Practical guide

# Project planning, monitoring and evaluation: Improving the quality, learning and accountability of Humanity & Inclusion's interventions

Operations Division

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## Edition

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Many others have contributed directly or indirectly to this practical guide. It would be impossible to mention them all here. However, we would like to express our sincere thanks to team representatives both in the field and at Head Office who have lent their support to this practical guide by providing practical tools and ideas.

There have been several previous editions of this guide and this current version has been enhanced once again by a number of informative contributions (from Luciano LOIACONO, Alexandra MÈGE, Mathieu CHAUMEIL, Pierre GALLIEN, Claudio RINI, Ludovic BOURBÉ, Jean-Baptiste RICHARDIER and Jean-Pierre DELOMMIER).

# Contents

# Foreword

Our societies, and by extension humanitarian organisations like Humanity & Inclusion (HI), are challenged by ever-increasing needs, both for essential non-food items and for skills and knowledge transfer, against the backdrop of an increasingly constrained financial environment.

This practical guide represents a key step in the deployment of HI's Institutional Project Planning, Monitoring and Evaluation (PME) Policy. Three attitudes, three skill sets, three goals that are undertaken and implemented, although this can sometimes be difficult due to the volatility of operational contexts, uncertainties regarding funding and difficulties in reaching the populations we serve. In order to support the implementation of this policy, tools have been developed with regard to minimum commitments to action. At the same time a practical guide to project management has been made available to HI's teams, which is intended to help them develop a project planning, monitoring and evaluation system tailored to each individual intervention zone.

This practical guide is intended to supplement and finalise this deployment, setting out the main points of the Institutional Policy and responding to questions from HI's teams and partners following the launch of our Institutional Policy in November 2015.

By building our monitoring and analysis capacities, alongside our accountability mechanisms, this guide also supports the implementation of the HI 2016-2025 Institutional Strategy. In particular, it helps to ensure and demonstrate that our actions:

- Generate positive changes in the living conditions of our beneficiary populations
- Help to build our partners' capacities
- Develop more inclusive attitudes

I would like to thank everyone involved, both at Head Office and in the field, for their contributions to the collective thinking that has gone into producing this document.

We all have a role to play in facilitating the implementation of a project planning, monitoring and evaluation system designed to improve the quality, learning and accountability of the interventions managed by HI and its partners. I hope that you will find in this guide, useful information to help you to contribute to this dynamic in which our main focus remains our partners and beneficiaries.

**Florence Daunis**
**Director of Operations Division**

# Introduction

**"How can you address the priority needs of people with disabilities and vulnerable persons?"[1]**

… by clearing contaminated areas of mines and other explosive remnants of war? By improving access to education for children with disabilities? By providing rehabilitation care? By facilitating the timely recruitment of skilled, committed response teams? By ensuring the basic needs of people affected by a crisis are covered? By facilitating the transportation of essential non-food items? By mobilising and optimising the use of financial resources to support of our actions? By raising public awareness of road safety? By ensuring people are protected? By coordinating advocacy initiatives aimed at improving living conditions for our target populations? …

… by achieving all this **through projects.**

Thousands of people work for or alongside HI. They work day in day out to meet the priority needs of people with disabilities and vulnerable persons through project implementation, support and monitoring. Of all the operations undertaken by HI in 2016, more than 99% were implemented on a project basis.[2] Consequently, a project planning, monitoring and evaluation system represents a key component for ensuring the quality of our interventions.

## 1. Why produce this practical guide?

This practical guide is intended to supplement and clarify HI's Institutional Project Planning, Monitoring and Evaluation Policy. It is part of an institutional process to establish a comprehensive project planning, monitoring and evaluation system organised on four levels (with documents pertaining to each level):

1. **Level 1.** What are the basic principles of project planning, monitoring and evaluation? Formalisation of an Institutional Project Planning, Monitoring and Evaluation Policy.
2. **Level 2.** What needs to be done? What added value is gained? Publication of this practical guide setting out the basic principles of the Institutional Policy and responding to questions from HI's teams and partners.

[1] Inspired by PM4NGO (2011). [A Guide to the PMD Pro: Project Management for Development Professionals](). p. 12

[2] Other interventions are delivered based on service contracts.

3. **Level 3.** How to go about this? When? With who? Make available a project management guide that can be tailored to every desk or programme in order to formalise a project planning, monitoring and evaluation framework specific to each intervention zone.
4. **Level 4.** What materials/support for action are required? Develop tools to facilitate the implementation of minimum commitments to action.

This practical guide, which is dedicated to improving the quality, learning and accountability of our interventions, has a number of specific objectives:

- Align HI's Project Planning, Monitoring and Evaluation Policy with current trends in the international aid and development sector and internal frames of reference.
- Propose an overarching vision of HI's project planning, monitoring and evaluation mechanisms, by highlighting their end purpose, implementation methods, the roles of the various stakeholders (internal and external) and good practices identified at every stage of the project cycle.
- Identify and specify practices designed to facilitate the implementation of a project planning, monitoring and evaluation system, to meet the needs of HI's teams and its partners.

## 2. Who is this practical guide for?

This guide constitutes a shared methodological framework for all the teams involved in implementing, supporting and monitoring our projects in the field, in all intervention zones, fields and contexts.

In particular, it is intended for:

- Field project teams and operational partners implementing and monitoring projects.
- Field coordinators (operational, technical, support services etc.) together with Monitoring, Evaluation, Accountability and Learning Officers who play a key role in implementing project planning, monitoring and evaluation in our intervention zones.
- Geographic divisions, thematic divisions, institutional funding division, human resources division, logistics service, safety service etc. supporting and monitoring projects.

## 3. How has this practical guide been produced?

This practical guide is the result of a process of joint reflection, involving a large number of stakeholders at both Head Office and in the field.

It has been developed based on an assessment of monitoring & evaluation practices and management of project quality, combining both a qualitative approach (compiling and analysing existing resources, field missions, interviews) and a quantitative approach (consultation via a questionnaire sent to operational and technical teams in December 2013). This process provided an opportunity to gather the expectations and recommendations of the various stakeholders involved in implementing, supporting and monitoring projects. A steering committee was set up to monitor progress in the different areas addressed by four task groups,[3] made up of Head Office and field representatives. Other divisions and support services were also consulted to give their input to the deliberations of these task groups.

Finally, this practical guide has also benefited from external resources to address planning, monitoring and evaluation issues, and from the ongoing international debate on the quality of humanitarian action which HI is involved in via a number of networks.[4]

## 4. How is this practical guide structured?

This document is divided into three sections:

- The **"Principles and benchmarks"** section defines the key project planning, monitoring and evaluation concepts and outlines the context in which to use the guide, both externally and internally within the organisation.

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[3] Four groups tasked with: 1. Writing the Institutional Policy. 2. Formalising a project quality framework. 3. Developing a project planning, monitoring and evaluation tool (PM-Box). 4. Strengthening the links between operational and financial monitoring.

[4] In terms of the issues relating to quality, evaluation and learning, HI collaborates on a regular basis with French-speaking stakeholders such as the F3E network (Evaluate, Exchange, Elucidate) and Groupe URD (a group focusing on emergency relief, rehabilitation and development). At the international level, HI has been actively contributing for several years, both under its own name and in liaison with Coordination Sud, to the Quality and Accountability Initiatives Group, which brings together the main agencies involved in training, standardisation, evaluation and knowledge management, including the ALNAP (Active Learning Network for Accountability and Performance in Humanitarian Action).

- The **"Practical guide"** section is organised around the stages of the project cycle and explains how to implement the minimum commitments to action included in HI's Institutional Project Planning, Monitoring and Evaluation Policy.
- Finally, the **"Practical sheets"** section sets out the main tools and materials to support the implementation of HI's project planning, monitoring and evaluation system.

**What this practical guide does not cover:**

- This guide is not a project management guide. Although project planning, monitoring and evaluation is an important part of project management, this guide does not cover other key aspects such as the art and science of management (managing staff, team guidance, clear communication etc.) which are also key determinants of the project's success (or failure).
- This guide does not provide a technical framework specific to a particular sector. It offers cross-cutting and other recommendations that must then be translated per technical sector of intervention.
- This guide is not a mission/programme management guide. It is focused at the project level and does not therefore deal with mission/programme management.

## 5. How to use this practical guide?

We recommend that anyone with a role in assessing, designing and/or implementing a HI project uses this document:

- Anyone directly or indirectly involved in supporting and monitoring our projects should read the "Principles and benchmarks" section in order to understand the external and internal environment of projects managed by HI and its partners.
- Any programme/mission coordinator can refer to this practical guide in order to tailor a project management guide to a specific intervention zone, and/or respond to questions from project teams.
- Any partner or member of a project team can use this guide to ensure a shared understanding of key concepts and identify how to implement minimum commitments to action within the context of HI's project planning, monitoring and evaluation system.

Summaries at the end of each section provide a quick reference.

An e-learning module is also available to facilitate ownership of the key messages in this practical guide.

This guide will be regularly updated to ensure it remains relevant. Suggestions or other lessons learned from field experience will be included in future versions.

**Take-aways from the introduction**

- Of all the interventions undertaken by HI in 2016, more than 99% were implemented on a project basis[5]. Consequently, a project planning, monitoring and evaluation system represents a key component for ensuring the quality of our interventions.
- This practical guide is intended to supplement and clarify HI's Institutional Project Planning, Monitoring and Evaluation Policy.
- It is dedicated to improving the quality, learning and accountability of our interventions.
- It constitutes a shared methodological framework for all the teams involved in implementing, supporting and monitoring our projects in the field, in all intervention zones, sectors and contexts.
- This practical guide is the result of a process of joint reflection, involving a large number of stakeholders at both Head Office and in the field.
- We recommend that anyone with a role in assessing, designing and/or implementing a HI project uses this document.

[5] Other operations are delivered based on service contracts.

# I. PRINCIPLES AND BENCHMARKS

## 1. The quality of international aid and development initiatives

### 1.1 Challenges facing the sector: Questions asked and quality commitments made

The quality of humanitarian aid and effectiveness of development aid have been widely debated since the mid-1990s.

The genocide in Rwanda in 1994 was a watershed, unleashing a flood of questions and a wave of new commitments by international aid and development organisations regarding the quality of their work.

**Rwandan refugees - Camp Kimbumba, Goma (DR Congo), 1994**

Following the displacement of thousands of refugees to the north of Goma, in former Zaire, and the powerlessness of humanitarian organisations to tackle the cholera epidemic that killed thousands of people in the camps, an initial multi-agency evaluation of humanitarian work on the ground revealed, among other things, a lack of professionalism.[6]

©Tom Stoddart / Getty Images

The questions asked and commitments made in relation to the quality of international aid and development initiatives were followed during the 2000s by other crises (e.g. the *Arche de Zoé* scandal in France) which shook donor confidence, doubts about the effectiveness of aid; the arrival of new international aid and development stakeholders (armies, developing world stakeholders etc.), and the complexity of a number of major interventions (Libya, Syria etc.).

#### 1.1.1 "Quality" initiatives by civil society organisations

Focused more specifically on emergency humanitarian aid, seven "quality and accountability" initiatives were developed and have been considered as the benchmark until now:[7]

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[6] Rapport d'Evaluation Commune sur l'Intervention d'Urgence au Rwanda, 1997.

1. **People In Aid** – was founded in 1995 and developed a Code of Good Practice designed to help agencies enhance the quality of their human resources management.
2. **The Sphere Project** – was launched in 1997 with the goal of establishing a quality process for emergency aid. A manual was developed, identifying minimum standards in four key areas of humanitarian assistance (water supply, sanitation and hygiene promotion; food security, nutrition and food aid; shelter, settlement and non-food items; medical services).
3. **ALNAP** – **Active Learning Network for Accountability and Performance in Humanitarian Action** – Founded in 1997 and based at the Overseas Development Institute (ODI) in London, ALNAP is an international humanitarian network whose aim is to promote a learning culture throughout the humanitarian sector in order to improve performance.
4. **HAP-I** – **Humanitarian Accountability Partnership International** - Founded in Switzerland in 2003, by a group of humanitarian agencies, HAP-I pledged to make humanitarian action more accountable to its beneficiaries by creating and promoting a set of "Principles of Accountability".
5. **Synergie Qualité** – Launched in 2003 by Coordination Sud (National Coordination of French international aid and development organisations), the "Synergie Qualité" guide upholds the idea of qualitative international aid and development initiatives within a multi-dimensional framework based on five themes: humanitarian ethics, governance within the agency, human resources management, project cycle and the role of affected populations. The aim of this approach is to enable NGOs to create their own set of quality principles based on these five criteria.
6. **Compas Qualité** – Launched in 2004 by Groupe URD, a research, evaluation and training body working in the humanitarian sector, the "Quality Compas" provides support to humanitarian agencies on managing project quality in the field by offering a system of steering (based on key questions) and evaluation.
7. **The Emergency Capacity Building project (ECB), Accountability and Impact Measurement** – Formalised in 2007 in "The Good Enough Guide", this project compiled a summary of field practices across seven organisations (Care International, Secours Catholique, the International Rescue Committee, Mercy Corps, Oxfam GB, Save the Children US and World Vision International) with the aim of improving the quality of project impact measurement and accountability towards beneficiaries.

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[7] Quality and accountability initiatives: Questions - Answers

### 1.1.2 Quality, accountability and aid effectiveness

At the same time, international debate on the effectiveness of humanitarian aid which began in Rome in 2002 and centred around the Paris Declaration on Aid Effectiveness[8] (2005) and Accra Agenda for Action[9] (2008) marked an important turning point in the management of international aid.

The Paris Declaration outlined a set of core cooperation principles (**Ownership, Alignment, Harmonisation, Mutual Accountability**) and advocated **Results-Based Management**, urging governments to put into place systems designed to monitor and evaluate the performance of their projects. The Accra Agenda for Action (AAA) helped to implement the Paris Declaration principles by highlighting the vital need for countries to take ownership of and be held accountable for outcomes.

In this context, donors are becoming more demanding vis-a-vis the capacity of the agencies they finance to be accountable for the outcomes of their interventions. Donors sometimes impose specific monitoring/evaluation mechanisms and/or the implementation of new approaches (such as change theory), and advocate performance-related concepts (Value for Money). They expect NGOs to demonstrate that the actions funded generate positive changes for their target groups, whilst at the same time exhibiting a growing concern for efficiency.

## 1.2 International frames of reference

With regard to these questions asked and commitments made, the main international frames of reference currently used to gauge the quality of international aid and development initiatives are outlined below.

### 1.2.1 International legal frameworks

A number of international legal frameworks exert a strong influence on international aid and development initiatives. These rules dictate our capacity for action while offering us genuine intervention options.

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[8] Charter drafted in 2005 under the auspices of the OECD Development Assistance Committee. This was approved symbolically by national development aid agencies and leaders of beneficiary countries who had gathered for the occasion.

[9] 3rd Forum on Aid Effectiveness following on from Rome (2004) and Paris.

Focused on preserving human life and dignity, the following international frameworks have a particular importance for our initiatives:

- **International Humanitarian Law** is a set of rules that seek to limit the effects of armed conflict, with particular regard to civilian populations and installations, together with people who are not or no longer participating in hostilities (prisoners, refugees). It also restricts the means and methods of warfare.[10]
- The **International Children's Rights Convention (ICRC)**, or Convention on the Rights of the Child, is an international treaty adopted by the UN in 1989 that seeks to recognise and protect the specific rights of children. This convention is built around four core principles, providing a framework for a set of general guidelines outlined in its various articles: non-discrimination (article 2); the best interests of the child (article 3); the right to life, survival and development (article 6); respect for the views of the child (article 12).
- The **Convention on the Elimination of All Forms of Discrimination Against Women, CEDAW)** was adopted on 18 December 1979 by the United Nations' General Assembly. This convention commits Signatory and Acceding States to eliminate all forms of discrimination against women and help them achieve their full potential in the political, economic, social, cultural and civil spheres.
- The **Convention on the Rights of People with Disabilities** is an international convention adopted in 2006 by the United Nations General Assembly to "promote, protect and ensure" dignity and equality before the law, together with the human rights and fundamental freedoms of people with disabilities irrespective of gender. Its objective is to ensure the full enjoyment of basic human rights of people with disabilities and promote their full participation in political, economic, social and cultural life.
- Other international aid and development reference documents (non-comprehensive list): Universal Declaration of Human Rights (1948); International covenants on civil, political, economic, social and cultural rights (1966); Conventions on genocide (1948), torture (1984) etc.

### 1.2.2 Quality standards

The quality standards used to gauge international aid and development initiatives are currently evolving, with two main complementary trends evident.

[10] International Humanitarian Law. Wikipedia.

**1.** The various standards (SPHERE, HAP, PIA) have been harmonised and integrated into a single instrument: **the Core Humanitarian Standard (CHS)[11] launched in 2015.** This is the result of a process originally spearheaded by HAP, People in Aid and Sphere which decided to propose a common definition of quality[12]. The nine CHS commitments replace the HAP and People in Aid standards, along with the Sphere common standards and 12 Quality Compas criteria. However, the Sphere technical standards will continue to exist after being brought into line with the CHS, and the Quality Compas method will be updated to support the application and adaptation of this standard to specific contexts. Furthermore, the methods for use in implementing the CHS are still being debated, with a controversial move to introduce global certification.


**2.** Civil society stakeholders are confronting challenges linked to the effectiveness and performance of humanitarian action by developing the **Istanbul Principles**, along with the eight **Principles for CSO Development Effectiveness,** which emerged from an extensive global consultation process and were validated in Istanbul in 2010.[13]

**The eight Principles for CSO Development Effectiveness**

1. Respect and promote human rights and social justice
2. Embody gender equality and equity while promoting women and girls' rights
3. Focus on people's empowerment, democratic ownership and participation
4. Promote Environmental Sustainability
5. Practice transparency and accountability
6. Pursue equitable partnerships and solidarity
7. Create and share knowledge and commit to mutual learning
8. Commit to realizing positive sustainable change

[11] http://www.corehumanitarianstandard.org/

[12] http://www.grotius.fr/le-core-humanitarian-standard-chs-nouvelle-tentative-dembrigadement-du-secteur-ou-etape-innovante-et-porteuse/

[13] https://concordeurope.org/2012/09/21/istanbul-principles/

These principles underpin the International Framework for CSO Development Effectiveness. This framework was officially recognised within the **Busan Partnership for Effective Development Co-operation** (4th Forum on Aid Effectiveness, 2011). For example the 8th Istanbul Principle, which focuses on achieving and demonstrating sustainable outcomes and impacts, commits non-governmental organisations to strengthen their practices in terms of results-based project management through monitoring and evaluation.

### 1.2.3 International commitments

**Sustainable Development Goals (SDG, 2015)**. These constitute the United Nation's frame of reference for international development. They replace the eight Millennium Development Goals (MDG), which focused only on the social consequences of poverty in developing countries without considering its structural causes; they made no reference to people with disabilities and established no accountability mechanisms. All states are now involved in implementing the 2030 Agenda, with 17 goals broken down into 169 specific targets underpinned by ambitious principles, such as "**Leave no one behind"**: no goal is deemed fulfilled if unless it is achieved by every population group.

**World Humanitarian Summit (2016).** Convened by the United Nations Secretary General, the first World Humanitarian Summit was organised in Istanbul in May 2016, attended by more than 9,000 participants and with 173 countries represented. It represents a departure point for a process expected to culminate in a new Summit in 2020.

Humanitarian stakeholders pledged their commitment to five priorities: **1.** Work to end and prevent conflict. **2.** Ensure compliance with international humanitarian law**. 3.** Leave no one behind. **4.** Move from delivering aid to ending need by building capacity at local and regional levels, anticipating crises, planning and partnerships. **5.** Improve funding and manage use of available resources more effectively. During the Summit, a "Charter on Inclusion of Persons with Disabilities in Humanitarian Action" was developed and launched on the initiative of a coalition of agencies, with HI playing an important role. Signatories to this Charter pledge their commitment to five priorities aimed at delivering more inclusive humanitarian assistance:

- Ensure non-discrimination and recognition of the diversity of persons with disabilities;
- Involve people with disabilities in developing humanitarian programmes;
- Ensure the availability of inclusive services;
- Implement inclusive global policies;

- Improve the inclusion of people with disabilities by ensuring cooperation and coordination between humanitarian stakeholders.

In December 2016, this Charter was endorsed by 140 stakeholders including 18 States, 12 United National agencies, 60 NGOs and 20 disabled people's organisations.

# 2. Key project planning, monitoring and evaluation concepts

Before proceeding to describe HI's project planning, monitoring and evaluation mechanisms, it is important to first define the key concepts related to this issue.

## 2.1 Regarding the project

### 2.1.1 Project

> A|Z **Project**
>
> A project is defined as "a series of activities aimed at bringing about clearly specified objectives within a defined time-period and with a defined budget"[14].

A project is:

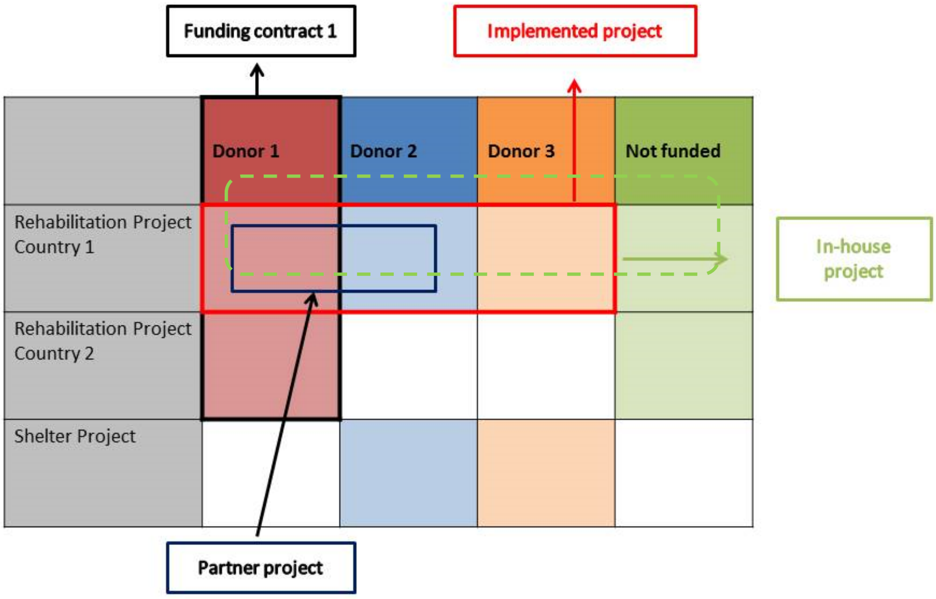
- **Unique**: a clear goal within a context specific to each project. No two projects are identical.
- **Time-bound**: it has a start and end date, and therefore a defined scope and resources.

In practice, this overall definition translates into several types of project within HI:

- "**In-house project**": The desired intervention meets all the priority needs identified. It places the main focus on the priority needs of target populations and makes funding easier to secure.
- **Implemented project**: Project funded and currently being implemented by HI and its partners which corresponds to the Project Manager's remit.
- "**Partner project**": Part of the "Implemented project" under the responsibility of an operational partner. It falls within the partner's area of accountability and within the quality control remit of HI's teams.

[14] European Commission, Project Cycle Management Guidelines, March 2004.

These different types of project should not be confused with a "funding contract" that can include one or more projects and which monitors donor accountability by means of a contractual commitment.




### 2.1.2 Project management

**Managing projects**

The purpose of "project management" is to "to plan, organise and manage resources to bring about the successful completion of specific project goals, outcomes and outputs."[15]

Certain characteristics make managing international aid and development projects particularly challenging:[16]

- **Results** delivering tangible outcomes remains a means of bringing about change for the target populations.
- **Complexity**: Projects tend to operate in exceptionally challenging contexts (limited resources, high risks, complex procurement networks, unstable political/financial environments, unsafe conditions).

[15] PM4NGO (2011). A Guide to the PMD Pro: Project Management for Development professionals. p. 124

[16] Ibid. p. 18

- **Multi-agency**: Project implementation is often managed through a complex array of stakeholder relationships (community-based organisations, authorities, partners, donors etc.).
- **Content and process**: The project approach is often as important as the outcomes themselves, including a high priority placed on participation.
- **Learning:** Working together to identify and develop new transferable knowledge by deliberating on and formalising practices and the transfer of this knowledge are a priority for all projects.

### 2.1.3 Programme

The terms 'project' and 'programme' are frequently used within the international aid and development sector with no shared definition of these terms. In order to clarify the roles and responsibilities of each management level, HI proposes the following definition.

> A|Z **Programme**
>
> A 'programme' is defined as a group of related projects managed in a coordinated way to obtain benefits not available from managing the projects individually.[17]

The term 'programme' is sometimes used (often on a donor's initiative) to refer to an intervention targeted around a specific theme supported by several projects. Within HI, a **'programme' (or mission)** frequently makes reference to **an organisation located in an intervention country or region, tasked with coordinating one or more projects in this geographic area and reporting to a Field Programme Director or Head of Mission**.

[17] Ibid. p. 124

**Comparison table summarising the 'project' and 'programme' concepts**

| Project | Programme/Mission |
|---|---|
| **Length** | |
| **Short-term intervention with a start and end-date** | Medium and long-term interventions for which a specific end-date is not necessarily scheduled at the start of the programme/mission |
| **Scope** | |
| **Usually a primary sector, complemented by secondary sectors according to the needs** | A number of primary sectors |
| **Target population** | |
| **Specific people or groups that can benefit from the activities within a specific project** | Anyone that may be affected by the outcomes of the various projects implemented under the programme in question |
| **Contribution** | |
| **Project goals feed into programme/mission goals** | Programme/mission goals feed into institutional strategy goals |
| **Reference document** | |
| **Project document (logical framework, budget)** | Operational strategy |

A programme or mission must be able to deliver the following types of added value:[18]

- **Geographic area**: leverage resources from multiple projects in the same geographic area to have a greater impact than each would have in isolation.
- **Sector**: encourage synergies between projects in different technical sectors.
- **Internal accountability**: contribute to the organisation's institutional strategy.
- **Funding**: make economies of scale.
- **Target populations**: meet the multiple priority needs of target populations.
- **Management**: ensure the best possible coordination between projects.

[18] Ibid. p. 20-21

## 2.2 Planning, Monitoring and Evaluation

> **A|Z Planning, Monitoring and Evaluation**
>
> Planning, monitoring and evaluation can be defined as a set of co-dependent and inter-connected activities which aim to measure the results and outcomes of a project and assess its impact, whilst meeting quality, accountability and lesson-learning requirements.

An operational project Planning, Monitoring and Evaluation system is a vital component of all international aid and development organisations' quality approach. It can be used to manage, analyse, disseminate and use information from the project to:

- **Prove and improve performance** using reliable and relevant data to objectivise decision making and adjustments to the project.
- **Document the project** to feed into learning, communication and advocacy processes.
- **Report** to the actors involved on compliance with rules (internal, authorities donors etc.) and also, most importantly, give our project beneficiaries the opportunity to give their opinion on our interventions.

### 2.2.1 Planning

> **A|Z Planning**
>
> Planning can be defined as a "process of setting goals, developing strategies, outlining the implementation arrangements and allocating resources to achieve those goals."[19]

Planning is the starting point for any project and is therefore a crucial phase. Planning lays the foundations of both the project (project framework) and the monitoring and evaluation system (monitoring plan) to support the project management. Poorly executed planning inevitably leads to difficulties in the monitoring and evaluation phases. "Failing to plan is planning to fail."[20]

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[19] UNDP, Handbook on planning, monitoring and evaluating for development results, 2009.

[20] Quote attributed by different sources to either Benjamin Franklin or Alan Lakein.

**Key questions**

- What do we want to do?
- Why?
- With who and how?
- With what resources?
- When?
- In what context?

### 2.2.2 Monitoring

**Monitoring**

Monitoring is defined as "A continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders (...) with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds." [21]

HI requires the implementation of two types of monitoring as part of its project planning-monitoring-evaluation system:

- **Implementation monitoring (monitoring processes):** This is used to monitor the use of resources, the progression of activities and the outputs. It is used to analyse "how" the activities are carried out, i.e. their effectiveness in terms of meeting deadlines and using resources. This type of monitoring includes monitoring the activities, finances, compliance (with laws, rules and contractual undertakings), context, capacity building and the feedback mechanisms for beneficiaries.
- **Results monitoring (performance monitoring):** Results monitoring focuses on the results obtained and expected outcomes, as well as the probable impact of the project. It aims to determine whether or not the project is on course to achieve the planned results (outputs, outcomes and impact) and whether it is having any unintended consequences (positive or negative). It can be used to adjust the project as required and provides information that is essential for evaluating the project. For example, in the context of a mine clearance intervention, a "before and after" analysis of the project is usually carried out to determine the extent to which cleared land is being re-used.

[21] OECD, Glossary of key terms in evaluation and results based management, 2010.

**Key questions**

- Are we doing what we said we would do?
- Are we on track to achieve the results we hoped for?
- Are we taking into account the changes in context and needs which impact on the deployment of the project and its adaptation?

As far as possible, the monitoring should be:

- **Participatory:** members of the project team, the partners and project beneficiaries should be involved in monitoring to ensure it is properly understood and to encourage ownership.
- **Realistic:** Monitoring data needs to be well-targeted and only cover what is needed to steer the project and meet stakeholder expectations.
- **Proportionate:** It should not require an excessive investment in terms of time or resources, in relation to the implementation of the project.
- **Useful:** It needs to be included in the project steering, to provide data and a breakdown based on the different target groups.
- **Adapted:** It should be possible to implement using the available budget and skills of HI's teams and its partners.
- **Transparent:** The information should be shared with beneficiaries, partners, donors and all other stakeholders.

### 2.2.3 Evaluation

A|Z **Evaluation**

Evaluation is "the systematic and objective assessment of an on-going or completed project, programme or policy, its design, implementation and results[22] including the sharing of results and the implementation of corrective measures.

The aim is to determine the relevance and achievement of objectives, in light of pre-determined criteria.

[22] European Communities, Methodological bases for evaluation, 2006.

**Key questions**

- Did we do what we said we would do?
- Did the intervention contribute to the identified changes?
- How?
- Why?

Different types of evaluation can be carried out depending on the expectations (accountability or learning), on who is carrying out the evaluation (internal, external, mixed), the scope (project, programme, theme, meta-analysis), the subject of the evaluation (process, impact), and the stage in the project cycle (ex-ante - initial assessment; mid-term evaluation - implementation; ex-post - after the intervention).

The OECD Development Assistance Committee network has drawn up evaluation criteria which are the reference for evaluations in the international aid and development sector:

1. **Relevance**: Measure which of the aid activities correspond to the priorities and policies of the target group, partners or funding bodies.
2. **Effectiveness**: Measure the extent to which the objectives for the aid activity have been met.
3. **Efficiency**: A qualitative and quantitative measure of the outputs considered as a result of the resource/inputs.
4. **Impact**: This is the positive and negative, direct or indirect, intended or unintended effect of an intervention.
5. **Sustainability**: Sustainability measures whether the benefits of the activity are likely to persist once the funding body has withdrawn funding.

These criteria have been included in HI's Project Quality Framework, which completes and clarifies those established by the OECD.

➔ See also "Principles and benchmarks", **Section C.** Reference models.

A **high quality evaluation** conforms to the following criteria:

- **Impartiality** and **independence** of the evaluators
- **Credibility** and **transparency** of the evaluators
- **Usefulness** of the evaluation, and the way in which it is carried out, in terms of decision making
- **Participation** of project stakeholders in order to build their evaluation capacities, and give them the opportunity to express themselves directly.

Whatever form it may take, an evaluation is deemed to be **participatory** when the different stakeholders in the intervention (including the beneficiaries) are involved in its design, implementation and interpretation.

### 2.2.4 Planning, Monitoring and Evaluation

The planning-monitoring-evaluation components need to be organised systemically in order to reinforce the interdependent links between them.

**Similarities and differences between the planning, monitoring and evaluation components**

| Planning | Monitoring | Evaluation |
|---|---|---|
| • Continuous<br>• System (documents, procedures)<br>• Part of the daily project management system<br>• Support in day-to-day decision making<br>• Translate strategy into action<br>• Implementation by a range of actors (internal and external) | • Continuous<br>• System (documents, procedures)<br>• Part of the daily project management system<br>• Support in day-to-day decision making<br>• Follows the strategy<br>• Implementation by a range of actors (internal and external) | • Specific stages<br>• Processes (stages, activities and objectives)<br>• Support for the project management system<br>• Support for strategic decisions<br>• Questions the strategy<br>• Implementation by a dedicated team (internal or external). |
| What do we want to do? Why? With who and how? With what resources? When? In what context? | Are we doing what we said we would do? Are we on track to achieve the results we hoped for? Do we take into account the changes in context and needs which impact on the deployment of the project and its adaptation? | Did we do what we said we would do? Did we contribute to the changes we were aiming for? How? Why? |
| Based on the same Project Quality Framework- the planning and monitoring system informs the evaluation | | |

**Differentiate between the different planning-monitoring-evaluation components with the audit and lesson learning**

- **Audit:** "Audit is an analysis to verify compliance with rules, regulations, procedures or mandates".[23] An audit differs from an evaluation in the sense that it focuses on controls and compliance with requirements rather than making a value judgement.
- **Lesson learning:** Evaluation and lesson learning are often closely connected. When the evaluation process is conceived as a means of learning, lessons can be drawn from it: the monitoring and evaluation mechanisms and evaluations make it possible to identify errors, as well as innovative practices to be formalised and shared. **Lesson learning** tends to take a more subjective, qualitative look at specific aspects within a project to analyse the more indirect ways in which change has occurred—**to try to draw out generalisations which could be applicable in other contexts**[24]. Lesson learning is therefore about "changing experience into knowledge that can be shared" (Pierre de Zutter).

## 2.3 Data management[25]

Planning, monitoring and evaluation are based on the collection, analysis and use of data, understanding the key components of data management is therefore essential.

### 2.3.1 Types of data

There are two main categories of data: primary and secondary data.

- **Secondary data** are pre-existing data, already collected by other actors. Two possible scenarios: 1. Raw data are available (quantitative or spatial data available in a database for example). 2. Data have been analysed: the phenomena or situations have already been recorded and summarised in documents which are available for use. In both scenarios, the sources need to be identified and criteria defined in order to assess the reliability of the sources used.
- **Primary data** are new data. They are collected directly from informants selected according to the aims of the analysis.

[23] OECD, Glossary of key terms in evaluation and results based management, 2010.
[24] Guy M, de Lamarzelle J. (2014). Learning lessons from experience. HI. p. 12.
[25] Extract from Brus A. (2015). Studies and research at HI: Promoting ethical data management. HI.

There are a number of different methodologies for collecting primary data as part of a planning-monitoring-evaluation system. These are set out in detail in the HI practical guide "How to conduct a qualitative/ quantitative study? From planning to using findings."[26]

The method used will usually depend on the type of information required, the feasibility of collecting reliable data, the level of participation required, and the human, financial and temporal constraints relating to the data collection.

We can identify four types of data:

- **Quantitative data**: These are often used during the initial assessment phase but also during implementation to assess the effect of the activities, such as the impact of a training course on the participant's level of understanding. These are numerical, quantified data obtained by applying specific techniques for selecting individuals (e.g. sampling), for collecting (e.g. individual interviews with closed questions or anthropometric or clinical measures) and for analysing data (e.g. statistical data).
- **Qualitative data**: These are often used for the initial assessment, and also during project implementation, at the time of the mid-term evaluation, for example, or during the end phase of the project, for the final evaluation. Qualitative information is expressed in words and is often used to explain why, or how change has been obtained (or not). These types of data include individual interviews, discussion groups (focus groups), community meetings, life stories and histories, case studies, target group observation.
- **Audio-visual data** are data available in video format. Videos can be used to access discursive communication between actors, as well as their non-verbal communication, their body language, their occupation of the space, the interaction between actors, the involvement or participation of actors in groupings etc.
- **Spatial/geographic data**: These data are used to produce geographic maps, usually drawn up with representatives of the target population, which represent phenomena and their evolution over time (for example: mapping accessible services, a seasonal calendar etc.).

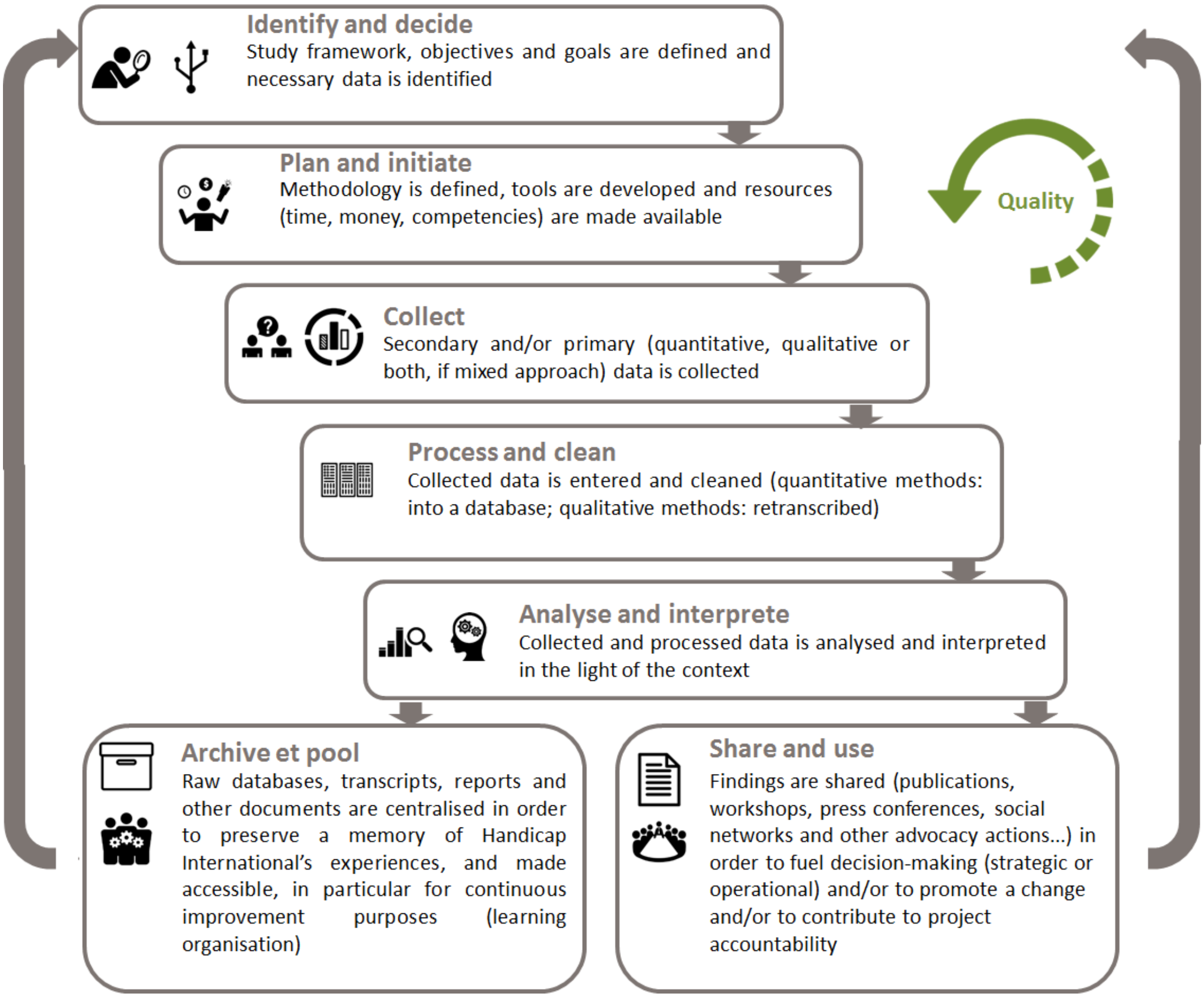
### 2.3.2 The data management process

The **data management process** is illustrated in the figure below. It includes the following stages: **1)** Identify a need for information then decide on the type of data to be collected and how the results will be used (purpose(s)); **2)** Prepare and launch data collection, analysis and

[26] Brus A. (2016). How to conduct a qualitative/ quantitative study? From planning to using findings. HI.

sharing; **3)** Collect the data; **4)** Process and clean up the data; **5)** Analyse and interpret the data; **6)** Share and use the information generated; **7)** Archive and share.

**The data management cycle adapted to studies/research**




During this process, the data, i.e. the raw, uninterpreted matter collected, are transferred and transformed into information i.e. processed, analysed data put into context, and then into knowledge i.e. information that is used in practical situations to support decision making.

### 2.3.3 Ethical data management[27]

Any project planning-monitoring-evaluation system must comply with the ethical rules and standards governing the use of data in the international aid and development sector, which form the basis of HI's eight recommendations on ethical data management:

- **Guarantee the safety of participants, partners and teams.**[28]
- **Deploy a people/community focused approach**: respectful of the cultural context; respectful of each individual's specificity; added value for the target community and/or individuals).
- **Obtain informed consent from the participants:** all participants must be given the same information, understand what is going to be done, and give their informed consent freely and willingly.
- **Propose referral mechanisms:** support should be offered and facilitated to provide guidance and/or appropriate care as required, i.e. when a difficulty is identified or when the data collection is the cause of a complication.
- **Ensure the security of personal and sensitive data throughout the duration of the activity:** the security of personal and sensitive data must be guaranteed throughout all stages of the data management process.
- **Plan and guarantee the use and sharing of information:** collective data should be: 1) Relevant and match the objectives and purpose of the study; 2) Analysed and interpreted; 3) Used; 4) Disseminated and shared.
- **Ensure the expertise of the teams involved and the scientific validity of data:** in order to guarantee the quality, reliability and credibility of the conclusions drawn from the planning-monitoring-evaluation system and the resulting decision making, it is vital to identify what will be measured, to formulate clear objectives, determine the purpose of each data collection campaign and to plan how this is done, within what timeframe and what human and financial resources are required.
- **Obtain approval from the relevant authorities:** the information within the planning-monitoring-evaluation system should be collected, analysed and used in compliance with the rules of international law, notably the international conventions on human rights, and conform to the legal framework of the intervention zone.

These recommendations are not mutually exclusive and are interdependent.

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[27] Brus A. (2015). Studies and research at HI: Promoting ethical data management.

[28] HI (2012). Tackling the risk: HI's Safety and Security Policy.

- **Analysis that is sensitive to gender, age and disability.**[29] Three aspects have to be differentiated between when speaking about gender, age and disability: **1)** There are procedures to encourage target group participation in the analysis; **2)** There are procedures to ensure the study is fair (in terms of the selection of individuals) and all the individuals recruited are able to understand the questions and capable of supplying reliable answers; **3)** The issue of the disaggregation of[30] the data during the Analysis/Interpretation phase.
- **Good data** are objective (clear definition of the frame of reference for the analysis), reliable (the same results would be obtained if a new team applied the same methodology), valid (the methods and tools measure what they are supposed to measure), relevant (they meet the objectives set), useful (adapted to the request) and obtained ethically (with respect for all the individuals involved in the process).

## 2.4. Quality, learning and accountability

As a project planning-monitoring-evaluation system aims to improve the quality, learning and accountability of our interventions, it is vital to establish a shared understanding of these three concepts.[31]

### 2.4.1 Quality

A|Z **Quality**

HI defines quality as " the capacity to pursue the purpose and mission, achieve the objectives of the association and serve the beneficiaries and satisfy the expectations of stakeholders at the right cost" in a way that is adapted to the needs, requests and intervention contexts.

[29] Brus A. (2015). Studies and research at HI: Promoting ethical data management.
[30] The disaggregation (or breakdown) of data makes it possible to divide and distribute the corpus of data into smaller, exclusive units (or sub-groups). Disaggregating the data means situations between the different defined units can be compared. For example, according to gender, age category or disability.
[31] HI (2015). Project Planning, Monitoring and Evaluation Policy.

The project Planning, Monitoring and Evaluation policy specifically relates to three forms of quality:

- The **quality of the processes** for implementation, support, steering and measuring which contribute to the fluid and coherent deployment of the different activities which make up the project;
- The **technical quality**, which mainly applies to the project outputs and/or services, in reference to the specific standards and norms in each field or sector of activity;
- The **quality of the response** to identified needs which questions HI's contribution to positive change benefiting the target populations.

Two terms are often associated with the "quality" concept:

- **Quality assurance,** which refers to the improvement of processes. This takes place during the process of creating the goods or services.
  Are we doing what we are supposed to do?
- **Quality control,** which involves checking that goods and services are compliant with their definition and specifications. This takes place during and after the process of creating goods or services.
  Do the goods or services produced meet our expectations?

### 2.4.2. Learning

> A|Z **Learning**
>
> The purpose of learning is to contribute to the continuous improvement of interventions, by contributing to the creation and transfer of knowledge, feeding back information, and sharing the results and lessons learned from our experience on our projects.

HI wants to become a learning organisation, in which the realities in the field nourish its thinking in order to develop its intervention methods and meet the needs, expectations and choices of the affected populations in the best possible way. Learning and knowledge management play a central role in the continuous improvement of the organisation, and must form an integral part of the project management cycle, regardless of the duration of the project.

### 2.4.3 Accountability

**A|Z Accountability**

Within HI, the concept of accountability refers to the capacity to report in a transparent (clear and understandable) manner to stakeholders (agencies, organisations, groups or individuals with a direct or indirect stake in the action). It aims to demonstrate that the actions have been completed in line with the methods agreed to meet the objectives, and to explain, where required, any deviations or changes and the reasons for these.

The accountability approach can be strengthened by implementing an adapted, reliable information system, associated with planning-monitoring-evaluation mechanisms, which makes it possible to disseminate the results and demonstrate how they have contributed to change. A planning, monitoring and evaluation policy also facilitates increased accountability towards our beneficiaries who can more easily ask HI for explanations, as they better understand what the organisation is committed to achieving. The principle of accountability thereby helps to build our capacity to account for our actions and meet our objectives, thanks to a transparent and responsible mechanism for collecting, analysing and sharing information on project events, actions and performance.

## 2.5 Stakeholders

The stakeholders in a project refer to the agencies, organisations, groups and individuals who have a direct or indirect stake in our work: beneficiaries, communities, authorities, operational partners, service providers, professionals, funding bodies, operators, families etc.

### 2.5.1. Beneficiaries

**A|Z Beneficiaries and target group**

HI proposes the following definitions to ensure a shared understanding of the term "beneficiaries":

- **Direct beneficiary** = any person who receives goods or services from a project implemented by HI or its operational partners.
- **Indirect beneficiary** = any person who benefits from the goods or services received by a direct beneficiary of HI.

- **Population potentially reached** = Populations that may have benefited directly or indirectly from the actions of HI or its operational partners. This concerns the direct or indirect contribution of the project to categories of populations whose numbers can only be estimated (examples: media campaigns, armed violence-affected communities, etc.).

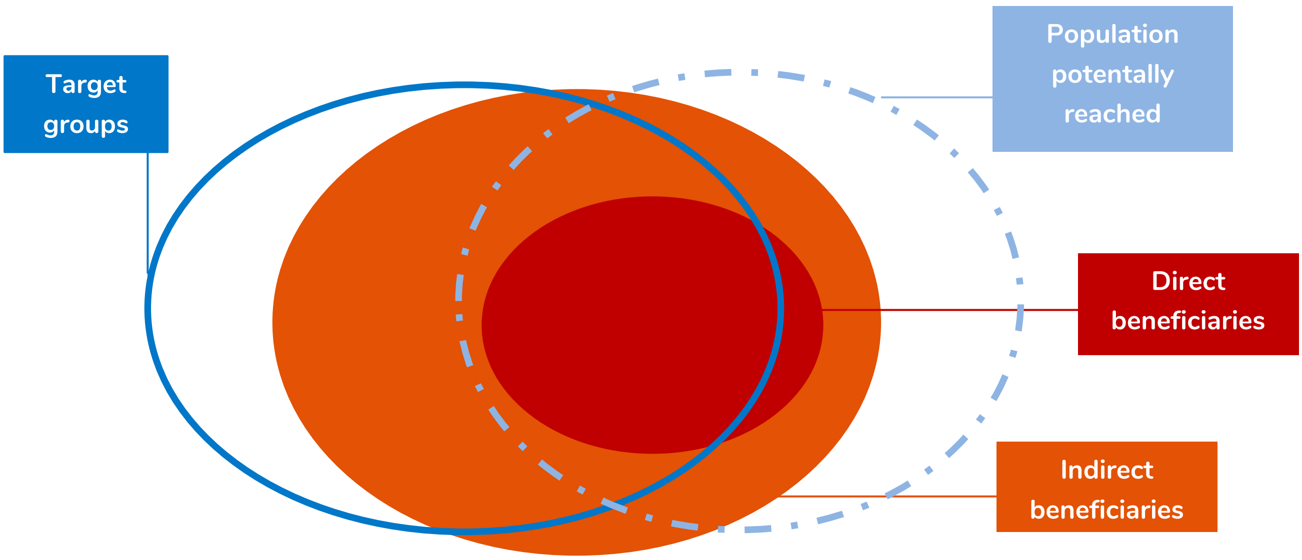
The term beneficiary is often associated with the concept of "**target group**". It is important to remember that HI defines this concept as follows:

- **Target group** = a specific category of the population targeted at the start of the intervention to directly or indirectly benefit from the planned project.

This may be a population living in a specific geographic are (for example, people living in region X in zones contaminated by mines and explosive remnants of war); a specific group within the population with shared characteristics which are either permanent, or temporary due to a given situation (for example: refugees with injuries, the parents of a child with a disability).

The diagram below illustrates the links between these different concepts:

- Target group for project planning: Group within the population targeted at the start of the intervention to directly or indirectly benefit from the project.
- Indirect and direct beneficiaries for project monitoring: People who actually benefit from the intervention, both from within the original target population and outside of this group.



## 2.5.2 Operational partners[32]

**Operational partnership**

HI considers operational partnership as a form of collaboration between two or more structures which favours cooperation over substitution, subordination or competition. It is a relationship which is built and negotiated in order to reach a shared goal, which requires **shared commitment, accountability and responsibility for a project or part of a project**.

The following are considered to be operational partners (examples):

- Partners within a DVFP (Disability and Vulnerability Focal Points) network
- A Disabled Person's Organisation (DPO) supported as part of a jointly-implemented project

The following are considered as "other stakeholders":

- Funding bodies
- Members of a cluster
- Private-sector subcontractors etc.

HI identifies **four partnership models**.

- **Support:** Financial, organisational and technical support for an organisation which would not be active or autonomous without that support.

- **Substitution:** The relationship is one of "substitution" when the project conception is mainly decided by one party. The project is conducted through a partner, its main objective is not to build the structure's capacities but to implement a project for a beneficiary population.

[32] Extracts from Richardier V. (2016). Operational partnership at HI. HI.

- **Guidance/Expertise:** Organisation Y provides guidance and/or specific technical expertise for partner X. **Specificity:** the partner's role is not set in stone, HI can also be supported.

- **Joint intervention:** HI plans and implements a project with one or more third-parties.

These models provide a general framework but should not hamper a relationship that should always be fluid. These relationships evolve, from project to project and sometimes even over the course of a project.

# 3. Reference models

This section describes the external factors, which have emerged from discussions on quality, which have a direct influence on how international aid and development projects are planned, monitored and evaluated.

## 3.1 Results-based management

The planning, monitoring and evaluation of HI's projects is based on results-based management.

Results-based management **focuses the planning, monitoring and evaluation of a project on the desired results and the means by which these will, or will not, be achieved**. The planning, monitoring and evaluation process therefore focuses on **performance and achieving results**, rather than on implementing all the planned activities and obtaining all the results within the established timeframe.[33]

[33] PNUD (2009). Handbook on Planning, Monitoring and Evaluating for results.

Approved and put forward at numerous international conferences and round tables,[34] this approach encourages projects to constantly ask the question: "What difference is our intervention making?" In order to answer this question, results-based management uses a "**results chain**" or "logical model" which sets out a series of cause (specific action) and effect (achieving results in the short, medium and long term) relationships. A results chain starts with the resources being made available, continues with the activities and their outputs, and leads on to the effects and impacts.[35]

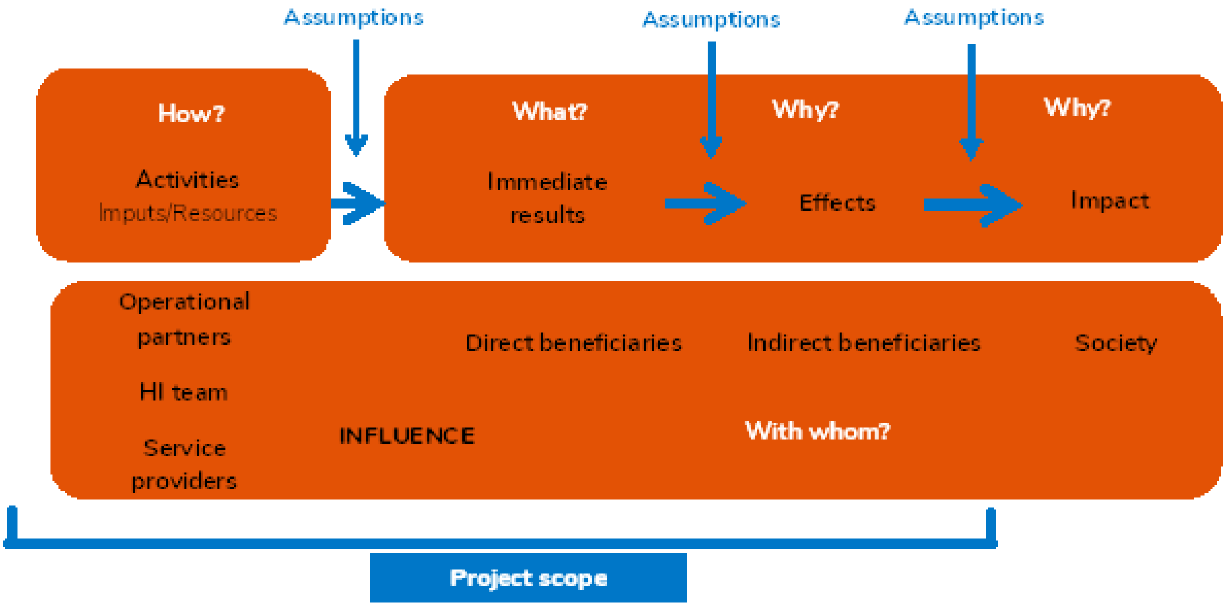
Results-based management distinguishes between three types of results:

- **Immediate results**: direct changes that can be attributed to the activities implemented
- **Interim results**/**effects**/specific objective: expression of a benefit for the beneficiaries (change in behaviour, practice or situation etc.)
- **End results**/**impacts**/overall objectives: sustainable change in state (improved state of health, reduced vulnerability etc.).

- A result/change always refers to one or more target groups: **Who** is affected by the change at each level and each moment in time (short, medium and long term)? **Who** needs to change or absorb a change?
- The concepts of learning, risk management and accountability are an integral part of results-based management.

[34] Monterrey, 2002; Rome, 2003; Marrakech, 2004; Paris, 2005; Hanoi, 2007; Accra, 2008; Buzan, 2011.
[35] Atelier GAR - July 2016 – Cercle de coopération des ONGD luxembourgeoises.

**Terminology: Results chain / Results-based management**[36]




## 3.2 Logical Framework Approach

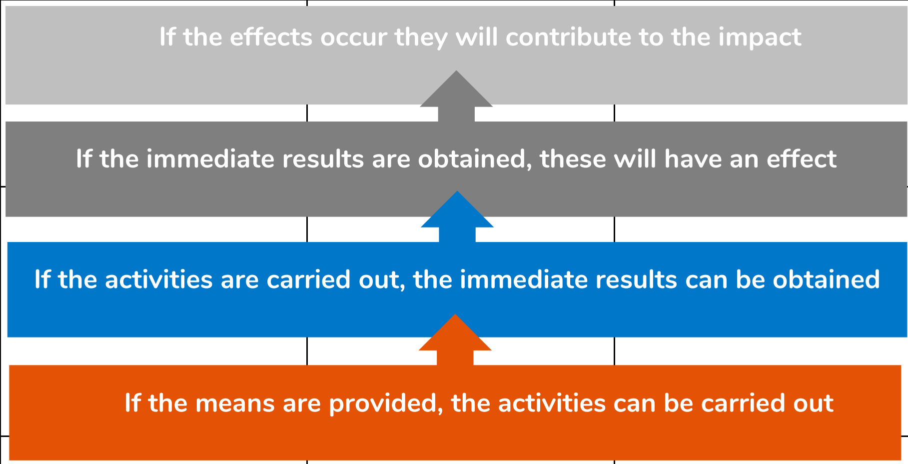
Most planning-monitoring-evaluation systems at HI are based on a **project logical framework,** which corresponds to a **logic or results chain approach**.

The logical framework approach[37] basically involves developing an intervention strategy based on a results chain:

Resources → Activities → Immediate Results → Effects → Impact.[38]

[36] Atelier GAR - July 2016 – Cercle de coopération des ONGD luxembourgeoises.
[37] The logical framework approach was first used in international aid by USAID in 1969, and has become a standard in the international aid and development sector.
[38] Inspired by: PM4NGO (2011). [A Guide to the PMD Pro: Project Management for Development professionals](). p. 39

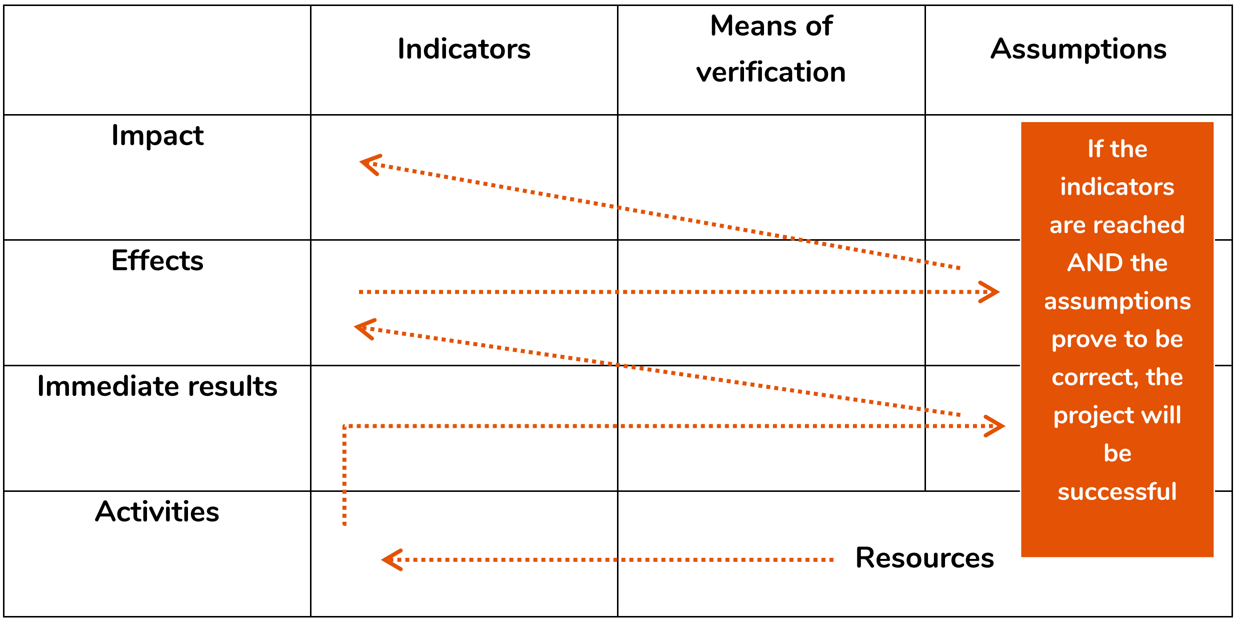
| | Indicators | Means of verification | Assumptions |
|---|---|---|---|
| Impact | | | |
| Effects | | | |
| Immediate results | | | |
| Activities | | Resources | |




After defining the activities, immediate results, effects and impact, three additional components need to be added to the logical framework to monitor the progress from one level to another along the results chain:[39]

- The **assumptions** i.e. the external risks, outside of the project's control, which might prevent progression from one level to another. Example assumption: the intervention areas will remain accessible for the implementation of the activities (no significant change in the location of the front line).
- The **indicators** to confirm that a given level has been reached.
- The means of **verification,** which will specify data sources for monitoring each indicator (dedicated survey, monitoring report etc.).

[39] Ibid. p. 40




The logical framework is a scoping tool which sets out the logic behind the intervention and frames the key monitoring components. Although there are numerous different logical framework models used in the international aid and development sector, they all aim to meet the same objectives:[40]

- Organise the logical structure of the project and identify the relationships between the project resources, activities and results
- Present and share the intervention logic for the project
- Identify and evaluate the inherent risks in the proposed project conception
- Set out the monitoring framework using the indicators and means of verification.

> If the logical framework is to be used to structure and formulate the project monitoring and planning in a clear, concise and standardised manner, it will need to be completed with further monitoring tools (monitoring & evaluation plan etc.) in order to monitor the project's performance.

[40] Ibid p. 40-41

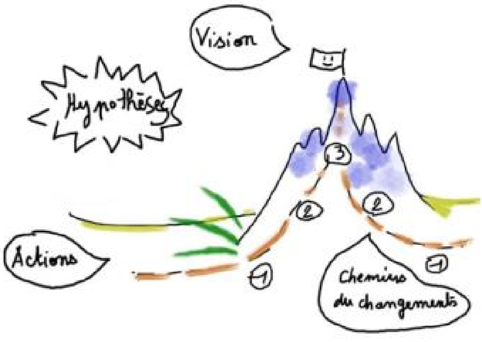
## 3.3 Theory of change approaches

Promoted by an increasing number of actors in the international aid and development sector, NGOs and funding bodies, in particular in the English-speaking world (DFID, for example), theory of change approaches are increasingly commonly used to determine strategy for a programme/mission, service or project. A theory of change sets out the understanding an organisation or group has of a given change process. It specifies, according to the group, how and why the change should occur. In doing this, it makes it possible to take into account the complexity of a change process in a given context. For HI, it is about a continuous process of reflection which helps the organisation and its actors to determine how they contribute to the change process, and which supports the planning, monitoring and evaluation of our actions.[41]

These theory of change approaches focus on what will change, according to the actors, BEFORE determining what we intended to do. They serve to:[42]

- Indicate how an organisation thinks a change could occur in a given context or sector
- Clarify the links between the different phases of change
- Explain why the organisation believes this will work (assumptions regarding the cause and effect relationships)
- Specify on what the organisation bases its decisions to make this plausible (what beliefs, values, experiences, theories, scientific research etc.).

Although the approaches and order sometimes diverge, the different methodologies developed around change theory generally agree on the following four key components:[43]



@ Verena Richardier

**Chemins du changement = Pathways of change**
**Hypothèses = Assumptions**

1. A realistic vision of the desired end change for the target population
2. The intermediate changes required to achieve this vision
3. The assumptions which explain/condition these intermediate changes
4. The actions actors can implement to induce these intermediate changes.

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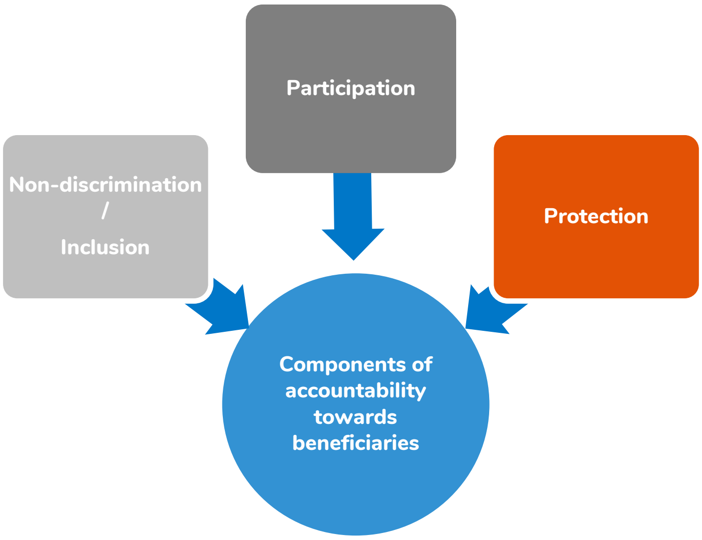
[41]According to F3E: http://f3e.asso.fr/media/transfer/doc/reperes_toc_v4.pdf
[42] ACODEV. Guide pour le développement d'une TOC. Mars 2016.
[43] F3E (2012). Repères sur les théories du changement.

- A theory of change approach can be used as a complement to the logical framework, to define our project intervention strategy before inserting this into a logical framework.
- A theory of change approach is often represented as a diagram with a narrative explanation.
- A theory of change approach cannot be defined without the active involvement of the project actors and target groups.

## 3.4 Accountability towards beneficiaries

We are systematically accountable to our beneficiaries in three areas: non-discrimination, participation and protection.




**Non-discrimination:** Actively fight discrimination and promote inclusion so that, at the very least, the disability, gender and age-related characteristics of a person are taken into account. In certain contexts, other characteristics, which are discriminatory or which prevent access to development or aid, can also be taken into account (for example, isolation, poverty, disease, displacement, ethnicity, nationality etc.).

**Key questions**

- How can we involve the different groups in a project in an equitable manner?
- How can we make sure the project helps to reduce gaps for excluded or discriminated groups and removes the barriers in their way?

**Protection:** Take into account the different needs and characteristics in terms of protection, to ensure the project does not directly or indirectly expose the beneficiaries and communities to the risk of violence or abuse, in particular from members of our own teams or over the course of the project activities.

**Key questions**

- Who is in contact with the project beneficiaries?
- In what circumstances?
- What precautions, adjustments and safeguarding measures should be put into place to provide protection for the beneficiaries?

**Participation:** Ensure different groups and categories of beneficiaries can participate, including by offering them the opportunity to submit complaints and pass on their concerns about a project.

**Key questions**

- What role do the beneficiaries play in the project?

These approaches are included in the Project Quality Framework which is directly linked to the institutional policies on Gender, Child Protection and Protection from Sexual Exploitation and Abuse.

## 3.5 Trends in the sector

### 3.5.1 Information and Communication Technologies

Information and Communication Technologies (ICT) can improve the effectiveness and the methods for collecting, storing, analysing and sharing data within a planning-monitoring-evaluation system.

These technologies can notably be used for:

- Electronic data collection, to facilitate data entry and analysis
- Better monitoring of project beneficiaries
- Mapping intervention zones
- Facilitating collaborative work within a team by making it possible to:
    - Work at the same time on a same document
    - Access the latest versions of documents and the latest information in real-time at any time
    - Share a diary, task list etc.
- More easily analyse large amounts of data, with improved disaggregation (segmentation)
- Provide access to information and data collection for people with different types of disabilities

**Electronic data collection**

Electronic data collection is common practice in the international aid and development sector, and is used for some of HI's projects (Syria, Iraq, Jordan, South Sudan etc.).

While Information and Communication Technologies offer numerous benefits within a planning-monitoring-evaluation system, before automating and systematising the information system, it is important to ask the following questions, to ensure maximum use of the tools to support users:[44]

- Who needs the information?
- Why do they need this information?
- What specific pieces of information do they need?
- When do they need this information?
- Where can this information be found?
- How can we obtain this information?
- What do we do with this information?
- Can the information be used?

[44] Siles R. (2004). Project Management Information System. CARE.

### 3.5.2 Environment[45]

As international aid and development actors become increasingly aware of environmental issues, more and more initiatives are being put into place to incorporate these considerations into our project planning-monitoring-evaluation systems.

This can involve identifying the potential negative impacts interventions may have, but also:

- Taking into account the environmental realities of populations, their needs and constraints in terms of health and food: for example, when working to improve resilience through agricultural activities (sustainability)
- Improving infrastructure and housing by adapting to local risks: for example, build back better and safer for shelter (change)
- Taking into account, respecting and improving living conditions: for example, building work using recycled, non-polluting materials in Gaza (efficiency)
- Implementing prevention work as part of our disaster risk reduction activities.

In response to the numerous environmental impacts resulting from a crisis, the United Nations Environment Programme (UNEP) and the URD Group have developed a training kit which helps humanitarian actors include environmental considerations when developing their programmes, as well as in the planning, design and implementation of their activities. These modules are designed to be adjusted to the local context and used according to the specific training needs and required deadlines.[46]

HI has also produced **"Environmentally-sustainable practices: A guide for field teams".**[47] This guide sets out various environmentally responsible practices for HI's programmes/missions. It covers the following themes: 1. Engaging and mobilising 2. Assessing impact 3. Managing consumption (water, electricity, paper, transport). 4. Responsible purchasing 5. Sustainable waste management.

### 3.5.3 Do no harm

In compliance with the recommendations made by most actors and the benchmarks in the sector (e.g. Core Humanitarian Standard, SPHERE), HI wants to increase awareness and build its capacity to identify any negative effects (potential or actual) in order to take the measures required to preserve:

- People's safety

[45] Rivière G. (2016). Environmentally-sustainable practices: A guide for field teams. HI.
[46] http://www.urd.org/Environment-training-toolkit
[47] Rivière G. (2016). Environmentally-sustainable practices: A guide for field teams. HI.

- Social, political and gender systems and relationships
- Livelihoods
- Local economy
- Environment.

These issues relate to the Do No Harm principle which evokes the unintended consequences of humanitarian interventions in conflict zones (risk of exacerbating the conflict). The concept has acquired a much broader meaning and reminds actors that they need to avoid the risk of putting the affected population in any further danger or of diminishing communities' capacities to consolidate peace and rebuild (conflict-sensitive approach).

The Do No Harm approach should form an integral part of our project planning, monitoring and evaluation activities on two levels:

- Identifying, monitoring and evaluating projects' potential negative effects, in order to reduce or even eliminate these where necessary
- Ensuring that the monitoring and evaluation activities in themselves do not put individuals or populations at risk (data collection for example, link with ethical data management).

# 4. HI's project planning, monitoring and evaluation system

A project planning, monitoring and evaluation system needs to be put into place with precise indicators, dedicated time and money, clearly-defined responsibilities, and should follow all the stages of the data management cycle (from collection through to use) for the purposes of steering, accountability and learning.

## 4.1 Institutional project planning, monitoring and evaluation policy

At HI there are several frames of reference which influence how we plan, monitor and evaluate projects:

1. **Technical Frameworks**: HI is commitment to the continuous improvement of the projects it deploys to support its beneficiaries. This notably involves collecting technical publications describing intervention methods, i.e. how our actions should be designed and implemented, which are specific to a sector of intervention or shared

across a number of sectors.[48] These documents structure and support our interventions either by technical sector (psychosocial or mental health interventions in emergency and post-crisis settings etc.) or on a specific methodological point (operational partnerships, data collection etc.).[49]

2. **HI Theory of Change:** Organised around the Access to Services approach, HI's theory of change serves as the point of reference for our definition of the change process for people with disabilities and vulnerable people.
3. **HI Strategy (2016 - 2025):** This strategy guides all our work. It sets out the intervention priorities and influences the data management process for any project planning-monitoring-evaluation system.
4. **Institutional policies:**[50] These constitute indispensable references in addition to our social mission. They apply to HI's teams and also to other stakeholders involved in our activities in the following areas: child protection; gender, protection from sexual exploitation and abuse; anti-fraud and corruption; safety; project planning, monitoring and evaluation.

### 4.1 Purpose[51]

The Institutional PME policy sets out HI's framework for planning, monitoring and evaluating its projects, regardless of the context, area or sector of intervention. It constitutes an institutional framework that is shared by all the teams involved in implementing, supporting, steering and measuring our field projects.

This Project Planning, Monitoring and Evaluation Policy aims to:

- Provide the organisation with **language shared** by all the project implementation teams
- Reinforce the **organisation's** continuous improvement approach notably relating to the performance and results-based management of our projects
- **Guide** our Planning, Monitoring and Evaluation projects and ensure that they respond to the **quality, learning and accountability issues** at the heart of our institutional guidelines, including HI's Intervention Principles.

It allows us to adapt our actions to HI's internal and external challenges:

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48 HI (2014). The Knowledge Management for HI. A guidance note.

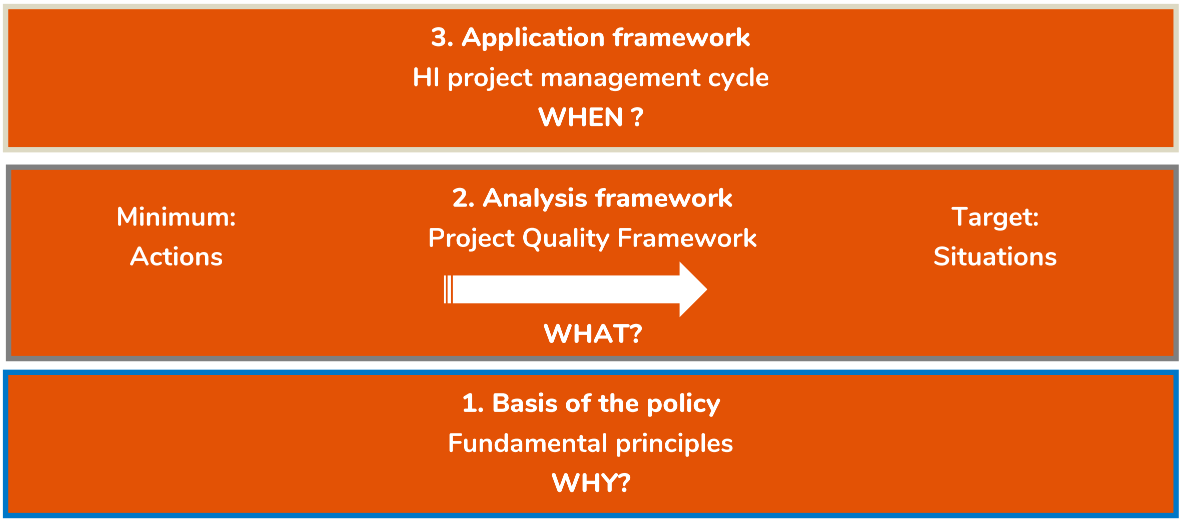
49 These documents are available on SkillWeb.

50 Extract from http://www.handicap-international.org/accountability.html#V-Approche

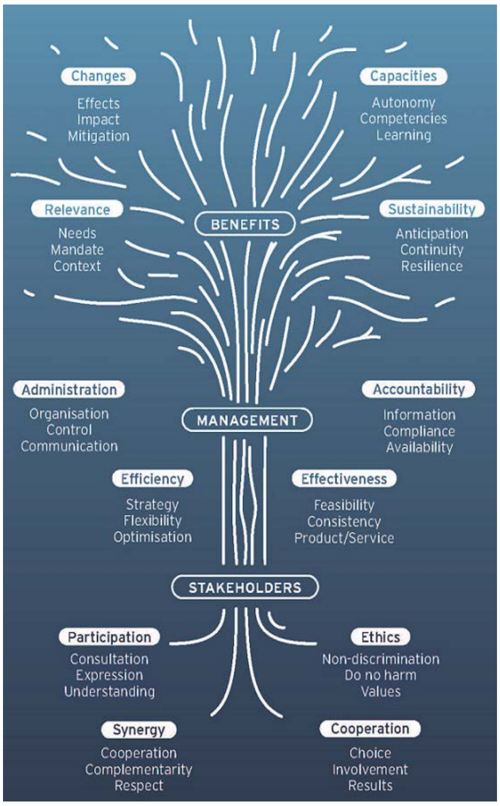
51 HI (2015). Institutional Project Planning, Monitoring and Evaluation Policy.

- **Externally,** it represents HI's response to debate on the quality of humanitarian aid and the effectiveness of development aid.
- **Internally,** it contributes to the quality and accountability issues set out in the Federation's Intervention Principles, in particular the principles on the quality approach and impact, to "ensure that the outcomes of our actions are objectively evaluated and we measure the impact of our activities in the lives of beneficiaries." It forms part of the work to ensure coherence and complementarity between the different reference frameworks, procedures, tools and practices in the different action divisions and support services (technical, administrative, financial, logistics, human resources, communication etc.). It contributes to the implementation of other Institutional Policies (gender; safety etc.). It also contributes to meeting the objectives in HI's new institutional strategy (2016 - 2025).

### 4.1.2 Content



This policy is built on three pillars:




**Fundamental principles** - quality, learning and accountability - define the reasons for developing a policy which aims to improve: 1. Improve our performance towards our beneficiaries; 2. Encourage the development of a learning organization; and 3. Strengthen our capacity to account for our actions to different stakeholders.

The **Project Quality Framework**[52] is an analytical tool for defining the target (i.e. recommended) situation and the minimum actions required for all HI projects.

HI's Project Quality Framework sets out criteria regarding both the process and output from the action. It presents as a summary of all the approaches promoted by the organisation and external quality requirements. It takes into account international norms and standards, inspired in particular by the Civil Society guide, the criteria set out in the Core Humanitarian Standard, Quality COMPAS, the Paris Declaration on Aid Effectiveness (2005), as well as the eight Istanbul Principles for Civil Society Organisations' Development Effectiveness (2010).

These guidelines are built around 12 criteria (participation, cooperation, synergies, ethics, relevance, change, capacities, sustainability, management, effectiveness, efficiency and accountability). For each criterion, a definition and three key words are proposed. Each key word corresponds to a description of the target situation and a minimum commitment to action.

This poster[53] clearly sets out the 12 criteria and associated key words, as well as their definitions, and the minimum commitments to action for HI's projects.

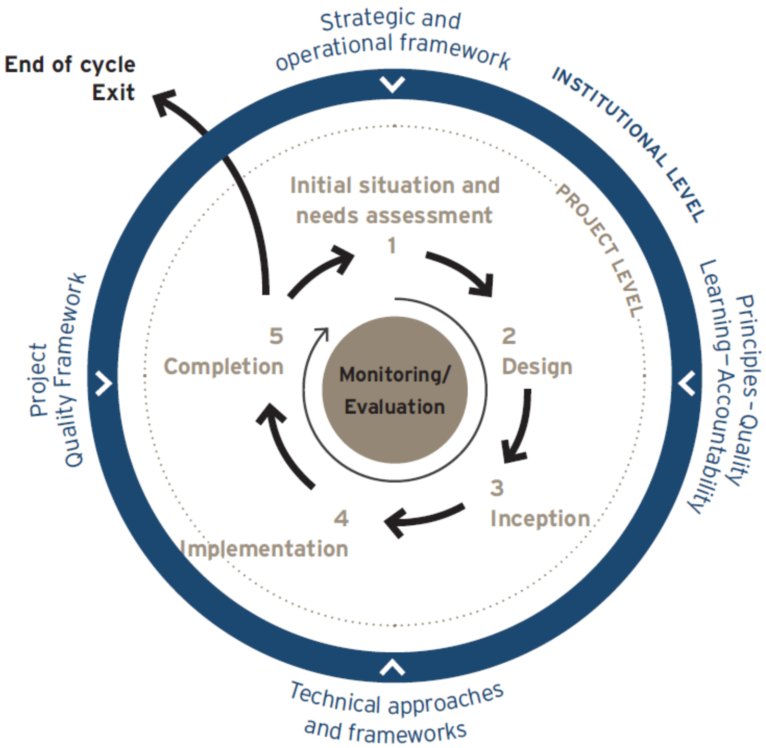
These criteria are grouped into three broad categories:

- The Stakeholders category includes the key concepts of beneficiary participation, partner cooperation, synergy with all other stakeholders, and ethical behavior.

[52] See the Project Quality Framework in detail in Part 3. Practical sheets.
[53] http://www.hiproweb.org/uploads/tx_hidrtdocs/PosterQualityFrameworkHI.pdf

- The Management category defines the characteristic features of an optimal project management structure entirely geared towards achieving objectives and expected results.
- The Benefits category addresses the relevance of the project in terms of the needs of target groups and how to meet them, the changes brought by the project, the existence or strengthening of local capacities and the association's internal capacities, and lastly the sustainability of the sum total of the benefits brought by the project.

The **Project Cycle** has five phases (1. Initial situation and needs assessment; 2. Design; 3. Inception; 4. Implementation; 5. Completion) and two cross-cutting components (Monitoring and Evaluation). The institutional level is indicated to show the links between each project and the organisation's strategic and operational framework and technical approaches and frameworks. This cycle clarifies at what stage the minimum action commitments should be implemented.



The initial situation and needs assessment phase is intended to identify and understand the needs of a given population by means of a detailed situation analysis. It provides a means of identifying potential solutions to the problems analysed, and of determining whether these solutions are consistent with HI's mandate and expertise. If the decision is taken to develop a project, an appropriate response and (usually) a funding application are drafted during the project design phase.

Once funding for a project has been secured, an inception phase allows the foundations to be laid and a favourable environment for the implementation of the project to be established. During the implementation period, the project manager manages the human, financial and logistical resources in an efficient and effective manner so as to generate the expected results and meet the project's objectives.

Regular analysis must be undertaken so as to monitor on-going needs, review the quality of the actions undertaken and the effects they are having on the target population, foster learning throughout the duration of the project, and make the project flexible enough to adjust as necessary.

At the end of the project, the completion period is for ascertaining and communicating on the completion of activities and the extent to which objectives have been met. Any contractual files relating to the implementation of the project are also closed during this phase.

Monitoring and evaluation, based on the gathering and analysis of relevant data, are cross-cutting activities and therefore appear in each of these phases.

Whilst it is true that some phases of the project will only be deployed after the preceding phases, it is possible that certain phases are launched simultaneously to adapt our intervention to the realities of each project. For example, the project might start implementing the activities during the launch phase.

## 4.2 When? Planning-monitoring-evaluation in the project cycle

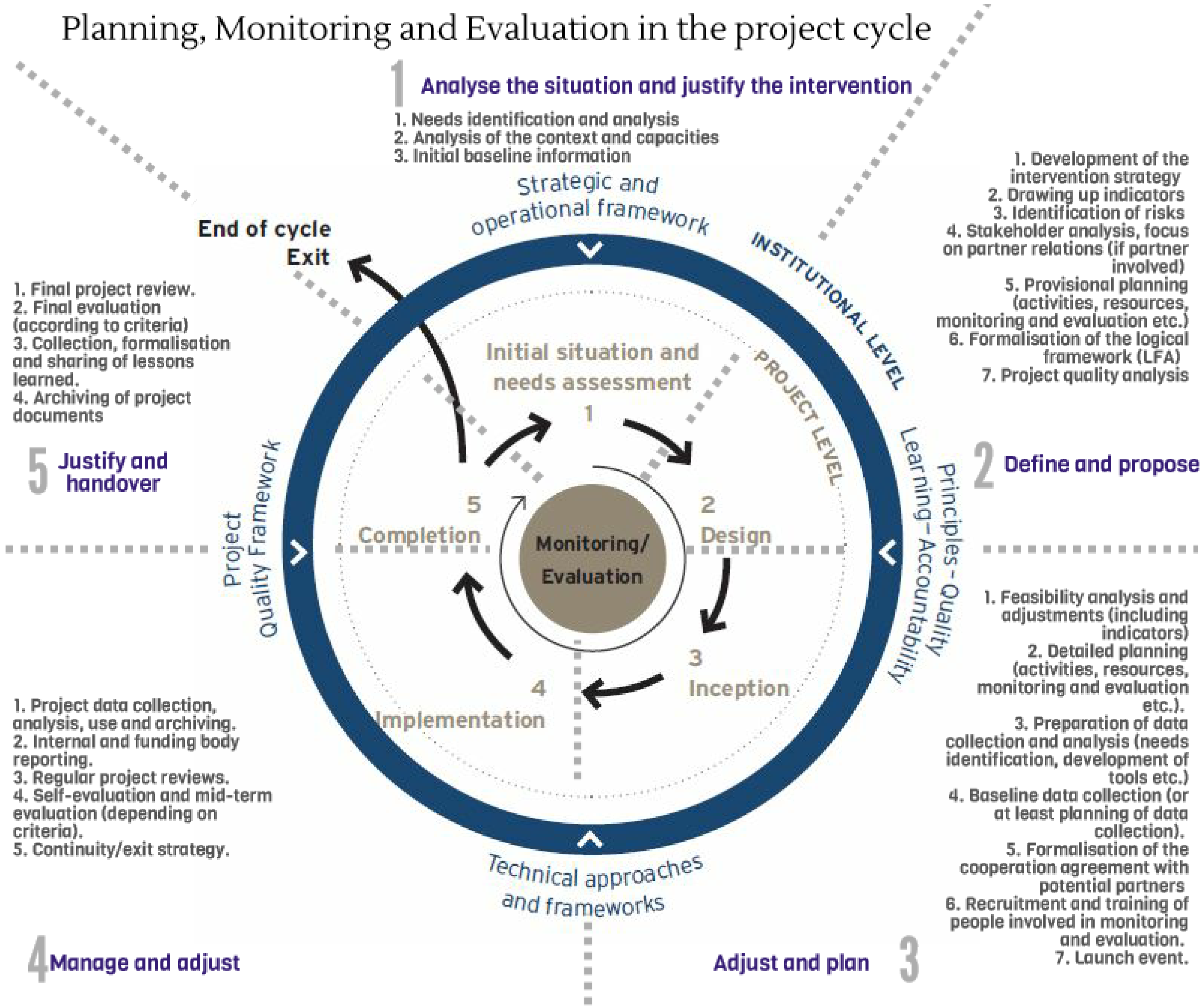
The issue of planning-monitoring-evaluation should be addressed at every stage of the project cycle:

- The **initial assessment** phase involves analysing the situation and confirming whether or not the intervention will take place. By analysing the needs, context and capacities, it establishes the foundation for the project planning-monitoring-evaluation system with the initial information on the baseline situation.

- The **design** phase involves defining and proposing a response that is adapted to the needs, challenges and resources of the identified groups and communities. By formalising the intervention strategy, indicators and assumptions in a logical framework, it sets out the first framework for project planning-monitoring-evaluation.
- The **launch** phase is used to adjust and plan the intervention. By adapting and planning the intervention, soliciting and communicating with key actors, it confirms the project planning-monitoring-evaluation framework.
- The **implementation** phase is used to manage and adjust the intervention. Using data collected for the purposes of steering, learning and accountability, this phase is when the project planning-monitoring-evaluation framework is deployed.
- The **completion** phase justifies and ensures the handover of the last components of the project. The completion of the last project components and sharing of lessons learned completes the project planning-monitoring-evaluation framework. In some cases, it can open up a new planning-monitoring-evaluation cycle if the project continues as part of a new cycle.

The planning-monitoring-evaluation activities will be examined in greater detail under each stage of the project cycle in the other sections in Part 2 of this practical guide.

Planning, Monitoring and Evaluation in the project cycle



## 4.3 What? Priority data

Project planning, monitoring and evaluation provides a way of collecting and using the following types of priority data from HI's projects:

Analysis of implementation:

- **Timeframe/schedule**: Through the planning of activities and the progress made. Have the activities been implemented as originally planned? Were the activities completed before the end of the project? How can we anticipate the need for support? How can we optimise the implementation of these activities? etc.
- **Logistics**: In particular through the planning and monitoring of supply. Are the goods and services delivered on time and with a low cost of quality? Does the project receive the support required to implement the activities (transport; spaces etc.)? etc.
- **Human Resources**: In particular through the planning and monitoring of the team recruitment and management. Will the teams be recruited in time? Will the team receive the support required to ensure its integration and the implementation of the project activities? How can we anticipate contract renewal or completion? etc.
- **Finances**: Through the budget forecast and monitoring. Is project spending in line with the budget forecast? Will we be on or under budget at the end of the project? How can we optimise our financial resources? etc.
- **Beneficiaries**: Monitoring the quantitative and qualitative information for the beneficiaries of our interventions. Who are the beneficiaries of our interventions? Have we implemented actions adapted to each group of beneficiaries? Do our feedback mechanisms for our beneficiaries allow us to better understand the difficulties and successes in terms of implementation?
- **Risks**: Major risks to the project and people. Are we able to ensure people's safety? Do we need to adapt our intervention to changes in context? Do we monitor the assumptions and factors which might harm the project? etc.
- **Stakeholders**: By monitoring a matrix of actors. Have the key actors in the project been identified? Do we need to adapt our project to the changing balance of power and level of interest expressed by the actors? Is our communication adapted to each different actor?
- **Compliance**: Through the monitoring of the contractual undertakings, internal rules, regulations in force in the intervention zone, technical standards in the sector of intervention and the organisation's values. Have we included commitments to the project funding body/bodies (visibility, reporting etc.)? Are we in compliance with the legal framework in the intervention zone? Are we compliant with HI's institutional policies (safety, gender etc.)? Are we in line with the 12 criteria in HI's Project Quality Framework? Is the product or service provided by the project compliant with the standards and norms in the relevant technical sector? etc.

Performance analysis:

1. **Quality:** concerns HI and its partners' contribution to positive change for the beneficiaries of our actions. Assessed through performance evaluations and monitoring indicators. Do the activities contribute to achieving the planned outcomes? Do these outcomes contribute to the expected changes?
2. **Accountability:** concerns how our action is implemented and our capacity to hold ourselves to account. Assessed through transverse thematic evaluations (e.g. evaluation of participatory practices in 2016) focusing on monitoring compliance. How are we accountable to the beneficiaries of our actions? How do we comply with technical standards and institutional policies?
3. **Learning:**[54] concerns the strengthening of internal and external skills. Assessed through evaluations and the identification, analysis and modelling of knowledge acquired over the course of the project's implementation. What lessons have been learned from the project? Does the modelling of a specific subject relating to the project provide added value for the whole organisation? etc.

These project data are used at different levels by HI's teams:

- **All levels:** They are used to steer and adjust the intervention, to report to all stakeholders and facilitate the learning processes.
- **Programme/mission level**: These data contribute to monitoring the operational strategy and measuring the impact of our actions in a geographic area or on a specific theme.
- **Head Office level**: These data feed into the different units' management charts, advocacy and/or communication actions, and produce an overall analysis of the quality, learning and accountability components (e.g. a meta-analysis of all external project evaluations conducted over the course of a year).

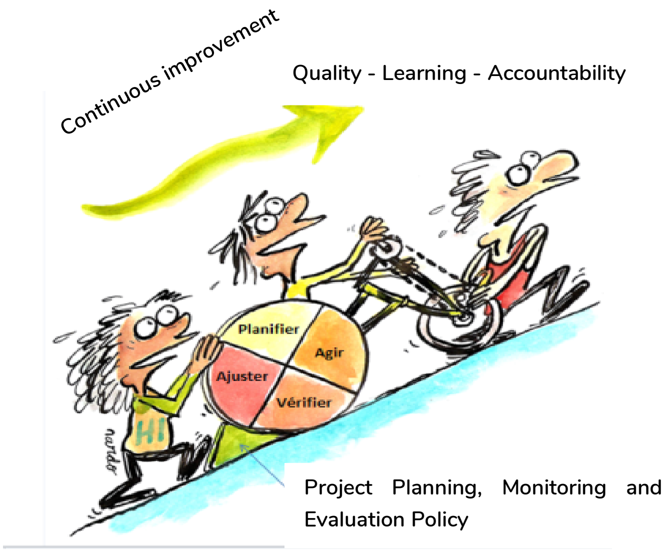
## 4.4 How? Project planning-monitoring-evaluation methods

The minimum commitments to action are the foundation of HI's project planning-monitoring-evaluation system[55] They define the compulsory planning-monitoring-evaluation actions to be implemented for all HI's projects, regardless of the context, sector or intervention zone. The details of the minimum commitments to action are set out by stage in the project cycle in Part 2 of this practical guide.

[54] Extract from Guy. M., de Lamarzelle J. (2014). Learning lessons from experience. HI.

[55] See « Projet PME Brief » for a summary on minimum commitments to action per project cycle management step.

As illustrated opposite, in an adapted version of Deming's quality circle, these commitments should facilitate the continuous improvement process which reinforces the quality, learning and accountability of our actions.




For each commitment, a practice and/or tool are recommended (see Proposed tools to meet the minimum commitments to action + access to the tools on Hinside). These tools compose and complete the list below which forms the backbone of a project planning-monitoring-evaluation system that is specific to each intervention:

- A problem tree or objective tree, or a theory of change diagram can be used to determine the most appropriate intervention strategy that can be understood by all.
- A logical framework can be used to structure or formalise the intervention strategy and information for monitoring a project in a concise, clear, standardised way.
- A monitoring and evaluation plan is used to identify what data are collected, when, by whom, how and why.
- The data collection tools should be adapted to each project and used to feed back the priority data.
- A database for project data management, in particular on beneficiaries.
- A project steering tool such as HI's PM-Box, as well as a budget monitoring tool to analyse the situation based on a summary of the key information.
- Templates for disseminating information (internal, funding bodies etc.) to the relevant people.
- An archive list to store project data, information and documents.

## 4.5 With who? The different actors in a HI project

It is vital to optimise the involvement of all stakeholders in the project planning-monitoring-evaluation process and in particular:

1. Internal actors: HI's teams.
2. External actors: other stakeholders, in particular the vital cooperation with the beneficiaries of our interventions and our operational partners.

**ALL TOGETHER!**

### 4.5.1 Internal actors: HI's teams

Project manager, orthoprosthesist, logistician, deminer, administrator, psychologist, security manager, communications officer, technical adviser, occupational therapist, liaison or community worker, partnership officer, head of mission, deputy desk officer, support service advisor etc. In 2015, there were over 3,146 people working for HI, contributing to the quality of its projects.

The Project Manager is the main actor involved in the implementation of project planning-monitoring-evaluation activities. She/he is responsible for monitoring the priority data identified and for adjusting the project based on the information obtained. However, although her/his scope of responsibility is relatively broad, this does not mean that a Project Manager has to identify, collect, analyse, use, share and store this information by themselves. The Project Manager also acts as the "facilitator" bringing in the support and monitoring teams at the right time, to actively contribute to the project's Planning, Monitoring and Evaluation processes.

Several key functions are involved at different levels (project, programme/mission, Head Office) depending on the specific issues and available resources:

- Operational: organising the coordination and monitoring the implementation of interventions.
- Technical: facilitating the technical support required and compliance with the specific standards for each product.
- Financial: optimising the use of financial resources and ensuring compliance with contractual undertakings.
- Logistics: planning and optimising the management of physical resources and ensure compliance with contractual undertakings.
- Human resources: administrating, mobilising and developing human resources.
- Safety and security: facilitating interventions, protecting teams and facilitating crisis management.

- Funding body relations: identifying and managing funding opportunities.
- Advocacy: promoting actions which aim to improve the living conditions of our target populations.
- Communication: ensuring stakeholders are as involved as possible.
- Ethics: ensuring the organisation's values are respected.


The role of each "function" (operational, technical, logistics etc.), presented above according to the stages of the project cycle, is set out in Part 2 of this practical guide.

The term "function" is used here to adapt to different types of situation. According to the organisation and resources available, a "function" might be held by one or more people, at one or more levels. The key is to ensure that, regardless of the organisational structure, these different functions are taken into consideration in the project planning, monitoring and evaluation.

Examples, the logistics function can be taken on at project level by the Project Manager or a logistics assistant; at programme or mission level by a support services coordinator or a logistician; and at Head Office level by a logistics advisor.

**Planning, Monitoring, Evaluation, Accountability and Learning Support**

An increasing number of Monitoring, Evaluation, Accountability, Learning (MEAL) roles are being created on HI's programmes/missions.

Although the Project Managers are ultimately responsible for the planning, monitoring and evaluation of their projects, these MEAL positions are key in:

- Building the programme/mission teams' planning-monitoring-evaluation capacities
- Contributing to putting into place a planning-monitoring-evaluation system on the programme/mission in line with HI's frameworks, and to improving the quality, learning and accountability of our interventions.

### 4.5.2 External actors

It is crucial during all the planning, monitoring and evaluation phases of our projects that the different stakeholders are involved to get them on board and fully committed. We will focus here on two key stakeholders in any project planning-monitoring-evaluation system:

- **Beneficiaries:** A project planning-monitoring-evaluation system must systematically place the beneficiaries front and centre: they must be the focus of the expected changes and the focus of the intervention itself, in which the beneficiaries should be invited to actively participate by means of regular consultations and mechanisms through which they can express opinions and share information on the project's status.
- **Operational partners:**[56] The operational partners are jointly responsible along with HI for implementing the project planning-monitoring-evaluation system which reinforces the intervention's quality, learning and accountability. They therefore participate actively in the processes for making decisions on and implementing the project's planning, monitoring and evaluation activities.

[56] Extract from Richardier V. (2016). Operational partnership at HI (2016). HI.

## 5. Summary - Take-aways from Part 1

### The quality of international aid and development actions

The Rwandan genocide in 1994 was a watershed in terms of the questions asked and commitments made by NGOs regarding the quality of their work (humanitarian and development) and led to the development of a number of quality and accountability initiatives.

The international debates on aid effectiveness, initiated in Rome in 2002 which crystallised around the Paris Declaration on Aid Effectiveness[57] (2005) and the Accra Agenda for Action[58] (2008) marked a turning point in international aid management.

A number of international frameworks of reference have strongly influenced international aid and development actions, in particular:

- International legal frameworks (International Humanitarian Law; the Convention on the Rights of the Child (CRC); Convention on the Elimination of All Forms of Discrimination against Women; Convention on the Rights of Persons with Disabilities).
- Quality references for international aid and development action, with the eight Principles for Civil Society Organisations' Development Effectiveness approved in 2010 and the Core Humanitarian Standard (CHS)[59] launched in 2015.
- International commitments with the Sustainable Development Goals (2015) and the first World humanitarian summit (2016) which both highlighted the concept of ***leave no-one behind.***

### Key concepts

- A project is defined on the basis of two key characteristics: it is unique and temporary.
- HI differentiates between three types of project: **1.** "Internal Project" **2.** "Ongoing Project" **3.** "Partner Project".
- Within HI a programme (or mission) refers to a structure positioned in an intervention country or region, which coordinates, one or more projects in this geographic area.

[57] Charter drafted in 2005 under the authority of the . It was symbolically approved by the national development assistance agencies and by the leaders of beneficiary countries who came together for the occasion.
[58] 3rd Forum on Aid Effectiveness after Rome (2004) and Paris.
[59] https://corehumanitarianstandard.org/the-standard

- **Planning, Monitoring and Evaluation** = mechanisms put into place to measure the changes induced by the action.
- **Monitoring** = the systematic collection of information for monitoring implementation (activities, resources, context etc.) and achieving results (results, effects, impact).
- Planning, monitoring and evaluation is based on the collection, analysis and use of data. It is crucial that we understand the typology of data (primary; secondary etc.), the data management cycle and the ethical issues relating to data management.
- **A direct beneficiary** is any person who receives goods or services from a project implemented by HI or its operational partners. **An indirect beneficiary** is any person who benefits from the goods or services received by a direct beneficiary of HI or a target actor.
- The **operational partnership** is a relationship which is built and negotiated in order to reach a shared goal, which requires shared commitment, accountability and responsibility for a project or part of a project.

### Reference models

External reference models have a direct influence on how international aid and development projects are planned, monitored and evaluated, in particular: results-based management, the logical framework approach and theories of change, used as project management and monitoring methods. These models of reference can be enhanced by the latest trends in the sector (new information and communication technologies, environmental awareness etc.).

### HI's project planning, monitoring and evaluation system

- Different internal reference frameworks influence how we manage and guide our projects: Institutional policies; institutional strategy (2016-2025); HI's theory of change; technical frameworks (framework documents; practical guides etc.).
- The project planning, monitoring and evaluation policy applies to all projects regardless of the intervention context, zone or sector. It constitutes an institutional framework that is shared by all the teams involved in implementing, supporting, and monitoring our projects.
- The project planning, monitoring and evaluation policy has three main "ingredients": **1.** Basic principles: Quality, learning and accountability **2.** Project Quality Framework **3.** HI project cycle
- The Project Quality Framework is built around 12 criteria (participation, cooperation, synergies, ethics, relevance, change, capacities, sustainability, management, effectiveness, efficiency and accountability). Each criterion includes a definition and

three key words. Each key word corresponds to a description of the target situation and a minimum commitment to action.

- Planning-monitoring-evaluation considerations should be addressed at every stage of the project cycle.
- Project planning, monitoring and evaluation makes it possible to use the following priority data on HI's projects; implementation analysis (timeline/schedule; logistics; human resources; finances; beneficiaries; risks; stakeholders; compliance) and performance analysis (quality; learning; accountability).
- The minimum commitments to action are the foundation of HI's project planning-monitoring-evaluation system.[60] They define the compulsory planning-monitoring-evaluation actions to be implemented for all HI's projects, regardless of the context, sector or intervention zone.
- The Project Manager is not the only actor involved in project management: understanding and respecting the role of each actor improves effectiveness and relevance.
- It is vital to optimise the involvement of all stakeholders in the project planning-monitoring-evaluation process and in particular:
    - Internal actors: HI's teams.
    - External actors: other stakeholders, in particular the vital cooperation with the beneficiaries of our interventions and our operational partners.

[60] See « Projet PME Brief » for a summary on minimum commitments to action per project cycle management step.

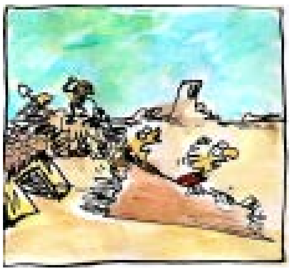
# II. PRACTICAL GUIDE: Planning-monitoring-evaluation in the project cycle

This section explains how to implement HI's minimum commitments to action.

It sets out an overview of HI's project planning, monitoring and evaluation systems, with a focus on their purpose, how they are deployed, the roles of different actors (internal and external) and good practices identified at each stage of the project cycle.

It applies to all HI's intervention contexts.[61]

**Emergency response**



**Post-emergency**

**Reconstruction**

**Development**

**Chronic crisis**

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[61] HI Institutional policy: Mission, Scope of action, Intervention Principles, Charter, Visual Identify, p. 6

# Step 1 - Initial assessment

## 1. Introduction

### 1.1 Why? Objectives

An initial assessment aims to determine whether or not an intervention is required and if so, to collect the information required to design the project (needs, context, actors, resources etc.).

It should confirm and fine-tune our understanding of the situation and the needs of the given population or groups, by analysing the issues faced, the local capacities and resources, the possible solutions, and their feasibility and relevance in light of HI's expertise and mandate.

The initial assessment is a crucial phase in the project cycle, as the information collected at this stage will be used to design projects which are relevant (needs) and feasible (capacities) and to set out the elements which will be used to monitor the results (information on the baseline situation).

> - Although an initial assessment is conducted as part of the project preparation, where possible it should also offer the target populations the opportunity to better understand their needs and the existing opportunities for cooperation with actors in the geographic and/or thematic area concerned.
> - An initial assessment is the starting point for developing relationships with the different stakeholders, in particular the populations and potential partners.

### 1.2 When? Process

The assessment phase starts when the need or request is identified and confirmed. It concludes when the decision is taken either not to intervene or to confirm the intervention and launch the project design phase.

| Start | Action | End |
|---|---|---|
| Identification of a need/request | Assessment | Decision to take action (or not) |

This section describes the key components of an initial assessment - also known as an evaluation *ex ante*. For more details, see the practical guide "Initial assessment" published by HI in 2017.

### 1.3 How? Main stages and minimum commitments to action

An initial assessment usually includes the following steps:

1. Identification and decision
2. Preparation and launch
3. Data collection
4. Analysis and formalisation
5. Decision

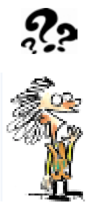
When reference is made to a minimum commitment to action, the corresponding key word is shown in bold in brackets at the end of the sentence.

## 2. Identification and decision

After confirming the relevance and feasibility of carrying out (or updating) an initial assessment, the next step is to define the scope of the assessment. The key components of the initial assessment need to be confirmed on the basis of an initial set of secondary data: identified need(s), population(s), target(s), potential intervention zone(s), priority technical sector(s), as well as the type of assessment required and the implementation methods (internal resources, consultant etc.).

### What are the different types of initial assessment?

- **Multi-Sector Initial Rapid Assessment level 1 (MIRA 1)** A rapid assessment conducted over a period of a few days, intended to collect enough information on the main issues facing the population, and on the worst-affected and most vulnerable people and areas. This assessment is mainly based on an analysis of secondary data.
- **Multi-Sector Initial Rapid Assessment level 2 (MIRA 2):** A rapid assessment conducted over a period of a few days, intended to collect enough information on the impact of the crisis, the main issues facing the population, and on the worst-affected and most vulnerable people and areas, and to identify the mechanisms established to cope with the crisis, so that HI can design and launch its first interventions in the area and submit project proposals. This assessment mainly includes easily-accessible data and is based on the analysis of secondary data, data from key informants, and data from the field.
- **Detailed Multi-Sector Assessment (DMA):** An assessment intended to collect detailed information in different sectors of intervention (not necessarily all sectors), with a view to obtaining an accurate picture of the overall situation, the main issues facing the population, the population's priorities and capacities and the main interactions between actors. This assessment should allow HI to determine a clear strategy and a comprehensive approach and to submit relevant project proposals. This assessment can be carried out by one or more people (each one focusing on a specific sector) and should last several weeks (a maximum of one month). It may vary depending on the context and focus on different sectors. It combines different data collection methodologies and includes both quantitative and qualitative data.
- **Detailed Sector Assessment (DSA):** An assessment focusing on a sector of intervention, intended to obtain in-depth, detailed information in order to submit complete project proposals, define an intervention strategy for the sector and/or producing a situation report prior to project implementation. This assessment should last several weeks, make use of all data collection methods and collect quantitative and qualitative data.



**Is an assessment always carried out by means of an exploratory mission?**

An exploratory mission is often used but an initial assessment can also be carried out by other means. It can, for example, be carried out when developing the operational strategy for a programme or mission, and then be rapidly updated before drafting a funding application.

## 3. Preparation and launch

The second stage of the assessment involves specifying the content (objectives and expected results, methodology, required resources etc.) and mobilising the resources required to conduct the initial assessment (confirmation of internal resources or external recruitment; training if required; arranging trips, identification of key actors etc.).

The minimum commitments to action require the inclusion of at least the following components:

- The request to analyse the intervention context (**Context**), the needs, requests and resources (**Needs**), and the actors (**Collaboration**) corresponds to the minimum content required to confirm (or not) an intervention.
- The priority needs can only be confirmed if the potential beneficiaries or their representatives are involved (**Consultation**).
- The information regarding the risk of causing negative effects in the short or long term for communities (**Do No Harm**) must be obtained before confirming (or not) an intervention.

## 4. Data collection

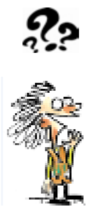
The third stage of the assessment involves collecting (or completing) the available secondary data on the zone: actors, logistics/administrative situation, and/or the sector concerned (literature review; previous experience; contingency plan etc.).

We generally distinguish between two types of secondary data, i.e. data produced outside of the organisation, collected externally:

- Analysis of documents: which can help to constitute reference data. This covers written documents (e.g. project documents and reports, administrative databases, training materials, legislation and policy documents, as well as videos, electronic data and photos.
- Analysis of statistical information: analysis of population censuses, studies and other sources of statistical data can also provide baseline data.

If needed, a second data collection phase can be organised for the primary or field data. This includes the following components:

- Preparing tools: adaptation and/or development of data collection tools (e.g. questionnaire, interview guide, etc.).
- Organising the resources required for implementation.
- Collecting information in the target zone(s) (whilst maintaining the participation of target populations).
- Compiling the information in an adapted format for processing and analysis.



**How can we be sure that we have all the information required to conduct a full analysis?**

In order to obtain a complete analysis which allows us to both identify the priority areas of intervention and build a relevant and realistic response, information on the following must be collected:

- People's situation (difficulties; damage; needs; level of vulnerability etc.)
- Local capacities (human resources; logistics etc.)

The minimum requirement for a planning-monitoring-evaluation system is to collect both quantitative and qualitative data. This allows for:

- Triangulation: a comparison between these data to confirm or question certain pieces of information.
- Flexibility: to adapt to changes in context.
- Communication: using different types of communication to share project information.

## 5. Analysis and formalisation

This stage includes the following components:

- Analysing the data collected
- Drawing up recommendations
- Formalising the assessment report

## 6. Decision

On the basis of the assessment report, this stage establishes the relevance and feasibility of launching the project design phase.

## 7. With who? Roles

| Project Manager | Type(s) of Action(s) |
|---|---|
| **If the Project Manager is present** | • Participate in preparing the initial assessment<br>• Contribute to secondary and primary data collection<br>• Contribute to analysing the data collected<br>• Participate in making the final decision |
| **Partner(s)** | **Type(s) of Action(s)** |
| | • Participate in preparing the initial assessment<br>• Contribute to secondary and primary data collection<br>• Contribute to analysing the data collected<br>• Contribute to making the final decision |
| **Beneficiaries** | **Type(s) of Action(s)** |
| | • Participate in the analysis of the situation, capacities and resources<br>• Participate in confirming the priority areas for intervention |
| **Functions** | **Type(s) of Action(s)** |
| **Operational** | • Facilitate assessment coordination<br>• Approve the decision to intervene |
| **Technical** | • Propose technical secondary data<br>• Propose a technical needs analysis framework<br>• Advise on the methods to use to collect technical data or participate in the collection process |
| **Logistics** | • Propose logistics secondary data<br>• Propose a logistics analysis framework<br>• Facilitate primary data collection campaigns (transport etc.). |
| **Human Resources** | • Propose secondary human resources data<br>• Propose a human resources analysis framework |

| | |
|---|---|
| | • Facilitate the recruitment of interviewers to conduct the surveys or other profiles as required |
| **Finance** | • Facilitate the deployment of the assessment<br>• Contribute to the financial estimates relating to the identification of needs<br>• Facilitate the budgeting and release of funds, as well as the financial tools required for the smooth deployment of the assessment |
| **Safety and Security** | • Propose secondary safety and security data<br>• Propose a safety and security analysis framework<br>• Analyse and monitor security risks throughout the duration of the assessment |
| **Funding body relations** | • Propose secondary data on potential funding opportunities<br>• Inform funding bodies about the deployment of the assessment and the initial conclusions |
| **Communication** | • Use the data collected to inform and mobilise the different stakeholders<br>• Help the assessment, where appropriate, to collect the communication materials required |
| **Advocacy** | • Inform about advocacy needs<br>• Use the data collected for advocacy purposes |
| **Ethics** | • Propose secondary ethical data<br>• Propose an ethical analysis framework |

## 8. What materials? Tools, guidance, examples[62]

| | |
|---|---|
| **Tools to support the implementation of minimum commitments to action** | **Consultation / Collaboration / Do No Harm / Needs / Context:**<br>• Model assessment protocol<br>• Model assessment report<br>• Methodological data collection sheet<br>• Assessment checklist |

[62] These documents are available on Hinside.

| | |
|---|---|
| **Other recommended tools** | **Administration**:<br>• Terms of reference for consultants<br>• Consultant management kit<br>**Technical**:<br>• Sector-specific guides and documents:<br>• Specific assessment tools by sector of intervention |
| **Guidance** | **Data collection:**<br>• How to conduct a qualitative/ quantitative study ? From planning to using findings. HI<br>**Participation:**<br>• Participation handbook for humanitarian field workers. URD (See Chapter 7. Participatory assessment)<br>**Do no harm:**<br>• Methodological sheet on "Do No Harm"<br>**Logistics**:<br>• Log cluster Logistics Capacity Assessments<br>**Participation:**<br>• Working with communities - Médecins du Monde<br>**Actors:**<br>• Participatory vulnerability analysis – Action Aid<br>• Gender in practice: a tool-kit for SDC and its partners<br>• Power analysis tools for WASH governance - WaterAid<br>**General:**<br>• Impact measurement and Accountability in Emergencies: The Good Enough Guide:<br>• Guidelines for assessment in emergencies - ICRC<br>• The multi-cluster/sector initial rapid assessment - MIRA |
| **Examples** | • Terms of Reference<br>• Assessment Report |

# Step 2 - Design

## 1. Introduction

### 1.1 Why? Objectives

The project design phase should define the action strategy and the resources required to respond to the identified need(s), in line with HI's institutional, strategic and technical frameworks, as well as the funding bodies' resources, expectations and formats.

In order to produce a project proposal that is relevant, logical and realistic, the following aspects need to be clarified during the project design phase:

- Prioritise the identified problems and opportunities from the perspective of the potential beneficiaries and of HI
- Analyse the different possible strategies and approaches for addressing the problems
- Establish a clear vision of the expected changes, the assumptions, and the actions required to achieve these changes
- Ensure a mutual understanding of the capacities and role of HI and its potential partners
- Identify ways of measuring the results in relation to the objectives
- Produce a summary document which, after approval by HI's teams, potential partners and the funding bodies, will become the reference document for the implementation and monitoring of the intervention.

### 1.2 When? Process

The design phase starts once the decision to take action has been taken following the initial assessment. It ends when the intervention proposal has been confirmed and funded, usually on signature of the funding contract.

**Start**

Decision to take action

**Action**

Design

**End**

Intervention proposal confirmed and funded

### 1.3 How? Main stages and minimum commitments to action

The project design phase usually includes the following stages:

**Preparation**
Define the scope and mobilise resources

**Definition**
Draw up an adapated response to the identified needs

**Request**
Draw up a funding request

**Contractualisation**
Signature of the funding contract

When reference is made to a minimum commitment to action, the corresponding key word is shown in bold in brackets at the end of the sentence.

## 2. Preparation

The preparation phase takes place over two stages.

An initial scoping phase is required to **determine the scope of the project**. A description, which corresponds to the preliminary framework of intervention, answering the following questions is produced and shared: What is the target population? Where is the intervention zone? What is the priority technical sector? What is the estimated duration? What is the budget volume? etc.

Once the scope of the project is established, the next stage is to **determine the writing process** (internal resource; consultancy etc.), confirm the internal resource(s) or recruit external resource(s), establish the reverse planning, and terms of reference for any support missions required and collect similar experiences (e.g. project summary sheets)

This is a vital stage, because it provides the first framework for a shared understanding and commitment between all the actors involved. A reverse planning template is available to facilitate coordination between the different actors involved.

## 3. Internal project definition

The definition phase covers three stages: **1)** Define an intervention strategy; **2)** Identify the required resources **3)** Establish a Planning, Monitoring and Evaluation framework for the project.

### 3.1 Definition of an intervention strategy

The intervention strategy is developed based on the assessment report and the components of the analysis established during this phase. This is used to:

- Confirm the target population(s) and components (gender, age, type of disability etc.)
- Define the objectives and expected results for the project
- Identify the activities.

The minimum commitments to action proposed at this stage aim primarily to **check** that a number of key points have been properly integrated into the proposed project, concerning in particular:

- The relationship with the target populations: the project is acceptable to the target populations (**Respect)** and aims to increase their capacity to bounce back from a crisis (**Resilience**) in an inclusive and differentiated way, adapted to the needs of all individuals (**Non-discrimination).**
- Contextual analysis: the project is based on an analysis of opportunities for synergies with other actors in the intervention zone, (**Complementarity)**, the capacities of potential partners (**Choice & Autonomy**) and the risk of generating negative effects in the short or long term for communities (**Do No Harm**).

### Why and how to analyse the capacity of partners during the design phase

Assessing the potential benefits and risks of entering into a partnership makes it possible to:
**1.** Reduce the risk of blockages in the collaboration between the two organisations during project implementation
**2.** Fine-tune the project planning according to the capacities of each organisation
**3.** Integrate the budget required to meet the challenges in terms of capacity building
**4.** Lay the foundations for developing a skills transfer plan during the project launch phase
Where possible, it is recommended that a detailed analysis of the capacities of the organisations cooperating with HI is carried out. Given that the deadlines for project design phases are often very tight, there is the option of using as a minimum requirement, a rapid analysis tool in the form of 10 multiple-choice questions offering three possible responses: Yes / No / More or Less
The questions are as follows:
**Support services**
**1.** Is the structure able to operate legally in the zone?
**2.** Can the organisation monitor, secure and report on the use of the funds committed to the project?
**3.** Does the organisation have the logistics resources to implement high quality logistics support and control?
**Technical and operational capacities**
**4.** Does the organisation have a clear remit and is its management adapted to the project?
**5.** Does the organisation have the technical capacities to implement the project?
**6.** Does the organisation have the operational capacities to implement the activities?
**Strategic interest of the organisation**
**7.** Is the organisation demonstrating a keen interest in the partnership?
**8.** Does the organisation have a decisive strategic interest?
**9.** Does the organisation face any internal or external challenges that might harm the project?
**Ethics**
**10.** Are there any ethical risks relating to the organisation?
In the international aid and development sector, one conventional approach for developing an intervention strategy involves transforming the "problem trees" identified in the initial assessment into "objective trees" to tackle to priority problems and their causes.
A theory of change approach can also be used for this purpose.

### How to develop an intervention strategy using a theory of change approach[63]

A theory of change approach or theory of change is usually built around 5 main stages:

**Step 0: Raising awareness of the key theory of change concepts -** ensure the participants have a shared understanding.

**Step 1: Analyse the situation/issue -** Familiarise yourself with the environment in which the intervention will take place (overall context; needs; analysis of actors; lessons learned from previous projects, evaluation recommendations etc.).

**Step 2: Define the vision -** Set out the ideal, but realistic, end situation with a timeframe and focus on the target populations.

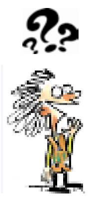
**Step 3: Define the interim changes (pre-conditions) -** Identify the different changes that need to occur in order to achieve the vision, and establish the **causal links** between them.

**Step 4: Identify the assumptions -** Potential risks, the values and the logic surrounding the interim changes.

**Step 5: Define the activities and intervention strategy -** Actions.

**Step 6: Organise the monitoring and evaluation -** Define the change indicators and evaluation questions to assess the different change processes in play.

➔ For more details, see the methodological sheet "How to design a theory of change" (Hinside).



**Can a theory of change or theory of change approach replace the logical framework?**

A theory of change or theory of change approach can replace the logical framework but, to date on 99% of our projects which have used this approach it has been used to develop an appropriate intervention strategy which has then been used to produce a high quality logical framework.

[63] For more details, see the methodological sheet "How to design a theory of change"- 2016 (Hinside).

Learning papers should be produced for all HI projects during the project completion phase. If the need for an in-depth lesson learning process, which provides the whole organisation with genuine added value, has been identified, this should be incorporated into the project planning as of the design phase.

### 3.2 Identification of the resources required

Once the intervention strategy has been defined, it is important to identify the required resources (**Feasibility**) as well as a fluid framework for coordinating between the project and support teams (**Organisation**), in line with HI's mandate and strategy (**Mandate**) and adapting to external and internal regulations (international law, laws, funding body requirements, internal rules, legal and administrative obligations in the country etc.) (**Compliance**). The intervention strategy can be adjusted as required (notably to address feasibility issues).

Some minimum commitments to action will be made during other phases of the project cycle. They should therefore be budgeted for in the design phase. Example: funding for the implementation of an mid-term evaluation for any project of over 2 years' duration and a final evaluation for any project for a duration of or below 2 years and/or with a financial volume of more than €3 million (Effects).

**How to ensure the proposed approach meets the needs of the project beneficiaries in the given context and with the proposed resources?**

The following components need to be taken into consideration in order to analyse the **feasibility** of an intervention:

- **Context:** Can we access the intervention zone? Are there any political or climate issues which might prevent us from taking action? These questions relate to the security analysis of the context etc.
- **Technical:** Does the proposed approach comply with our standards and make it possible to obtain the expected changes?
- **Ethics:** Can we work with the identified stakeholders? Can we identify the potential negative effects, and is the intervention strategy capable of eliminating these or reducing them to a minimum?

- **Logistics:** Can we guarantee the best possible delivery/cost/time ratio?
- **Human Resources:** Can we find the resources and skills levels required to implement the project?
- **Financial:** Is the proposed financial resource sufficient to mobilise resources and implement the project activities?

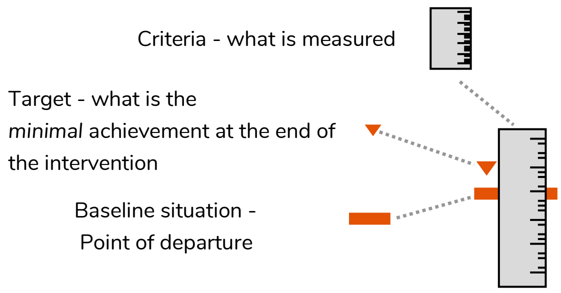
**Good practice**: the logistics unit proposes a set of questions that need to be asked to properly budget the logistics costs by category: vehicles, telecommunications, stock, transport, information technology, offices/residential buildings, human resources and energy.

### 3.3 Set out a Planning, Monitoring and Evaluation framework for the project

Once the intervention strategy is confirmed and the required resources identified, the next step is to set out the planning-monitoring-evaluation framework, ensuring that it targets results which will help achieve the objectives (**Consistency**), and defines the indicators to monitor the technical quality of the project products/services (**Product/Service),** whilst identifying the main risks and assumptions relating to project implementation (**Flexibility & Mitigation**).

**How to create "good" monitoring indicators?**

An indicator is a "Quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, to reflect the changes connected to an intervention (...)."[64] An indicator is always made up of the following components: criteria, baseline situation and target situation.



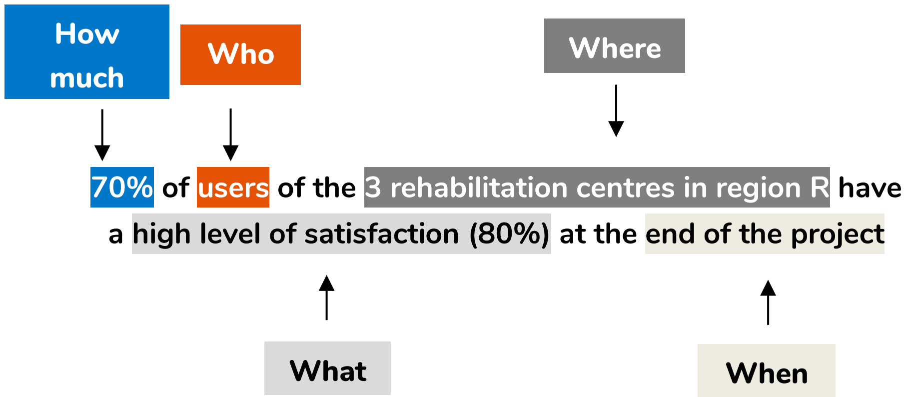

The indicators are mainly determined during the project design phase, but can also be reviewed and completed during the project launch phase. They are also used during the project implementation phase for monitoring purposes.

[64] Glossary of Key Terms in Evaluation and Results Based Management.

A **good indicator** should:

- Be **objectively verifiable,** i.e. the data collected should be the same regardless of the person collecting it.
- Be **SMART**, i.e.: **Specific** (to the component in question), **Measurable** (available and quantifiable data), **Achievable** (realistic in terms of the resources available and the context of the intervention) **Relevant** (monitor the elements we need to investigate), **Timed** (with a specific date).
- Provide information on five main aspects: **How much?** = quantity, essential information on the contribution to the target to be met, **Who?** = target population or beneficiaries, **What?** = quality, **When?** = period, **Where?** Location.

**Example**




An indicator can be built in three stages:[65]

**1. Purpose:** What components will allow you to assess if the target is met?

**2. Accuracy:** What precisely do you want to measure? With who/what is your source of verification? When and how?

**3. Quantification:** What is the baseline situation? What is the target value? What are the interim values?

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[65] AR Luxembourg - Aide au Développement Gembloux - Méthodologie pratique de construction des IOV.

**Please note:**

- Beware of information overload: The main reason for the failure of monitoring systems is trying to monitor too many indicators and collect too much data. It is important to settle for a limited number of indicators and information, focusing on the most essential points with the highest stakes.[66]
- Baseline/Endline: For most indicators it is difficult, sometimes even impossible, to measure a project's results and outcomes if the initial context has not been analysed.[67]
- It is important not to focus solely on indicators relating to outputs but to also propose indicators which measure the effects of our intervention.

## 4. Funding application

The funding application phase involves formalising the project using documents which respect the requirements of the funding body or bodies.

This phase includes the following stages:

- Adaptation of the project strategy: Adapt the operational and financial set-up for the project according to the funding opportunities: intervention strategy (objectives, results, activities), intervention zone, number of beneficiaries, logistics and human resources requirements, the duration and time chart, financial volume/budget.
- Formalisation: Draft the funding application in compliance with the format and requirements of the funding body or bodies.
- Submission: Analyse the quality of the proposed project by, at least, reviewing the minimum commitments to action, approving the funding application, preparing and submitting the funding application.
- Signature: Analyse, negotiate and sign the funding contract.

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[66] Lauriac N. (2016). Design and implement a monitoring system. Terre des Hommes.
[67] Brus A. (2016). How to conduct a qualitative/ quantitative study ? From planning to using findings. HI.

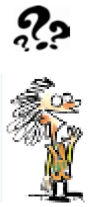
**Interactions with financial management during the design phase**

As the project is not necessarily implemented by the person who designs it, the initial budget must be detailed, explained and consistent with the logical framework for the proposed project.

The budget should be detailed according to the activities, objectives and expected results. Unless there are any external reasons for not doing so, the in-house budget template can be used for this purpose. This template sets out the budget by cost line (human resources, travel, communication etc.), and then by activity and results. If the project received funding from a number of sources, the financial coverage for each budget line should be specified, as well as the link to the funding body template to ensure the lines are included in the funding application.

This internal budget should make it possible to submit a proposed budget to a different funding body if the full cost of the activities and the support costs have not been covered.

The launch phase is crucial in terms of quality and should be planned for in the project proposal.



**How can we complete all these stages when the deadlines for submitting funding applications are so tight?**

Although it is not always possible, the ideal process is to first produce an internal project (determine the action we wish to take) and subsequently adapt this to the funding opportunities (adapt the action we can take).

For example, when developing a mission or programme operational strategy, a situation analysis or the identified priorities can be used to produce one or more statement(s) of intent for the purposes of seeking funding which means the design phase can be deployed more quickly when a funding opportunity is identified.

## 5. Commitment, funding contract signature

If the funding application is successful, the design phase concludes with the signature of a funding contract or internal approval for an intervention using non-institutional funds.

## 6. With who? Roles

| Project Manager | Type(s) of Action(s) |
|---|---|
| **If the Project Manager is present** | • Contribute to defining project strategy<br>• Participate in analysing partner capacities<br>• Participate in confirming the logistics, human and financial resources required to implement the project<br>• Contribute to adapting the project strategy to a funding opportunity<br>• Contribute to submitting funding applications |
| **Partner(s)** | **Type(s) of Action(s)** |
| | • Contribute to defining project strategy<br>• Participate in analysing partner capacities<br>• Participate in confirming the logistics, human and financial resources required to implement the project<br>• Contribute to adapting the project strategy to a funding opportunity<br>• Contribute to submitting funding applications |
| **Beneficiaries** | **Type(s) of Action(s)** |
| | • Participate in defining project strategy |
| **Functions** | **Type(s) of Action(s)** |
| **Operational** | • Coordinate the project design process<br>• Propose examples of projects in the same intervention zone |
| **Technical** | • Propose examples of projects in the same main technical sector<br>• Contribute to developing the intervention strategy<br>• Identify opportunities for lesson learning<br>• Contribute to creating monitoring indicators<br>• Analyse the coherence and feasibility of the project |
| **Logistics** | • Confirm that the intervention strategy matches the resources proposed |

| | |
|---|---|
| | • Propose the information for drawing up the budget<br>• Identify the challenges in ensuring compliance with funding body rules in terms of supply |
| **Human Resources** | • Propose the information for drawing up the budget<br>• Confirm that the action matches the proposed resources |
| **Finance** | • Contribute to drawing up the budget<br>• Confirm that the action matches the proposed resources<br>• Identify the challenges in ensuring compliance with funding body rules on expenditure<br>• Contribute to negotiating and signing the funding contract |
| **Safety and Security** | • Contribute to identifying the risks related to the proposed intervention |
| **Funding body relations** | • Identify a funding opportunity<br>• Propose examples of projects from the same funding body<br>• Highlight the expectations and challenges relating to the funding opportunity<br>• Confirm that the action corresponds to the funding opportunity<br>• Confirm the eligibility of the application with regard to the funding body's rules<br>• Discuss with the funding body in question<br>• Contribute to negotiating and signing the funding contract |
| **Communication** | • Contribute to identify the communications challenges and opportunities |
| **Advocacy** | • Contribute to identifying the advocacy challenges and opportunities |
| **Ethics** | • Issue an opinion on the possibility (or not) of cooperating with a funding body |

## 7. What materials? Tools, guidance and examples[68]

| | |
|---|---|
| **Tools to support the implementation of minimum commitments to action** | **Complementarity / Respect / Non-discrimination / Do No Harm / Mandate / Mitigation / Resilience / Organisation / Feasibility / Consistency / Product-Service / Strategy / Flexibility / Compliance:**<br>• Project design checklist<br>• Project design tool(s)<br>• Funding contract sheet<br>**Organisation:**<br>• Logistics checklist<br>**Choice / Autonomy:**<br>• Partner capacity checklist |
| **Other recommended tools** | • Consultant management kit |
| **Guidance** | **Change:**<br>• Methodological sheet on developing a theory of change approach |
| **Examples** | • Project summary sheets for similar projects by technical sector |

[68] These documents are available on Hinside.

## Step 3 - Inception

### 1. Introduction

#### 1.1 Why? Objectives

The inception phase establishes a favourable setting for the optimal implementation of the project. It is vital for ensuring the quality of the project. In some cases the design phase has to be conducted (too) rapidly, or the context or the needs may have changed, or the Project Manager may not have been present for this phase... For all these reasons, it is vital to establish a formal analysis, planning, mobilisation and communication phase before moving to full project implementation.

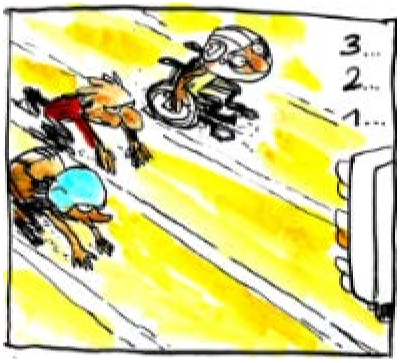
#### 1.2 When? Process

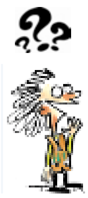
The Inception phase starts when the intervention proposal has been confirmed and funded, usually on signature of the funding contract. It ends when the project activities are ready to implement.

**Start**
Intervention proposal

**Action**
Launch

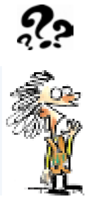
**End**
Project ready for implementation





**At what point can we start the project inception?**

A launch phase does not start with the project start date, but as of the signature of the funding contract. It is recommended that any process with no direct budgetary impact is launched as of the signature of the funding contract, starting with the recruitment of the Project Manager, who should ideally arrive on the first official day of the project.



**Should we wait for the end of the inception phase to launch the implementation phase?**

Depending on the situation and the specific needs for each project, it is possible for the inception phase to run parallel with the immediate implementation of the priority activities.

### 1.3 How? Main stages and minimum commitments to action

The inception phase includes the following stages:

**Analysis**
Re-assess the project's relevance and feasibility

**Planning**
Detailed definition of the project planning framework

**Mobilisation**
Mobilisation of the resources required for project implementation

**Communication**
Inform and involve stakeholders

When reference is made to a minimum commitment to action, the corresponding key word is shown in bold in brackets at the end of the sentence.

## 2. Analysis

This stage involves updating the analysis of the needs, actors, risks, and context (**Continuity**), the rules of the funding contract with the relevant units (Admin/Log/HR etc.) (**Compliance**), the opportunities for cooperation in the intervention zone (**Complementarity**), the expectations of the beneficiaries (or their representatives) (**Consultation**), and checking they match up with the proposed response, with a particular focus on its relevance and feasibility (**Feasibility**).

**What criteria can we use to analyse the feasibility of a proposed project?**

A feasibility analysis involves assessing whether the proposed objectives can be met in the designated timeframe with:

- The resources (logistics, human, financial etc.)
- The actors (beneficiaries, partners, operators etc.)
- The proposed approach (intervention methods etc.)
- The context (security, political, climatic etc.)
- The compliance (laws, internal rules, funding contract etc.)

➔ See the launch checklist for more details (Hinside).

If necessary, an amendment to the funding contract can be requested and formalised after defining an alternative proposal during the planning phase. If a project team wants to change the objectives, indicators, schedule and budget, it is easier to do this **before** the project is deployed. The project can also be adjusted in the implementation phase, but the cost and difficulty of making these modifications is much greater.

## 3. Planning

This stage involves planning the implementation and monitoring throughout the duration of the project in detail, including: activities, recruitment, training, supply, reporting, monitoring, evaluation etc.

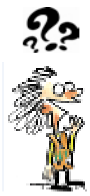
When a project officially reaches this planning stage, there are a number of documents already available (at least a logical framework, budget and activity time chart). Although these documents are already highly detailed, they rarely provide enough information to implement the project.

This stage therefore constitutes the basis for any project planning-monitoring-evaluation system. It allows for the development of a complete project plan (the PM-Box tool is created in this phase), including at least the following elements:

- Up-to-date detailed specifications on the planning of the activities, the logistics and human resources needs, the budget and indicator monitoring (**Organisation**)
- Creation, updating or planning of the baseline situation (**Effects**)
- Analysis of the stakeholders and definition of differentiated communication for different actors (**Communication**).

There are certain mandatory considerations which need to be taken into account at this stage:

- Risk management (**Mitigation**)
- Confirmation and/or definition of adapted operating methods which incorporate transverse approaches linked to ensuring accountability towards the beneficiaries (**Non-discrimination / Respect**).
- Preparation of the physical and digital filing and archiving of the activities and project (**Availability**).



**What potential issues need to be taken into consideration in the planning?**

This planning needs to be:

- **Integrated:** Each component is interconnected with the others, it is therefore impossible to change one without affecting the others. For example, decisions regarding the schedule depend on the choices made regarding logistics.
- **Participatory:** As far as possible, this planning phase needs to involve all members of the team as well as certain stakeholders, depending on their influence on the project and its results.
- **Iterative:** The planning is not static but can change as required: both throughout the project cycle in order to adapt the project to the information fed back through the monitoring and evaluation process; and also in order to propose "incremental planning" which produces increasingly detailed information as the project progresses.

**Good planning practices:** A milestone marks the end of a stage or task. Generally speaking, a milestone also marks an event (launch of a study, end of a distribution etc.). As we often have to monitor numerous activities, it is important to identify the key stages in a project and set these out as milestones. Monitoring when these milestones are reached provides rapid, objective, controllable and shared information on how the project is progressing.

**What is a monitoring and evaluation plan?**

A detailed monitoring and evaluation plan meets the stakeholders' need for information and defines the main monitoring and evaluation activities in the project. It should therefore be **drawn up during the project launch phase** by the project team. Any partners in the project should be involved at this stage in order to provide input on the relevance and feasibility of the monitoring plan and to develop ownership.

**This plan should address the following questions:**

- Objectives: What do we want to achieve? For whom?
- Indicators: How will we know if we have met our objectives?
- Targets: How are we going to monitor progress?
- How are we going to collect data?
- How are we going to analyse the data?
- How are we going to use the data?
- How are we going to put into place this monitoring and evaluation plan?

**It involves at least the following actions:**

- Establish the profiles of the target people/communities, and confirm how the beneficiaries will be counted
- Create, update or plan a baseline situation
- Develop a plan for monitoring indicators
- Define the data collection method, the data entry and management processes and prepare the necessary tools
- Develop an accountability/participation plan
- Plan the intended evaluations
- Define a detailed lesson learning strategy if this is a priority for the project in question.

**It should be realistic in relation to the situation in the field:** the workload required to develop the tools, and to collect and analyse the data should match the available resources and the level of expertise within the project team or partner organisation(s).

**It is vital that the initial (baseline) data collection is at least planned, and ideally conducted, during the project launch phase.** These qualitative and quantitative data are used to describe the situation at the start of the project or activity (or as close as possible to the start). Subsequently, they can be used to measure the change between two time periods and the effects the project produces, through the collection of interim and final data.

**The data collected are used to complete the monitoring and evaluation plan** and thereby provide the Project Manager(s), and potentially all the stakeholders, with the information required to analyse the project's achievements with a view to:

- Adjusting the operational strategy during the project implementation phase with the aim of achieving the expected results
- Confirming at the project completion phase if the project's objectives have been met, or if a new project cycle is required

- Producing the interim or final funding body reports during the project implementation and/or completion phases.

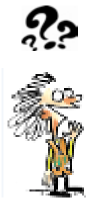
→ For more details, see the "monitoring plan" methodological sheet and the example of the "accountability framework" developed by HI's teams in Iraq (Hinside) .

## 4. Mobilisation

This stage involves mobilising the resources required to implement the project. It includes:

- **Cooperation with the operational partners:** Clarify the procedures for operational and administrative cooperation between partners; Define the cooperation framework (contracts); Identify the organisational reinforcement plan; Define the steering committee terms of reference.
- **Organise the resources required to launch the operations:** Identify the means of transport and supply of equipment and services required to launch operations (logistics); Define the job profiles, recruitment, training and development of individual action plans (human resources); Supply of cashflow for the launch of activities (financial); Signature of the required framework agreements, contracts and appendices (code of conduct, internal rules etc.) (administrative).
- **External coordination:** Identify the coordination mechanism; Meet with actors with whom cooperation might be possible and define the type of collaboration/ coordination; Determine how information dif.

In order to ensure the project is implemented effectively and in compliance with HI's values, it is important to make sure the project teams, and partners where applicable, are trained in HI's approaches and areas of expertise (**Competencies**), and made responsible for HI's institutional policies (Child Protection, Gender, Against Exploitation and Sexual Abuse etc.) (**Values**).



**How can we train the teams, and potential partners, in HI's approaches and areas of expertise?**

Project-specific training will always be necessary, but some of the training needs can be met using the in-house online learning platform **HI LEARN & GO**, which is available to HI's teams and partners.

It offers numerous training courses which can be followed individually or by team, and which can be used to fulfil the training commitments for the project teams and partners (Approaches to disability; Safety and Security; Project Planning, Monitoring and Evaluation etc.).

## 5. Communication

This stage involves:

- Holding an internal launch meeting;
- Developing project communication tools;
- Communicating on the project launch.

One of the main objectives for the project launch phase involves communicating on the launch of the project to the various stakeholders in the intervention (**Information**). These stakeholders can include beneficiary communities, the NGOs working in the intervention zone, the partners, HI's teams, representatives of the government ministries, the general public, the funding bodies etc.

There are a number of communication tools available to announce the start of a project to stakeholders (launch meeting, press articles, press conference, site visits etc.), which all have the same purpose: to officially acknowledge the start of the project and ensure that key stakeholders have a shared understanding of the project.

**How can we ensure that the proposed communication materials will reach the different target groups?**

It is important to answer the following questions:

- Are the vocabulary and concepts used relevant, meaningful and acceptable in the cultural context?
- Does the language used reach the people who need the information?
- Are the media and communication channels adapted to these challenges?
- Have different levels of accessibility been thought about?

## 6. With who? Roles

| Project Manager | Type(s) of Action(s) |
|---|---|
| **Should ideally arrive during the launch phase at the latest** | • Coordinate the launch phase together (analysis, planning, mobilisation of resources and communication)<br>• Complete the project steering tool (PM-Box)<br>• Prepare the other operational and technical tools and framework documents (profile of the target populations; data collection tools; activity sheets etc.)<br>• Develop an accountability plan<br>• Collect or plan the collection of the baseline situation<br>• Discuss and negotiate with the operational partners<br>• Meet the different project stakeholders<br>• Prepare the filing and archiving of the project<br>• Inform the stakeholders about the project launch |
| **Partner(s)** | **Type(s) of Action(s)** |
| | • Contribute to analysing the proposed response<br>• Contribute to project planning<br>• Contribute to implementing a cooperation framework (contract, steering committee terms of reference etc.)<br>• Contribute to mobilising resources<br>• Participate in communicating on the project launch |
| **Beneficiaries** | **Type(s) of Action(s)** |
| | • Participate in analysing the proposed response<br>• Participate in communicating on the project launch |
| **Functions** | **Type(s) of Action(s)** |
| **Operational** | • Facilitate the coordination of the launch phase<br>• Contribute to the analysis of the proposed project<br>• Contribute to project planning<br>• Contribute to preparing the operational tools and framework documents<br>• Contribute to discussions and negotiations with the partners<br>• Contribute to and support the Project Manager in developing the monitoring and evaluation plan |

| | |
|---|---|
| **Technical** | • Contribute to the analysis of the proposed project<br>• Contribute to project planning<br>• Contribute to developing the monitoring and evaluation plan<br>• Contribute to preparing the technical tools and framework documents<br>• Contribute to collecting the baseline situation |
| **Logistics** | • Contribute to the analysis of the proposed project<br>• Contribute to project planning<br>• Mobilise the logistics resources required |
| **Human Resources** | • Contribute to the analysis of the proposed project<br>• Contribute to project planning<br>• Facilitate the recruitment and induction of the project team<br>• Mobilise the required human resources |
| **Finance** | • Contribute to the analysis of the proposed project<br>• Contribute to project planning<br>• Mobilise the necessary cash flow<br>• Contribute to signing the cooperation agreements (partnerships, authorisations etc.) |
| **Safety and Security** | • Contribute to the analysis of the project |
| **Funding body relations** | • Contribute to the analysis of the proposed project<br>• Contribute to project planning<br>• Inform and, where required, negotiate with the funding body |
| **Communication** | • Contribute to communicating on the project launch |

## 7. What materials? Tools, guidance and examples[69]

| | |
|---|---|
| **Tools to support the implementation of minimum commitments to action** | **Consultation:**<br>• Participation handbook for humanitarian field workers - URD. Chapter 4: Communication techniques / Chapter 3: Building mutual respect |

[69] These documents are available on Hinside.

| | |
|---|---|
| | **Complementarity/Communication:**<br>• PM-Box - Stakeholders<br>**Effects:**<br>• PM-Box - Indicators<br>**Continuity:**<br>• PM-Box - Risks - Stakeholders<br>**Feasibility:**<br>• Launch checklist<br>**Information:**<br>• Tool / Examples of information for beneficiaries<br>**Organisation:**<br>• Activity schedule<br>• Supply plan<br>• HI budget template<br>**Compliance:**<br>• Funding contract sheet<br>**Competencies/Values:**<br>• E-learning HI Learn & Go (disability; project management etc.)<br>**Information / Control / Involvement:**<br>• Reporting template, project review<br>**Availability:**<br>• Archiving checklist<br>**Resilience / Effect:**<br>• Evaluation toolbox<br>**Learning:**<br>• Learning paper |
| **Other recommended tools** | **Administration:**<br>• PM-Box - Organisation Chart<br>**Cooperation:**<br>• Tools for analysing partner capacities |

| | |
|---|---|
| | • Steering committee terms of reference<br>• Partnership agreement template (FR/ENG/ESP)<br>**Change:**<br>• Software program to create forms (and collect project data)<br>• SCOPEO approach to measure quality of life |
| Guidance | **General:**<br>• Intervention methods by technical sector<br>**Participation:**<br>• Mango beneficiary accountability checklist<br>**Change**:<br>• How to conduct a qualitative/ quantitative study ? From planning to using findings<br>**Cooperation**:<br>• Administrative partnership management kit<br>**Protection:**<br>• HI Code of Conduct |
| Examples | **Cooperation:**<br>• Tools for analysing partner capacities |

# Step 4 - Implementation

## 1. Introduction

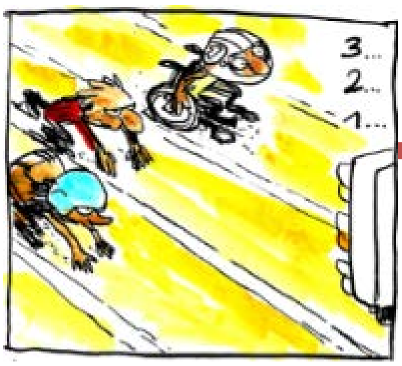
### 1.1 Why? Objectives

The implementation phase should be used to manage the human, financial and logistics resources to ensure the proper management and efficiency required to achieve the expected results and reach the objectives.

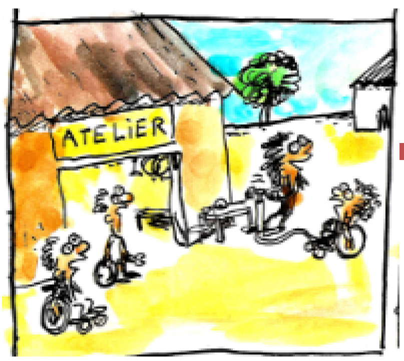
### 1.2 When? 4 main concomitant areas

The implementation phase starts when the project activities are ready to implement. It ends when the project activities have been completed and the expected short-term changes achieved.

**Start**
Project ready for implementation




**Action**
Implementation




**End**
Change achieved

### 1.3 How? Main areas

The implementation phase is divided into four thematic areas which run in parallel:

- Deployment of the activities and management of resources
- Steering and optimisation
- Participation, cooperation and synergy
- Information and communication.

## 2. Deployment of the activities and management of resources

### 2.1 Why? Objectives

This area is used to mobilise the human, financial, technical and logistics resources required to achieve the expected results for the project.

### 2.2 How? Main components and minimum commitments to action

This area includes the following main components:

- **Deployment of project activities**:
  - Coordinate the resources identified and made available to implement the activities using the operating methods determined during the launch phase
  - Identify the issues relating to access for different groups within the population and adapt the activities accordingly
  - Regularly adjust the operating methods according to the situation
- **Support and support missions:**
  - Identify and communicate support needs
  - Prepare the terms of reference
  - Organise the mission
  - Evaluate the mission
  - Monitor the recommendations
- **Human Resources:**
  - Update and adjust the roles and responsibilities of each member of the team and the project organisation chart
  - Develop and monitor an individual action plan
  - Organise the evaluations
  - Facilitate team meetings
  - Monitor the training plan
  - Manage conflicts
  - Adjust or reorganise the team structure to reflect changes in operating methods
- **Logistics resources:**
  - Update and monitor the supply plan
  - Efficiently monitor the project resources (vehicle, stock, equipment etc.)
- **Budget resources**:
  - Approve the spending committed to the project
  - Monitor spending and operational budget planning

    - Analyse the budget monitoring and confirm the coding
    - Regularly analyse the budget in relation to the operational plans/forecasts
    - Submit cash requests
- **Technical resources**
    - Plan the needs for technical support and confirm the methods (internal; external etc.)
    - Speak with the relevant technical advisors

Project planning and monitoring should, at least, strengthen the coordination of the resources required to implement the activities. To this end it is important to confirm and update the project needs in order to commit the right human, financial, logistics and technical resources at the right time (**Organisation**), whilst complying with the rules in place (**Compliance**).

A set of tools is made available to the teams to do this, in particular for activity planning (PM-Box) and an internal report template (example Sitrep; monthly information sheet etc.) which includes the planning and monitoring of support needs.

**Links between "operational and budget planning and monitoring"**

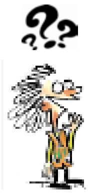
Throughout the project implementation phase, the operational planning needs to be reflected in the financial planning.

From a financial point of view, it is obvious that the budget used needs to be monitored, but it is equally important to plan for the remaining budget. With this in mind, when the Project Manager updates the planning of the activities, they also need to draw up a financial forecast for the activities, ideally through to the end of the project.

These forecasts can be used to anticipate any risk of running over budget:

- These forecasts can be used by the support services in order to anticipate the needs (purchasing equipment, organising seminars, recruiting staff, forecasting cash flow)
- For the funding bodies, this financial planning can be used to determine if the contractual budget will be used within the given timeframe.

As already stressed for the inception phase, it is also vital that the project teams and project partners are held accountable with regard to HI's institutional policies (**Values**). After having received training on these policies, notably on the internal online training platform HI Learn & Go, they need to be incorporated into the implementation and support provided for these activities (for example, security protocol).



**How can we ensure the different teams are well coordinated and fully involved?**

Good coordination requires good planning, the regular sharing of information on the needs in terms of support, opportunities for direct discussion between units (e.g. regular meetings between the Project Manager and Logistics Officer), appropriate adjustments and a constant and shared focus on the end purpose ("why are we implementing this project").

### 2.3 With who? Roles

| Project Manager | Type(s) of Action(s) |
|---|---|
| | • Coordinate the implementation of the project activities<br>• Identify and communicate on the support needs (logistics; HR; financial; technical etc.)<br>• Approve and code the committed spending in the budget<br>• Manage the human, logistics and financial resources and update the resources needs planning |
| **Partner(s)** | **Type(s) of Action(s)** |
| | • Contribute to the implementation of the activities<br>• Contribute to making the resources required to implement the activities available<br>• Participate in monitoring and analysing the support needs<br>• Participate in the support missions |
| **Beneficiaries** | **Type(s) of Action(s)** |
| | • Participate in the implementation of the activities |
| **Functions** | **Type(s) of Action(s)** |
| **Operational** | • Facilitate coordination between the support services and project teams |
| **Technical** | • Provide technical support for the implementation of the activities |
| **Logistics** | • Contribute to updating the supply plan<br>• Respond to purchase and service requests<br>• Facilitate travel and transport requests<br>• Provide logistics support for the implementation of the activities |

| | |
|---|---|
| **Human Resources** | • Contribute to updating the organisation chart and HR plan<br>• Provide HR support for the implementation of the activities |
| **Finance** | • Contribute to updating the financial forecasts<br>• Regularly share the budget monitoring<br>• Facilitate cash flow requests |

### 2.4 What materials? Tools, guidance and examples[70]

| | |
|---|---|
| **Tools to support the implementation of minimum commitments to action** | **Organisation:**<br>• PM-Box - Planning<br>• Supply plan<br>• Budget monitoring template<br>**Compliance:**<br>• Internal activity monitoring report templates (Sitrep or Monthly Information Sheet)<br>**Values:**<br>• HI Learn & Go online platform |
| **Other recommended tools** | **Organisation:**<br>• Activities terms of reference template<br>• PM-Box - Recommendations<br>• Logistics tools kit<br>• Consultant management kit |
| **Guidance** | **General:**<br>• Intervention methods by technical sector |

[70] These documents are available on Hinside.

## 3. Steering and optimisation

### 3.1 Why? Objectives

This area makes it possible to adapt the project to any changes in the needs, demands and/or resources. It is almost always necessary to make changes over the course of project implementation. The project documents cannot therefore remain static although any modifications must be made with caution.

### 3.2 How? Main components and minimum commitments to action

The following elements can be used to feed information back and support objective decision-making as regards any need to make adjustments to the project:

- **Identify, prepare and collect project monitoring data:** This component includes the following types of actions:
  - Implementing the monitoring plan
  - Confirming the dates for field monitoring
  - Conducting regular monitoring of completed activities, the results, the beneficiaries and measuring the quality of the outputs and services
  - Monitoring the information and feedback mechanisms for the beneficiaries and providing feedback to the different groups of beneficiaries
  - Facilitating visits to conduct a technical review of the quality of the outputs and services
  - Conducting regular monitoring of the recommendations and integrating these decisions in the project planning.
- Incorporate into the project steering the project teams and support services' analysis of the budget **(Optimisation),** partner performance **(Results),** compliance with HI's mandate and strategy **(Mandate),** the monitoring of the main risks and assumptions **(Mitigation & Flexibility),** updating and analysis of the needs, actors, risks and context **(Continuity),** checks against the technical quality indicators for the product/service **(Product/service),** and compliance with rules **(Compliance).**
- Make provision for the steering of HI's projects by setting out regular, formal forums for the project and support teams to analyse and make decisions on the project: budget monitoring **(Optimisation)** and inter-service project reviews **(Control)**.
- **Complete project steering by:**
  - Implementing an interim evaluation for any project of over 2 years' duration and a final evaluation for any project for a duration of or below 2 years and/or with a financial volume of more than €3 million (**Effects**).

See the Evaluation Toolbox (Hinside).

- Consolidation of the number and categories of beneficiaries carried out at least once a year (**Impact**).

  See the HI guide How to conduct a qualitative/ quantitative study? From planning to using findings. HI.

- Formulation of a continuity and/or exit strategy adapted to the context prior to the completion phase (**Anticipation**).

  See the "Continuity/exit strategy" template which lists the key questions which need to be answered in order to draw up an exit and/or continuity plan (Hinside).

**Inter-service project reviews** are a vital opportunity to compile the latest project information, identify the areas for improvement, **take action, make the necessary changes,** with the Project Manager and programme or mission coordination team taking joint responsibility for the decisions made. A **contract amendment request** may need to be submitted to the funding body if the proposed changes affect the contractual commitments.

This process can lead to changes to the operating methods, to proposing a revised project and/or budget to the funding body, to reviewing the overall project planning with a view to the implementation of the project as a whole and the allocated resources.

**Inter-service project review**

**Why?** An inter-service project review allows the project team to take an objective view of project implementation in order to:

- Question the changes brought about by our intervention
- Anticipate any adjustments required
- Make and take responsibility for the major decisions made by the Project Manager and the coordination team

**What?** The project review provides a regular (held at least every four months and in the event of any major changes to the project), internal (HI's teams) forum for discussing ongoing projects.

**Who?** The project review is usually attended by the Project Manager and the mission/programme coordination team. It is not necessary for the whole coordination team to attend the project review as long as all the support and monitoring roles are represented by one or more people (operational, technical, logistics, financial roles etc.).

### How?

**Before: How to prepare a project review?** The planning and monitoring tools are updated and shared (at least: supply plan updated by logistics, budget monitoring updated by finance, human resources monitoring updated by HR and PM-Box (and, where appropriate, self-evaluation) updated by the Project Manager.

Good practice is for the Project Manager to fill out the minutes of the project review prior to the review meeting, and for this document to be used to guide the discussion during the meeting. It is important to prepare for a project review well in advance as this preparation takes a certain amount of time. It is also good practice to prepare the review as a team rather than the Project Manager preparing on their own.

**During: How to facilitate a project review?**

At the project review, the Project Manager presents the main, updated information on the project (follow-up on previous decisions taken, results, contexts, resources etc.) using the preliminary minutes document, focusing on any potential issues that need to be discussed. The other participants add in questions and suggest responses and actions to respond to the identified issues. At the end of the project review, the minutes are formalised including the list of decisions taken and points for action. It is good practice to designate a secretary for the project review and to encourage in-depth discussion between stakeholders.

Other important considerations:

- The recommended maximum duration for a project review is a ½ day.
- It is recommended that remote exchanges are kept to a strict minimum during the project review. If someone is unable to attend the meeting, they can pass on their questions to another person to ask them or have an individual remote update with the Project Manager prior to the review meeting.

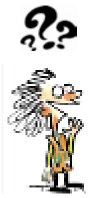
**After: How should the project review be used?**

The minutes of the project review are shared with the internal actors involved in project support and monitoring. The monitoring tools are updated (PM-Box, budget, supply plan etc.), and the recommendations are acted on, noted and shared (and followed up on at the next project review).

The project reviews should contribute to the programme/mission's other monitoring processes (updating the programme/mission budget etc.).

### A project review is not...

- A platform for the Project Manager, but a forum for shared decision making.
- The opportunity to present all the projects run by a mission/programme. A project review is a privileged setting in which the Project Manager and coordination team can freely express their opinions.



**I want to monitor the risks relating to my project, but what is the difference between the "risks" and the "assumptions" in my logical framework?**

"You can live with your assumptions. You need to manage your risks."

The list of risks will be made up partially, but not exclusively, of assumptions from the logical framework as these can be considered as low-level risks.

If an event could potentially pose a problem for the project:

- if the combination of the probability of the event occurring and its impact on the project are both high, it can be identified as a risk.
- by identifying the event as an assumption, everybody knows that the event is predictable but that the probability of it occurring is low.

### 3.3 With who? Roles

| Project Manager | Type(s) of Action(s) |
|---|---|
| | • Adjust the project according to the monitoring and evaluation data<br>• Implement the data identification, preparation and collection activities<br>• Monitor the data on beneficiaries<br>• Develop a continuity/exit strategy<br>• Coordinate the project implementation and evaluation (according to criteria)<br>• Participate in project reviews |
| **Partner(s)** | **Type(s) of Action(s)** |
| | • Contribute to making decisions on adjusting the project<br>• Contribute to data identification, preparation and collection activities<br>• Contribute to monitoring data on beneficiaries<br>• Contribute to developing a continuity/exit strategy<br>• Contribute to project implementation and evaluation (according to criteria) |
| **Beneficiaries** | **Type(s) of Action(s)** |
| | • Contribute to collecting project data<br>• Contribute to developing a continuity/exit strategy<br>• Contribute to project implementation and evaluation ( according to criteria) |

| Functions | Type(s) of Action(s) |
|---|---|
| **Operational** | • Facilitate the implementation of field monitoring<br>• Contribute to managing data on beneficiaries<br>• Facilitate the development of a continuity/exit strategy<br>• Facilitate project implementation and evaluation (according to criteria)<br>• Coordinate project reviews |
| **Technical** | • Facilitate the implementation of field monitoring<br>• Facilitate the monitoring of data on beneficiaries<br>• Contribute to developing a continuity/exit strategy<br>• Contribute to project implementation and evaluation (according to criteria)<br>• Participate in project reviews |
| **Logistics** | • Contribute to updating the supply plan<br>• Contribute to developing a continuity/exit strategy<br>• Facilitate the implementation of support or evaluation missions for the project<br>• Participate in project reviews |
| **Human Resources** | • Contribute to developing a continuity/exit strategy<br>• Participate in project reviews |
| **Finance** | • Regularly share the budget monitoring<br>• Contribute to developing a continuity/exit strategy |
| **Safety and Security** | • Participate in project reviews |
| **Funding body relations** | • Contribute to developing a continuity/exit strategy<br>• Participate in project reviews<br>• Inform and, where required, negotiate with the funding body |
| **Ethics** | • Analyse the situations and actors in relation to the project's needs and issues faced |

### 3.4 What materials? Tools, guidance, and examples[71]

| | |
|---|---|
| **Tools to support the implementation of minimum commitments to action** | **Results / Control / Compliance / Information / Continuity:**<br>• Reporting template, project review<br>**Optimisation:**<br>• Budget monitoring template<br>**Effects / Mandate:**<br>• Evaluation toolbox<br>• Project health check toolbox<br>• PM-Box - Self-evaluation<br>**Impact:**<br>• PM-Box - HI beneficiaries<br>**Anticipation:**<br>• Working document exit/continuity<br>**Product/service:**<br>• PM-Box - Indicators<br>• Sector-specific technical standards<br>**Flexibility / Mitigation:**<br>• PM-Box – Risks |
| **Guidance** | **Administration:**<br>• Project review methodological sheet<br>**Change:**<br>• Risk management methodological sheet<br>**Sustainability**:<br>• Exit strategy: leaving responsibly practical guidance document – Eldis |
| **Examples** | • Examples of evaluation terms of reference |

[71] These documents are available on Hinside.

## 4. Participation, cooperation and synergy

### Why? Objectives

This area encourages the participation of the beneficiaries (or their representatives) and the creation of a complementary dynamic with the project partners and operators in the intervention zone.

### How? Main components and minimum commitments to action

This area includes several main components.

**Beneficiary participation:** Inform the beneficiaries (or their representatives) about changes to the activities and the results achieved by the project (**Understanding**), and provide them with a way of expressing their level of satisfaction (**Expression**).

> **What is a "feedback mechanism"?** [72]
>
> A feedback mechanism can be defined as a "set of procedures and tools clearly set out and used to allow beneficiaries of humanitarian aid (and in some cases other populations affected by a crisis) to provide feedback on their experience with a humanitarian organisation or a humanitarian aid system in a broader sense; Feedback mechanisms can be used as part of more general monitoring practices and can provide information that can be used for decision-making purposes."
> The beneficiaries of the actions should have their say on the drawing up and implementation of planning-monitoring-evaluation activities.
>
> For this to be possible, it is important to:
>
> - Establish forums for the consultation of, and communication with, the beneficiaries at key stages in the project in order to reinforce the legitimacy and usefulness of the information collected, to encourage cooperation and reinforce the support and ownership of all stakeholders.
> - Set up systematic feedback mechanisms which include processes for assessing and processing complaints.

[72] Extract from Multi-sectoral monitoring and evaluation guidelines. Action Against Hunger. 2016.

These mechanisms should be safe, confidential, culturally adapted and allow for the rapid and effective processing of feedback. It should make it possible to collect complaints regarding the behaviour of project actors towards beneficiaries (linked with the institutional policies: abuses of power, sexual violence, corruption, conflicts of interest etc.)

It is therefore recommended that participative methods are determined with the populations in the target zone and their representatives.

**Cooperation with potential partners:** Involve partners in the steering committee (**Involvement**), monitor their contributions to the project (**Results**) and involve them in the implementation of HI's institutional policies (**Values**).

This involves:

- Clarifying the operational and administrative methods for cooperation with the partners
- Training the partners or receiving training depending on the identified needs
- Undertaking administrative and operational monitoring
- Offering support (technical, logistics etc.)
- Monitoring the partners' achievements
- Assessing the quality of the processes, outputs and services
- Monitoring the partner(s)' human, administrative, logistics and financial resources
- Leading a steering committee.

**How does the steering committee link to the project reviews?**

The steering committee is a specific forum for discussion between project partners. It can be held prior to the project review to identify the subjects which need to be confirmed/clarified by HI.

**Synergies with other interventions:** Facilitate opportunities for cooperation in the intervention zone (**Complementarity**) by:

- Regularly updating the analysis of the stakeholders
- Organising or taking part in regular meetings to encourage enhanced cooperation between HI's teams
- Taking part in sector-based coordination meetings
- Informing other humanitarian actors about HI's operations.

### 4.3 With who? Roles

| Project Manager | Type(s) of Action(s) |
| --- | --- |
| | • Inform the beneficiaries of the progress made by the project<br>• Implement an accountability plan<br>• Implement a feedback mechanism for beneficiaries<br>• Lead a steering committee with the project partners<br>• Monitor the results of the project partners<br>• Coordinate the mechanisms for capacity building for or by partners<br>• Represent the project to stakeholders<br>• Participate in coordination meetings and other events directly or indirectly connected to the project<br>• Monitor and update the stakeholder analysis and communications plan |
| **Partner(s)** | **Type(s) of Action(s)** |
| | • Contribute to involving beneficiaries<br>• Contribute to setting up regular steering committee meetings<br>• Participate in project decision-making<br>• Facilitate synergies with other interventions |
| **Beneficiaries** | **Type(s) of Action(s)** |
| | • Contribute to project monitoring and evaluation |
| **Functions** | **Type(s) of Action(s)** |
| **Operational** | • Contribute to coordination with other actors<br>• Facilitate links with partners |
| **Technical** | • Support the implementation of a feedback mechanism for beneficiaries<br>• Contribute to capacity-building mechanisms for partners |
| **Finance** | • Contribute to capacity-building mechanisms for partners<br>• Provide partners with logistics support where required |
| **Advocacy** | • Support the development of advocacy work where required |
| **Ethics** | • Analyse the situations and actors in relation to the project's needs and issues faced |

### 4.4 What materials? Tools, guidance and examples[73]

| | |
|---|---|
| **Tools to support the implementation of minimum commitments to action** | **Involvement:**<br>• Steering committee terms of reference<br>**Expression:**<br>• Closing the loop: Effective feedback in humanitarian contexts – ALNAP<br>**Understanding:**<br>• Participation handbook for humanitarian field workers |
| **Guidance** | **Participation:**<br>• Closing the loop: Effective feedback in humanitarian contexts – ALNAP<br>**Cooperation:**<br>• Guidance note - Operational partnership at HI<br>• Partnership practical guide - HI<br>**Ethics:**<br>• HI's institutional policies<br>**Participation:**<br>• Working with communities - Médecins du Monde<br>**Accountability:**<br>• Accountability towards beneficiaries<br>**Measuring / Accountability :**<br>• Impact measurement and Accountability in Emergencies: The Good Enough Guide<br>**Participation**:<br>• Participation handbook for humanitarian field workers<br>**Accountability:**<br>• The HAP 2010 standard in accountability and quality management |
| **Examples** | • Feedback mechanisms |

[73] These documents are available on Hinside.

# 5. Information and communication

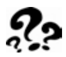
## 5.1 Why? Objectives

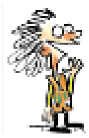
This area serves to ensure the people affected by the project are involved in it to the greatest possible extent.

## 5.2 How? Main components and minimum commitments to action

This area includes several main components.

**Communication:** Determine differentiated communication according to the actors and produce, at least, a project summary based on the expected results at one year and on one beneficiary (**Communication**).





**Why share the story of a given project beneficiary and how should this be done?**

**Why?**

In order to:

- Contribute to involving the beneficiaries by providing an additional mechanism for understanding and collecting the opinions of project beneficiaries.
- Communicate on the project from the beneficiaries' perspective.
- Share the purpose of the project with other members of the HI team who are not in direct contact with the beneficiaries.

**How?**

- A template questionnaire for conducting an interview with the beneficiary in question is available for use.
  - ➔ For more details, see the "beneficiaries' perspective" template (Hinside).

**Information:** Sharing compliant, clear, objective project monitoring reports with partners, funding bodies and HI's support teams (**Information**).

### What makes a good report?

**Anticipation:** No surprises. The points regarding strategy and the logical framework (objectives, activities, results, assumptions, resources) should be considered before starting to write the report.

**Integration**: The information required to produce the report is identified upstream and integrated into the project data management system. Example: Can the internal reports be used to feed into funding body reports and therefore avoid doubling the workload?

**Consistency:** No inconsistencies or erroneous figures, avoid repetitions etc.

**Relevance:** All the questions raised in the report should be answered. If it is not possible to provide a clear, definitive answer to a question then the action taken or to be taken to obtain this answer should be stated clearly.

**Analysis**: The report sets out our analysis of the situation:

- Analysis of the activities implemented: Has the activity contributed to achieving the intended result? Is the activity relevant to the project result(s) and objective? Are we happy with the activity implemented? Why?
- Analysis of the quantifiable benefits/results obtained: What do these results tell us? Can we consider them as good or not?

**Continuity:** A report should form a logical continuation in relation to:

- the project proposal (do not change the name of the activities, follow the same order of presentation; do not add any additional activities; speak about the assumptions and other subjects which need to be addressed).
- previous report(s) (answer any questions left unanswered the previous month due to a lack of information, review the planned time chart etc.)
- it should provide new information, update existing information etc. This means that from no report (or project document) should contain any identical text from previous documents (especially for the history of the project and the achievements).

**Archiving:** Regularly update and save a project document database to allow access to all project documents (**Availability**).

Further details on archiving are set out in Part 2 of this guide (completion phase).

➔ "Archiving checklist" (Hinside).

### 5.3 With who? Roles

| Project Manager | Type(s) of Action(s) |
|---|---|
| | • Write internal and funding body reports<br>• Archive project information<br>• Develop and use the project communication tools |
| **Partner(s)** | **Type(s) of Action(s)** |
| | • Write internal reports<br>• Contribute to writing funding body reports<br>• Contribute to project archiving<br>• Contribute to developing and using communications materials |
| **Beneficiaries** | **Type(s) of Action(s)** |
| | • Share their vision of the project |
| **Functions** | **Type(s) of Action(s)** |
| **Operational** | • Check the funding body narrative reports specifically for consistency with the financial reports |
| **Logistics** | • Contribute to project archiving<br>• Regularly share information on the logistics monitoring components (supply, stock, vehicle etc.) |
| **Human Resources** | • Contribute to project archiving |
| **Finance** | • Check the financial reports<br>• Contribute to project archiving |
| **Funding body relations** | • Inform and, where required, negotiate with the funding body<br>• Check the eligibility of funding body reports |
| **Communication** | • Support the development of project communications tool(s) |

## 5.4 What materials? Tools, guidance and examples[74]

| | |
|---|---|
| **Tools to support the implementation of minimum commitments to action** | **Communication:**<br>• PM-Box - Stakeholders<br>• Project beneficiaries' perspective template<br>**Availability:**<br>• Archiving checklist |
| **Guidance** | **Accessibility**:<br>• Making information accessible for all<br>**Compliance**:<br>• Funding body sheets |
| **Examples** | **Communication**:<br>• Example of beneficiaries' perspectives |

[74] These documents are available on Hinside.

# Step 5 - Completion

## 1. Introduction

### 1.1 Why? Objective

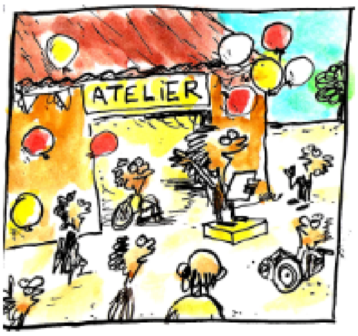
The project completion phase is a time for analyzing and communicating on the deployment of all the activities and the extent to which the objectives have been met. It also provides the opportunity to ensure the knowledge acquired from the project is conserved and that the contractual undertakings relating to its implementation are completed. Project completion basically corresponds to the end of project implementation. It either leads to the start of a new project cycle or definitive completion.

### 1.2 When? Process

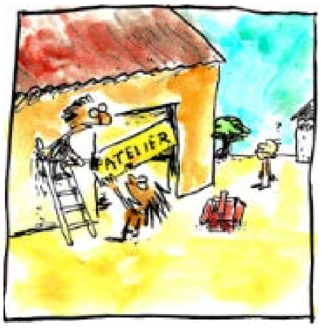
The project completion phase starts when the project activities have been completed and the expected short-term changes achieved. It ends when all the project components have been justified, transferred and/or completed.

**Start**
Change achieved

**Action**
Completion




**End**
End of the intervention




### 1.3 How? Main stages and minimum commitments to action

The project completion phase covers the following stages:

Operational completion → Contractual, financial administrative completion → Sharing

When reference is made to a minimum commitment to action, the corresponding key word is shown in bold in brackets at the end of the sentence.

## 2. Operational completion

Initiated immediately at the end of activity implementation, operational completion involves collecting the final pieces of information on the baseline/endline situation, closing down the operational monitoring (beneficiaries, activities, indicators etc.), and conducting the last inter-service project review (**Control**).
A final external evaluation can be implemented to complete the information from the operational completion, for all projects of a duration of 2 years or longer and/or a financial volume of over €3 million (**Effects**). This systematically includes monitoring of the project partners' contribution to implementation (**Results**) and assessing the reduction in vulnerability of the target populations (**Resilience**).

### How to implement a project evaluation?[75] Key stages

**Planning -** the evaluation should be planned for during the project planning phase and should feature in the logical framework.

**Setting up an evaluation steering committee -** responsible for steering and monitoring the project. Deliverable: Steering committee terms of reference

**Formalisation of expectations -** Define the scope of the evaluation: objectives, expectations and the areas concerned; evaluation question and criteria; proposed method (in more or less detail); expected outputs; logistics, time and financial constraints.
Deliverable: Evaluation terms of reference
HI's Project Quality Framework can be used at this stage to:

- Analyse the situation and prioritise the criteria which will be used as the basis for formulating the evaluation questions
- Propose definitions shared across HI of the selected quality criteria, which will be included in the terms of reference

**Choice of evaluator -** when the terms of reference have been validated, these will be used as the reference document to launch the call for tenders (in the event of an external evaluation). When the call for tenders is completed (average duration one month) the steering committee selects the best offer.
Deliverables: Offers.

[75] For more detail, see HI evaluation toolbox (Hinside).

**Scoping the evaluation** - once the evaluator has been selected, the steering committee meets once or more with the selected provider in order to finalise the evaluation questionnaire, the methodology and the evaluation set-up. It also provides the opportunity to raise any other issues and smooth out any ambiguities in the terms of reference.
Deliverable: Launch report.

**Implementation of the evaluation** - the evaluation (data collection and analysis) is conducted by the evaluation team, supported by the Project Manager. The first results are analysed by the evaluation team and steering committee.
Deliverable: Interim report.

**Final phase** - presentation of the final report and summary to the steering committee. Assessment of the quality of the report. Broader feedback on the results (should be planned for when preparing the evaluation). Definition of internal mechanisms for monitoring the steering committee recommendations (with support from the evaluator, where required).

➔ For more details, see the "evaluation toolbox" (Hinside).

## 3. Contractual, financial and administrative completion

If the project were to be audited several years after completion, what would happen? A system for the contractual, financial and administrative completion is essential to avoid any problems with project inspections (including audits) and to reduce any risk of conflict with the suppliers, employees and/or funding bodies. This phase includes the following components:

- The completion of contracts with suppliers, sub-contractors, funding bodies and other implementation bodies, including the validation of the project outputs by the funding body.
- The financial closure, checking the final spending and budget allocations and ensuring that all authorised funds have been received from the funding body.
- The administrative completion for personnel (contract completion) and equipment (donation management), the required project reports and completion documents, and complete archives and/or files kept up-to-date.

After the last inter-service project review (**Control**), the following, at the very least, should be shared:

- A project document database (paper or digital) saved according to HI's archiving rules (**Availability**).

- The most recent information required by the partners, funding bodies and support teams (**Information**).

**How should the project documents be archived?** [76]

**Archive in order to...**

- Rapidly and easily access all project information
- Provide evidence of our work
- Keep track and learn lessons

**Share roles:**

- The Project Manager is responsible for ensuring the operational documents for the project are correctly archived.
- The support services team is responsible for archiving the administrative and financial documents. They can request assistance from the Head of Mission when putting into place the tools and processes required to undertake and monitor the system for project archiving.

**Types of documents to be archived:**

- Administrative and financial documents: consultancy file; contracts (funding; work; partner etc.); purchasing files etc.
- Operational documents: assessment report; project documents; reports etc.
- The **sources of verification for the logical frameworks** should also be archived to prove the meeting of indicators.

➔ See the "Archiving Checklist" for more details (Hinside).

## 4. Sharing

As important as it is to communicate on the launch, it is also important to mark the project's achievements at the completion phase, notably to highlight the work of the team, the different stakeholders' contributions to the project and the involvement of the individuals and groups who have been vital to the project's success. In particular the beneficiaries should be properly informed about the end of the project (**Understanding**).

[76] Information from « Guide pour l'archivage des documents projet », produced for HI Maghreb programme in 2013 by Marianne Fougeron.

It is also a minimum requirement to collect and share the lessons learned from the project (**Learning**), although it is not necessary to conduct an in-depth lesson-learning process for each of them. In order to achieve this simply and efficiently, a learning paper should be filled out at the end of each project. The aim is to undertake a rapid lesson-learning process, carried out where possible in conjunction with our partners and beneficiaries, which can be used to learn from the experience and improve future projects.

➔ See "Learning Paper" for more detail (Hinside).

## 5. With who? Roles

| Project Manager | Type(s) of Action(s) |
|---|---|
| | • Coordinate the operational completion, the contractual, financial and administrative completion and the sharing of project information |
| **Partner(s)** | **Type(s) of Action(s)** |
| | • Contribute to collecting the final information on the baseline/endline situation<br>• Participate in the last steering committee<br>• Contribute to the final external evaluation (according to the project criteria)<br>• Contribute to project archiving<br>• Contribute to sharing project information (e.g. end of project report)<br>• Contribute to communicating on the end of the project<br>• Participate in collecting lessons learned |
| **Beneficiaries** | **Type(s) of Action(s)** |
| | • Participate in collecting the latest information on the baseline/endline situation<br>• Participate in the final external evaluation (according to the project criteria)<br>• Participate in communicating on the project launch<br>• Participate in collecting lessons learned |
| **Functions** | **Type(s) of Action(s)** |
| **Operational** | • Participate in the final project review<br>• Contribute to the evaluation (according to the project criteria) |

| | |
|---|---|
| **Technical** | • Contribute to collecting the endline situation<br>• Contribute to the evaluation (according to the project criteria)<br>• Contribute to formalising and sharing the lessons learned from the project<br>• Participate in the final project review |
| **Logistics** | • Contribute to managing donations<br>• Contribute to the completion of logistics contracts<br>• Participate in the final project review<br>• Facilitate the implementation of the evaluation (according to the project criteria)<br>• Contribute to project archiving<br>• Contribute to responding to an audit |
| **Human Resources** | • Support the teams' evaluation process<br>• Contribute to the completion of the teams' employment contracts<br>• Participate in the final project review |
| **Finance** | • Check the final spending and budget allocations<br>• Participate in the final project review<br>• Contribute to project archiving<br>• Facilitate an audit (according to the project criteria) |
| **Funding body relations** | • Participate in the final project review<br>• Check the eligibility of funding body reports<br>• Inform the funding body at the end of the project and negotiate completion where required |
| **Communication** | • Contribute to communicating to stakeholders on the end of the project |

## 6. What materials? Tools, guidance and examples[77]

| | |
|---|---|
| **Tools to support the implementation of minimum commitments to action** | **Understanding:**<br>• Participation handbook for humanitarian field workers - URD<br>**Information / Control / Involvement:**<br>• **Reporting template, project review**<br>**Availability:**<br>• Archiving checklist<br>**Resilience / Effect:**<br>• Evaluation toolbox<br>**Learning:**<br>• Learning paper |
| **Guidance** | **Accessibility:**<br>• Making information accessible for all<br>**Technical:**<br>• Learning lessons from experience. HI<br>**Support services:**<br>• Administrative completion documents. HI<br>**Funding bodies:**<br>• Funding body sheets and guidelines |
| **Examples** | • End of project communications materials |

[77] These documents are available on Hinside.

## Summary - Take-aways from Part 2

### Initial assessment

An initial assessment aims to determine whether or not an intervention is required and if so, to collect the information required to design the project (needs, context, actors, resources etc.).

An exploratory mission is often used but an initial assessment can also be carried out by other means. It can, for example, be carried out when developing the operational strategy for a programme or mission, and then be rapidly updated before drafting a funding application.

The minimum commitments to action require the inclusion of *at least* the following components:

- The request to analyse the intervention context (**Context**), the needs, requests and resources (**Needs**), and the actors (**Collaboration**) corresponds to the minimum content required to confirm (or not) an intervention.
- The priority needs can only be confirmed if the potential beneficiaries or their representatives are involved (**Consultation**).
- The information regarding the risk of causing negative effects in the short or long term for communities (**Do No Harm**) must be obtained before confirming (or not) an intervention.

In order to obtain a complete analysis which allows us to both identify the priority areas of intervention and build a relevant and realistic response, information on the following must be collected:

- People's situation (difficulties; damage; needs; level of vulnerability etc.)
- Local capacities (human resources; logistics etc.).

### Design

The minimum commitments to action proposed at the design stage aim primarily to check that a number of key points have been properly integrated into the proposed project, concerning in particular:

- Relations with the target populations (**Respect, Resilience, Non-discrimination**),
- Analysis of the context (**Complementarity, Choice & Autonomy, Do No Harm**),
- The planning-monitoring-evaluation framework (**Consistency, Product/service, Flexibility & Mitigation**) and feasibility (**Feasibility, Organisation, Mandate, Compliance**).

Assessing the potential benefits and risks of entering into a partnership makes it possible to:

- Reduce the risk of blockages in the collaboration between the two organisations during project implementation,
- Fine-tune the project planning according to the capacities of each organisation
- Integrate the budget required to meet the challenges in terms of capacity building,
- Lay the foundations for developing a skills transfer plan during the project launch phase.

**Learning:** Learning papers should be produced for all HI projects during the project completion phase. If the need for an in-depth lesson learning process, which provides the whole organisation with genuine added value, has been identified, this should be incorporated into the project planning as of the design phase.

The launch phase is crucial in terms of quality and needs to be included in the planning in the project proposal.

## Inception

The launch phase establishes a favourable setting for the optimal implementation of the project. It includes the following minimum commitments divided into four key stages:

- **Analysis:** Check the feasibility (**Feasibility**) based on the updated needs, actors, risk and context analysis (**Continuity**) and opportunities for cooperation in the intervention zone (**Complementarity**).
- **Planning:** Update the activities planning, the logistics and HR needs, the budget and indicators monitoring (**Organisation**); the relevant units should check compliance with the rules (Admin/Log/HR, etc.) (**Compliance**); create, update or plan the baseline situation (**Effects**); define differentiated communication according to the actors (**Communication**).
- **Mobilisation:** Train the project teams, and partners where required, on HI's approaches and expertise (**Competencies**), and make the project teams and partners responsible for HI's institutional policies (child protection, gender, protection against exploitation and sexual abuse etc.) (**Values**).
- **Communication:** Confirm the project with the beneficiaries (or their representatives) (**Consultation**), and share information with partners, the funding bodies and the support teams (**Information**).

A launch phase does not start with the project start date, but as of the signature of the funding contract. [It is recommended that any process with no direct budgetary impact is launched as of the signature of the funding contract, starting with the recruitment of the Project Manager, who should arrive ideally on the first official day of the project.]

## Implementation

The implementation phase is divided into four thematic areas which run in parallel and include the following minimum commitments to action:

- **Deployment of the activities and management of resources:** Confirm and update the project needs to commit human, financial, logistics and technical resources at the right time (**Organisation**), whilst complying with the rules in place (**Compliance**), and making the project teams and partners responsible for institutional policies (**Values**).
- **Steering and optimisation:**
  - Incorporate into the project steering the analysis of the budget (**Optimisation**), partner performance (**Results**), compliance with HI's mandate and strategy (**Mandate**), the monitoring of the main risks and assumptions (**Mitigation & Flexibility**), updating and analysis of the needs, actors, risks and context (**Continuity**), checks against the technical quality indicators for the product/service (**Product/service**), and compliance with rules (**Compliance**).
  - Make provision for the steering of HI's projects by setting out regular, formal inter-service project reviews (**Control**).
  - Complete project steering by: implementing an interim evaluation according to the criteria (**Effects**); consolidation of the number and categories of beneficiaries carried out at least once a year (**Impact**); formulating a continuity and/or exit strategy adapted to the context prior to the completion phase (**Anticipation**).
- **Participation, cooperation and synergy:**
  - Inform the beneficiaries (or their representatives) about the project (**Understanding**), and provide them with a way of expressing their level of satisfaction (**Expression**).
  - Involve partners in the steering committee (**Involvement**), monitor their contributions to the project (**Results**) and involve them in the implementation of institutional policies (**Values**).
- **Information and communication:**
  - Determine differentiated communication according to the actors and produce, at least, a project summary from the beneficiaries' perspective (**Communication**).
  - Respect the beneficiary participation criterion and share compliant, clear, objective project monitoring reports with partners, funding bodies and HI's support teams (**Information**).
  - Regularly update and save a project document database to allow access to all project documents (**Availability**).

It is almost always necessary to make changes along the way as a project is implemented. The project documents cannot therefore remain static although any modifications must be made with caution.

**Inter-service project reviews** are a vital opportunity to compile the latest project information, identify the areas for improvement, **take action and make the necessary changes,** with the Project Manager and programme or mission coordination team taking joint responsibility for the decisions taken. The beneficiaries and partners need to be involved in drawing up and deploying planning-monitoring-evaluation activities.

## Completion

A final external evaluation can be implemented according to project criteria (**Effects**). It systematically includes monitoring of the project partners' contribution to implementation (**Results**) and assessing the reduction in vulnerability of the target populations (**Resilience**).

After the last inter-service project review (**Control**) the following, at the very least, should be shared:

- A project document database (paper or digital) saved according to HI's archiving rules (**Availability**).
- The most recent information required by the partners, funding bodies and support teams (**Information**).

There is a specific requirement to:

- Ensure the beneficiaries are properly informed about the end of the project (**Understanding**),
- It is also a minimum requirement to collect and share the lessons learned from the project (**Learning**), although it is not necessary to conduct an in-depth lesson learning process for each of them.

# III. PRACTICAL SHEETS AND TOOLS

## 1. Proposed tools to meet the minimum commitments to action

**Commitments to meet, tools to adapt**

Unless otherwise specified, the use of the tools proposed below is not mandatory.

As a reminder the 36 key words in the Project Quality Framework are set out in the form of minimum commitments to action. The practices and/or tools proposed herein aim to meet these commitments. They can, where required, be adapted, modified or replaced with an alternative on two conditions:

- The modification or replacement is carried out in collaboration with the programme/mission to ensure consistency between projects in the same intervention zone,
- The end purpose is the same i.e. meeting the commitments in question.

The practices and/or tools proposed to meet each minimum commitment to action are listed in a table (blue sections). They are categorised by phase in the project cycle.

➔ See the table

**Where to find the practices and tools proposed in this table:**

On Hinside!

➔ See Hinside

## 2. Project management guide

The programme/mission coordination plays a key role in establishing a framework that is adapted to the issues and resources, is consistent between projects, accessible to all and meets all the Planning, Monitoring and Evaluation needs in a given intervention zone.

To this end, HI's teams have access to a project management guide that can be adapted to their specific context.

This document puts HI's project planning, monitoring and evaluation policy into practical terms, it:

- Provides support for implementing the minimum commitments to action from the Project Quality Framework
- Describes the main stages of the project cycle, specifying for each of them the objectives, the main requirements, the key components, roles and tools proposed
- Specifically addresses the project managers and teams (operational, technical, support services etc.) which supports the implementation of interventions (field and Head Office)
- Facilitates a collaborative process in which the Project Manager defines the project objectives and methods, for which the support service managers guarantee feasibility (deadlines and resources)
- Specifies the roles of these different actors to establish who is doing, who is validating, who is supporting according to the identified needs and who is informing
- Focusing on project level and does not therefore deal with the management aspects of the mission/programme
- Can be updated if all stakeholders agree to adapt to changes in context and contribute to the continuous improvement of our practices

**Where can this guide be found?**

This guide, as well as examples of guides adapted by HI's programmes/missions, are available online on Hinside.

➔ See a DAH version and a DAD version on Hinside

**Handicap International**

**Guide de Gestion de Projet**

**XXXXX Programme/Mission**

SOMMAIRE



HANDICAP INTERNATIONAL

## 3. Practical sheets relating to the project planning-monitoring-evaluation system

The sheets proposed in this section aim to provide more detailed guidance on the key project planning-monitoring-evaluation components:

- Evaluation
- Indicators
- Data collection
- Inter-service project review
- Do No Harm principle
- Links between financial and operational monitoring
- Drawing up a theory of change / theory of change approach

These sheets are regularly updated and completed with the feedback and questions of HI's teams and partners.

**Where can these sheets be found?**

On Hinside!

➔ See Hinside

## 4. Operationalisation of the Project Quality Framework

The document proposed in this section of the document provides more detail on the HI Project Quality Framework by setting out five possible situations relating to each key word.

Each situation is based on the same reference criteria set out below:

| Poor | Needs improvement | Minimum | Good | Excellent |
|---|---|---|---|---|
| • Below minimum commitments of action<br>• Undocumented<br>• Ad hoc, uncontrolled and reactive manner by users or events<br>• No analysis of performance | • Below minimum commitments of action<br>• Partially documented<br>• Some processes are repeatable<br>• Limited analysis of performance | • Minimum commitments of action<br>• Minimum information documented<br>• Minimum processes established<br>• Minimum analysis of performance | • Beyond minimum commitments of action<br>• Documented<br>• Defined standard processes established<br>• Analysis of performance | • Beyond minimum commitments of action<br>• Documented & used<br>• Focus on continually improving process performance<br>• Evidence of continual improvement |
| **0%** | **25%** | **50%** | **75%** | **100%** |

This document can be used to:

- Operationalise the Project Quality Framework: by suggesting specific situations relating to each key word it facilitates the implementation of self-evaluations, for example, for HI's projects.
- Complete/clarify the Project Quality Framework by detailing certain specific concepts through specific situations and promoting certain concepts such as environment or gender which are not directly cited in the 12 project quality criteria but which apply transversally to all the criteria in relation to the commitments to action.

**Where can this document be found?**

On Hinside!

→ See Hinside

## 5. Glossary

| Concept | Definition | Source |
|---|---|---|
| **Accountability** | The capacity to report in a transparent (clear and understandable) manner to stakeholders (agencies, organisations, groups or individuals with a direct or indirect stake in the action). It aims to demonstrate that the actions have been accomplished according to the agreed procedures and methods, to meet the objectives and explain, where required, any deviations or changes and the reasons behind them. | HI |
| **Activity** | Actions taken or work performed through which inputs, such as funds, technical assistance and other types of resources are mobilized to produce specific outputs. | DAC OCDE |
| **Assumption** | Hypothesis about necessary conditions, both internal and external, identified within a design, to ensure that the presumed cause-effect relationships function as expected and that the planned activities will produce the expected results. | PMDPro |
| **Attribution** | The ascription of a causal link between observed (or expected to be observed) changes and a specific intervention. | DAC OCDE |
| **Audit** | An audit is an assessment to verify compliance with established rules, regulations, procedures or mandates. | IFRC |
| **Baseline study** | A baseline study (sometimes just called “baseline”) is an analysis describing the initial conditions before the start of a project/programme, against which progress can be assessed or comparisons made. | IFRC |
| **Beneficiaries** | **Direct beneficiary** = Any person who receives goods or services from a project implemented by HI or its operational partners. **Indirect beneficiary** = Any person who benefits from the goods or services received by a direct beneficiary of HI or a target actor. | HI |
| **Capitalisation / Lesson learning** | The lesson learning process involves the systematic identification, analysis, clarification and modelling of knowledge acquired over the course of a project or programme, which others can adopt, use and adapt, to avoid repeating the same mistakes. | HI |
| **Consortium** | A consortium is a type of collaborative relationship between two or more organisations whose purpose is to secure the funds | HI |

| | | |
|---|---|---|
| | required to implement a joint project, within a specific context and timeframe (with a single budget consisting of one or more grants). A consortium implies that partners have sufficiently strong implementation capabilities. This is does not necessarily involve a relationship in which the consortium member organisations provide each other with support. | |
| **Criteria** | Benchmark or standard for comparison of progress or achievements. | PNUD |
| **Effects** | A change, whether intended or otherwise, that is attributable directly or indirectly to an action. | OECD DAC |
| **Evaluation** | The systematic and objective assessment of an ongoing or completed project, program or policy, its design, implementation and results including results-sharing and implementation of corrective actions. | DAC OCDE |
| **Gender** | The social differences ascribed to and learned by women and men; these are more or less rigid social norms that vary over time and from one society or group to another. For this reason they should also be thought of as varying across generations (people within different age brackets). Gender differs from sex, which refers to the biologically determined differences between women and men. | EU, Project Cycle Manage-ment Guidelines |
| **Impact** | Positive and negative, primary and secondary long-terms effects produced by a development intervention, directly or indirectly intended or unintended. | DAC OCDE |
| **Indicator** | Indicator of progress or lack of progress in achieving the objectives. It is a quantitative or qualitative variable that evaluates in a simple and reliable way, achievement, change or performance. | PNUD |
| **Key partners** | Key partners are partners that play a decisive operational role. This role exceeds that of simply the project level: it is key for the entire programme, mission or sector. Key partners may also be partners of significance for an entire region, such as, for example, FOAPH (West African Federation of Persons with Disabilities). Key partners may sometimes emerge from the operational level implementation of the strategic partnerships instituted between the head offices of organisations. | HI |

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| **Learning** | The purpose of learning is to contribute to the continuous improvement of interventions, by furthering the creation and transfer of knowledge, feeding back information and sharing the results and lessons learned from our experience on our projects. | HI |
| **Logic framework** | Management tool used to improve the design of interventions most often at the project level it involves identifying strategic elements (inputs, outputs, outcome, impact) and their causal relationships, indicators and the assumptions or risks that may inflluence success or failure. It thus facilitates planning, execution and evaluation of a development intervention. | DAC OCDE |
| **Monitoring** | A continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders (...) with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds." | OECD DAC |
| **Operational partners** | For HI, operational partnership is a form of collaboration between two or more structures which favour cooperation over substitution, subordination or competition. It is a relationship which is built and negotiated in order to reach a shared goal, which requires shared commitment, accountability and responsibility for a project or part of a project. | HI |
| **Outcome** | The likely or achieved short-term and medium-term effects of an intervention's outputs. | DAC OCDE |
| **Output** | Tangible deliverables resulting from project activities. They include products, goods, services and changes (e.g. people trained with enhanced knowledge and skills; quality roads built) that aggregate and contribute to outcomes. | PNUD |
| **Planning** | A process of setting goals, developing strategies, outlining implementation arrangements and allocating the resources needed to achieve those goals. | PMDPro |
| **Planning, Monitoring and Evaluation** | A series of project management processes, i.e. a set of co-dependent and inter-connected activities which aim to measure the results and outcomes of a project and assess its impact, whilst meeting quality, accountability and lesson-learning requirements. | HI |

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| **Primary data** | These are new data collected directly from informants selected according to the aims of the analysis. | HI |
| **Programme / Mission** | A 'programme' is defined as a group of related projects managed in a coordinated way to obtain benefits and control not available from managing the projects individually.<br><br>The term 'programme' is sometimes used (often at the donor's initiative) to refer to an intervention targeted around a specific theme supported by several projects. Within HI, a 'programme' (or mission) frequently makes reference to an organisation located in an intervention country or region, tasked with coordinating one or more projects in this geographic area and reporting to a Field Programme Director or Head of Mission. | PMDPro<br><br>HI |
| **Project** | A set of activities designed to achieve specific objectives within a given budget and a specified period of time. | EU |
| **Project cycle** | A standardized method (widely used by donors) for planning and project management. It allows to identify the different stages of the life cycle of a project from its conception to its closure or the beginning of a new phase ; and provide tools to familiarize oneself with the procedures and improve the methods and practices of project management. | Terre des Hommes,<br><br>Manuel de Cycle de Projet |
| **Project management** | The planning, organisation and management of resources in order to bring about the successful completion of specific project goals, outcomes and outputs. | PMDPro |
| **Project partners** | Our project partners are partners with whom we implement projects without necessarily pledging a joint commitment to a long-term shared strategy, or who work on just one part, or one or more activities within a more global project. | HI |
| **Quality** | An organisation's capacity to pursue its purpose and mission, achieve its objectives of the organisation and serve the beneficiaries and satisfy the expectations of stakeholders at the right cost and in a way that is adapted to the needs, requests and intervention context. | HI |
| **Resources, materials and inputs** | Financial, human and material resources deployed to implement action (...). | OECD DAC |

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| **Results** | The output, outcome or impact (intended or unintended, positive and/or negative) of a development intervention. | DAC OCDE |
| **Results-based management** | Results-based management focuses the planning, monitoring and evaluation of a project on the desired results and the means by which these will, or will not, be achieved. The planning, monitoring and evaluation process should therefore focus on performance and achieving results - rather than on implementing all the planned activities and obtaining all the results within the established timeframe. | UNDP |
| **Results chain** | The causal sequence for a development intervention that stipulates the necessary sequence to achieve desired objectives. Beginning with inputs, moving through activities and outputs, and culminating in outcomes, impacts, and feedback. | DAC OCDE |
| **Risk** | The potential effect of uncertainty on project objectives. | PMDPro |
| **Risks analysis** | A systematic process to provide information regarding such undesirable consequences; the process of quantification of the probabilities and expected impacts for identified risks. | DAC OCDE |
| **Secondary data** | This is pre-existing data that has been collected by others. There are two types: 1. Raw data are available (quantitative or spatial data available in a database for example) / 2. Data have been analysed: the phenomena or situations have already been recorded and summarised in documents which are available for use. In both cases, the sources need to be identified and criteria defined in order to assess the reliability of the sources used. | HI |
| **Self-evaluation** | An evaluation by those who are entrusted with the design and delivery of a development intervention. | DAC OCDE |
| **Stakeholders** | Agencies, organisations, groups or individuals who have a direct or indirect interest in the development intervention or its evaluation. For example: beneficiaries, communities, authorities, operational partners, service providers, professionals, funding bodies, operators, families etc. | DAC OCDE |
| **Strategic alliances or partnerships** | Strategic alliances are directly related to our organisation's federal strategy. They concern HI as a whole, that is to say both its image and resources, and as such are transversal, extending beyond any one single project, programme, mission, service or executive division. Strategic relationships are formalised by agreements signed at Head Office level within the relevant | HI |

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| | organisations. | |
| **Target actors** | Organisations benefiting directly from our projects, which are dedicated to them and whose purpose is to improve the quality of life of our end beneficiaries on a large scale. For example: logistics platforms, technical inclusion unit, civil society support initiatives at local level. | HI |
| **Target group** | A specific category of the population targeted at the start of the intervention to directly or indirectly benefit from the planned project.<br><br>This may be a population living in a specific geographic area (for example, people living in region X in zones contaminated by mines and explosive remnants of war) and/or a specific group within the population which shares common characteristics that are either permanent, or temporary due to a given situation (for example: refugees with injuries, the parents of a child with a disability). | HI |
| **Theory of change** | A theory of change sets out the understanding an organisation or group has of a given change process. It specifies, according to the group, how and why the change should occur. In doing this, it makes it possible to take into account the complexity of a change process in a given context. For HI, it is about a continuous process of reflection which helps the organisation and its actors to determine how they contribute to the change process, and which supports the planning, monitoring and evaluation of our actions. | F3E |

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**Project planning, monitoring and evaluation: Improving the quality, learning and accountability of Humanity & Inclusion's interventions**

This guide is dedicated to improving the quality, learning and accountability of Humanity & Inclusion's interventions.

It is divided into three sections:

1. The "Principles and benchmarks" section defines the key project planning, monitoring and evaluation concepts and outlines the context in which to use the guide, both externally and internally within the organisation.

2. The "Practical guide" section is organised around the stages of the project cycle and explains how to implement the minimum commitments to action included in Humanity & Inclusion's Institutional Project Planning, Monitoring and Evaluation Policy.

3. Finally, the "Practical sheets" section sets out the main tools and materials to support the implementation of Humanity & Inclusion's project planning, monitoring and evaluation system.

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