided in an indicator passport.

Ideally, an indicator must not contain baseline and target values.

Indicator evaluation criteria

For indicators to be of good quality, evaluation criteria must be considered at the very stage of developing indicators. The most widespread model for evaluating indicators is SMART model which outlines five specific criteria. The Administration of Government will be employing these criteria when providing quality assurance of indicators at all three levels.

Criteria	Explanation
Specific	<p>The indicator must be specific and clear, accurately describing an intended result and responding to that result alone (and not any other) which it was developed to measure.</p> <p>Furthermore, an indicator must not be ambiguous about the delivery of intended result.</p> <p><u>Example</u> “Number of domestic violence incidents reported to the police” (and its increase by the use of values).</p> <p>This indicator may reflect:</p> <ul style="list-style-type: none"> ➔ Positive trend - when domestic violence is a tabooed topic and such incidents are not reported to the police; ➔ Negative trend - when domestic violence is caused by a general deterioration of crime situation in the country.
Measurable	<p>The main function of an indicator to measure impact, outcome or output is revealed in this very criterion. An indicator must allow to track progress. When an indicator is specific and clear, it may be measured in various ways.</p> <p>An indicator is measurable by means of above mentioned quantitative and qualitative data.</p> <p>Furthermore, it is better if an indicator is based on publicly available data.</p> <p><u>Example</u> Non-measurable indicator:</p> <ul style="list-style-type: none"> ➔ Access to public services by population has increased <p>Measurable indicator:</p> <ul style="list-style-type: none"> ➔ A percentage of population considering that they have access to public services.
Achievable	<p>An indicator must be achievable and realistic. One of the main functions of an indicator is to ensure that goals, objectives and activities <u>are not excessively</u> ambitious and at the same time, modest.</p> <p>Achievability of indicator is mainly evaluated by providing it with final and midterm target values. It is mandatory to provide values (including baseline) in the logical framework.</p> <p><u>Example</u> Indicator – Number dropouts from compulsory education in general educational institutions.</p> <ul style="list-style-type: none"> ➔ Baseline value (2016 year) - 3640 <p>Excessively ambitious indicator</p> <ul style="list-style-type: none"> ➔ Target value in 2020 - 0 <p>Modest indicator</p> <ul style="list-style-type: none"> ➔ Maintaining the baseline value in 2020. <p>Achievable indicator</p> <ul style="list-style-type: none"> ➔ In 2020 – 1500

Relevant

The Relevance criterion must ensure the **link** between the indicator and the intervention, in particular - whether this specific intervention alone causes the occurrence of result measurable by the indicator. It is better to develop such an indicator that **directly** measures an intervention.

Example:

If an **objective** is to: *“enhance competitiveness of small and medium businesses on local and international markets.”*

A **relevant** indicator of the objective will be

- ➔ The number of employed persons **in small and medium enterprises**.

An **irrelevant** outcome indicator will be

- ➔ The total number of employed persons in **the country**.

Time-bound

An indicator must be time-bound in order to respond problem needs and at the same time, be cost-effective.

This indicator criterion is mainly evaluated by specifying the **period** for reaching its final and midterm target values. Periods (including baseline) are specified in a logical framework. However, the periods specified in the form must, on the one hand, allow to track progress and on the other hand, avoid the frequency that will require too much resources to measure it.

Example:

Indicator - Value of academic performance of school students in PISA test.

Periods specified at excessive frequency

- ➔ Monthly midterm and final values – *require organizing PISA test monthly.*

Periods specified at less frequency

- ➔ Only the final value in the 4th year of intervention – *In this case, PISA test will only be conducted in the 4th year of intervention which fails to provide an early diagnosis of the effectiveness of the intervention.*

Periods specified in balanced manner

- ➔ Annual (or every second year) midterm values – *requires organization of PISA test each year to identify the outcome of the intervention and to adjust the intervention according to the progress*

Logical framework template and instruction

Below is a template for the logical framework and instructions for filling it. However, this does not mean that the logical framework cannot be represented in another format. If the logical framework is presented in a different format, it is important that at least the information presented in this template (maybe in a different structure) is reflected.

Vision		1				
Sectoral priority		2				
Goal 1:	3	Link to SDGs:		12		
Impact indicator 1.1:	4		Baseline	Target		Sources of Verification:
				Midterm	Final	
		Year	5	7	9	11
Value	6	8	10			
Objective 1.1:	13					
OUTCOME Indicator 1.1.1:	14		Baseline	Target		Sources of Verification:
				Midterm	Final	
		Year	15	17	19	21
Value	16	18	20			
Risk:	22					
Instruction						
#	Explanation					Mandatory
1	Vision - the vision outlined in the strategy must be provided.					Yes
2	Sectoral priority - a sector priority defined in the strategy, if any, must be provided.					No
3	Goal - the goal identified in the strategy must be provided in full as formulated under a sectoral priority (if any).					Yes
4	Impact indicator - the impact indicator related to the first goal, which will measure the achievement of the goal, must be provided. There may be several impact indicators, but not more than three.					Yes
5	Baseline year of impact indicator - the year of strategy adoption or the preceding year must be specified (depending on the period of data collection). For example, the baseline year of impact indicator for a strategy operating in 2020-2030, will be 2020 (or 2019).					Yes
6	Baseline value of impact indicator - the impact indicator value for a baseline year must be provided.					Yes
7	Midterm year (years) of impact indicator - the year (years) of evaluating midterm target value of impact must be provided. According to the Handbook, filling in the box is mandatory when the Strategy Document has a validity period of 8 years or more, in which case the midterm year should be set at a maximum of four years. For example, in the case of a strategy operating in 2020-2030, the 7th cell should indicate years 2023, 2027 (with the addition of appropriate fields, if necessary).					No (Mandatory only in the cases indicated in the Handbook)

8	Midterm target value of impact indicator - the target value of impact indicator for a midterm year(s) presented in 7 th cell must be provided (with additional fields if necessary).	No (Mandatory only in the cases indicated in the Handbook)
9	Final year of impact indicator - the final year of completion of the strategy must be provided. For example, for the strategy operating in 2020-2030, the final year will be 2030.	Yes
10	Final target value of impact indicator - impact indicator value must be provided for the final year specified in the 9 th cell.	Yes
11	Verification source of impact indicator - at least one source must be specified to be referred to for verifying the information in the impact indicator and the data showing the progress against values.	Yes
12	Link of the goal to SDGs - must be provided the information on which of 17 SDGs does the goal of the strategy match the best. Several SDGs may be specified in the row.	Yes
13	Objective - the objective identified under a goal identified in 3 rd cell in a strategy document must be fully formulated.	Yes
14	Outcome indicator - the outcome indicator of the objective formulated in the 13 th cell, which will measure the achievement of the objective must be provided. Several indicators may be provided, but not more than three.	Yes
15	Baseline year of outcome indicator - Indicate the year of the strategy approval or a preceding year (depending on data collection period). For example, the year 2020 (or 2019) should be indicated as a baseline year for the outcome indicator of the objective for the strategy operating in years 2020-2030.	Yes
16	Baseline value of outcome indicator - the outcome indicator value for the baseline year indicated in 15 th cell must be provided.	Yes
17	Midterm year of outcome indicator – the year of evaluating a midterm target value must be provided. According to the Handbook, the mentioned row must be filled in when the strategy duration is four or more years. In such a case, a midterm year must be set at a two-year interval, at least . For example, for a strategy operating in 2020-2030, the years specified in the row will be 2021, 2023, 2025, 2027 and 2029. It is not mandatory to fill in the row in case of sector action plan (an action plan that is not linked to the strategy and its duration may range from one to three years)	No (Mandatory only in the cases indicated in the Handbook)
18	Midterm target value of outcome indicator - the target value of outcome indicator must be provided for the midterm year(s) specified in the 17 th cell (with additional fields if necessary).	No (Mandatory only in the cases indicated in the Handbook)
19	Final year of outcome indicator - the final year of completion of the strategy must be provided. For example, 2030 will be the final year of the strategy operating in 2020-2030.	Yes
20	Final target value of outcome indicator - the outcome indicator value must be provided for the final year specified in the 19 th cell.	Yes
21	Verification source of outcome indicator - at least one source must be provided to be referred to for verifying the information in the outcome indicator and the data showing the progress against the values.	Yes
22	Risk - risk(s) in achieving the target values in the outcome indicator must be identified.	Yes

Vision

Vision						
GOAL 1:	-----	Link to (SDGs):			-----	
IMPACT Indicator 1.1:	-----		Baseline	Target		Sources of Verification:
				Midterm	Final	
		Year	-	-	-	-
		Value	-	-	-	-
IMPACT Indicator 1.2:	-----		Baseline	Target		Sources of Verification:
				Midterm	Final	
		Year	-	-	-	-
		Value	-	-	-	-
OBJECTIVE 1.1:	-----					
OUTCOME Indicator 1.1.1:	-----		Baseline	Target		Sources of Verification:
				Midterm	Final	
		Year	-	-	-	-
		Value	-	-	-	-
OUTCOME Indicator 1.1.2:	-----		Baseline	Target		Sources of Verification:
				Midterm	Final	
		Year	-	-	-	-
		Value	-	-	-	-
Risk:	-----					
GOAL 2:	-----	Link to SDGs:			-----	
IMPACT Indicator 2.1:	-----		Baseline	Target		Sources of Verification:
				Midterm	Final	
		Year	-	-	-	-
		Value	-	-	-	-
IMPACT Indicator 2.2:	-----		Baseline	Target		Sources of Verification:
				Midterm	Final	
		Year	-	-	-	-
		Value	-	-	-	-
OBJECTIVE 2.1:	-----					
OUTCOME Indicator 2.1.1:	-----		Baseline	Target		Sources of Verification:
				Midterm	Final	
		Year	-	-	-	-
		Value	-	-	-	-
OUTCOME Indicator 2.1.2:	-----		Baseline	Target		Sources of Verification:
				Midterm	Final	
		Year	-	-	-	-
		Value	-	-	-	-
Risk:	-----					

Manual for Drafting of Indicator Passport

Policy Planning, Monitoring and Evaluation Handbook

Annex 3

Introduction

This supplementary manual is designed for the preparation of **impact** and **outcome** indicator passports within the process of developing a strategy or, in separate cases, sectoral action plan within the policy planning and coordination system of Georgia.

Development of indicator passport is important for proper planning and for assessment of effective implementation of strategy. An indicator passport aims at ensuring:

- ➔ Results-based planning process;
- ➔ Developing detailed instruments for measuring long-term and medium-term results;
- ➔ Simplified monitoring and evaluation process;
- ➔ Possibility to track achieved progress in a simple and transparent manner;
- ➔ Ensuring institutional memory of policy planning process.

An indicator passport must contain all details on each indicator. It is important to take into account that an indicator passport must be developed for each **impact** and **outcome** indicators. Developing a passport for output indicators is not recommended.

Indicator passport template and instruction

Title of the indicator	1			
Level of the indicator	Impact	Outcome		
	2	3		
Link of indicator to Goal/Objective of a strategy	4			
Description of the Indicator	5			
Source of Verification	6			
Agency responsible for data collection	7			
Frequency of data collection	8			
Methodology	9			
Indicator Values		Baseline	Target	
			Midterm	Final
	Year	10	12	14
	Value	11	13	15

Instruction		
#	Explanation	Mandatory
1	Title of indicator - Name of indicator as presented in the logical framework of the strategy document;	Yes
2	Type of indicator - This cell must be marked if the indicator measures Impact	Yes
3	Type of indicator - This cell must be marked if the indicator measures Impact	Yes
4	Link of indicator to goal/objective of the strategy - it must be indicated which of specific goal or objective in a strategy document does this indicator measure	Yes
5	Description of indicator - a detailed description of what in particular this indicator measures	Yes
6	Source of verification - Information on where and how the data for the indicator can be collected. In addition, any type of data (quantitative or qualitative) that should be collected to measure the indicator (recommendation);	Yes
7	Agency responsible for data collection - the agency that is responsible to collect the mentioned data. At the time of reporting, this agency shall provide the coordination body with the information on the performance of this specific indicator.	Yes
8	Frequency of data collection - at what frequency does the responsible agency collect the indicator-related data.	No
9	Methodology - a detailed description of objective methodology for calculating the indicator, which must, at the end of the day, enable to obtain the indicator value . In case of quantitative indicator, this may be a specific formula while in case of qualitative indicator this may be a sum of weighted values of integral elements of various goals/objectives. (Discussed in detail in annex 2)	Yes
10	Baseline year of indicator - the year of strategy adoption or the preceding year must be provided (depending on the period of data collection). For example, for a strategy operating in 2020-2030, the baseline year of a given indicator will be 2020 (or 2019).	Yes
11	Baseline value of indicator - the indicator value for baseline year identified in the 10th cell must be provided.	Yes
12	Midterm year (years) of indicator – the year (years) of evaluating interim target value of indicator (impact or outcome) must be provided in accordance with the standards set in the Handbook (with additional fields if necessary).	No (Mandatory only in the cases indicated in the Handbook)
13	Midterm target value of indicator – target value of indicator (outcome or impact) for interim year (years) identified in 12 th cell must be provided (with additional fields if necessary).	No (Mandatory only in the cases indicated in the Handbook)
14	Final year of indicator – the final year of completion of the strategy must be provided. For example, the final year of the indicator for the strategy operating in 2020-2030 will be 2030.	Yes
15	Final target value of indicator – the impact or outcome indicator value for the final year identified in the 14 th cell must be provided.	Yes

Manual for Drafting of Action Plan

Policy Planning, Monitoring and Evaluation Handbook

Annex 4

Introduction

This supplementary manual is designed for the preparation of action plans within the policy planning and coordination system of Georgia.

An action plan is a policy document outlining specific activities for the achievement of national or sectoral priorities, goals and objectives, as well as their output indicators, responsible institutions, deadlines, budget and source of financing.

The work on devising an action plan starts once sectoral priorities, goals, objectives and impact and outcome indicators have been defined.

Identifying policy options

For an action plan to be of good quality and effective, it is important to, first and foremost, define activities. Activities may be defined as a result of selecting a **policy option**. To select the most effective policy option, it is necessary to identify **several policy options**.

Identification of policy options implies the use of various methods and approaches for policy implementation. Identification of policy options requires a creative process and it is effective when various partners and stakeholders are involved in it (state, local government, private sector, volunteer, social or community sectors, etc.).

Policy options may be identified by the following methods:

- ➔ Analysis of data obtained from monitoring and evaluation of ongoing or completed policy documents;
- ➔ Analysis of available studies and recommendations;
- ➔ Analysis of experience of other countries;
- ➔ Proposals of international and local organizations;
- ➔ Consultations with stakeholders.

Some of policy options may have existed in the past and these options must be included in the menu of policy options. It is necessary to consider the options that have been outlined in the process of government analysis, and at the same time to realize that there are other options developed by nongovernmental groups and other agencies. Thus, the process requires the involvement of stakeholders.

Creative approach implies defining and considering the existing experience. One needs to know how a similar objective was achieved by other countries and which of important factors conditioned their success. The digital revolution led to creating a global network of electronic databases. Accordingly, national and international data on productive/effective (and unproductive/ineffective) policy projects in policy analysis have become available.

One must consider policy levers available in the ministries of Georgia as well as the degree of effectiveness of these levers. It may be the case that existing policy or a combination of several policies has already proved effective, or may become more effective with minor changes. Such cases are known as “do minimum/do nothing” options. Using the existing monitoring and evaluation data, it can be assessed to what extent has the existing policy achieved intended results. A question that arises after that is whether it is possible to achieve better results by applying a different policy (or a combination of policies).

The analysis of policy options requires evidence about comparative costs and benefits of various approaches (**Cost Benefit Analysis – CBA**). It is therefore advisable to establish **net present value (NPV)** of various options, which means establishing the **difference between estimated costs and benefits**, i.e. **cost-benefit ratio** of various approaches towards achieving intended results.

It is advisable to identify at least three policy options at the policy development stage.

Selecting a realistic policy option

The next step once the policy options has been identified is the selection of a **realistic policy option**. Analysis of costs and benefits of each option provides an opportunity for informed decision-making. Such analysis is also necessary to evaluate the feasibility of proposed options within a given period of time and countrywide. Each option must comply with the ideology, values and priorities of the incumbent government.

The final list of options submitted for the selection by a coordinating body must include those which meet the abovementioned requirements. A method used for the selection of the most realistic option is a **Multi-Criteria Analysis (MCA)**. This method implies, first, to define **evaluation criteria** for problem solving, which is done in relation to the issue. The next stage is the evaluation of each policy option by defined criterion.

Example

An example of a drug policy is discussed below for illustration.

Goal: Decreasing health, social and economic damage at individual, family, community, society and national levels, that is caused by the turnover of illegal drugs in Georgia.

Impact indicator: Number of injecting drug users.

Baseline value (in 2009) – 40 000.

Final target value (by 2017) – 20 000

Objective: Ensuring effective and efficient drug dependence treatment.

Outcome indicator: Reach of injecting drug users by harm reduction programs.

Baseline value (in 2012) – 5-10%.

Final target value (by 2017) – 30%.

Policy options are developed on the basis of these goals, objectives and impact and outcome indicators. Overview of international experience, the baseline study and consultations with stakeholders resulted in the development of three **policy options**:

- ➔ Option 1 – existing level of program;
- ➔ Option 2 – additional services (with higher costs);
- ➔ Option 3 – additional services (with lower costs).

At the next stage, to prepare a multi-criteria analysis the **evaluation criteria** were developed:

1. Use of methadone;
2. Number of required probation officers;
3. Time needed for additional services;
4. Political feasibility;
5. Institutional Arrangement.

Figure 4.2 summarizes a policy option selection process by using **multi-criteria analysis**.

The figure shows that option 2, compared to option 1 (i.e. ongoing program) and option 3, requires hiring additional probation officers due to increase in the use of methadone and the implementation of this option also requires more time. Additional services of this option are more expensive than those under option 3; furthermore, a political feasibility is low and there are no institutional capacities to deliver additional services.

Matrix of outcomes – drug use			
Evaluation criteria	Option 1 (existing level of program)	Option 2 – additional services (with higher costs)	Option 3 – additional services (with lower costs)
Use of methadone	3 units for 500 users in total	+13 units for 1300 users in total	+4 units for 400 users in total
Number of probation officers for supervision	None	+11	+4
Additional time for the provision of additional services	None	18 months	10 months
Political feasibility	+++	***	**
Institutional capacity for the provision of additional services	Capacity already exists.	Difficult to hire, train and expand new staff within the set period.	Easier to expand in case of proposed change.

Hence, option 2 developed in response to drug use problem is the least “realistic” policy solution. Implementation of option 3 will take 10 months, which is likely to be a significantly longer time and consequently, has low political feasibility. However, it has sufficient institutional capacity for the delivery of additional services. Thus, option 1 (“do nothing”) turns out to be the most desirable option, however, a decision on this option depends on a detailed analysis of costs and benefits of options 1 and 3, also on whether a decision maker is willing to wait for 10 months before the implementation starts.

Policy instruments

Policy Instruments are used to develop policy options and in general, to define activities and possible measures in an action plan. Policy instruments can be classified in a number of ways. However, the most common and acceptable approach is classifying policy instruments into five categories which group similar activities.

#	Policy instrument	Examples of activities
1	Regulatory	Drafting and revision of laws and bylaws; development of standards; development of methodological framework, etc.
2	Administrative	Development of training modules and conduct of trainings; implementation of investment and infrastructure projects; establishment of electronic and technological instruments, etc.
3	Informative	Awareness raising measures; planning and conduct of information campaigns; publications; placement of materials in print, broadcast and online media; putting into operation hotlines, mobile applications; information meetings; organizing conferences and forums.
4	Institutional	Establishment of new public agencies; abolition, merger and reorganization of existing ones; establishment of public-private partnership.
5	Financial	Subsidizing; tax exemption or introduction of tax breaks; enactment of new penalty and incentive systems, etc.

Policy instruments (SIGMA approach)

There are other approaches to policy instrument categorization in public policy studies. Hence, the above listed five instruments may be presented by different models in a policy document. However, it is important to bear in mind that the use of various categories of policy instruments in the process of defining policy options and selecting the most realistic option is always more effective for the achievement of a set objective.

Selecting activities

Activities must be defined in accordance with policy instruments. Responsible public agencies reveal two tendencies in this process:

- ➔ To propose a large number of activities and thus underline importance of their institution;
- ➔ To propose activities which they have already been implementing and which thematically may only be indirectly linked to the objectives set in the area.

This is a challenge to a good quality and results-based planning process and makes the monitoring and evaluation of duplicated activities complicated.

Therefore, activities for an action plan must be selected by the following **four criteria**:

#	Criteria	Explanation
1	Relevance	An activity must correspond to the objective which it is intended to achieve and must respond to the problem which is to be solved by the objective.
2	New / reform-oriented	An activity must be a qualitatively new action or a modification of existing action, oriented on changing the established system or an element of the system. An activity cannot be part of already established procedure.
3	Innovative	It is recommended for an activity to be innovative, pursuing an unconventional and already tested solution to the problem. Innovative activities often imply the use of modern information and communication technologies (ICT).
4	Evidence-based	It is recommended that activities specified in an action plan should be supported by evidence that they are effective in achieving the objective, in accordance with evidence-based practice.

An important role in developing an action plan is played by a **secretariat**. In consultation with responsible agencies, the secretariat, based on above criteria, decides on selecting activities for an action plan. The following questions help ensure that each activity meets the mentioned criteria:

1. Is this activity a new one or similar activities have been implemented earlier too?
2. Does this activity change the entire system or only one of its elements?
3. Is the activity difficult or easy to implement?
4. Does the activity include measures (sub-activities)?
5. How large is the target audience that will be affected by the activity?
6. How important is the activity? Will it have impact on only in-house administrative issues or society in general?
7. How much does it cost to implement the activity?
8. How long does it take to implement the activity?

Activities may also contain measures (sub-activities). Measures are identified in the budgeting process (detailed description is provided in subchapter 3.4 of the Handbook) and they rest on the outputs of main activities. Identification of measures is important to properly formulate and specify an activity. Without identifying the measures, it is difficult to define costs of activities. Measures must not be specified in an action plan; they are specified in a budgeting instrument.

Action plan template

To ensure results-based management, an action plan template must contain elements of logical framework too. This, on the one hand, helps the secretariat link activities to objectives and goals, thereby increasing the quality of policy planning, and on the other hand, simplifies a monitoring and evaluation process.

Detailed instructions for filling out the Action Plan template are provided in graphic form, while the Action Plan template is presented below. However, this does not mean that the action plan cannot be presented in another format. If presented in a different format, it is important that at least (excluding the exceptions) the information presented in this template is reflected.

Sectoral priority				1														
GOAL 1:				2				Link to SDGs:				11						
IMPACT Indicator 1.1:		3		Baseline		Target				Sources of Verification:								
						Mid-term		Final										
				Year	4	6	8											
Value	5	7	9	10														
OBJECTIVE 1.1:				12														
OUTCOME Indicator 1.1.1:		13		Baseline		Target				Sources of Verification:								
						Mid-term		Final										
				Year	14	16	18											
Value	15	17	19	20														
Risk:				21														
Activity		Output indicator		Source of verification		Responsible agency		Partner institution		Deadline		Budget [€]		Source of financing				
														State budget		Other		Gap
														Amount [€]	Code	Amount [€]	Organization	
1.1.1	22	1.1.1.1	23	24	25	26	27	28	29	30	31	32	33					
Instruction																		
#	Explanation											Mandatory						
1	Sectoral priority - a sector priority defined in the strategy, if any, must be provided.											No						
2	Goal - the goal identified in the strategy must be provided in full as formulated under a sectoral priority (if any).											Yes						
3	Impact indicator - the impact indicator related to the first goal, which will measure the achievement of the goal, must be provided. There may be several impact indicators, but not more than three.											Yes						
4	Baseline year of impact indicator - the year of strategy adoption or the preceding year must be specified (depending on the period of data collection). For example, the baseline year of impact indicator for a strategy operating in 2020-2030, will be 2020 (or 2019).											Yes						

5	Baseline value of impact indicator - the impact indicator value for a baseline year must be provided.	Yes
6	Midterm year (years) of impact indicator - the year (years) of evaluating midterm target value of impact must be provided. According to the Handbook, filling in the box is mandatory when the Strategy Document has a validity period of 8 years or more, in which case the midterm year should be set at a maximum of four years. For example, in the case of a strategy operating in 2020-2030, the 7th cell should indicate years 2023, 2027 (with the addition of appropriate fields, if necessary).	No (Mandatory only in the cases indicated in the Handbook)
7	Midterm target value of impact indicator - the target value of impact indicator for a midterm year(s) presented in 7 th cell must be provided (with additional fields if necessary).	No (Mandatory only in the cases indicated in the Handbook)
8	Final year of impact indicator - the final year of completion of the strategy must be provided. For example, for the strategy operating in 2020-2030, the final year will be 2030.	Yes
9	Final target value of impact indicator - impact indicator value must be provided for the final year specified in the 9 th cell.	Yes
10	Verification source of impact indicator - at least one source must be specified to be referred to for verifying the information in the impact indicator and the data showing the progress against values.	Yes
11	Link of the goal to SDGs - must be provided the information on which of 17 SDGs does the goal of the strategy match the best. Several SDGs may be specified in the cell.	Yes
12	Objective - the objective identified under a goal identified in 3rd cell in a strategy document must be fully formulated.	Yes
13	Outcome indicator - the outcome indicator of the objective formulated in the 13th cell, which will measure the achievement of the objective must be provided. Several indicators may be provided, but not more than three.	Yes
14	Baseline year of outcome indicator - Indicate the year of the strategy approval or a preceding year (depending on data collection period). For example, the year 2020 (or 2019) should be indicated as a baseline year for the outcome indicator of the objective for the strategy operating in years 2020-2030.	Yes
15	Baseline value of outcome indicator - the outcome indicator value for the baseline year indicated in 15 th cell must be provided.	Yes
16	Midterm year of outcome indicator – the year of evaluating a midterm target value must be provided. According to the Handbook, the mentioned cell must be filled in when the strategy duration is four or more years. In such a case, a midterm year must be set at a two-year interval, at least . For example, for a strategy operating in 2020-2030, the years specified in the cell will be 2021, 2023, 2025, 2027 and 2029. It is not mandatory to fill in the cell in case of sector action plan (an action plan that is not linked to the strategy and its duration may range from one to three years)	Yes
17	Midterm target value of outcome indicator - the target value of outcome indicator must be provided for the midterm year(s) specified in the 17 th cell (with additional fields if necessary).	Yes
18	Final year of outcome indicator - the final year of completion of the strategy must be provided. For example, 2030 will be the final year of the strategy operating in 2020-2030.	Yes

19	Final target value of outcome indicator - the outcome indicator value must be provided for the final year specified in the 19 th cell.	Yes
20	Verification source of outcome indicator - at least one source must be provided to be referred to for verifying the information in the outcome indicator and the data showing the progress against the values.	Yes
21	Risk - risk(s) in achieving the target values in the outcome indicator must be identified.	Yes
22	Activity - a specific action towards achieving the objective defined in the cell №12 must be provided.	Yes
23	Output indicator - the output indicator of the activity must be provided, which will measure the implementation of the activity. Two or more output indicators may be provided.	Yes
24	Verification source of output - at least one source must be provided to be referred to for verifying the information in the output indicator and the data showing the progress against the values.	Yes
25	Responsible agency for the implementation of activity - only one public institution responsible for implementation of and reporting on the activity must be identified. Although the activity may envisage a participatory approach, it is important to specify only one public institution that assumes the responsibility for the implementation of the activity.	Yes
26	Partner agency responsible for the implementation of activity - one or more public institution that contribute to the implementation of the activity must be specified.	No
27	Deadline - the deadline of the activity must be specified. At the monitoring stage, the implementation rate of activities will be calculation according to the deadlines. At least a quarter of specific year must be indicated in this cell.	Yes
28	Budget for the implementation of activity - a specific amount in national currency, estimated to be needed for the implementation of activity must be provided. According to the Handbook, only direct costs required for the implementation of the activity must be specified. Budget for the implementation of the activity will be calculated by using the budgeting instrument.	Yes
29	Part of finance from the state budget allocated for the implementation of activity - a specific amount allocated from the state budget for the implementation of the activity must be provided.	Yes
30	Program code of state budget allocation for the implementation of the activity - the code of that program from the budget or BDD document, wherefrom the amount specified in the cell №29 will be allocated, must be provided. If the expenditure is not envisaged in existing programs, a note must be provided saying that it is a subject of negotiations in accordance with the budgeting procedures.	Yes
31	Part of financing for activity from other sources - a specific amount that has been secured from and agreed with donor or other financial institutions for the implementation of the activity must be provided.	Yes
32	Organizations financing the amount secured from other sources - the name of donor or other financial institution that will allocate the amount specified in the cell №31 for the implementation of activity must be provided.	Yes
33	Gap in financing of the implementation of activity - a specific amount that was not secured for the implementation of the activity must be provided.	Yes

Sectoral priority				If any									
GOAL 1:				-----									
				Link to SDGs:						-----			
IMPACT Indicator 1.1:				-----			Baseline	Target		Sources of Verification:			
								Midterm	Final				
				Year	-	-	-	1. -					
				-----			Baseline	Target		Sources of Verification:			
IMPACT Indicator 1.2:				Midterm	Final								
				-----		Year	-	-	-	1. -			
				-----		Value	-	-	-	2. -			
OBJECTIVE 1.1:				-----									
OUTCOME Indicator 1.1.1:				-----			Baseline	Target		Sources of Verification:			
								Midterm	Final				
								-----		Year	-	-	-
				-----		Value	-	-	-	2. -			
OUTCOME Indicator 1.1.2:				-----			Baseline	Target		Sources of Verification:			
								Midterm	Final				
								-----		Year	-	-	-
				-----		Value	-	-	-	2. -			
Risk:				-----									
Activity	Output Indicator	Source of verification	Responsible agency	Partner agency	Deadline	Budget	Source of financing						
							State budget		Other		Gap		
							Amount	Code	Amount	Organization			
1.1.1	---	1.1.1.1	---	---									
		1.1.1.2	---	---									
1.1.2	---	1.1.2.1	---	---									
1.1.3	---	1.1.3.1	---	---									
1.1.4	---	1.1.4.1	---	---									
OBJECTIVE 1.2:				-----									
OUTCOME Indicator 1.2.1:				-----			Baseline	Target		Sources of Verification:			
								Mid-term	Final				
								-----		Year	-	-	-
				-----		Value	-	-	-	2. -			
OUTCOME Indicator 1.2.2:				-----			Baseline	Target		Sources of Verification:			
								Mid-term	Final				
								-----		Year	-	-	-
				-----		Value	-	-	-	2. -			
Risk:				-----									

Activity	Output Indicator	Source of verification	Responsible agency	Partner agency	Deadline	Budget	Source of financing				
							State budget		Other		Gap
							Amount	Code	Amount	Organization	
1.2.1	---	1.2.1.1	---	---							
		1.2.1.2	---	---							
1.2.2	---	1.2.2.1	---	---							
1.2.3	---	1.2.3.1	---	---							
1.2.4	---	1.2.4.1	---	---							
1.2.5	---	1.2.5.1	---	---							
1.2.6	---	1.2.6.1	---	---							
GOAL 2:		-----	Link to SDGs:				-----				
IMPACT Indicator 2.1:		-----		Baseline	Target		Sources of Verification:				
					Midterm	Final					
					Year	-	-	-	1. -		
				Value	-	-	-	2. -			
IMPACT Indicator 2.2:		-----		Baseline	Target		Sources of Verification:				
					Midterm	Final					
					Year	-	-	-	1. -		
				Value	-	-	-	2. -			
OBJECTIVE 2.1:		-----									
OUTCOME Indicator 2.1.1:		-----		Baseline	Target		Sources of Verification:				
					Midterm	Final					
					Year	-	-	-	1. -		
				Value	-	-	-	2. -			
OUTCOME Indicator 2.1.2:		-----		Baseline	Target		Sources of Verification:				
					Midterm	Final					
					Year	-	-	-	1. -		
				Value	-	-	-	2. -			
Risk:		-----									
Activity	Output Indicator	Source of verification	Responsible agency	Partner agency	Deadline	Budget	Source of financing				
							State budget		Other		Gap
							Amount	Code	Amount	Organization	
2.1.1	---	2.1.1.1	---	---							
		2.1.1.2	---	---							
2.1.2	---	2.1.2.1	---	---							
2.1.3	---	2.1.3.1	---	---							

OBJECTIVE 2.2:				-----									
OUTCOME Indicator 2.2.1:				-----	Baseline	Target		Sources of Verification:					
						Midterm	Final						
Year					-	-	-	1. -					
Value					-	-	-	2. -					
OUTCOME Indicator 2.2.2:				-----	Baseline	Target		Sources of Verification:					
						Midterm	Final						
Year					-	-	-	1. -					
Value					-	-	-	2. -					
Risk:				-----									
Activity	Output Indicator	Source of verification	Responsible agency	Partner agency	Deadline	Budget	Source of financing					Gap	
							State budget		Other		Gap		
							Amount	Code	Amount	Organization			
2.2.1	---	2.2.1.1	---	---									
		2.2.1.2	---	---									
2.2.2	---	2.2.2.1	---	---									
2.2.3	---	2.2.3.1	---	---									
2.2.4	---	2.2.4.1	---	---									
2.2.5	---	2.2.5.1	---	---									
2.2.6	---	2.2.6.1	---	---									
2.2.7	---	2.2.7.1	---	---									
2.2.8	---	2.2.8.1	---	---									

Budgeting Instrument

Policy Planning, Monitoring and Evaluation Handbook

Annex 5

		No.	1							
		Activity	2							
		Responsible Agency	3							
		Output Indicator	4						Total	
		Measure (for the output to be delivered)	5							
		Comment	6							
Expenses Related to Remuneration	Salaries for new employees	Number of new employees	7						-	
		Average price [€]	8						-	
		Number of months	9						-	
		Total [€]	10	-	-	-	-		-	
Current (Operational) Expenses - excluding remuneration	Capacity building	Number of trainings/seminars/meetings	11						-	
		Day	12						-	
		Number of participants	13						-	
		Per diem cost per participant [€]	14						-	
		Accommodation cost per night [€]	15						-	
		Rent of conference room per day [€]	16						-	
		Trainer fee per day [€]	17						-	
		Total [€]	18	-	-	-	-		-	
	Technical assistance	Local expert	Number of days	19						-
			Price per day	20						-
			Total [€]	21	-	-	-	-		-
		International expert	Number of days	22						-
			Price per day [€]	23						-
			Total [€]	24	-	-	-	-		-
	Equipment	Computers	Number	25						-
			Average price [€]	26						-
			Total [€]	27						-
		Office furniture	Number	28						-
			Average price [€]	29						-
			Total [€]	30	-	-	-	-		-
	Publications	Number	31						-	
		Average price [€]	32						-	
		Total [€]	33	-	-	-	-		-	
	Capital Expenses	E.g., development of electronic system [€]		34						-
		Total cost [€]		35						-
		Total [€]		36	-	-	-	-		-

Other Existing Expenses [€]		37							-
Cost of delivery of output indicator [€]		38	-	-	-	-	-	-	-
Cost of activity [€]		39	-	-	-	-	-	-	-
Source of funding	State budget	Amount [€]	40						-
		Program code	41						-
	Other	Amount [€]	42						-
		Name of organization	43						-
	Gap [€]		44	-	-	-	-	-	-
Annual distribution of budget	Year 1 [€]		45						-
	Year 2 [€]		46						-
	Year 3 [€]		47						-

Table 1: Total cost of strategy implementation by categories of expenses [€]

	Expenses Related to Remuneration	Capacity building	Technical support	Equipment	Publications	Capital Expenses	Other Existing Expenses	Total
Sectoral priority/Goal 1								-
Sectoral priority/Goal 2								-
Total	-	-	-	-	-	-	-	-

Table 2: Source of financing the implementation of strategy

	State budget	Other	Gap
Sectoral priority/Goal 1			
Sectoral priority/Goal 2			
Total	-	-	-

Table 3: Distribution of financing by years

	Year 1	Year 2	Year 3	Total
Sectoral priority/Goal 1				-
Sectoral priority/Goal 2				-
Total	-	-	-	-

Manual For Development of Coordination Mechanism

Policy Planning, Monitoring and Evaluation Handbook

Annex 6

Introduction

This supplementary manual is designed to provide public servants with additional instructions on the establishment of institutional mechanisms for effective development and implementation of national and sectoral policies in Georgia.

According to the rule, unless otherwise provided by legislation, policy documents within the policy planning and coordination system, which envisage various sectoral directions and fall within the scope of competence of two or more institutions, are adopted by a government decree and are subject to the reporting to the government.

In such case, it is advisable to define and/or establish an appropriate coordinating body, which may be an individual coordinating agency (certain public agencies only) and / or a coordination mechanism - a consultative body established in accordance with the Law of Georgia on Structure, Authority and Rules of Procedure of the Government of Georgia.

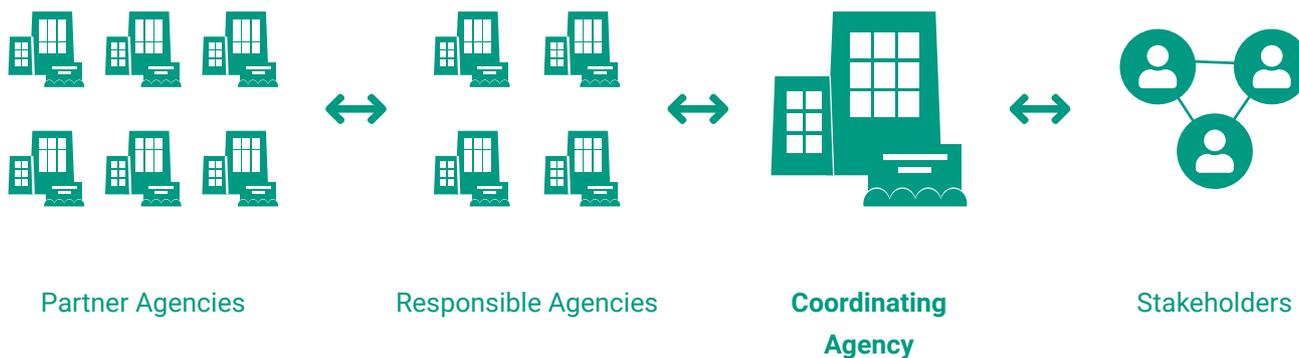
A mechanism may be established in parallel to the commencement of the development of policy document, or/ and by the time of commencement of the implementation of developed policy document.

Coordination mechanism

The implementation of a national or a sector policy, which implies the involvement of two or more agencies and fulfillment of responsibilities assumed under the plan, requires a coordinated management of the process which is possible only with a well-running coordination mechanism. Normally, a coordination mechanism has horizontal and vertical components.

↔ In **horizontal** terms, the coordination mechanism implies a cooperation format of public and non-public agencies and it may comprise:

- ➔ Coordinating agency
- ➔ Responsible agency;
- ➔ Partner agency
- ➔ Stakeholder.



A coordinating agency is a public institution responsible for the management of development, approval, monitoring, reporting and evaluation of a policy document. According to the Rules of Procedure, a coordinating agency may be the Administration of Government, the Ministries, the Office of the State Minister of Georgia and legal entities of public law accountable to the Government or the Prime Minister of Georgia (except for institutional policy documents that any public agency may be responsible for).

In cases of sector political document, a coordinating agency is usually the lead ministry of the area. When an issue does not belong to the scope of competence of any ministry or belongs to the scope of competence of several ministries and a decision-making ministry is not determined for this issue, the government takes a decision on setting up a coordinating body, in accordance with the Law of Georgia on Structure, Authority and Rules of Procedure of the Government of Georgia.

Responsible Agency is a public agency that is responsible for the implementation of a policy document or its component/s (priority, goal, objective, activity) and reporting about their implementation.

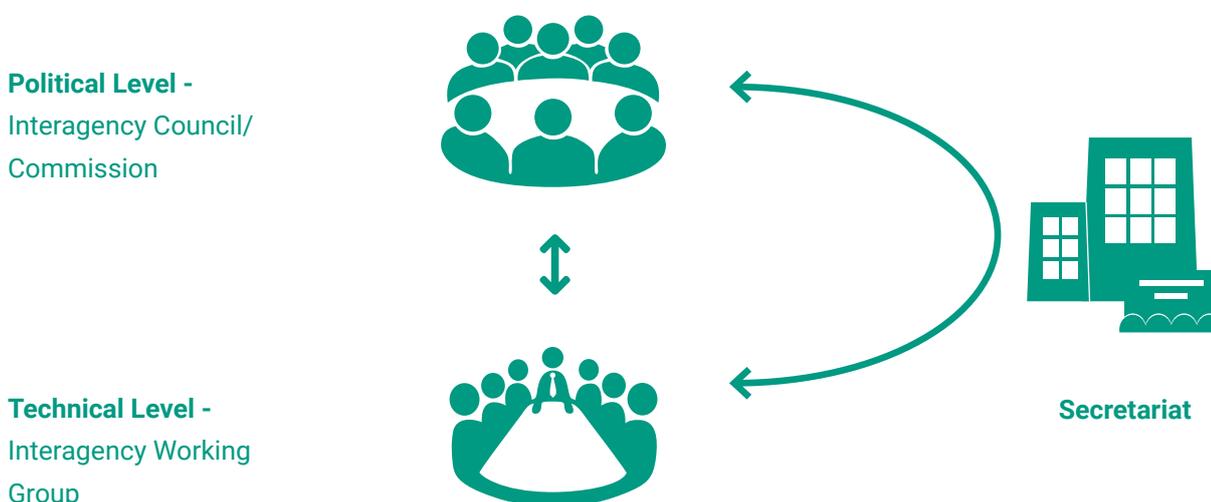
Partner agency can be a public agency, also local nongovernmental or international organization, that is involved in the implementation of a policy document or its component/s (priority, goal, objective, activity) and provides assistance to a responsible agency in their implementation and reporting.

Stakeholders can be a public agency, also local nongovernmental or international organization, that is involved in the implementation of a policy document or its component/s (priority, goal, objective, activity) and provides assistance to a responsible agency in their implementation and reporting.

Stakeholders may be:

- ➔ Any public agency that is not a coordinating, responsible or partnering agency;
- ➔ Nongovernmental organization;
- ➔ International organization
- ➔ Donor organization
- ➔ Field experts or expert/scientific circle;
- ➔ Private organization;
- ➔ Academic and educational institutions;
- ➔ Professional associations and trade unions;
- ➔ Others.

↕ In **vertical** terms, the coordination mechanism, normally, consists of political and technical levels and the relevant secretariat.



Political Level

On a political level, the issue of consulting bodies is regulated by the Law of Georgia on Structure, Authority and Rules of Procedures of the Government of Georgia. Pursuant to **Article 29** of the Law:

1. The Prime Minister, Government, a member of the Government may set up consultative bodies – **commissions and councils** for examination of specific issues.
2. A consultative body is set up for the preparation of various issues within the competence of the executive power. The goals of a consultative body as well as the rules for preparation of its conclusions and proposals is determined at the moment of establishment of the body by the Prime Minister, the Government, a member of the Government, respectively.
3. A consultative body is authorized to receive documents, information and other data required for its work from the state agencies.
4. Conclusions and proposals prepared by a consultative body shall be presented to the Prime Minister, the Government, a member of the Government respectively, within a defined period of time.
5. A civil servant, public servant or a person who is neither a civil servant nor a public servant may be appointed as a member of a consultative body only upon his/her consent.

Government of Georgia

With regard to sectoral policy documents, the government, by its decree, establishes a coordination mechanism responsible for the development and implementation of a policy document.

It is recommended that:

1. The decree envisages setting up a consultative body – interagency council/commission (hereinafter, **council**) within the scope of coordination mechanism;
2. The government, with the same decree, approves the statute of the council;
3. The **statute of the council** contains, at least, the following information:
 - ➔ Goal and objectives of establishing a council;
 - ➔ Composition of the council (institutionally, not by names);
 - ➔ Chairman of the council (and deputy chairman, if need be);
 - ➔ A structural unit responsible for coordinating the council's activity (hereinafter – a secretariat of the council);
 - ➔ Responsibilities of the council;
 - ➔ Authority of the council;
 - ➔ Organization of the council's work;
 - ➔ Procedure of decision making by the council.
4. The following may be specified in the responsibilities of the Council statute:
 - ➔ Deadlines for the development of policy document;
 - ➔ Timeframe for monitoring and evaluation of policy document and corresponding reporting.

When there is a need to develop an updated policy document, it is not necessary to approve an updated statute of the council.

Political level

A **council** is a consultative body that has a political responsibility. The council is accountable to the government of Georgia. It consists of **state-political officials** or their deputies. It is authorized to endorse policy documents and submit them for approval by the government (strategy and initial action plan – mandatorily, while the following action plan in accordance with the statute), hear, endorse and submit monitoring and evaluation reports to the government; also, participate in the development of instructions and methodological directives for structural subunits of the government. It is advisable for a working group to meet at least once in a year.

It is **recommended** that:

1. The council members include **heads of coordinating, responsible and partner institutions** or their **deputies**;
2. The council includes representatives of central government institutions (Administration of Government, Finance Ministry);
3. The council includes, when need be, **stakeholders**;
4. **Chairman of council** is the head of coordinating agency leading the development or/and implementation of a policy document;
5. Council's **functions** include:
 - ➔ Coordination of the development of a policy document;
 - ➔ Discussion of problems existing in an area and issuance of relevant instructions/directives to responsible institutions for the improvement of implementation results;
 - ➔ Discussion of sectoral priorities, goals and objectives in policy documents and relevant action plans;
 - ➔ Approval of a developed policy document and submission thereof for the adoption by the government;
 - ➔ Discussion and approval of monitoring and evaluation reports and submission thereof for the adoption by the government;
 - ➔ Monitoring of the activity of working group (if any) and the secretariat.
6. The council, if need be, sets up interagency working/thematic group of technical level (hereinafter, **working group**);
7. The **statute of the working group** is approved at the very first meeting of the council. It is also possible to approve the statute of the working group, if any, by the abovementioned government decree;
8. The statute of the working group contains at least the following information:
 - ➔ Goal and objectives of setting up a working group;
 - ➔ Composition of the working group (institutionally, not by names);
 - ➔ Chairman of the working group (and deputy chairman, if need be);
 - ➔ A structural unit responsible for coordinating the working group's activity (hereinafter – a secretariat of the working group);
 - ➔ Responsibilities of the working group;
 - ➔ Authority of the working group;
 - ➔ Organization of the working group's activity;
 - ➔ Procedure of decision making by the working group.

Technical level

A working group is a consultative body of technical level. A working group may be set up by the decision of council and it is accountable to the council.

A working group consists of **public servants** and its main function is to identify problems and difficulties emerging in a policy development and implementation process; to monitor general progress; also, to propose to the council the corrective measures to be carried out by implementing institutions; to solve issues that have arisen among responsible institutions in connection to the implementation; to submit annual reports, intended to inform public, to the council and to ensure smooth operation of the council. It is advisable for a working group to meet at least once in six months.

A working group is recommended for two **reasons**:

- ➔ In the most cases, when a policy area envisages many areas and directions and each direction requires the involvement of a state institution with its special and relevant competence and portfolio;
- ➔ Rarely, when a policy area is of top priority and requires substantial technical work and convergence of visions among various institutions.

It is recommended that:

1. The working group **members** include, at least, heads of structural units from coordinating, responsible and partner agencies;
2. The working group includes representatives of **central government institutions** (Administration of Government, Ministry of Finance);
3. The working group includes, when need be, stakeholders;
4. **Chairman of the working group** is the **head, deputy head or head of structural unit of institution** coordinating the development or/and implementation of a policy document or its direction;
5. **Functions** of a working group include:
 - ➔ Development of policy documents in accordance with the RoP and the standards of the Handbook;
 - ➔ Agreement on a final version of a policy document and submission of it to the council;
 - ➔ Support of the secretariat in the monitoring and evaluation (both mid-term and final) process;
 - ➔ Fulfillment of other instructions of the council.

Secretariat

Secretariat is a body with technical and administrative functions assisting the council and a working group (if any) in performing their functions and achievement of the goals.

If the council has set up several working groups, each working group **may** have its own secretariat.

It is recommended that:

1. The secretariat of council is one of structural units of the institution coordinating the development and implementation of a policy document;
2. The secretariat of working group, if any, is one of structural units of the institution coordinating the development and implementation of a policy document or one of its directions;
3. **Secretary** is the head of the structural unit that performs the functions of secretariat;
4. The **functions** of the secretariat are to:
 - ➔ Ensure the work of council and working group on technical level;
 - ➔ Prepare and duly provide council members with the agenda of council meeting;
 - ➔ Ensure the involvement of all stakeholders in the process;
 - ➔ Regularly provide information to the council and a working group (if any) about the development of a policy document, monitoring, reporting and achieved progress and future plans;
 - ➔ Regularly monitor approved policy document and prepare monitoring reports for the council and a working group (if any) in accordance with the procedure and the standards of the Handbook ;
 - ➔ Provide the council and a working group (if any) with recommendations for improving effectiveness;
 - ➔ Organize mid-term and final evaluation process and inform the council and a working group (if any) about results;
 - ➔ Prepare minutes of meetings of the council and a working group (if any) and keep the documentation base regarding all processes.

Monitoring Manual

Policy Planning, Monitoring and Evaluation Handbook

Annex 7

Introduction

This supplementary manual is designed to provide public servants with additional details about the conduct of monitoring of the strategy or, in separate cases, the sectoral action plan approved by Government of Georgia.

Aim of monitoring

The aim of monitoring is to regularly collect information on:

- ➔ Progress towards achieving outcomes of policy objectives;
- ➔ Implementation of activities outlined in an action plan.

Monitoring, on the one hand, ensures higher degree of accountability and on the other hand, establishes effectiveness of the implementation of the activities by responsible agencies.

Monitoring starts in parallel to the policy implementation. With the commencement of the implementation, responsible agencies collect and categorize information and evidence regarding the activities carried out by them. Therefore, it may be said that monitoring is, to some extent, part of the implementation process too.

Types and frequency of monitoring reports

As a result of monitoring report is developed. The purpose of the report is to inform stakeholders about the progress achieved and also, to give decisionmakers an understanding of level of effectiveness of agencies, main problems and potential interventions.

According to the Handbook, there are two types of monitoring reports, as shown in the table below:

#	Type of report	Frequency	Mandatory	Basis	Time of publication	Content
1	Progress report	1 month; 3 months; 6 months	Maximum 6 months	Status reports (activities level)	Not mandatory to publish	Activities
2	Annual report	1 Year	Yes	Status reports (objectives and activities level)	Within 60 calendar days after the end of a reporting period	Objectives; Activities

To develop monitoring reports, a coordinating agency (the secretariat) uses **Status Reports**. Status reports are to be filled in by **responsible agencies** and sent to the secretariat. For its part, the secretariat consolidates status reports and based on it, writes progress and annual reports.¹

Consolidated status reports must be provided as annexes to both types of reports.

It is recommended to prepare a status report template (activities level) in an Excel file.

Status report template and instruction (activities level)

#	Activity	Output indicator	Responsible Agency	Deadline	Status	Progress	Short description	Color
1	2	3	4	5	6	7	8	
1	Activity of which implementation status is reported. Filled in by the secretariat in accordance with the action plan.							
2	Output indicator(s) of the activity identified in 1 st cell. Filled in by the secretariat in accordance with the action plan.							
3	Responsible Agency for the implementation of the activity identified in 1 st cell. Filled in by the secretariat in accordance with the action plan.							
4	Deadline of the implementation of the activity identified in 1 st cell. Filled in by the secretariat in accordance with the action plan.							
5	Implementation Status of the activity identified in 1 st cell.							
	#	Status						
	1	Not Started						
	2	Ongoing – Partially implemented						
	3	Ongoing – Mostly implemented						
	4	Implemented						
	5	Implemented with delay						
	6	Cancelled						
7	Suspended							
Filled in by the responsible agency in accordance with the status of the activity.								
6	Progress in implementation of the activity identified in 1 st cell (expressed in percentage value). A percentage value may range from 0% to 100%. A percentage value corresponds to the implementation status;							
	#	Status	According to the progress					
	1	Not Started	0%					
	2	Ongoing – Partially implemented	1%-50%					
	3	Ongoing – Mostly implemented	51%-99%					
	4	Implemented	100%					
	5	Implemented with delay	100%					
	6	Cancelled	0%-99%					
7	Suspended	0%-99%						
Filled in by the responsible agency in accordance with the progress achieved.								

¹ In case of **annual reports**, responsible agencies also fill in annual report templates with the information about the progress against objectives and corresponding outcome indicators.

7 Narrative about the implementation of the activity identified in 1st cell (status and percentage value), which must explain what steps have been taken and what is planned in future including risks and problems (if any). Maximum 250 words. The narrative part must enable to understand why a specific status and a percentage value have been indicated.

Filled in by the responsible agency in accordance with the progress achieved.

Color corresponding to the implementation status of the activity specified in column 2.
The color must correspond to the activity implementation status in the following way:

Status	Color
Not commenced	Red
Partially implemented	Yellow
8 Largely implemented	Light Green
Implemented	Dark Green
Implemented with delay	Orange
Cancelled	Grey
Suspended	Light Grey

Filled in by the responsible agency in accordance with the progress achieved

An annual report will have the following columns added before the above provided form.

Status report template and instruction (objectives and activities level)

#	Objective	Outcome indicator	Baseline value	Midterm target value (if any)	Final Target value	Value for a reporting year	Progress (narrative)
	1	2	3	4	5	6	7
1	Titles of objective the progress against which is reported. Filled in by the secretariat in accordance with the strategy.						
2	Outcome indicator(s) specified in column 1. Filled in by the secretariat in accordance with the strategy.						
3	Baseline value of the outcome indicator specified in column 2. Filled in by the secretariat in accordance with the strategy.						
4	Midterm target value of the outcome indicator specified in column 2. Filled in by the secretariat in accordance with the strategy.						
5	Final value of the outcome indicator specified in column 2. Filled in by the secretariat in accordance with the strategy.						
6	Value of the outcome indicator, specified in column 2, for a reporting period. Filled in the responsible institution in accordance with the progress achieved.						
7	Information about the detailed progress against the objective specified in column 1 and the outcome indicator specified in column 2 (the information to be provided in this part is detailed in the section on the structure of monitoring reports) Filled in by the responsible institution in accordance with the progress achieved.						

Structure of monitoring reports

Monitoring reports are written by a coordinating agency (the secretariat) based on status reports provided by responsible agencies. Both progress and annual reports must follow the structure proposed below.

Progress report

A progress report is not an analytical document and contains only factual information. The structure of the document must look as follows:

#	Title of a chapter	What they should contain
1	Executive Summary	<p>The full report presented in a consolidated format and should include:</p> <ul style="list-style-type: none"> ➔ Introduction; ➔ General progress (including implementation rate); ➔ Challenges and recommendations. <p>Diagrams, tables, and pictures can be used to highlight achievements.</p> <ul style="list-style-type: none"> ➔ It is recommended that executive summary constitutes 10% of the total report.
2	Introduction	<p>Information about:</p> <ul style="list-style-type: none"> ➔ Policy area and document; ➔ Coordinating body; ➔ Reporting period; ➔ Other methodological issues.
3	General progress	<ul style="list-style-type: none"> ➔ Number of activities implemented in the reporting period; ➔ General implementation rate according to statuses and percentages; ➔ Implementation rate in the objectives perspective; ➔ The best and the most alarming areas in accordance with objectives.
4	Challenges and recommendations	<ul style="list-style-type: none"> ➔ Main problems related to the implementation; ➔ Risks that may arise from these problems; ➔ Recommendations that would balance the mentioned problems and risks.
5	Annex - Consolidated status report	<ul style="list-style-type: none"> ➔ Information provided in an Excel file by responsible agencies must be consolidated and presented as an annex.

Annual report

An annual report must contain information about activities and **implementation rate**. However, the main focus must be on the achievement of **objectives** and **their outcome indicators**.

#	Title of a chapter	Mandatory Content
1	Executive Summary	<p>The full report presented in a consolidated format and should include:</p> <ul style="list-style-type: none"> • Introduction; • General progress (including level of implementation); • Detailed progress; • Challenges and recommendations. <p>Diagrams, tables, and pictures can be used to highlight achievements.</p> <ul style="list-style-type: none"> • It is recommended that executive summary constitutes 10% of the total report.
2	Introduction	<p>Information about:</p> <ul style="list-style-type: none"> • Policy area and document; • Coordinating body; • Reporting period; • Other methodological issues.
3	General progress	<p>This section tracks progress against all objectives of the strategy. Also, it must contain information on measures implemented in a specific year. Tables and figures may be used if need be.</p> <p>Detailed information about Implementation rate in a consolidated, objectives and responsible agencies perspectives.</p>
3.1	Detailed progress against the first objective of the first goal (nominally)	<p>Following information should be provided about each objective:</p> <ul style="list-style-type: none"> • Progress against outcome indicator; • Success stories; • Risks; • Futures steps. <p>It must provide description of key implemented reforms as well as possible causes of failure (if any) to achieve target values. This information gives an understanding on whether the strategy approaches target values or not.</p>
3.2	Detailed progress against the second objective of the first goal (nominally)	<p>Following information should be provided about each objective:</p> <ul style="list-style-type: none"> • Progress against outcome indicator; • Success stories; • Risks; • Futures steps. <p>It must provide description of key implemented reforms as well as possible causes of failure (if any) to achieve target values. This information gives an understanding on whether the strategy approaches target values or not</p>
3.3	Detailed progress against all other objectives	<p>Following information should be provided about each objective:</p> <ul style="list-style-type: none"> • Progress against outcome indicator; • Success stories; • Risks; • Futures steps. <p>It must provide description of key implemented reforms as well as possible causes of failure (if any) to achieve target values. This information gives an understanding on whether the strategy approaches target values or not</p>

4	Challenges and recommendations	<ul style="list-style-type: none"> • Key problems related to the implementation; • Risks that may arise from these problems; • Recommendations that would balance the mentioned problems and risks.
5	Annex - Consolidated status report (activity level)	The consolidated status report on the implementation of each activity planned for the year.

Principles of preparing reports

Reports must meet these principles which set content-related as well as technical standards; in particular:

Principle	Explanation
Timely	Reports must be written, on the one hand, in a timely manner, but on the other hand, a period of time must be selected so that to coincide with a next year budgeting process.
Focused	Reports must contain only the most important information, for example, about goals, objectives, their respective indicators and target values.
Relevant	Reporting should be only about the most relevant and strategic steps. A routine administrative information about activities makes a report packed and does not add value to it.
Reader-friendly	Information must be provided in a way to be easily understandable and comprehensible to readers (figures and tables can be used to present data and better highlight progress).

Evaluation Manual

Policy Planning, Monitoring and Evaluation Handbook

Annex 8

Introduction

This supplementary manual is designed to provide public servants with additional details about the conduct of evaluation of the policy documents adopted by Government of Georgia.

Planning of Evaluation

Evaluation requires substantial human and financial resources. Consequently, a proper and timely planning of the process is very important.

One of crucial issues for evaluation is the selection of time. Normally, final evaluation is carried out on a strategy or a sectoral action plan (if there are goals and impact indicators) that have already completed time of implementation. If the main aim of evaluation is to provide information for the development of a next policy document, the time of its conduct must correspond to the requirements of policy planning cycle. The aim is to make it possible to use results and recommendations in the development of consecutive strategies and action plans.

Scope of Evaluation

It is important to define the scope of evaluation during the evaluation planning process. The scope of evaluation is defined by two parameters:

- ➔ Evaluation subject;
- ➔ Evaluation criteria.

The scope of evaluation is defined by evaluation subjects which should include the priorities and goals set out by policy document. A coordinating body may decide to have the policy evaluated against only one or several priorities/goals and not entirely. Such decision is mainly based on annual monitoring reports when they show failures in specific directions.

The scope of evaluation also depends on the evaluation criteria. There are five key criteria in the policy planning and coordination system of Georgia, which are based on OECD/DAC evaluation criteria (see the table below).

#	Criteria	Explanation
1	Relevance	How well do the goals and objectives respond to the needs of the beneficiaries or the country, global priorities and policy of partners and donors. A mid-term evaluation studies the relevance of intervention objectives or the relevance of ideas to in the background of changed circumstances.
2	Effectiveness	To what extent were goals and objectives (not activities) achieved or are likely to be achieved considering their prioritization.
3	Efficiency	Producing results with minimum costs; the ratio between the results and the necessary costs (resources) is established;
4	Sustainability	How persistent is the impact of intervention benefit in the field of development after the intervention is completed and how is the likelihood of continuing the benefits in the long run.
5	Impact	What are the results of intervention in the field of development: direct/indirect, targeted/unplanned, positive/negative, key/secondary.

After formulating and summarizing the evaluation issues and evaluation criteria, the scope of evaluation is defined.

Evaluation questions

Once evaluation criteria have been set, evaluation questions for each criterion should be formulated. The aim of questions is to contain the evaluation process into a certain framework so as to prevent it from going into other directions.

Potential evaluation questions, as recommended by SIGMA, are provided below:

Criteria	Questions
Relevance	<ul style="list-style-type: none"> • Are the goals and objectives of the policy still significant? • Does the policy respond to the needs of the beneficiaries? • How well do the policy activities and outputs respond to the problems, objectives and goals? • How well adapted is the reform to changes that may occur in general context (changes in needs, etc.)?
Efficiency	<ul style="list-style-type: none"> • Are the activities cost effective? • How fair are the costs of the results which have been achieved through the policy implementation? • Could the same results be achieved through using fewer resources or a combination of other resources? • How efficient was the implementation process?
Effectiveness	<ul style="list-style-type: none"> • To what extent have the goals and objectives been (or will be) achieved? • How well the goals and objectives been achieved on time? • To what extent do the identified effects correspond to the goals and objectives? • What are the major reasons why the goals and objectives have not been achieved (if any)?
Impact	<ul style="list-style-type: none"> • What has changed as a result of the policy implementation? • What has changed the policy implementation for various groups of beneficiaries and the public at large? • How were the various target groups affected by the policy?
Sustainability	<ul style="list-style-type: none"> • Will the benefits continue after the implementation of the policy? • Are the observed impacts likely to be long-lasting? • What can be done to ensure the achieved results sustainable? • Which institutional arrangements may be available for maintaining the benefits achieved?

Impact evaluation methods

The evaluation of policy impact as one of the criteria must be individual and tailored to the area. Consequently, the methods used within the study may vary. Nevertheless, there are several research methods most commonly used in evaluations.

Counterfactual analysis

Evaluation of what would have happened if the intervention had not taken place. This implies assessing what results would have been achieved in case of implementing other initiatives or carrying on the already existing practice.

Interrupted Time Series

The research method of interrupted time series analysis uses series of continuous observations on one or more results and establishes what would have been an uninterrupted trend of observations if it were to continue. Thus, it establishes a chain line that we would have without intervention.

Prosperity Score Matching

The basis of Prosperity Score Matching is that for each intervention beneficiary can be found a second person with very similar characteristics (“matching”) who is not an intervention beneficiary. Thus, the result of matching is setting a comparison group (counterfactual) that has the most similar characteristics

Regression Discontinuity

The regression discontinuity analysis is a widely applied method to define a pure impact of a policy or program against a counterfactual one. This method is used in many sectors and policy studies, such as agriculture, poverty reduction, social security, health insurance, access to healthcare services, access to education, school attendance and academic performance, and age pension.

Randomized controlled trial (RCT)

Randomized controlled trial is the most effective method of evaluating a pure impact and can establish the impact most accurately. Randomized controlled trial is a trial in which the control group and the experimental group are randomly selected.

Evaluation Reports and Structure

According to the handbook, the evaluation can be ex-ante, midterm and final. Regardless of their purpose difference, their report structure **must** correspond to the following logic:

#	Title of a chapter	Content
1	Executive Summary	<p>The full report is presented in a consolidated format and should include:</p> <ul style="list-style-type: none">• Introduction;• Methodology;• Evaluation Findings;• Challenges and recommendations. <p>It is recommended that executive summary constitutes 10% of the full report.</p>
2	Introduction	<ul style="list-style-type: none">• Information about policy;• Coordinating body;• Reporting period;• Other technical issues.

3	Methodology	This section describes the evaluation methodology: what methods of data collection and analysis were used, the period of research, sampling, errors, etc.
4	Evaluation findings	This section describes the main findings of the research and analysis carried out in accordance with the selected evaluation subject and evaluation criteria.
4.1	Detailed progress against the first goal and its respective objectives (nominally)	<ul style="list-style-type: none"> • Evaluation of the progress made towards achieving the goal and its respective objectives according to each selected criterion; • Progress against impact indicator(s); • Assessment of challenges; • Future steps.
4.1.1	Detailed progress against the first objective of the first goal (nominally)	<ul style="list-style-type: none"> • Evaluation of the progress made towards achieving the objectives according to each selected criterion; • Progress against impact indicator(s); • Assessment of challenges; • Future steps.
5	Challenges and recommendations	<ul style="list-style-type: none"> • Summary of key problems related to the implementation of each criteria; • Risks that may arise from these problems; • Recommendations regarding future steps.
6	Annex	The consolidated status report on the implementation of each activity planned within the policy. Any type of document that would substantiate any additional information or accuracy of the evaluation.

Principles of preparing reports

Reports must meet these principles which set content-related as well as technical standards; in particular:

Principle	Explanation
Timely	Reports should be written, on the one hand, in a timely manner but on the other hand, a period of time must be selected so that to coincide with the stage of respective policy cycle.
Focused	Reports must contain only the most important information, for example, about goals and objectives according to the evaluation criteria.
Relevant	Reporting must concern only relevant and strategic steps taken. A routine administrative information about activities makes a report packed and does not add value to it.
Reader-friendly	Information must be provided by using tools that make it easy to understand and perceive (figures and tables to better highlight data and progress).

Quality Assurance Instrument

Policy Planning, Monitoring and Evaluation Handbook

Annex 9

Strategy			
#	Criteria	Score	Minimum score for Positive Opinion
1	Content-related criteria	100	75
1.1	Compliance of goals and objectives with adopted policy documents in terms of policy documents hierarchy	20	
1.2	Absence of overlapping of goals and objectives with approved sectoral policy documents	20	
1.3	Compliance of goals and objectives with the obligations assumed under the Association Agreement with the EU	15	
1.4	Compliance of the indicated budget with the state budget and the basic data and directions document	20	
1.5	Compliance of goals and objectives with international obligations	10	
1.6	It is recommended that at least 1 of the impact and outcome indicators presented deal with cross-cutting issues	10	
1.7	It is recommended to present information on policy options and justification of the selected options, including in line with best international practice	5	
2	Methodological criteria	100	75
2.1	Introduction	6	5
2.1.1	Information on the need for development of the document must be provided	1	
2.1.2	Information on the development process of the document and stakeholders involved must be provided	1	
2.1.3	Information on public consultations and their results must be provided	1	
2.1.4	information must be provided on existing policy documents on the basis of which the policy paper was developed, considering the hierarchy of policy document	1	
2.1.5	Information on the relevance of goals and objectives to policy documents already approved must be presented	1	
2.1.6	It is recommended that the information is provided on international obligations and standards this policy document is aligned with	0.5	
2.1.7	It is recommended that the information is provided on the best international practices that have been used to develop this policy document	0.5	

#	Criteria	Score	Minimum score for Positive Opinion
2.2	Situation Analysis	16	11
2.2.1	It must describe a methodology used for situation analysis	2	
2.2.2	It must overview reforms/activities implemented in a sector before a policy planning, their results (for example, main findings of the final evaluation of previous strategy) and commitments assumed in other policy documents in parallel sector	2	
2.2.3	It must describe main problems as well as supporting evidence and statistical data	4	
2.2.4	It must describe root causes of main problems as well as supporting evidence and statistical data	4	
2.2.5	It must describe negative effects of main problems as well as supporting evidence and statistical data	3	
2.2.6	It is recommended that the chapter on a situation analysis comprises 20%-35% of the policy document	1	
2.3	Strategic Part	66	50
2.3.1	It must provide information on the results of prioritization and especially, those sector priorities on which policy document development will be focused around in the next stage	3	
2.3.2	It is recommended to agree selected priorities within the coordination body (information should be presented in the relevant subchapter)	2	
2.3.3	There must be a logical chain among vision, goals and objectives and a logical framework must be presented with all mandatory information (either in the document itself or in a separate document)	20	
2.3.4	Goals must respond to each problem outlined in the situation analysis	4	
2.3.5	Objectives must respond to each problems or root causes of problems outlined in the situation analysis	4	
2.3.6	At least one impact indicator must be provided for each goal	2	
2.3.7	At least one outcome indicator must be provided for each objective	2	
2.3.8	Target and baseline values of impact indicators must be provided	2	
2.3.9	Target and baseline values of outcome indicators must be provided	2	
2.3.10	Mid-term values must be provided in accordance with the proposed timeframe standard	2	

#	Criteria	Score	Minimum score for Positive Opinion
2.3.11	Impact and outcome indicators must meet SMART model	20	
2.3.12	Presented goals must be linked to UN Sustainable Development Goals	2	
2.3.13	It is recommended for a strategic part to comprise 40%-60% of a strategy document	1	
2.4	Implementation	7	5
2.4.1	Information on a coordinating body must be provided	2	
2.4.2	Information on the frequency of meetings and on the instruments of coordinating body must be provided	1	
2.4.3	Information on mechanisms for the involvement of stakeholders in the implementation process must be provided	1	
2.4.4	Information on the channels of communication with wider public must be provided	1	
2.4.5	It is recommended to provide information about institutions responsible for the implementation of goals and objectives	0.5	
2.4.6	It is recommended to provide information about making changes to strategy or action plan	0.5	
2.4.7	In the implementation section of a strategy document it is recommended to indicate forecasted budget of policy implementation	0.5	
2.4.8	In the implementation section of strategy document, it is recommended to indicate, in case of partial financing, how the gap will be filled and to propose realistic, optimistic and pessimistic scenarios	0.5	
2.5	Monitoring and Evaluation	5	4
2.5.1	Calendar of monitoring and evaluation (indicating deadlines of preparing annual and final evaluation reports) must be provided	2	
2.5.2	Institutions responsible for reporting and data collection must be provided	1	
2.5.3	It is recommended to include information concerning the modalities of publication of reports	1	
2.5.4	It is recommended to include specific tools for ensuring stakeholder engagement in the monitoring and evaluation process	1	

#	Criteria	Score	Minimum score for Positive Opinion
3	Technical criteria	100	87
3.1	Annexes		
3.1.1	Action Plan	14	
3.1.2	Indicator Passport	10	
3.1.3	Budgeting Instrument	10	
3.1.4	Report on results of conducted public consultations	14	
3.2	Compliance of the document with the mandatory structure	13	
3.3	Quality of the text in terms of grammar and style	13	
3.4	Technical accuracy of the document	13	
3.5	Compliance of the terminology used in the text with the glossary	13	

Action Plan

#	Criteria	Score	Minimum score for Positive Opinion
1	Methodological criteria	100	75
1.1	Action plan	70	52
1.1.1	The action plan must include all mandatory information about each activity (activity output indicator(s), sources of verification, responsible agency, partner agency (if applicable), deadline, budget and funding source).	20	
1.1.2	Activities proposed in an action plan must meet the criteria specified in the Manual.	20	
1.1.3	Each activity proposed in an action plan must be responding objectives proposed in the strategy.	5	
1.1.4	Output indicator specified in an action plan must comply with SMART model.	15	
1.1.5	Deadlines for the implementation of activities in an action plan must be specified by, maximum, quarterly.	5	
1.1.6	cells in the state budget + other source of financing + gap must equal to amount specified in the budget cell.	5	

1.2	Budgeting Instruments	10	8
1.2.1	Budgeting Instrument must provide information on, at least, activity, output(s), measures, inputs, costs of inputs, total cost of activity, sources of financing and distribution of costs by years.	5	
1.2.2	Action Plan and Budgeting Instrument, for an activity financed (fully or partially) from the state budget, must indicate the Program Code (from the state budget or BDD document and mid-term action plan of ministries of Georgia) within the scope of which is the activity financed from the state budget.	5	
2	Technical Criteria	20	15
2.1	Compliance of the Action Plan with the mandatory structure	5	
2.2	Quality of the text in terms of grammar and style	5	
2.3	Technical accuracy of the document	5	
2.4	Compliance of the terminology used in the text with the glossary	5	

Concept			
#	Criteria	Score	Minimum score for Positive Opinion
	Total	100	75
1	Methodological Criteria	80	60
1.1	Introduction	10	8
1.1.1	Information on the need for developing the document must be provided	3	
1.1.2	Information on the document development process and the stakeholders involved must be provided	3	
1.1.3	Information on public consultations and their results must be provided	2	
1.1.4	Considering the policy document hierarchy, information must be provided on existing policy documents on the basis of which the policy document was developed	2	

1.2	Situation Analysis	15	10
1.2.1	It must describe a situation analysis methodology	5	
1.2.2	It must overview reforms/activities implemented in a sector before a policyplanning, their results (for example, main findings of the evaluation of previous strategy) and commitments assumed in other policy documents in an adjacent sector	5	
1.2.3	It must describe main problems	5	
1.3	Main part	55	42
1.3.1	A vision to solve identified problems must be presented	5	
1.3.2	The principles should be presented which need be applied in solving specific problems and which should become basis for formulation of goals and objectives	15	
1.3.3	Sector priorities must be outlined in which policy areas should be developed to address the problems	15	
1.3.4	Information should be provided on the implementation of the concept, the obligations of the responsible agencies and future steps	10	
1.3.5	The information on the implementation deadlines must be given in detail	10	

#	Criteria	Score	Minimum score for Positive Opinion
2	Technical Criteria	20	15
2.1	Compliance of the concept document with the mandatory structure	5	
2.2	Quality of the text in terms of grammar and style	5	
2.3	Technical accuracy of the document	5	
2.4	Compliance of the terminology used in the text with the glossary	5	

Annual Monitoring Report

#	Criteria	Score	Minimum score for Positive Opinion
	Total	100	75
1	Methodological criteria	80	60
1.1	Summary and Introductory chapters must be provided in accordance with the structure established by the Manual	10	
1.2	A general progress chapter must be provided in accordance with the structure established by the Manual, including information on implementation rate (at least in one of the listed perspectives)	10	
1.3	Information must be provided about the detailed progress on achievement of each outcome of the objective in accordance with the structure established by the Manual	20	
1.4	Information must be provided on general challenges and recommendations in accordance with the content established by the Manual	10	
1.5	A consolidated status report of one year must be provided as an annex	10	
1.6	A report must meet four principles outlined in the Manual	10	
1.7	It is recommended to provide information on expended financial resources	5	
1.8	It is recommended to provide verification source in the form of annexes	5	
2	Technical Criteria	20	15
2.1	Compliance of the report with the mandatory structure	5	
2.2	Quality of the text in terms of grammar and style	5	
2.3	Technical accuracy of the document	5	
2.4	Compliance of the terminology used in the text with the glossary	5	

Final Evaluation Report

#	Criteria	Score	Minimum score for Positive Opinion
	Total	100	65
1	Methodological Criteria	80	50
1.1	Summary and Introductory chapters must be provided in accordance with the content described in the Manual	6	
1.2	A chapter on methodology must be provided in accordance with the content described in the Manual	6	
1.3	A chapter on Evaluation Findings must be provided in accordance with the content Manual	6	
1.4	Chapters/Subchapters must be provided on detailed progress on each (selected) goal and its relevant objectives in accordance with the content described in the Manual	20	
1.5	Chapters/Subchapters must be provided on detailed progress on each (selected) objective in accordance with the content described in the Manual	20	
1.6	Information on general challenges and recommendations must be provided in accordance with the content described in the Manual	5	
1.7	Consolidated Status Report must be provided with information on each of the activities planned within the policy as an annex	5	
1.8	It is recommended to submit any type of document that would solidify the evaluation with additional information or correction	2	
1.8	Report must meet four principles outlined in the Manual	10	
2	Technical Criteria	20	15
2.1	Compliance of the report with the mandatory structure	5	
2.2	Quality of the text in terms of grammar and style	5	
2.3	Technical accuracy of the document	5	
2.4	Compliance of the terminology used in the text with the glossary	5	

Public Consultation Report

#	Criteria	Score	Minimum score for Positive Opinion
	Total	100	75
1	Methodological Criteria	80	60
1.1	Information about the conduct of public consultations must be provided (format, venue, time, number, channel of communication)	40	
1.2	Information on participants (total number), agreements on recommendations/proposals that were taken or not taken into account must be provided.	40	
2	Technical Criteria	20	15
2.1	Compliance of the report with the mandatory structure	5	
2.2	Quality of the text in terms of grammar and style	5	
2.3	Technical accuracy of the document	5	
2.4	Compliance of the terminology used in the text with the glossary	5	

Glossary

Policy Planning, Monitoring and Evaluation Handbook

Annex 10

#	English version	Georgian version
1	Action Plan	სამოქმედო გეგმა
2	Action Plan Narrative	სამოქმედო გეგმის აღწერა
3	Activity	აქტივობა
4	Administrative costs	ადმინისტრაციული ხარჯები
5	Annual Government Work Plan	მთავრობის ყოველწლიური სამოქმედო გეგმა
6	Annual report	წლიური ანგარიში
7	Baseline Study	საბაზისო კვლევა
8	Baseline value	საბაზისო მანვენებელი
9	Basic Data and Directions (BDD) / Medium-Term Expenditure Framework (MTEF)	ძირითადი მონაცემები და მიმართულებების დოკუმენტი
10	Budget	ბიუჯეტი
11	Budget allocations	ბიუჯეტის ასიგნებები
12	Center of Government (CoG) Institutions	მთავრობის ცენტრალური ინსტიტუტები
13	Concept Document	კონცეფციის დოკუმენტი
14	Coordinating Agency	მაკოორდინირებელი უწყება
15	Coordinating Body	მაკოორდინირებელი ორგანო
16	Coordination Mechanism	საკოორდინაციო მექანიზმი
17	Cost benefit analysis	ხარჯსარგებლიანობის ანალიზი
18	Cost estimation	ხარჯთაღრიცხვა
19	Costs	ხარჯები
20	Data	მონაცემები
21	Deadline / Completion Deadline	შესრულების ვადა
22	Direct costs	პირდაპირი ხარჯები
23	Effectiveness	ეფექტურობა
24	Efficiency	ეფექტიანობა
25	Evaluation	შეფასება
26	Evaluation Criteria/Parameters	შეფასების კრიტერიუმები
27	Evaluation Questions	შეფასების კითხვები
28	Evaluation Report	შეფასების ანგარიში
29	Evaluation Scope	შეფასების მასშტაბი
30	Evidence-Based policy-making	მტკიცებულებებზე დაფუძნებული პოლიტიკის შემუშავება

31	Ex-ante evaluation	წინასწარი შეფასება
32	Executive Summary/Resume	მოკლე შეჯამება
33	Final Evaluation/Ex-Post Evaluation	საბოლოო შეფასება
34	Final Target Value / Final Target Value	საბოლოო სამიზნე მაჩვენებელი
35	Funding Source	დაფინანსების წყარო
36	Gap	დეფიციტი
37	Goal	მიზანი
38	Government Program / Government Manifesto	სამთავრობო პროგრამა
39	Human Rights-Based Approach	ადამიანის უფლებებზე დაფუძნებული მიდგომა
40	Impact	გავლენა
41	Impact Assessment	გავლენის შეფასება
42	Impact Indicator	გავლენის ინდიკატორი
43	Implementation Rate	განხორციელების დონე
44	Inclusiveness	ინკლუზიურობა
45	Indicator	ინდიკატორი
46	Indicator Passport / Technical Note of Indicator	ინდიკატორის პასპორტი
47	Indicator Value	ინდიკატორის მაჩვენებელი
48	Indirect costs	არაპირდაპირი ხარჯები
49	Input	რესურსები
50	Institutional Policy Documents	ინსტიტუციური პოლიტიკის დოკუმენტები
51	Interagency Commission	უწყებათშორისი კომისია
52	Interagency council	უწყებათშორისი საბჭო
53	Interagency Working Group	უწყებათშორისი სამუშაო ჯგუფი
54	Introduction	შესავალი
55	Key Performace Indicator	შესრულების ძირითადი ინდიკატორი
56	Linkages	კავშირები
57	Logical Framework / Results Framework / Results Matrix	ლოგიკური ჩარჩო
58	Meta Evaluation	მეტაშეფასება
59	Mid-term Target Value / Interim Target Value / Milestone	შუალედური სამიზნე მაჩვენებელი
60	Mid-term/Interim Evaluation	შუალედური შეფასება
61	Monitoring	მონიტორინგი
62	Monitoring and Evaluation Framework	მონიტორინგის და შეფასების ჩარჩო
63	Monitoring Reports	მონიტორინგის ანგარიშები
64	Multi-Criteria analysis	მრავალკრიტერიუმული ანალიზი
65	National Development Strategy	ეროვნული განვითარების სტრატეგია
66	National Priority	ეროვნული პრიორიტეტი
67	Net Present Value (NPV)	წმინდა მიმდინარე ღირებულება
68	Objective	ამოცანა
69	Outcome	ამოცანის შედეგი

70	Outcome Indicator	ამოცანის შედეგის ინდიკატორი
71	Output	აქტივობის შედეგი
72	Output Indicator	აქტივობის შედეგის ინდიკატორი
73	Partner Agency	პარტნიორი უწყება
74	Performance Indicator	შესრულების ინდიკატორი
75	Policy Cycle	პოლიტიკის ციკლი
76	Policy Development	პოლიტიკის შემუშავება
77	Policy Development and Coordination System	პოლიტიკის დაგეგმვისა და კოორდინაციის სისტემა
78	Policy Documents	პოლიტიკის დოკუმენტები
79	Policy Documents Hierarchy	პოლიტიკის დოკუმენტების იერარქია
80	Policy Instrument	პოლიტიკის ინსტრუმენტი
81	Policy Options	პოლიტიკის ალტერნატივები
82	Policy Planning	პოლიტიკის დაგეგმვა
83	Policy termination	პოლიტიკის შეწყვეტა
84	Price	ფასი
85	Progress	პროგრესი (გამოხატული პროცენტებში)
86	Progress report	პროგრეს ანგარიში
87	Public Agency / Institutions	საჯარო უწყება
88	Public Consultations	საჯარო კონსულტაციები
89	Qualitative Indicator	ხარისხობრივი ინდიკატორი
90	Quality assurance	ხარისხის უზრუნველყოფა
91	Quantitative Indicator	რაოდენობრივი ინდიკატორი
92	Regulatory Impact Assessment	რეგულირების გავლენის შეფასება
93	Relevance	შესაბამისობა
94	Reliability	სანდოობა
95	Reporting	ანგარიშგება
96	Reporting Frequency	ანგარიშგების სიხშირე
97	Reporting Period	საანგარიშო პერიოდი
98	Responsible Agency	პასუხისმგებელი უწყება
99	Results-Based Management	შედეგებზე ორიენტირებული მართვა
100	Risks	რისკები
101	Roadmap	გზამკვლევი
102	Root Cause	გამომწვევი ფაქტორები
103	Secretariat	სამდივნო
104	Sector Priority	სექტორული პრიორიტეტი
105	Sector/Multisector Policy Documents	სექტორული პოლიტიკის დოკუმენტები
106	Situation Analysis	სიტუაციის ანალიზი
107	Sources of Verification (Data Source)	დადასტურების წყარო
108	Stakeholder	დაინტერესებული მხარე

109	Standard Operation Procedure (SOP)	სტანდარტული სამოქმედო პროცედურა (სსპ)
110	Status	სტატუსი
111	Status Report	სტატუს ანგარიში
112	Statute	დებულება
113	Strategy Document	სტრატეგიის დოკუმენტი
114	Sub-activity / Measures	ღონისძიება
115	Success stories	წარმატების მაგალითები
116	Sustainability	მდგრადობა
117	Sustainable Development Goals (SDGs)	მდგრადი განვითარების მიზნები
118	Target Value	სამიზნე მანვენებელი
119	Technical assistance	ტექნიკური დახმარება
120	Template	შაბლონი
121	Types of Policy Documents	პოლიტიკის დოკუმენტის ტიპები
122	Vision	ხედვა
123	Whole of Government Approach	მთავრობის ერთიანი მიდგომა

