

# **Appendix A**

## **EVALUATION DESIGN MATRIX**

**NGA/T10: “Promoting Ethics and Transparency in Business Transactions in Nigeria”**

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## 1. METHODOLOGY

This final evaluation of the NGA/T10 project “Promoting Ethics and Transparency in Business Transactions in Nigeria” is basically to assess, analyse and draw conclusions on the design and implementation of the project vis-à-vis the project expectations. The Evaluation will follow a systematic, but participatory approach and the intention is to move towards a shared understanding of the implementation elements of the project, which will in turn facilitate drawing conclusions and making recommendations across the focus areas.

The evaluation and the general assessment of the relevance, effectiveness, efficiency, impact and sustainability, lessons learnt and best practices of the NGA/T10 project on its beneficiaries can be presumably ascertained through capturing the perceptions of a sample group drawn from the beneficiaries particularly members of the project working group. The evaluator will review all the available reference documentation; while in order to cover the scope of the various components of the project, the evaluator will ensure that the respondents constitute the target stakeholders or beneficiaries.

The approach will cover the following steps:

- Describing the evaluation criteria
- Relevance
- Effectiveness
- Efficiency
- Impact
- Sustainability
- Developing Evaluation Questions

Apply the questions and criteria on the following core project objectives

- i. Develop and pilot the implementation of a comprehensive framework for promoting ethics and transparency in the Nigerian private sector.
- ii. Establishment of a credible and functional public complaints system providing the private sector with a set of avenues to report corruption without fear of retaliation or other negative consequences.
- iii. Enhance compliance by the banking sector and other financial institutions with anti-money laundering standards.

- Establish the extent at which the project expected results in the logframe were achieved
- Findings
- Recommendations
- Conclusions

## 2. CRITERIA

The Terms of Reference have identified evaluability, relevance, effectiveness, efficiency, impact, sustainability, partnership and cooperation as the evaluation criteria. From there the evaluator developed evaluation questions, these questions are at several levels (discussed below).

Table 1: Evaluation Criteria

<b>Criteria</b>	<b>Definition</b>
Evaluability	The extent to which the project is ready for full evaluation. It seeks to gain information from important documents and input from stakeholders concerning the content and objectives of the project and will assess clarity of objectives, performance indicators, and options for the project improvement.
Impact	Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended
Relevance	The extent to which the objectives of the project are consistent with beneficiaries' requirements, country needs, global priorities and partners and donors policies
Effectiveness	...an aggregate measure of (or judgment about) the merit or worth of an activity, i.e. the extent to which an intervention has attained, or is expected to attain, its major relevant objectives
Sustainability	The continuation of benefits from a development intervention after major development assistance has been completed
Efficiency	A measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results
Partnership and Cooperation	The extent to which partners harmonize their efforts towards a common objective.

### 3. EVALUATION QUESTIONS

The evaluation questions include those the evaluator will ask the interviewees (in the form of an interview guide). They are at different levels from very general to very specific – common to them is that they must be answerable to be useful.

#### 3.1 Questions related to Evaluation Criteria

Table 2: Evaluation Criteria Questions

Criteria	Evaluation Question	Judgement criteria – sub-questions	Qualitative and Quantitative indicators
Evaluability of the project	Assessment of design and implementation of the project	<p>Has the project monitoring system been set up, including a baseline survey, to allow a proper monitoring throughout the project life span?</p> <p>Are targets well specified in the Project Document, including clear and concise performance indicators?</p> <p>Is there a clear and logical consistency between the objectives, outcomes, inputs, activities, outputs in terms of quality, quantity, time-frame and cost-efficiency?</p> <p>Are the beneficiaries well identified in the project document?</p> <p>Is the managerial and institutional</p>	<p>Beneficiaries identified in project document and logframe.</p> <p>Workplan clear and logic</p> <p>Risk assessment.</p> <p>Annual and semi-annual project progress reports, quarterly narrative and monthly Profi reports</p> <p>Monitoring system</p> <p>Baseline studies.</p> <p>Performance targets and indicators defined in project document.</p>

Criteria	Evaluation Question	Judgement criteria – sub-questions	Qualitative and Quantitative indicators
		<p>framework for implementation well spelled out?</p> <p>Is the work plan practical, logical and cohesive?</p> <p>Is the planned project duration (3 years) realistic?</p>	
Relevance	A brief assessment of the extent to which the project remains consistent with, and supportive of national strategies and priorities to address corruption and financial and economic crimes;	<p>To what extent do the project integrated with the government of Nigeria’s strategy to tackle corruption and financial and economic crimes?</p> <p>Which are the differences? Why?</p> <p>Is the project/project the appropriate solution to the problems it aims to address?</p> <p>How participatory has the project design been?</p> <p>Was the project in line with the priority needs of the beneficiaries/ counterparts?</p> <p>Was the project’s approach the appropriate solution to achieve the objectives?</p> <p>Did the project address the root</p>	<p>The project interaction with the ongoing Nigerian government national anti-corruption strategy.</p> <p>Similarities/differences of the strategies at the different levels. Relations and interactions.</p> <p>Degree of awareness of similar project activities being done by other organizations.</p> <p>Differences and similarities of the project management, outputs and outcomes.</p> <p>Suitability of logframe and flexibility to adjust over time with changing needs</p> <p>The projects’ reports of the corruption risk assessments conducted</p> <p>The project’s handbook on</p>

Criteria	Evaluation Question	Judgement criteria – sub-questions	Qualitative and Quantitative indicators
		<p>causes?</p> <p>Are the project’s objectives still relevant to the actual and local situation?</p> <p>Was the project in line with the priority areas for technical cooperation as identified per UNODC strategic project framework?</p> <p>Are any providers of a similar type of assistance active in the country?</p> <p>What is the project’s particular added value in comparison with projects with similar objectives conducted in the area or other providers of a similar type of TA?</p>	Business Ethics Principles
Sustainability	A thorough assessment of stakeholder participation in the management and implementation of the project, and the level of ownership at institutional level	<p>To what extent will the benefits generated through the project be sustained after the end of the project?</p> <p>Have the beneficiaries taken ownership of the objectives to be achieved by the project? Are they committed to continue working towards these objectives once the project has ended? Is their</p>	<p>Organisation taking initiative to benefit from the project</p> <p>Number and type of stakeholders involved in decision-making during the working group meetings.</p> <p>Number and types of stakeholders that benefitted from the project.</p> <p>The level of commitment of</p>

Criteria	Evaluation Question	Judgement criteria – sub-questions	Qualitative and Quantitative indicators
		<p>engagement likely to continue, be scaled up, replicated or institutionalized after external funding ceases?</p> <p>Will the established structure (working group) be sustainable?</p> <p>Which stakeholders are already using the results of the project?</p> <p>What measures were put in place to ensure sustainability? Are sustainability plans for each of the three objectives being developed?</p>	<p>working group members and their compliance in adopting the business ethics principles and other project outputs.</p>
Efficiency	A critical assessment of project performance with respect to efficiency (input delivery, cost control and activity management)	<p>Were sufficient funds available compared with project budget?</p> <p>Full and systematic assessment of outputs produced to date (quantity and quality as compared with immediate objectives and workplan);</p> <p>Timeliness of project implementation;</p> <p>What organizational and managerial arrangements were put in place and how well did they perform?</p> <p>Was monitoring and reporting as</p>	<p>Type and sizes of the gaps between the objectives and the achievements, globally in terms of expenses and by type of activity taking into account the beneficiaries, expenses, timing?</p> <p>Level of cost efficiency of the activity. Cost per beneficiary.</p> <p>The project management organogram and structure.</p>

Criteria	Evaluation Question	Judgement criteria – sub-questions	Qualitative and Quantitative indicators
		<p>described in the project document well implemented and functioning?</p> <p>Was the project result useful in meeting the needs of Nigeria?</p> <p>Has the project staff been selected and recruited in a suitable and timely manner?</p> <p>What measures have been taken during project planning and implementation to ensure that resources are efficiently used?</p>	
Effectiveness	A thorough assessment of project management and coordination arrangements, and the extent to which timely and appropriate decisions are being made to support effective implementation and problem resolution (actual and potential delivery of outputs and progress towards achieving the purpose)	<p>What was the institutional set up and contractual agreements?</p> <p>Which were the coordination bodies (core learning partners) involved and what were their roles?</p> <p>Has the project achieved its foreseen objectives and results (outputs, outcomes, and impact)? If not, has some progress been made towards their achievement?</p> <p>What are the success factors for the achievement or reasons for non-achievement of the project objectives?</p>	<p>Number and type of coordination structures involved.</p> <p>Existence of core learning partners and working group members. Objectives achieved against original logframe and updated logframes</p> <p>Reports/Communiqué of the trainings conducted for EFCC, SCUML and Designated Non-financial Institutions, etc.</p> <p>Reports of working group meetings held in Abuja and Lagos.</p>

Criteria	Evaluation Question	Judgement criteria – sub-questions	Qualitative and Quantitative indicators
		<p>To what extent is the progress made so far the result of the project’s intervention rather than of external factors or other actors?</p> <p>What are the major challenges, opportunities and obstacles encountered by the project as a whole?</p> <p>Did the project contribute towards improvement of capacity to deal with corruption and improve the situation in the beneficiary activities?</p>	
Impact	An assessment of the effect of the project on its wider environment, and its contribution to the wider policy or sector objectives.	<p>The extent to which the benefits received by the target beneficiaries had a wider overall effect on larger numbers of people in the region.</p> <p>What difference has the project intervention made among beneficiaries from the different districts/ on the level of beneficiaries?</p> <p>Has the project pursued the possibility of assessing impact? Which provisions were made, or could have been made, at the planning and implementation</p>	<p>Increase in awareness</p> <p>Better understanding of the concept of corruption and economic and financial crimes</p> <p>Increase/decrease of prevalence</p>

Criteria	Evaluation Question	Judgement criteria – sub-questions	Qualitative and Quantitative indicators
		<p>stage to assess change?</p> <p>Did the project contribute to the Millennium Development Goals (MDG)?</p>	
Partnership and Cooperation	<p>An assessment of extent to which partnerships were established between UNODC implementation unit and beneficiaries, between beneficiaries and also with external entities to create synergies. Also to assess the level of cooperation established between partners in implementation and also cooperation with other development partners</p>	<p>How consultative / participatory was the project implementation towards the institutions / civil society?</p> <p>To what extent was proactive discussions / exchanges of experience / communication streams been created?</p> <p>Which coordination structure was established for the project?</p> <p>How was content of this project harmonized with related initiatives by other development partners?</p> <p>Where partnerships were established how equal was the relationship?</p> <p>Have coordination mechanisms between the beneficiaries and other relevant development entities been successfully established?</p> <p>What lessons can be drawn from</p>	<p>Number/frequency/type of meetings with the stakeholders.</p> <p>Number of joint implementation units</p> <p>Level of decision-making powers of local partners/beneficiaries at joint implementation units.</p>

Criteria	Evaluation Question	Judgement criteria – sub-questions	Qualitative and Quantitative indicators
		the coordination efforts and working arrangements between the UNODC project team, its counterparts/ beneficiaries, other sections of UNODC (e.g. HQ) and partners organizations/ other providers of similar type TA in the country?	

### 3.2 Questions related to Project Objectives

During introducing the evaluators to the interviewees, the evaluation will provide a brief description of the purpose of the final assessment and will explain the criteria and specific questions that will be covered during the interview. The interviewee’s will be given opportunity to provide their awareness of the project, functional responsibilities and specific responsibilities related to the project. The questions below are specifically formulated around the project logframe in the Contribution Agreement between the Netherlands Minister of Foreign Affairs and the UNODC. It will be linked to the evaluation criteria in table 1 above and in the final report will be covered under the evaluation criteria discussion.

Question 1: What progress has been made by UNODC/Beneficiaries in achieving the goals and objectives specified in the project document?

Objective 1: Develop and pilot the implementation of a comprehensive framework for promoting ethics and transparency in the Nigerian private sector.

- 1.1 Questionnaire / assessment methodology developed.
- 1.2 Level and quality of private sector participation in the conduct of the risk assessment, in particular in the focus groups;
- 1.3 Quality of the corruption risk assessment report, in particular in capturing core corruption related risks for business and functioning as a resource for the development of the business ethics principles.
- 1.4 Business anti-corruption principles adopted;
- 1.5 Number of businesses and business associations who endorsed the business principles;

- 1.6 Robustness of compliance framework (incentives and disincentives).
- 1.7 Number of businesses and business associations participating in dissemination workshops;
- 1.8 Quality of training materials as assessed by participants in the training of trainers seminars;
- 1.9 Continuous work on public-privates sector partnerships included into planning and budgeting of EFCC and ICPC.

Sub- Question: What is the quality and effectiveness of training events in particular, number of trainees, relevance of training, evaluation of training by trainees and sustainability of training?

Objective 2: Establishment of a credible and functional public complaints system providing the private sector with a set of avenues to report corruption without fear of retaliation or other negative consequences.

- 2.1 Public complaints system developed and operational.
- 2.2 Guidebook published and distributed;
- 2.3 Public complaints system broadly publicized among and utilized by the business community.

Sub-Questions: What measures were put in place to ensure compliance by the banking and other financial sectors?

Objective 3: Enhance compliance by the banking sector and other financial institutions with anti-money laundering standards.

- 3.1 Training manual prepared (and incorporated into EFCC training curriculum);
- 3.2 10 EFCC trainers trained;
- 3.3 50 Compliance officers from banks and financial institutions trained;

Question 2: To which specific areas did NGA T10 project activities have an impact on the institutions/beneficiary activities?

Question 3: Are there other intended or unintended, positive or negative (long-term) effects on individuals, communities, and institutions (on a micro- or macro-level

Question 4: Has the project monitoring system been set up, including a baseline survey, to allow a proper monitoring throughout the project? Are targets well specified in the Project Document, including clear and concise performance indicators?

Question 5: Did UNODC partnership with the beneficiaries achieve the stipulated results?

Question 6: What are the synergies established (or not) with other funder's mission activities as well as potential areas of improvement?

Question 7: What was the level of improvement related to coordination, establishment of partnerships and synergies, with specific attention to:

Level of coordination, cooperation, and partnerships with national counterparts and relevant international development partners?

Level and quality of partnerships established with direct project counterparts?

Level and quality of partnerships established with other relevant national stakeholders (beyond the primary beneficiaries), including non-state-actors?

Level and quality of coordination and cooperation with UN agencies and other international developments partners assisting the Nigerian Government in areas relevant to the objectives of the project?

Question 8: What are the lessons learned? Lessons learned should cover implementation, management approaches as well as the effectiveness of relationships with partners and inter-relationships.

Question 9: What should be the recommendations for the sustenance of the project outcomes and future related project implementation?

Question 10: Questions related to overall Project Management:

- What project structure was put in place to manage implementation? Please provide organogram.
- What was the involvement of beneficiaries in project implementation, eg appointment of project managers, etc?
- Describe communication and reporting channels?
- How frequent did the different components meet?
- Are minutes of these meetings available?
- Describe process followed for progress reporting, monitoring and evaluation.
- How was issues raised during progress reporting being dealt with?
- How effective were decisions taken at these meetings being implemented?

## DATASOURCES

### REFERENCE DOCUMENTS

Source material will include the project progress reports, work-plans, minutes of working group meetings, project revisions, Agreement between the Minister of Foreign Affairs, the Netherlands and UNODC, project documents and their revisions, ProFi, publications generated from the project initiatives, and other related project and assessment documents. Please see Annexure A for complete list of reference material.

### PROJECT STAKEHOLDERS

The table below provide an indication of the project stakeholders and sample size that will be covered during the interviews.

Table 3: Sampling and Coverage

<b>DATASOURCE/ STAKEHOLDER GROUP</b>	<b>SAMPLE SIZE and COVERAGE</b>	<b>RELEVANT QUESTIONS</b>
UNODC and Core Learning Partners	3 out of 3 to be interviewed	All questions
Working Group members	The following working group member will be interviewed. NACCIMA, IoDs, PROMACONAS, Access Bank, , Lagos Chamber of Commerce, SCUML, NPF, MVAA, PCC, CBI, TIN	All questions related to criteria  Detailed questions related to specific focus/functional area
Development Partners (UNIDO, UNODC, The Dutch Embassy)	4 out of 4	Awareness questions. Questions related to coordination, harmonisation and synergies

#### 4. EVALUATION INSTRUMENTS

The questions together with the collection methods will constitute the evaluation instruments. These must be suited to each focus area as well as to the areas cutting across and beyond these. These instruments will be likely to include:

- Critical desk review of the project related documents and deliverables
- Interview with the working group members of the project.
- The evaluation instruments will be standardized to ensure uniformity in data collection and analysis.

Table 4 below will be used as a tool for the systematic progress analysis during the assessment to follow the status of the project expected results as stated in the logframe.

**Table 4: Project Progress Analysis**

Objective 1 – Develop and pilot the implementation of a comprehensive framework for promoting ethics and transparency in the Nigerian private sector.		
<b>Result by expected output</b>	<b>Achieved/Partially Achieved/Not Achieved</b>	<b>Analysis of the verifiable indicators</b>
1.1 Assessment report available, including number of private sector parties who contributed.		
1.2 Business principles published.		
1.3 Business principles disseminated;		
1.4 Training evaluation reports;		
1.5 National budget allocation for public-private sector partnerships/measures for mutual understanding and cooperation.		

Objective 2 – Establishment of a credible and functional public complaints system providing the private sector with a set of avenues to report corruption without fear of retaliation or other negative consequences.		
<b>Result by expected output</b>	<b>Achieved/Partially Achieved/Not Achieved</b>	<b>Analysis of the verifiable indicators</b>
2.1 Public complaints system and reports over its use are available.		
2.2 Guidebook available. Reports on use of the public complaints system on file.		
Objective 3 – Enhance compliance by the banking sector and other financial institutions with anti-money laundering standards.		
<b>Result by expected output</b>	<b>Achieved/Partially Achieved/Not Achieved</b>	<b>Analysis of the verifiable indicators</b>
3.1 Training manual available;		
3.2 Report of ToT workshop and training reports / evaluations for bank/non-designated financial institution’s compliance officers available.		

5. KEY INSTITUTIONS/PERSONS TO BE INTERVIEWED

(Names and designation will be completed as meetings are confirmed)

<b>Beneficiaries/Working Group Members of the NGA T10 Project</b>		
<b>Institution</b>	<b>Name/Designation</b>	<b>Location/State</b>
UNODC	Senior Project Coordinator	Abuja
UNODC	UNODC Country Representative	Abuja
UNODC	Project Management Unit	Abuja
The Dutch Embassy	Mr. Ronald Sonnemans, Second Secretary	Abuja
SCUML	Mr. Ayo Olowonihi	Abuja
NACCIMA	Mr. Ogbar Andrew Enite Deputy Director	Lagos
PROMACONAS	Chief F. B. Osibo Chairman/Chief Executive	Lagos
UNIDO	Mr. Rueben Bamidele	Abuja
Lagos Chamber of Commerce and Industry	Mr. Muda Yusuf	Lagos

Cbi	Mr. Soji Apampa	Abuja
IoDs	Mrs Gloria Adebo	Lagos
Access Bank	Mr. Pattison Boleigha	Lagos
PCC	Mr. Eteng Otu – Director General Mr. Solomon Achimugu – Director of Investigation Barr. Ewa Udu – Head of Legal Mr. Chukwuemeka Nwosu – Head of PRO	Abuja
NPF	Mr. Stanley Ude	Abuja
TIN	Dr. Osita Nnamani Ogbu	Enugu
MVAA	Mallam Aminu Iro	Abuja
Oando	Mrs Gloria Delano	Lagos
Feedback and reactions from other working group members	See attendance list of working group members that will be present during the presentation of the evaluation findings workshop to be held on Tuesday, 12, April, 2011.	Abuja

Annexure A

S/n	List of Publications/ Documents Reviewed
1	Agreement between The Netherlands Minister of Foreign Affairs and UNODC
2	Project progress reports from march 2008 – March 2011
3	The Main Project Document (initial version)
4	The Main Project Document (revised version)
5	TOR for the Independent End of Project Evaluation NGA T10 for CONIG/IEU
6	TOR for the Independent End of Project Evaluation NGA T10 for NGA/T10
7	TOR for the Working Group
8	Minutes of the inaugural meeting of working group, 11 November 2008
9	Minutes of the 4 <sup>th</sup> meeting of working group, 13 October 2010
10	Minutes of the 5 <sup>th</sup> meeting of working group, 11 November 2008
11	Report of the implementation of the LOA between NESG and UNODC, 14 January 2009
12	Communiqué from the Round Table on Ethical Conduct of Business, 20-21 September 2010
13	Press Release by IATT, NLC, UNODC, 20-21 September, 2011.
14	Mission report from NG T10 , November 10, 2010
15	Survey result of the UNODC T10 project
16	Press Release by ECOWAS, IAAT, UNODC, NEPAD, The Presidency, 29-30 November 2010
17	Mission report on the meeting of 30 business executives, Lagos, 20 May 2010
18	Power point slides of Soji Apampa’s presentation on Common Principles for the Ethical Conduct of Business in Nigeria
19	Power point slides of Soji Apampa’s presentation on Ethics and Transparency in Business Transactions
20	Power point slides of the UNODC presentation on Corruption related Challenges for the Business Community, November 11, 2008.
21	Minutes of the 2 <sup>nd</sup> working group meeting, 14 May 2009
22	Power point slides of the UNODC presentation on Promoting Ethics and Transparency and

	Business Transaction in Nigeria, November 11, 2008.
23	Power point slides of the UNODC presentation on Corruption Prevention to foster Small and Medium Sized Enterprise Development.
24	Final Report on Promoting Ethics and Transaction in Nigeria, 2010, drafted by Cbi, and Global Advice Network on behalf of UNODC country office Nigeria.
25	Principles for The Ethical Conduct of Business in Nigeria, UNODC
26	Reports/Communiqué of the trainings conducted for EFCC, SCUML and Designated Non-financial Institutions