

# Programme Cycle Management System (PCMS)



June 2010 – Version 1

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## Abbreviations

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CD	Country Director
CWW	Concern Worldwide
DAC	Development Assistance Committee
DIP	Detailed Implementation Plan
DO	Desk Officer
GCU	Grant Coordination Unit
HAP	Humanitarian Accountability Partnership
HR	Human Resources
KB	Knowledge Base (on the intranet)
MoU	Memorandum of Understanding
PCMS	Programme Cycle Management System
PCN	Programme Concept Note
PM&E	Planning, Monitoring and Evaluation
PPMG	Programme Planning and Monitoring Group
RD	Regional Director
SAL	Strategy, Advocacy and Learning
TA	Technical Assistance
ToR	Terms of Reference

## 1.0 Introduction

### 1.1 The PM&E Guide and the PCMS

Concern's Planning, Monitoring and Evaluation (PM&E) Guide aims to provide practical step-by-step advice on how to plan, monitor and evaluate a Concern programme. This PCMS complements the contents of the PM&E Guide by providing the specific management procedures to be used to ensure that the programme cycle is followed to high and consistent standards.

For each of the stages in Concern's programme cycle, this PCMS provides:

- 1) Templates / formats to produce the key documents issuing from each phase.
- 2) Minimum requirements for documents and activities (where applicable).
- 3) Management and approval<sup>1</sup> processes<sup>2</sup>.

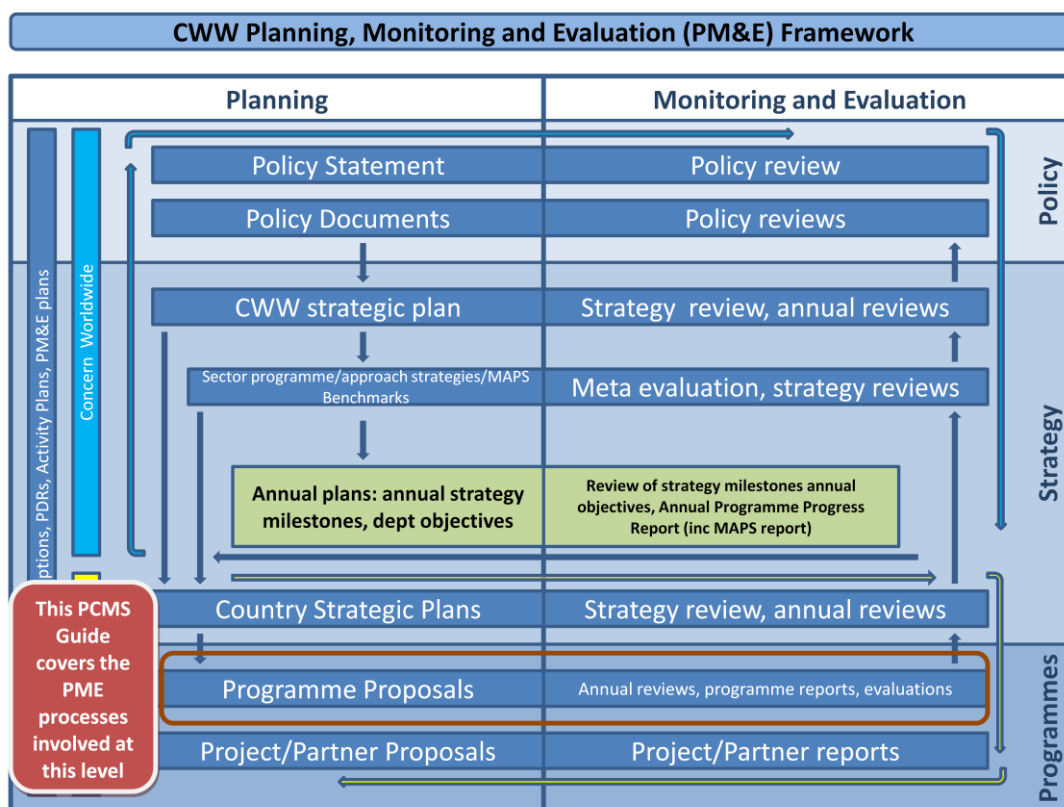
### 1.2 Position of Programme PM&E within Concern's PM&E Framework

Concern's PM&E Framework (Figure 1 below) illustrates the different levels at which PM&E takes place within Concern i.e. policy, strategy programme, project. This Programme Cycle Management System (PCMS) describes Concern's quality control systems for PM&E for programmes and projects that require approval from Regional and/or Overseas Directors.

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<sup>1</sup> Whereas application of the underlying principles may vary with context, in *all* cases the approval process for programmes and for projects must be followed.

<sup>2</sup> The approval process diagrams include suggestions for when documents are uploaded to the intranet and knowledge base. For further background information on the rationale for these uploading processes, please refer to "Using the intranet and knowledge base for the PCMS document life cycle".



**Figure 1: Concern Planning, Monitoring and Evaluation (PM&E) Framework**

The quality standards for the design, implementation and monitoring of programmes and projects are taken from the respective Concern Programme Frameworks. Where components from different sectors are managed jointly in a programme, the quality standards for each component are taken from the respective framework. For example, quality standards for the education components are taken from the *Education* Programme Framework. Quality standards for sanitation work within an Education project are taken from the *Health* Programme Framework.

### 1.3 In-Country Project Cycle Management System

This new PCMS gives the requirements for programmes and projects that require approval by Regional Directors or above. In doing so, it primarily seeks to clarify the interactions between donors, Dublin management, Desk Officers, SAL Advisors, and country office management.

Certain projects would be produced and approved in-country (see [section 2.5.2](#) for details).

### 1.4 Concern's Programme Cycle

The Programme Cycle described is for Concern Country Programmes that are informed by Country Strategic Plans. A Programme life Cycle is typically between 3-5 years. Programme (or project) cycle management is the term given to the cyclical process of planning, managing,

monitoring and evaluating projects and programmes<sup>3</sup>. There are five<sup>4</sup> main phases or events in Concern's Programme Cycle, each with corresponding activities and products.

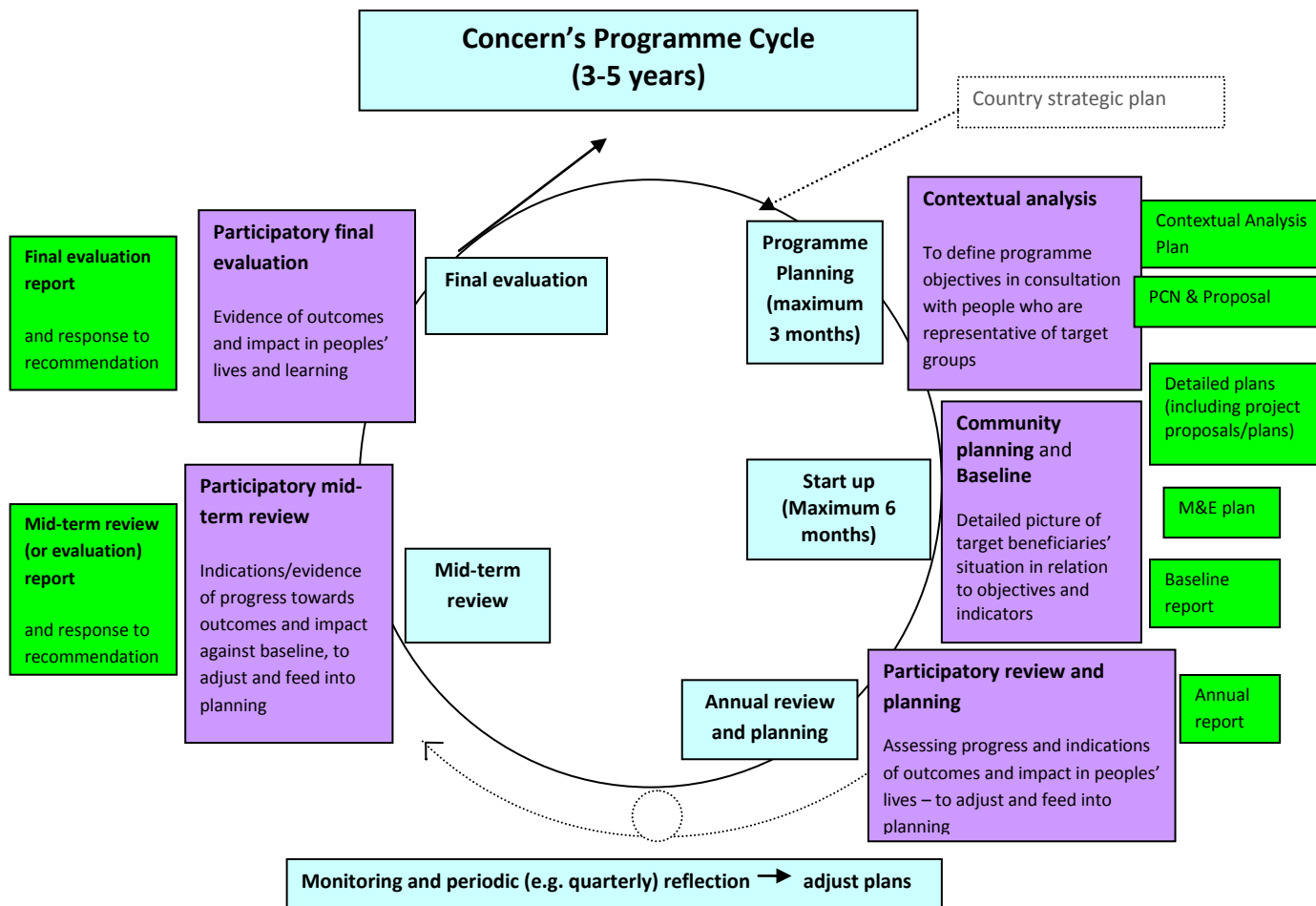
**Figure 2: Principle Phases, Activities and Products of Concern's Programme Cycle**



*Alternatively this is more commonly presently in the diagram below:*

<sup>3</sup> Concern Worldwide (2008). Programme Planning, Monitoring and Evaluation (PM&E) Guide – Version 1.

<sup>4</sup> A 6<sup>th</sup> phase of Monitoring and Periodic Reflection also exists and runs throughout implementation. The products of this phase do not need to be covered by the PCMS.



If the steps in Figure 2 are carried out well, then the conditions for achieving good programme impact are established.

### 1.5 Humanitarian Accountability Partnership (HAP) Standards

The HAP definition of beneficiary accountability has six benchmarks:

1. Humanitarian Quality Management System.
2. Information publicly available.
3. Beneficiary participation in programme decisions.
4. Competencies, attitudes and development needs of staff.
5. Complaints handling procedure.
6. Process of continual improvement.

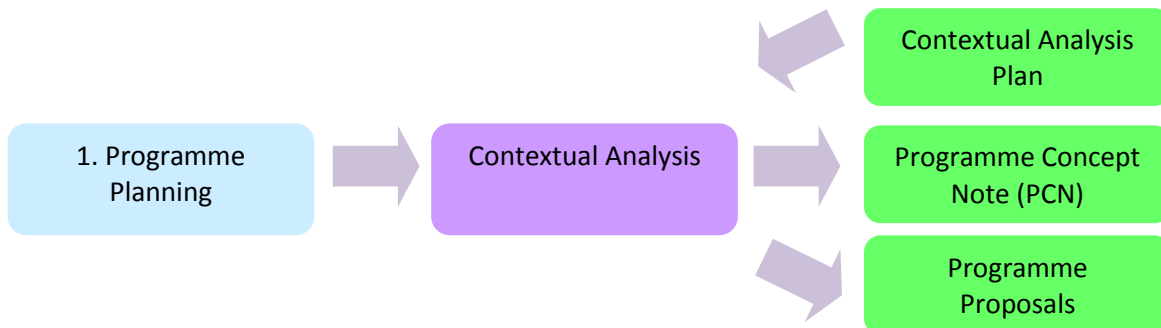
The PCMS is one of Concern's principle management systems used to ensure that the HAP Standard is applied within its emergency and development programmes and projects. In particular, this PCMS incorporates and links to the specific HAP benchmarks 1,2, 3, 4,5 and 6 (as

detailed through this document) to ensure that they are consistently met throughout all of Concern's operations.

### **1.6 Emergencies**

The PCMS is to be followed in chronic on-going emergency situations. However, the processes detailed below would be unsuitable for sudden onset emergencies. In such cases, please refer to the relevant Emergency programme management system. The Emergency Unit has specific guidance on how to design, implement, monitor and evaluate emergency response interventions.

## 2.0 Phase 1: Programme Planning



### 2.1 Contextual Analysis

Contextual analysis<sup>5</sup> is a process of information gathering and reflection which takes place at the beginning of the programme cycle. This is to ensure that programming is relevant to the needs of the target group and host country and links the DAC criterion of relevance. Please note that the contextual analysis here is at programme level, and decisions on the broad nature of programming is likely to have already been made at country strategic planning level, for which holistic contextual analysis based on the paper “How Concern Understands Extreme Poverty” should already have been conducted. Section 2.1 of the PM&E guide provides guidance on programme contextual analysis.

#### 2.1.1 Contextual Analysis Plan Template

Please refer to [Annex 1](#) for the template to be used when writing the Contextual Analysis Plan.

The Contextual Analysis Plan comes **before** the contextual analysis and outlines the proposed contextual analysis process that will take place. Once contextual analysis has taken place, or at a particular point in the analysis, a programme concept note (PCN) is written and then a proposal is developed based on the contextual analysis findings.

The new [Contextual Analysis Plan Template](#) is constructed so that the Regional Director and his/her team have an opportunity to input into the contextual analysis process, to improve the richness and quality, and coordinate necessary technical support before substantial resources are invested by the country team. Because the Contextual Analysis Plan is submitted at the start of the programme planning phase, it means that the country team will not have information like the specific target group, the proposed intervention, the goals, purposes and strategies. This information will instead come later in the programme concept note (having being informed by contextual analysis) and then expanded on in the programme proposal, once contextual analysis has been completed and objectives have been set; this is in line with guidance given in Concern’s PM&E Guide Sections 2.1 and 2.2.

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<sup>5</sup> Otherwise known as situational analysis, or needs assessment in emergency contexts.



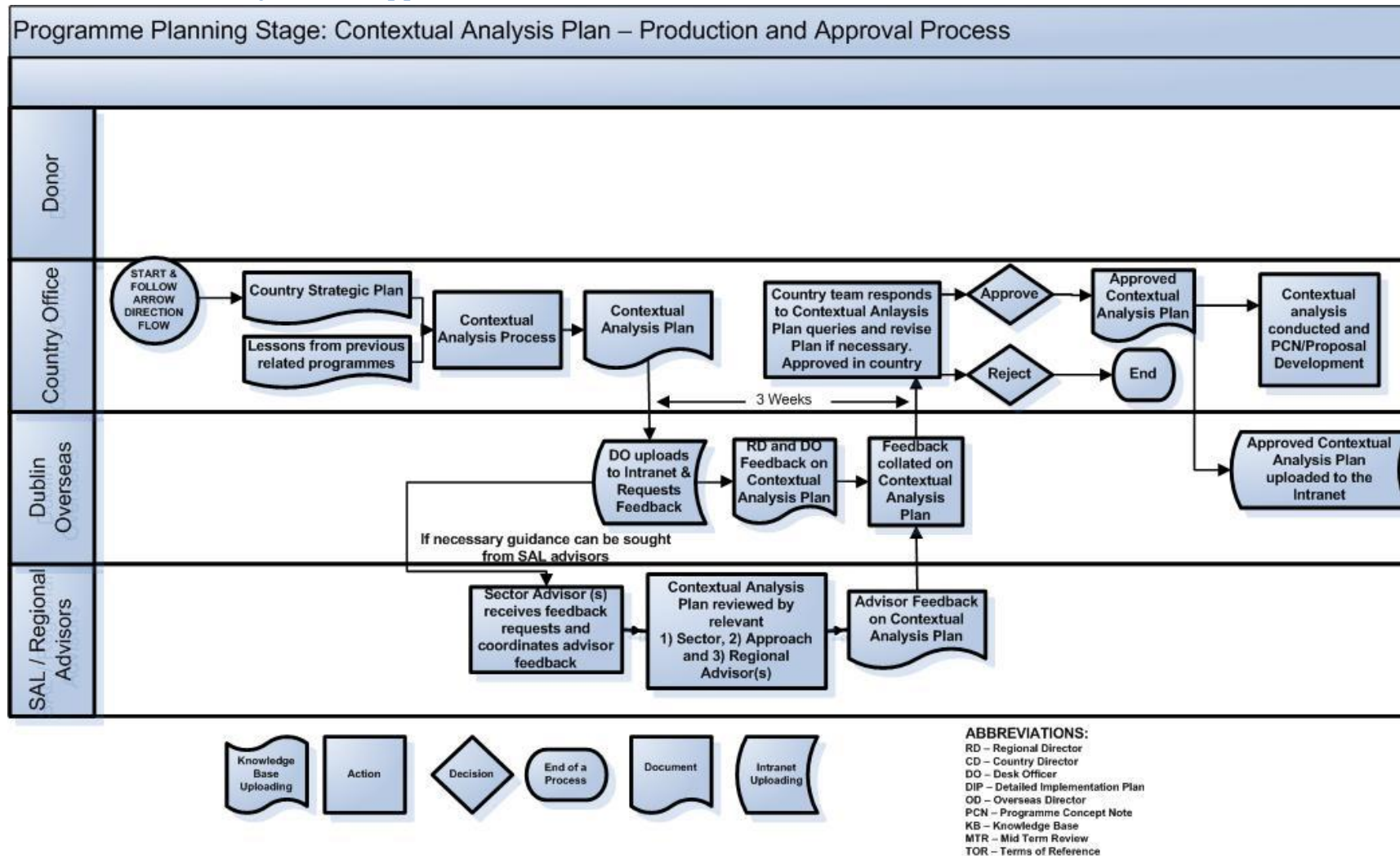
There is no strict format per se for the **Contextual Analysis Report**. Guidance is given on the process in section 2.1 of the PM&E guide and this can be used to structure the report. However the final page the Context Analysis Report should contain recommendations for programming which would form the basis of a Programme Concept Note(s).

*For more information on Contextual Analysis, please refer to section 2.1 of the PM&E Guide.*

### 2.1.2 Minimum Requirements for Contextual Analysis Plans

Checklist - Minimum Requirements for Contextual Analysis Plans	
<b>1. Key Questions</b> <i>(See PM&amp;E Guide Section 2.1 for more information on key questions)</i>	
<ul style="list-style-type: none"> <li>▪ Are the key questions relevant?</li> <li>▪ Are the key questions comprehensive?</li> <li>▪ Are the information gathering processes relevant / realistic / comprehensive?</li> <li>▪ Are the informants the right ones?</li> <li>▪ Are the proposed methods / tools relevant?</li> </ul>	
<b>2. Stakeholders</b>	
<ul style="list-style-type: none"> <li>▪ Are the right stakeholders involved at the right time at the right level?</li> <li>▪ Are the relevant duty-bearers involved?</li> <li>▪ Are any partners / potential partners involved in contextual analysis process?</li> <li>▪ Are colleagues from other sectors involved?</li> <li>▪ Are representatives from intended beneficiaries involved?</li> </ul>	
<b>3. Contextual Analysis Plan</b>	
<ul style="list-style-type: none"> <li>▪ Is the contextual analysis process planned?</li> <li>▪ Are the activities relevant / comprehensive / in line with PM&amp;E Guide best practice?</li> <li>▪ Are the proposed methods / tools the most appropriate?</li> <li>▪ Could the challenges pose too great a risk to the process?</li> <li>▪ Is the contextual analysis timeline realistic?</li> <li>▪ Are the resources required appropriate?</li> </ul>	

### 2.1.3 Contextual Analysis Plan Approval Process



## 2.2 Programme Concept Note Format

### 2.2.1 Programme Concept Note Template

Please refer to [Annex 2](#) for the template to be used when writing a Programme Concept Note (PCN).

The PCN format allows information to be presented after an initial contextual analysis has taken place (it is noted in some cases a PCN may need to be produced before contextual analysis has taken place), and thus proposed objectives and target groups have been decided upon. This should provide a broad view of what the programme should look like.

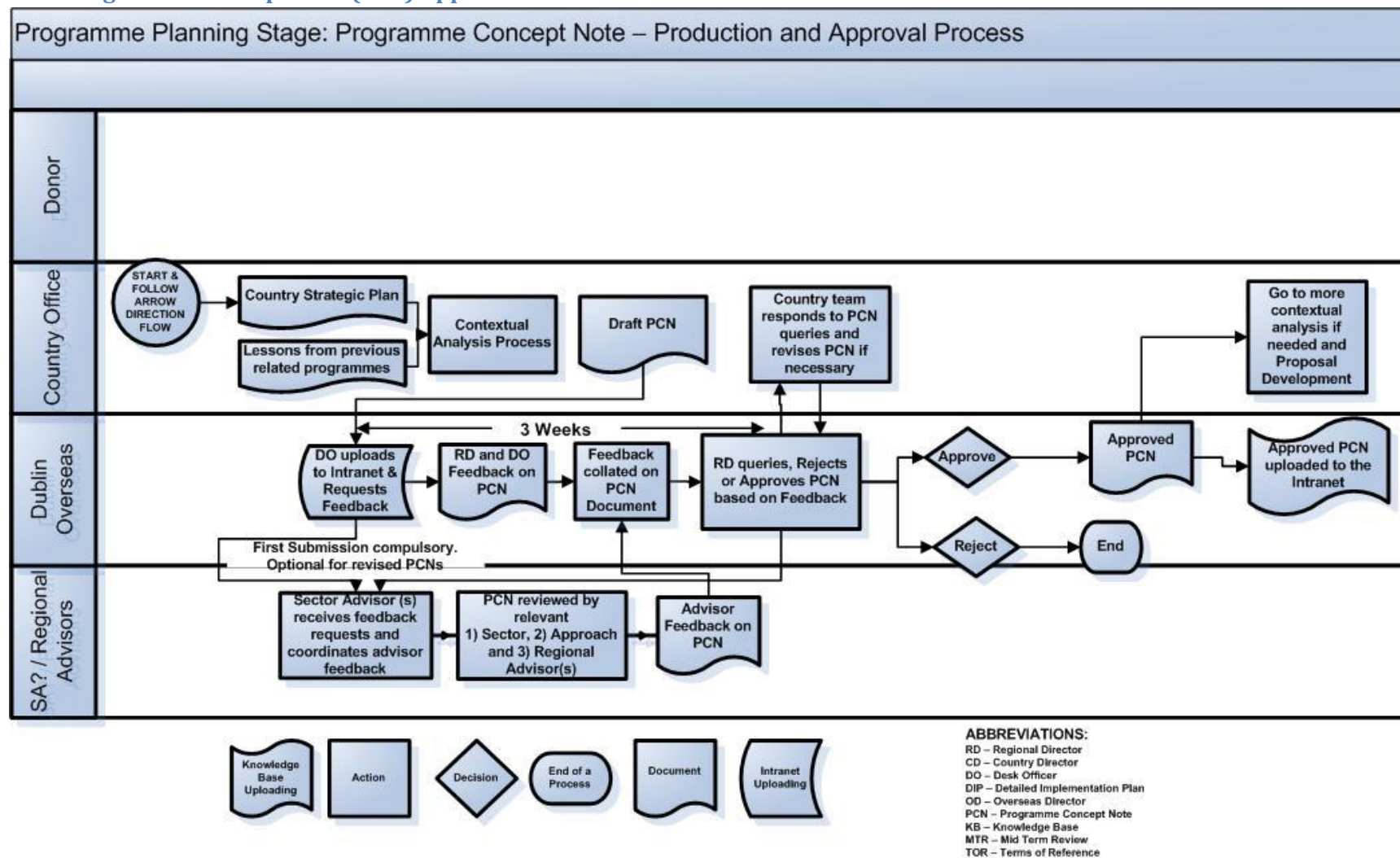
### 2.2.2 Donor Concept Notes

Some donors ask for short concept notes before requesting a proposal. Donor concept notes are summarized parts of the overall programme proposal. *Donors rarely, if ever, request an outline of the proposed contextual analysis process.* As a result, Concern PCNs and donor PCNs could have very different content and approval mechanisms. For donor concept notes, please refer instead to the section on [Donor Programme Proposals](#).

### 2.2.3 Programme Concept Note Minimum Requirements

Checklist – Minimum Requirements for Programme Concept Notes	
<b>1. Target groups:</b>	
<ul style="list-style-type: none"><li>▪ Is the programme location in line with targeting policy and our understanding of extreme poverty?</li><li>• Is there consistency with targeting, so benefits accrue to extremely poor people?</li><li>• Does the analysis differentiate and analyse the groups affected by the issue? (Strange!)</li></ul>	
<b>2. Fit with Concern Policies and Strategy</b>	
<ul style="list-style-type: none"><li>▪ Is the PCN in line with the policies and strategies for the sector(s) including:</li><li>▪ Country Strategic Plan.</li><li>▪ Programme Planning and Monitoring Group (PPMG) framework(s).</li><li>▪ Organisational Approaches.</li></ul>	
<b>3. Objectives:</b>	
<ul style="list-style-type: none"><li>• Have the objectives been set with stakeholders and beneficiaries (or their representatives)?</li><li>• Have objectives been validated by beneficiaries?</li><li>• Are objectives specific, measurable, achievable, realistic/reliable and time bound (SMART)</li></ul>	
<b>4. Proposal development:</b>	
<ul style="list-style-type: none"><li>• Are the projected timetable/steps to proposal development outlined?</li></ul>	
<b>5. Follow-on Programmes</b>	
<ul style="list-style-type: none"><li>• Have the recommendations and learning from any previous programme(s) been used in influencing this PCN's design?</li></ul>	

### 2.2.3 Programme Concept Note (PCN) Approval Process



## 2.3 Programme Proposal Format

### 2.3.1 Programme Proposal Template

Once the PCN is approved, more detailed objective setting processes are carried out and finalised (*For more information on these processes, please refer to sections 2.1 and 2.2 of the PM&E Guide*). The results from these processes are used to produce a programme proposal.

The template to be used when submitting programme proposals can be found in [annex 3](#)

Further details regarding the new proposal requirements of a Monitoring and Evaluation Plan, a Human Resource Plan, Technical Assistance Plan are given below.

### 2.3.2 Monitoring and Evaluation Plan

A comprehensive Monitoring and Evaluation (M&E) Plan is developed during the [start-up phase](#) of the programme cycle, once the programme proposal has been accepted for funding. For purposes of the programme proposal, only the following information is required:

- 1) Approximate dates/schedule for a baseline, mid-term review and end of programme evaluation.
- 2) Approximate dates for annual programme review meetings.
- 3) Indicative structure for annual programme reviews including number of days and participants.
- 4) The proposed process for the development of an M&E plan during the start-up phase.

The M&E plan should also incorporate a **learning plan**, which details the following:

- 1) Any major questions the programme will seek to address.
- 2) Any research that will be undertaken to answer these questions. If no research is planned, details of how these questions will be answered.
- 3) How learning from reviews, evaluations and advisor/consultant reports will be used within country, organisational and/or within development community (both best and worst practice).

### 2.3.3 Human Resource Plan

The Human Resource (HR) Plan must provide the overall management structure and staffing plan required to design and implement the programme. The inclusion of a HR plan also serves to comply with HAP Benchmark 4<sup>6</sup>. The HR Plan should include:

- 1) The Concern programme organogram and partner organogram (where partners are known). Posts that are currently unfilled should be indicated.
- 2) The main responsibilities of Concern and partner staff.

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<sup>6</sup> HAP Benchmark 4: The agency shall determine the competencies, attitudes and development needs of staff required to implement its humanitarian quality management system.

- 3) For unfilled posts, include job descriptions and person specifications (detailing key competences, skills and experience required). Indicate also whether these posts would be filled by international or national staff.
- 4) Include CVs of managers and in-country programme staff.
- 5) Proposed lines of communication between Concern and partners.
- 6) Indicate key risks related to likely or possible staffing gaps and outline mitigation measures. This is especially important for countries where it is especially difficult to recruit international or highly skilled staff.

### 2.3.4 Technical Assistance Plan

The Technical Assistance (TA) Plan should include details of any additional technical assistance required over the duration of the programme (which would be in addition to programme staff). It should include the following:

- 1) Objectives of each piece of technical assistance.
- 2) What form/tasks the TA will take e.g. In-country visit, desk support, research study, capacity building, surveys etc.
- 3) When assistance will be required e.g. during planning, annually, at mid-term etc.
- 4) The skills, competencies and experience required for the assignment.
- 5) Requests for specific members of Concern or plans to use specific external staff e.g. SAL advisors, consultants, peer country staff etc.

### 2.3.5 Logframe

The programme logframe should include details of the goal, purpose, outputs and examples of activities of the programme. Provisional indicators and means of verification (MOV) should be included. In the proposal, it can be explained that indicators will be defined or refined with all stakeholders during development of the M&E plan in the Start-up phase. *For more information on Setting Objectives to produce Impact Chains and Logframes, please refer to section 2.2 of the PM&E Guide.*

If a donor requires a lot of detail on M&E at this stage, a full M&E plan may have to be developed. *For more information on M&E Plans, please refer to section 2.6 of the PM&E Guide.*

### 2.3.6 Programme Proposal Minimum Requirements

The following questions will be asked when managers are approving programme proposals:

Checklist - Minimum Requirements for Programme Proposal	
1. Organisational and Country Fit	
<ul style="list-style-type: none"> <li>•</li> <li>•</li> <li>•</li> <li>•</li> <li>•</li> </ul>	Is there consistency with Concern's vision, mission and values?
	Are there close linkages to the Organisational Programme Frameworks?
	Is there a close linkage to the Country Strategy Plan and other country programmes?
	Does the programme conform to national governmental policies and plans (PRSP)?
	Has consideration been given to innovation and the potential for influence?



## **2. Targeting**

- Is there consistency with targeting, so benefits accrue to extremely poor people?
- Does the analysis differentiate and analyse the groups affected by the issue

## **3. Objectives and Logframe**

- Is the logframe based on the problem statement, alternatives analysis, and resulting impact chain?
- Is the logframe complete and logical (horizontally and vertically) and does it reflect an in-depth “impact pathway” or “theory of change” analysis?
- Are Indicators SMART, verifiable and reliable (including impact indicators)?
- Have risks and assumptions been thoroughly analysed?
- Are there plans for objectives to be regularly reviewed to ensure they are still appropriate and adjusted if necessary?

## **4. Technical Appropriateness**

- Does the programme adhere to relevant technical standards and practices, and follow the relevant sector policies?

## **5. Relevant Quality Standards**

- Is there reference made to quality standards ascribed by Concern - These may be ratified standards such as Sphere or may be adopted guidelines on ‘best practice’ (e.g. HAP, MSF Nutrition Guidelines; CARE SEAD Tools for micro-enterprise/micro-finance; Concern Micro-finance Policy etc.)?

## **6. Participation and Accountability to Beneficiaries**

- Is there involvement of all necessary stakeholders at the right time and at the right level?
- Is active participation of and accountability to beneficiaries planned throughout the programme?
- Does the proposal comply with HAP Benchmarks including plans for provision of information (Benchmark 2); participation of beneficiaries and their representatives (Benchmark 3); establishment and implementation of complaints response mechanism (Benchmark 5) and process for continual improvement (Benchmark 6)?
- Do partners understand the HAP standard? Has an agreement been made with the partners on implementation monitoring and evaluating against the standard?

## **7. Partnership**

- Do stakeholder analysis results confirm the selection of partners?
  - Is the proposal working with old partners without justification for choosing them?
  - Is there synergy between the chosen partners?
- Is partnership possible within the given context?
  - Should your partner require substantial capacity building, would this level of support lead to the anticipated positive impact on the extreme poor?
  - If there are no credible existing partners, are there other relationships that Concern can foster in order to achieve programme impact?
- Were partners involved in contextual analysis and programme design?
- Are the roles and responsibilities of Concern and each of the partners clear?

## **8. Capacity building**

- Is the programme attempting to build capacity of key stakeholders which would leave behind a sustainable local structure/system?
- Will capacity building plans be based on capacity assessments and how often will changes

in capacity be measured?

- Does the project allow sufficient time and resources for 'learning-by-doing'?
- Who will provide capacity building support and do they have the right skills, experience, and attitudes to provide such support?

#### **9. Rights Based Approaches**

- Does the proposal address the right to life and basic rights within a humanitarian context, or the sustainable realization of rights within a development context?
- Does the proposal make use of Concern RBA strategies: advocacy, capacity building of duty-bearers, and empowerment of rights holders (within development contexts) or humanitarian advocacy, service delivery and value added capacity building (within emergency contexts)?

#### **10. Disaster Risk Reduction**

- Does the proposal (problem statement) identify the shocks and stresses and their impacts that threaten the lives and livelihoods of our target group?
- Does the proposal (problem statement) identify how and why different parts of our target group are vulnerable to those impacts?
- Does the proposal outline how the risk of those shocks and stresses can be reduced?
- Does the proposal identify risks to the project and programme aims?
- Does the proposal outline how these risks can be mitigated?
- Does the intervention potentially increase risk for our target group?
- If so how will the intervention minimise these potential risks?
- Is the proposal socially and environmentally appropriate?

#### **11. Assessing HIV and AIDS risk, vulnerability and impact, and outlining a mainstreaming response action plan**

- Has the proposal analysed the risk and vulnerability to HIV and AIDS infection of the target group?
- Has the proposal assessed the existing effect of HIV and AIDS on the poverty and livelihoods of the target group (current or potential impact)?
- Has the proposal addressed issues of HIV and AIDS vulnerability and dealt adequately with the progression from knowledge to behaviour change in relation to Concern's HIV and AIDS Policy 2007 and Strategy 2008 - 2012? (Ref. Annex 1. "six-step" roadmap for HIV mainstreaming in programmes and at the workplace)
- Does the programme include, at a minimum, increasing knowledge of HIV and AIDS among the target group, Concern's staff and partner staff among its activities, aiming to reduce HIV risk, vulnerability and impact?
- Does the programme logframe include a HIV mainstreaming indicator and does the programme in general support the national HIV response, i.e. the 'three ones'- *One HIV and AIDS action framework, one national AIDS coordinating body, and one monitoring and evaluation system*?

#### **12. Equality (especially gender)**

- Has there been an analysis with the different equality groups within the extremely poor which identifies the specific barriers and constraints they face to participation, access and control over resources, services and institutions?
- Does the programme design and budget include specific interventions and activities which respond to the situation of different equality groups?



- Have the specific practical and strategic needs of women and gender issues been identified, considered and integrated in the programme design and budget?
- Is the management and approach of the programme ensuring greater participation and empowerment of marginalised and/or excluded groups?

*Reference: Checklist for Mainstreaming Equality through the Programme Cycle, Equality Analysis Resources, Concern Worldwide August 2008*

### **13. Advocacy**

- Has the programme any advocacy objectives?
- Has problem analysis been carried out and does it point to any advocacy objectives?
- How is the programme tackling the main problems and the causes of local poverty?
- Which issues are being tackled by advocacy activities in-country and which issues are being 'passed-up' to Concern at a regional or global level?
- Does proposal contribute to core Concern advocacy objectives/issues?
- If an advocacy programme, are the benefits for the poorest adequately explained?

### **14. Social Protection**

- Has the proposal identified how the rights and needs of the destitute or 'bottom 5%' will be addressed?
- If some form of social safety net or social protection is part of Concern's intervention, is it in line with Concern's Policy on Social Protection (April 2008)?
- If we are implementing safety net or social protection interventions, are we ensuring that we are addressing key policy questions as part of the intervention and are we working with specialist institutions to ensure that we have will have high quality evidence at the end of the interventions that will have a wider policy impact?
- If we are not directly addressing the needs of the 'bottom 5%', are we advocating for services or social protection to that group? How can we most effectively do this?
- If we are not doing any of the above, what justification can we give for not dealing with the rights of this target group?

### **15. PM&E System**

- Is the programme based on a holistic and multi-level analysis of the context based on Concern's understanding of extreme poverty (Planning)?
- Are interventions based on the DAC criteria (Relevance, Impact, Effectiveness, Efficiency and Sustainability)?
- Is there an M&E plan, is this appropriate for use in decision-making, learning, participation, and measuring results, outcomes and impact and for accountability purposes?
- Is the proposed M&E plan development process during the start-up phase realistic and based on measuring the achievement of short, medium and long term results, with appropriate indicators?
- Is a comprehensive baseline planned for against which to measure impact as indicated in the logframe?
- Are there appropriate plans for learning to be distilled and documented?
- Has attention been given to the capacity requirements for a functional and effective M&E system, particularly in relation to working with partners?

### **16. Other Important Questions**

- Is the proposal realistically achievable within the timeframe?

- Is the budget pitched at the right level?
- Is the budget in line with donor requirements (absolute amount and percentage)?
- Is the proposal reasonably concise and clear?
- Is the proposal being submitted on time?
- Has the sustainability of the project been adequately analysed and answered?
- Do the benefits justify the budget?

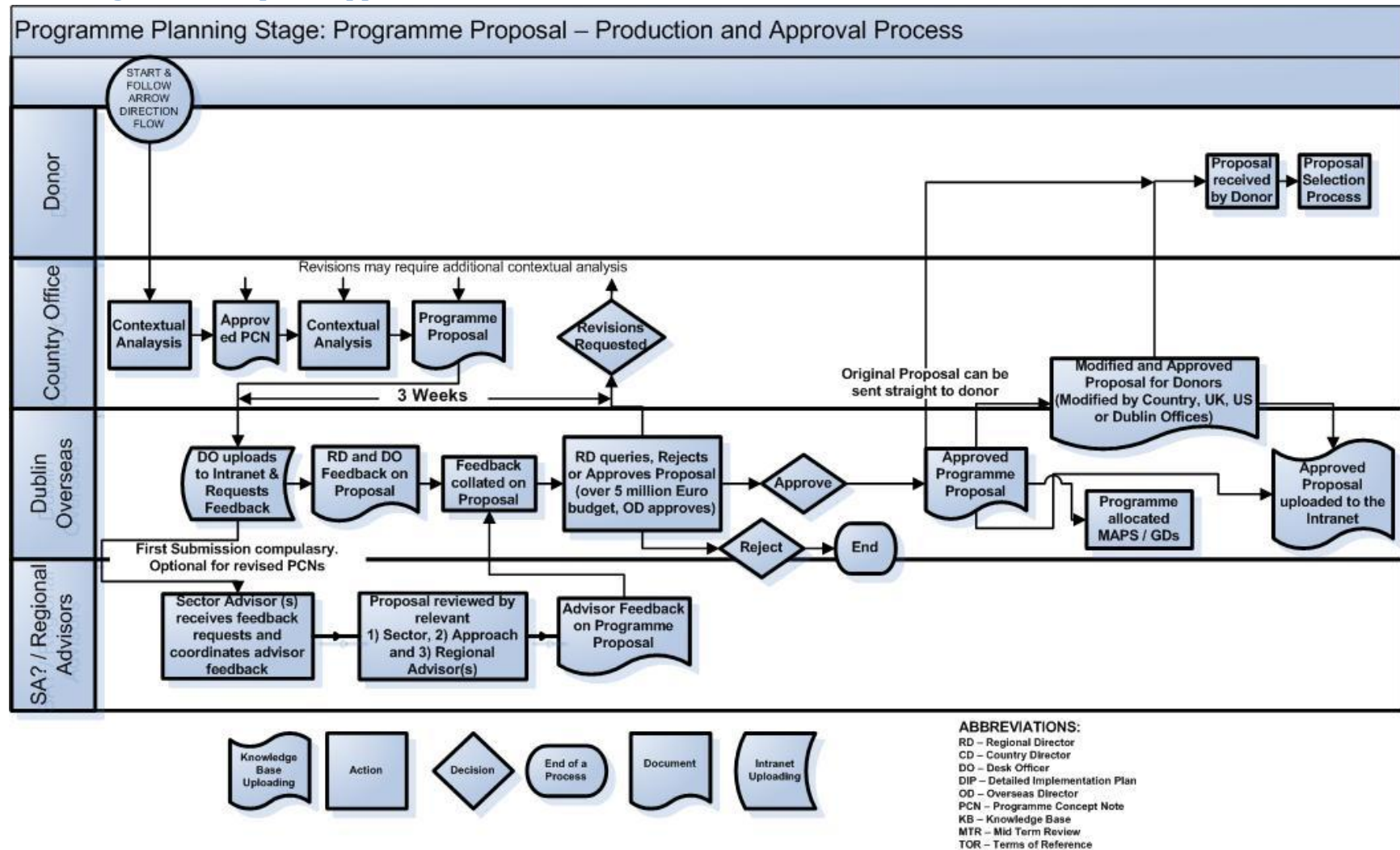
#### **17. HR Plan**

- Do we have the staff capacity to manage the programme and if not, can we realistically build staff capacity to do so or can we recruit them?
- Does the programme take into account the initial management and implementation capacity of partners and Concern and plan for any necessary capacity enhancement?
- Have Concern and partner staff the necessary skills and understanding to address equality issues? Are there measures in place (and costed) to develop skills and knowledge?
- Does Concern staff have the skills to be able to facilitate capacity building? If not, what provision is made for them to acquire these skills?
- Is there a proportional representation of men and women on the team?

#### **18. Technical Assistance**

- Is the scope of required technical assistance clear
- Are the objectives of each piece of technical assistance set
- What key skills, competencies and experience will be sourced through the technical assistance

### 2.3.3 Programme Proposal Approval Processes



## 2.4 Donor Programme Proposals

As official and private donor funding mechanisms change, Concern intends to adapt its fundraising methods to take advantage of new opportunities. This may mean building projects into country programmes, or building country programmes (or components of them) into organisational programmes to take advantage of large funding packages. This is currently taking place as Concern seeks to secure multi-country thematic funding.

As long as programming processes are good and of high quality, it should be straightforward to re-package these programmes for donor requirements. This is because re-packing will not result in major changes to programme design.<sup>7</sup>

Donor concept notes and proposals may be submitted part way through the programme cycle, if this is the case there should already be a baseline in place. The team may then need to revisit and carry out Start-Up activities so that there is a community planning and a baseline for the start of the donor funded activities. The programme should then continue on the programme cycle but the time line may need revisiting depending on donor commitments.

All decisions about submissions of such proposals to donors must be approved by Regional Directors. Regional Directors can approve budgets of 5 million Euro or 1 million Euros per annum over five years. Above their authority levels, approval is by the Overseas Director.

For multi-country programmes within a single region, the Regional Director will be responsible for the programme. Guidance and technical support will be given for newer form of multi-country programme or for sector specific multi-country proposals. For cross-regional programmes, the Overseas Director will appoint the manager. For Alliance or Consortium Programmes, the key principles of the PCMS system are to be followed and this is to be specified within the MoU.

It is important that in merging programmes into proposals for donors we do not lose sight of the quality factors in our programme design and management. These factors are based on:

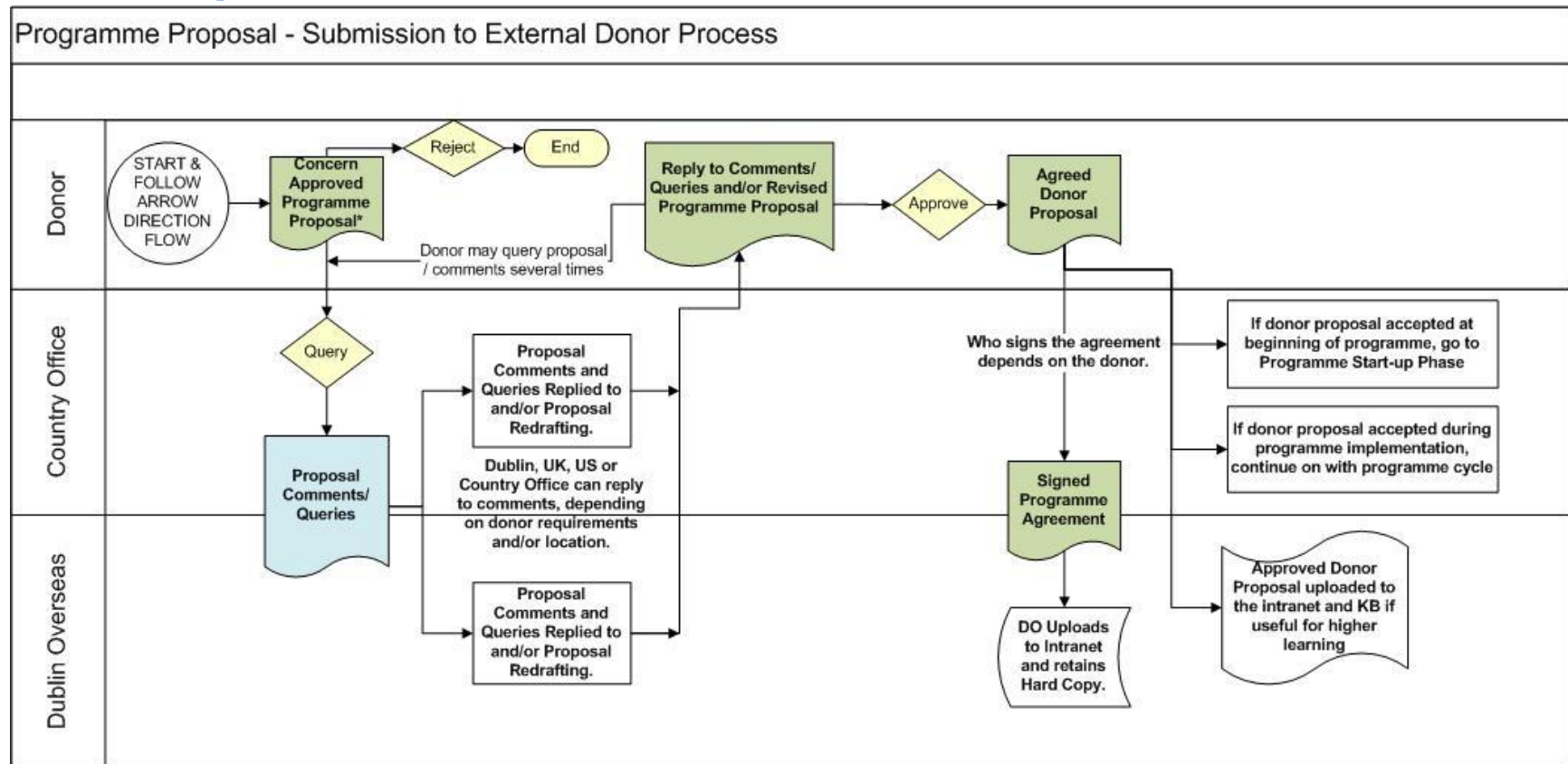
- Effective targeting
- Beneficiary participation
- Holistic analysis
- Good PM&E and a results focus
- Experience and learning
- Good financial management

Note that it is not mandatory for SAL advisors to be involved in the donor proposal feedback and approval process, unless requested to participate by Overseas.

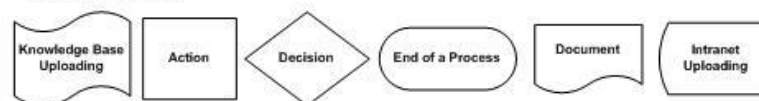
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<sup>7</sup> In the MAPS proposal we set out organisational programmes and purposes which are to be managed and achieved by the implementation of programmes and projects in many countries. The individual programme and projects are designed within organisational policies and frameworks, but are not detailed individually in the MAPS proposal.

## 2.4.1 Donor Proposals Submission Process



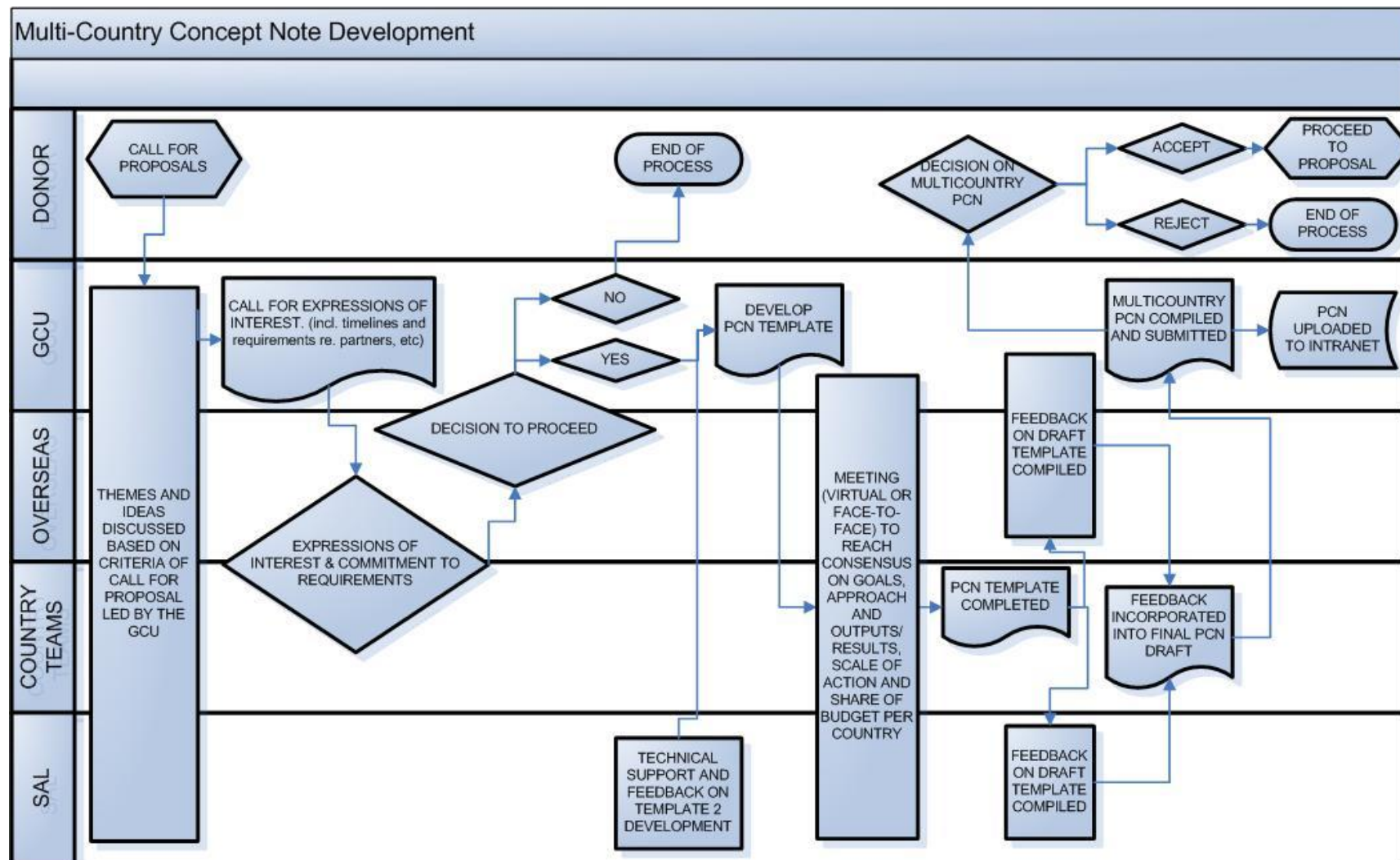
### SYMBOL KEY



### ABBREVIATIONS

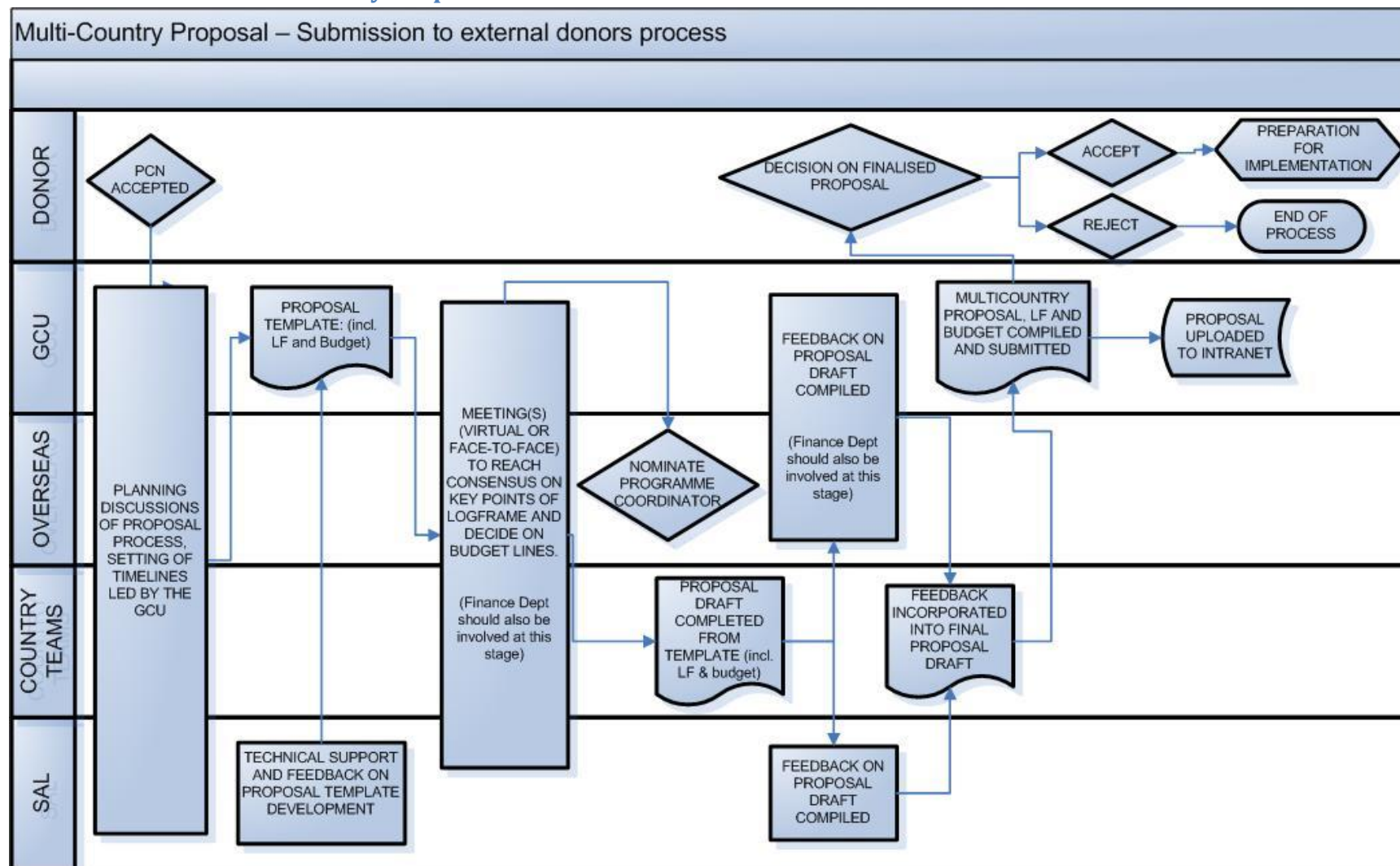
RD – Regional Director  
 CD – Country Director  
 DO – Desk Officer  
 DIP – Detailed Implementation Plan  
 PCN – Programme Concept Note  
 KB – Knowledge Base  
 MTR – Mid Term Review  
 ToR – Terms of Reference

## 2.4.2 Draft Donor Multi Country Programme Concept Note Submission Process





### 2.4.3 Draft Donor Multi Country Proposal Submission Process



## 2.5 Project Proposals

### 2.5.1 Project Proposal Format and Minimum Requirements

The format and minimum requirements for a project proposal developed and implemented by Concern and/or partners is similar in structure to that for Programmes (see sections [2.3](#)). The level of detail in the proposal is expected to be in proportion to the duration and scope of the project.

Human resource, technical assistance, and evaluation requirements will vary depending on the duration and scope of the project. For example an end of project evaluation for a one year project may take the form of an internal review rather than an externally led evaluation. However, such an internal review has to include the measurement of change in as hard a form as possible. Monitoring and routine collection of data in the project will be a requirement regardless.

### 2.5.2 Project Proposal Approval Process

Under this new PCMS, project proposals do not have to be sent to Dublin for approval **as long as they are within a previously approved programme proposal and within specified budget limits**. Documents should however be circulated to the desk for review and information management.

In-country projects are approved by the CD up to a limit €100,000 per annum and not for more than five years, and provided that they fit within and contribute to approved Country Programmes. Above this limit they are approved by the RD.

The templates, minimum standards and approval processes for projects approved within country will be provided in a separate Project Cycle Management System document at a later date.

### 2.5.3 Timing of Programme Proposals and Project Proposals

For a new programme, project proposals would ideally to be developed *after* programme proposal approval and during the detailed planning process in the start up phase. Alternatively, some may wish to develop short project outlines as part of the programme proposal; this may be required for some donors.

The timing of these project and programme proposals (i.e. which comes first) will vary. For example, the timing may depend on whether there is ongoing project work, on the strength of partners etc.

*For more information on this, please refer to Section 1.7 of the PM&E Guide, 'Moving from Projects to Programmes'.*



### 3.0 Phase 2: Start Up



The start up phase consists of start up workshops, community planning exercises and baseline data collection. **Community Planning and Baseline data collection is not the same as Contextual Analysis.** Contextual Analysis should outline programme options and inform PCN and Proposal Development. Community Planning and Baselines are more focused and inform the detailed programme plan. These processes are all defined and explained further in the PM&E guide. Although the PCMS and PM&E guide details the order of events in the Start-Up Phase, the exact order and timelines of events may vary. The Start-Up Phase ultimately aims to provide a Detailed Programme Plan that is developed in conjunction with stakeholders and target communities to create a shared vision among all programme partners and strengthen partner relations. It also collects baseline qualitative and quantitative data against the log frame indicators, informs programme priorities and strategies and provide a clear picture of the situation at the start of the project/programme that can be tracked through the programme lifecycle. This process may lead to a refinement of programme activities, indicators and targets and should take no longer than six months.

### 3.1 Start-Up Workshop

#### 3.1.1 Start-Up Workshop Definition

A start-up workshop consists of a series of critical events that are used to launch / kick start a programme.

#### 3.1.2 Start-Up Workshop Process Minimum Requirements

Checklist – Minimum requirements for Start-Up Workshop
<ul style="list-style-type: none"><li>▪ Revisiting the original problem analysis, programme logic and reviewing the logical framework (logframe).</li><li>▪ Reviewing stakeholder analysis and analysing how different stakeholders need to be involved.</li><li>▪ Consolidating ways of collaborating and working in partnership.</li><li>▪ Developing an M&amp;E plan at programme level (detailing data collection, analysis and use) with the involvement of the entire team (<a href="#">annex 4</a>).</li><li>▪ Doing detailed activity planning for the first year, including details about human resources,</li></ul>

technical assistance needs, baseline (linking to the M&E plan) and community planning processes.

- Establishing or reviewing the CRM mechanisms for accountability to beneficiaries, including review of information needs and appropriate levels of participation.

*For more information on Start-up Workshops, please refer to section 2.5 of the Concern PM&E Guide, 'Baselines'.*

## 3.2 Community Planning

### 3.2.1 Community Planning Definition

Community planning is about involving community members in analysing their needs, identifying desired changes, developing strategies and activities that will help to bring them about, and developing plans for their community, based on their priorities. In effect, it is like the contextual analysis and objective setting that is done for a programme but focused at community level and carried out in a way that is appropriate and useful for community members. In particular, it is about ensuring that the voices of the poorest and most vulnerable and marginalised are heard and responded to in this process<sup>8</sup>.

The product of community planning is community level plans. The community plans should fit within the broad project/programme objectives. However if community planning raises issues that did not come up during programme planning these need to be considered and programme objectives adjusted as necessary

*For more information on how to do Community Planning, please refer to section 2.8 of the PM&E Guide, 'Community Planning'.*

### 3.2.2 Community Planning Minimum Requirements

#### Checklist – Minimum Requirements for Community Planning

- Detailed community planning (and project planning) should take place during the Start up phase (after programme approval): exceptions are made in contexts where community level engagement is prohibited.
- The poorest, most vulnerable and marginalised must be at the centre of community planning. This includes identifying who and where they are: this is part of the process of targeting / process of disaggregation according to vulnerabilities.

<sup>8</sup> This is in compliance with HAP Benchmark 3 - The agency enables beneficiaries and their representatives to participate in programme design and seek their informed consent.

- If it is a new programme area there should first be discussion and agreement with community representatives and local authorities on working in the community. This should include making information available in appropriate ways to all community members about who Concern/partners are and what our commitments are<sup>9</sup>.
- The objectives, assumptions and contents of the logframe of the programme should be validated with potential beneficiaries during community planning before working on project level objectives.
- The community plan should be communicated to the wider community.
- Community plans should also include a simple outline for how the activities and outcomes will be monitored and reviewed following discussions with intended beneficiaries<sup>10</sup>. This is the time to ensure that accountability mechanisms are in place, that community members are fully informed about Concern/partners and the project/programme, and that feedback mechanisms are clear, accessible and safe to all.
- Any existing complaints handling mechanisms within the community are identified<sup>11</sup>.

### 3.2.3 Detailed Plan Minimum Requirements

The minimum requirements for detailed plans are that the community planning processes (used to formulate detailed plans) have taken place. Approval of detailed plans is by the Country Director who ensures that community planning has adhered to the above [minimum requirements](#). The Detailed Plan should be the key document used during the implementation of the programme activities and monitoring and evaluation of results.

## 3.3 M&E Plan

### 3.3.1 M&E Plan Definition

An M&E plan clarifies the purpose and scope of M&E, and details the capacities and conditions needed to ensure high quality and rigorous M&E happens. In addition, it contains an M&E matrix, which defines in much more detail than the logframe:

- What data needs to be collected, why, by whom, how and when?
- How data will be analysed, by whom and when.
- How the analysis and results will be used and/or to whom it will be communicated.

<sup>9</sup> This is in compliance with HAP Benchmark 2 - The agency shall make the following information publicly available to intended beneficiaries, disaster-affected communities, agency staff and other specified stakeholders - pages 64-71 of HAP Guide

<sup>10</sup> This is in compliance with HAP Benchmark 3.2 - The agency shall enable intended beneficiaries and their representatives to participate in project design, implementation, monitoring and evaluation - Pages 64 -71 of HAP Guide

<sup>11</sup> This is in compliance with HAP Benchmark 5 - The agency shall establish and implement complaints-handling procedures that are effective, accessible and safe for intended beneficiaries, disaster-affected communities, agency staff, humanitarian partners and other specified bodies - Pages 79 -87 of HAP Guide

The programme proposal and logframe will give a general overview of the programme's M&E, but the detailed planning of M&E (the M&E plan) will only be developed after the proposal has been approved.

*For more information on how to produce M&E Plans, please refer to section 2.6 of the PM&E Guide, 'M&E Plans'.*

### 3.3.2 M&E Plan Format

Please refer to [Annex 4](#) for the template to be used when writing the M&E Plan.

### 3.3.2 M&E Plan Minimum Requirements

The minimum requirements for M&E plans are that a start-up workshop (where M&E plans are formulated) has taken place. Approval of M&E plans is by the Country Director who ensures that start-up workshops have adhered to the above [minimum requirements](#).

## 3.4 Baseline

### 3.4.1 Baseline Definition

Once the M&E plan is developed the baseline is conducted on the basis of this plan.

A baseline provides a detailed picture of target populations' situation in relation to objectives and indicators at the beginning of an intervention. The baseline is the first time information is collected about the indicators and key questions that the M&E system plans to answer. It provides detailed information about what the current situation is (before the programme has started) so that later, when the information is collected again, change can be measured. Specific planning of the baseline should be done at the same time as developing the M&E plan or as soon afterwards as possible.

*For more information on how to produce Baselines, please refer to section 2.7 of the Concern PM&E Guide, 'Baselines'.*

### 3.4.2 Baseline Data Collection Process Minimum Requirements

#### Checklist – Minimum Requirements for Baseline Data Collection

- The M&E plan and M&E matrix must be developed before collecting any baseline information.
- Information collected has to be clearly linked to the indicators or measures of success at each level. These are clearly related to the objectives and key questions of the project and the specific target group(s).
- Baseline data should ideally be collected during the start up phase of the project, and ideally before project implementation.

- The baseline should be relevant for all stakeholders including the target population.
- Baseline findings should be analysed with your target population and other stakeholders and adjustments made to the project/programme as necessary<sup>12</sup>.
- The rationale for the baseline, the data itself and the analysis must be well documented and stored in such a way that any new person starting to work for the programme would be able to understand exactly what has gone on before.
- Absolute clarity has to be provided on the size and source of the sample households and any other information which is key for ensuring that change can be measured by conducting a comparable end-line at a later stage.

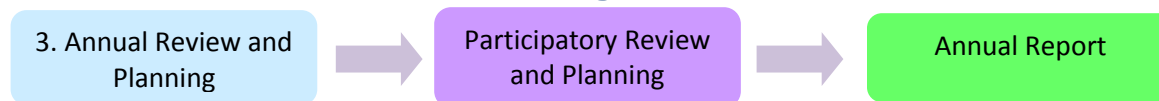
### **3.4.3 Baseline Report Minimum Requirements**

Approval of baseline reports is by the Country Director who ensures that baseline collection processes have adhered to the above [minimum requirements](#).

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<sup>12</sup> This is in compliance with HAP Benchmark 3.2 - The agency shall enable intended beneficiaries and their representatives to participate in project design, implementation, monitoring and evaluation

## 4.0 Phase 3: Annual Review and Planning



### 4.1 Annual Review and Planning Definition

Participatory reviews are the principal events for review and planning. They can be held annually, six monthly or more frequent if necessary (for example, in emergency contexts).

Concern and partner staff come together with other stakeholders (including programme/project participants) and with technical assistance providers as appropriate, to examine and analyse existing monitoring data<sup>13</sup>. Please refer to the PM&E Guide to understand the nature of data to be analysed annually. Measurement of change (at outcome or impact level) is very difficult to do well at short intervals so clarity as to what data will be used is important. In most cases, annual review will utilise secondary data or information collected regularly through the year. But also any primary data, specifically collected for the review, should be analysed together with secondary data to:

- Assess jointly how programme activities are progressing
- Identify indications of outcomes and impact for beneficiaries
- Examine ways of working and relationships between the various stakeholders
- Make adjustments and feed into planning

The timing of participatory reviews is critical and should be in line with annual cycles of reporting, planning and budgeting so that the results and learning can be used by management to make decisions, fed into planning and be used for reporting. In particular, the outputs of annual reviews should directly feed into country annual programme progress reports.

The results of the review should be communicated to all relevant stakeholders, including communities, partners, the country office and Dublin through the most appropriate means.

Participatory reviews can happen at project level, programme level or country level. Timing here is also important to make sure that project level reviews feed into both programme level and country level reviews, with adequate time to inform planning and budgeting.

*For more information on Participatory (Annual) Reviews and Planning, please refer to section 2.10 of the Concern PM&E Guide.*

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<sup>13</sup> This is in compliance with HAP Benchmark 3.2 and 6 - The agency shall enable intended beneficiaries and their representatives to participate in project design, implementation, monitoring and evaluation and benchmark 6 process for continual improvement.

#### **4.2 Annual Programme Progress Report Format**

Reviews of all programmes should be summarised within the Annual Country Programme Progress Report. For further information on the required contents of annual programme progress reports, please refer to the Concern Annual Programme Report Guidelines that are sent out by Dublin each year.

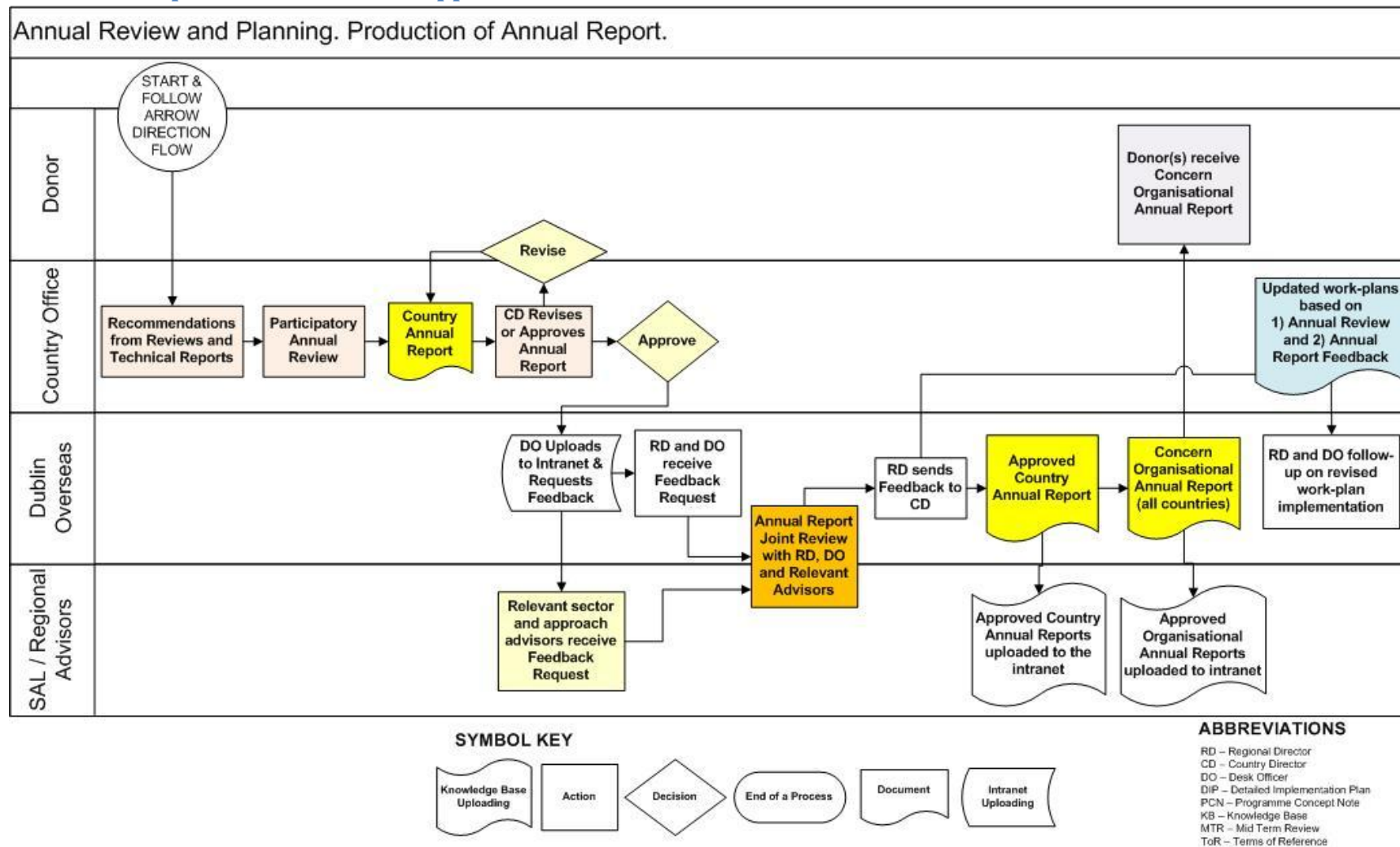
A monitoring form will also be sent out with the Annual Programme Report Guidelines each year asking for the following information:

- Information on projects and programmes approved during the year (with explanations if any programme has not followed the PCMS process).
- Evaluations and Reviews carried out.
- New proposals, mid-term reviews and evaluations planned for the following year.

#### **4.3 Annual Report Minimum Requirements**

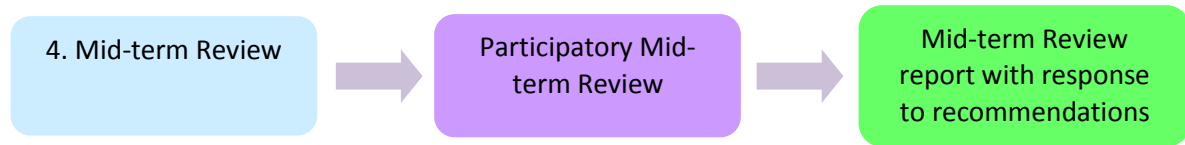
For 2010, further guidance will be provided

#### 4.4 Annual Report Production and Approval Processes





## 5.0 Phase 4: Mid-Term Review



### 5.1 Mid-Term Review Definition

A mid-term review provides an opportunity to stop, analyse and reflect on what has happened so far and make any necessary changes to your work. They are also an opportunity to celebrate achievements and to influence internal and external stakeholders.

Mid-term reviews look at existing monitoring data gathered since the beginning of the programme plus additional data gathered as necessary in order to assess progress and provide *indications of outcomes and impact in people's lives*, to adjust and feed into planning for the second half of the programme. A key consideration here is that if 'mid-line' primary data at household level is to be collected, then programme staff will have to collect this in advance of the consultant reviewer arriving to conduct the review. Reviewers/evaluators do not have sufficient time in-country to do this in-depth and rigorously but should have time to conduct analysis of the data and to be able to derive specific measures of change.

Mid-term reviews should have an external element (a consultant or a peer from another programme in the same country, another NGO, another Concern country or headquarters). They should use the DAC criteria.

Mid-term reviews are a Concern requirement for programmes of four years or more.

### 5.2 Mid-Term ToR and Review Report Minimum Requirements

#### Checklist – Minimum Requirements for Mid-Term Review TOR and Review Report

A Terms of Reference (TOR) for the Mid-term Review's external consultant / peer needs to be approved by the Regional Director via the Programme Approaches and Learning Unit (in SAL), before the Mid-term Review begins (see approval process in [section 5.5](#)). The TOR needs to be clear about:

- The purpose and objectives of the review/evaluation
- What key questions need to be answered
- Whom the review/evaluation is for and what will be done with the results
- Who will be involved and how, and who has responsibility for what, especially related to primary data collection and analysis.
- How the review process will be managed and by whom

The following key questions need to be included within the TOR:

- The [DAC criteria](#) (See below), or questions relating to them.
- The key questions from the M&E plan relating to the objectives of the project or programme. Questions about programme assumptions and other key issues can also be included.
- Key questions relating to organisational approaches and policy if these are not covered in M&E plan questions above.
- Key questions on mainstreaming and cross cutting themes
- Beneficiaries' specific questions if different from the above.

As standard the TOR must outline:

- The final report should have a stand-alone Executive Summary.
- Recommendations from the review should be targeted.
- The Consultant should look at the quality of the baseline/midline/endline, progress against targets and indicators in the logframe frame and the quality of M&E.
- If applicable the Consultant should look at cross cutting issues.

*For more information on working with mid-term reviews and consultants, please refer to the PM&E Guide sections 2.11 and to the resource "Managing Consultants".*

Overall, Mid-term reviews should focus on:

- Indications of change (outcomes and impact both positive and negative when compared to baseline values) in relation to objectives as a result of your work, how significant this is and for whom.
- Whether the activities being carried out and ways of working are likely to lead to the changes you are aiming for and, if not, whether they are identifying barriers to those changes.
- What needs to be done differently (in terms of Concern or the partners' ways of working, activities required, etc)?
- Whether the work you are doing is still relevant (i.e. are these still the right objectives?)
- Participation of programme participants and non beneficiaries of the programme.

### 5.3 Development Assistance Committee (DAC) Criteria

The **DAC criteria** must be used as the basic template for mid-term reviews and final evaluations. These criteria are as follows:

- **Relevance:** Is it still the right thing to do?
- **Effectiveness:** How far are the objectives being met?

- **Efficiency:** Is it a good use of resources/were (are) resources used well?
- **Impact:** What indications are there of significant changes taking place etc? What indications are there of wider impact on communities, institutions and context?
- **Sustainability:** What are the likely long lasting effects/how sustainable are the changes?

If the review/evaluation is at project level, it is important to think how it will contribute to the programme level review/evaluation. Equally, if this is a programme level review/evaluation, it is important to consider how project level reviews/evaluations will feed into it.

## 5.4 Mid-Term Review Process Minimum Requirements

Checklist – Minimum Requirements for Mid-Term Review Process
<ul style="list-style-type: none"> <li>▪ Decide with relevant stakeholders (including Concern and partner staff and beneficiary groups) what the review/evaluation is for, the approach and how and by whom the findings will be used<sup>14</sup></li> <li>▪ Decide who should be involved and how.</li> <li>▪ If the review/evaluation is at project level, think about how this links with programme level.</li> <li>▪ Decide who should conduct the review/evaluation and who should make up the team.</li> <li>▪ Decide on the process and develop a TOR and a plan with stakeholders.</li> <li>▪ Clarify the specific measures of change we need from the MTR.</li> <li>▪ In preparation for the review/evaluation process, mid/end line data should be collected and analysed prior to the review/evaluation</li> <li>▪ The evaluation team should then conduct a minimal verification of data collection and analysis.</li> <li>▪ Lessons should be drawn out and targeted recommendations made. Try and ensure that any recommendations are very specific and prioritise them. Be clear about whom the recommendations are for and who can act on them. Think about recommendations for all stakeholders, for Concern generally and any lessons or recommendations that you want to communicate to other audiences.</li> <li>▪ Feedback the results to the communities. This can either be the results from participants' own communities or, where relevant, from the whole programme.</li> <li>▪ Feedback results to other stakeholders.</li> <li>▪ Make changes to the programme as necessary (for reviews) or use learning for future programming (for final evaluations). Most importantly, make sure it is clear who is responsible for this and who is accountable for implementing and tracking these changes.</li> </ul>

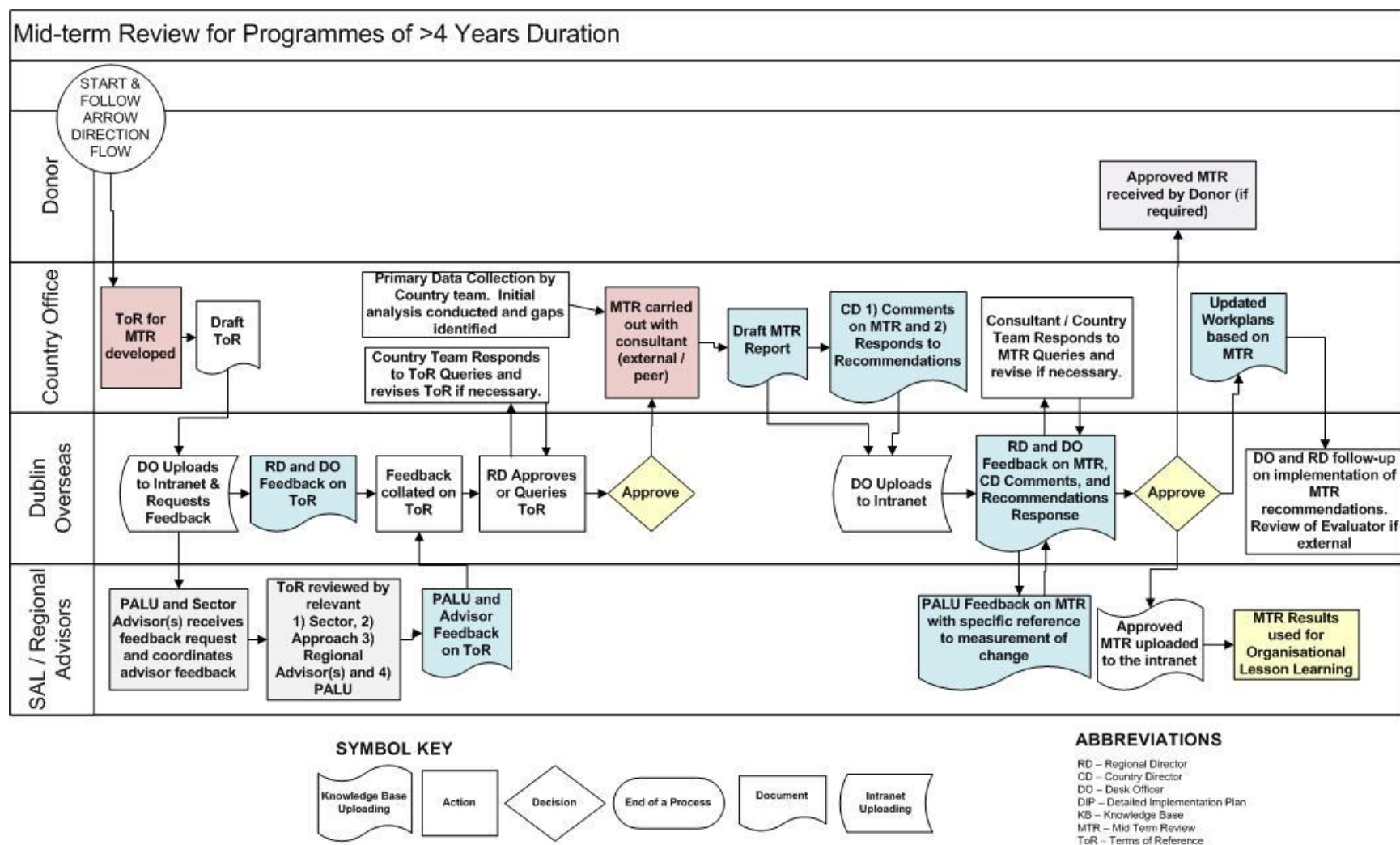
<sup>14</sup> This is in compliance with HAP Benchmark 3.2 - The agency shall enable intended beneficiaries and their representatives to participate in project design, implementation, monitoring and evaluation. This is also compliant with HAP benchmark 6 on process for continual improvement

#### **5.4 Mid-Term Review Responsibility**

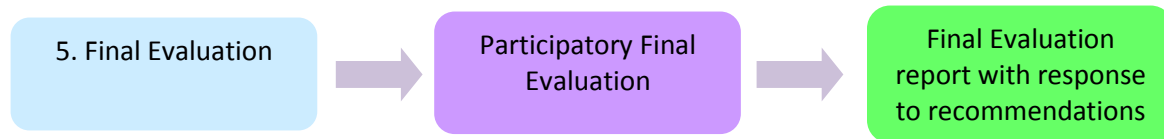
The RD is responsible in each country for ensuring mid-term reviews are carried out to required standards for programmes of over four years duration. The CD is also responsible for a management commentary on the review, producing a management response to the recommendations and for implementing an updated work-plan produced as a result of the review and the agreed-upon recommendations. .

Draft reports should be sent to PALU for a quality check before reports are approved

## 5.5 Mid-Term Review Management and Approval Processes



## 6.0 Phase 5: Final Evaluation



### 6.1 Final Evaluation Definition

Evaluations are an opportunity for learning and should feed into the design of new programmes. Like mid-term reviews, they are also a chance to influence internal and external stakeholders.

Final evaluations look at all existing data gathered since the beginning of the programme (plus additional data gathered as necessary) to provide a complete end line to compare with the baseline and provide as far as possible *evidence of outcomes and impact in people's lives* over the term of the programme.

They must be facilitated by an external person (a consultant or a peer from outside the Concern country team).

Final evaluations are a Concern requirement and should use the [DAC criteria](#) (see above).

For final evaluations where a follow on or second phase programme is planned, it is a good idea to carry out the evaluation before the end of the programme so that there is no gap in implementation and the findings can be used to plan the new programme.

### 6.2 Final Evaluation ToR and Evaluation Report Minimum Requirements

#### Checklist - Minimum Requirements for Final Evaluation TOR and Evaluation Report

The minimum requirements for the Final Evaluation Terms of Reference are the same for Mid Term Reviews (see [section 5.2](#) for details).

Additionally, the Final evaluation should look to assess the application of recommendations and lessons learned from the previous midterm review

The Final evaluation report should focus on:

- An accurate and detailed picture of what has changed (outcomes and impact both positive and negative when compared to baseline values) in relation to objectives as a result of their work, how significant this is and for whom
- How these changes came about (what extent did the chosen approach work)
- Attribution versus contribution – how much of the change can be attributed to Concern's work as opposed to other external factors, and evidence of this.
- The level of integration of mainstreaming and cross cutting themes
- Participation of programme participants and non beneficiaries of the programme
- The lessons learned about how change comes about, what should be done differently in

- |   |
|---|
| <p>the future and what needs to happen next</p> <ul style="list-style-type: none"><li>▪ Placing the work within a broader context</li></ul> |
|---|

### **6.3 Evaluation Process Minimum Requirements**

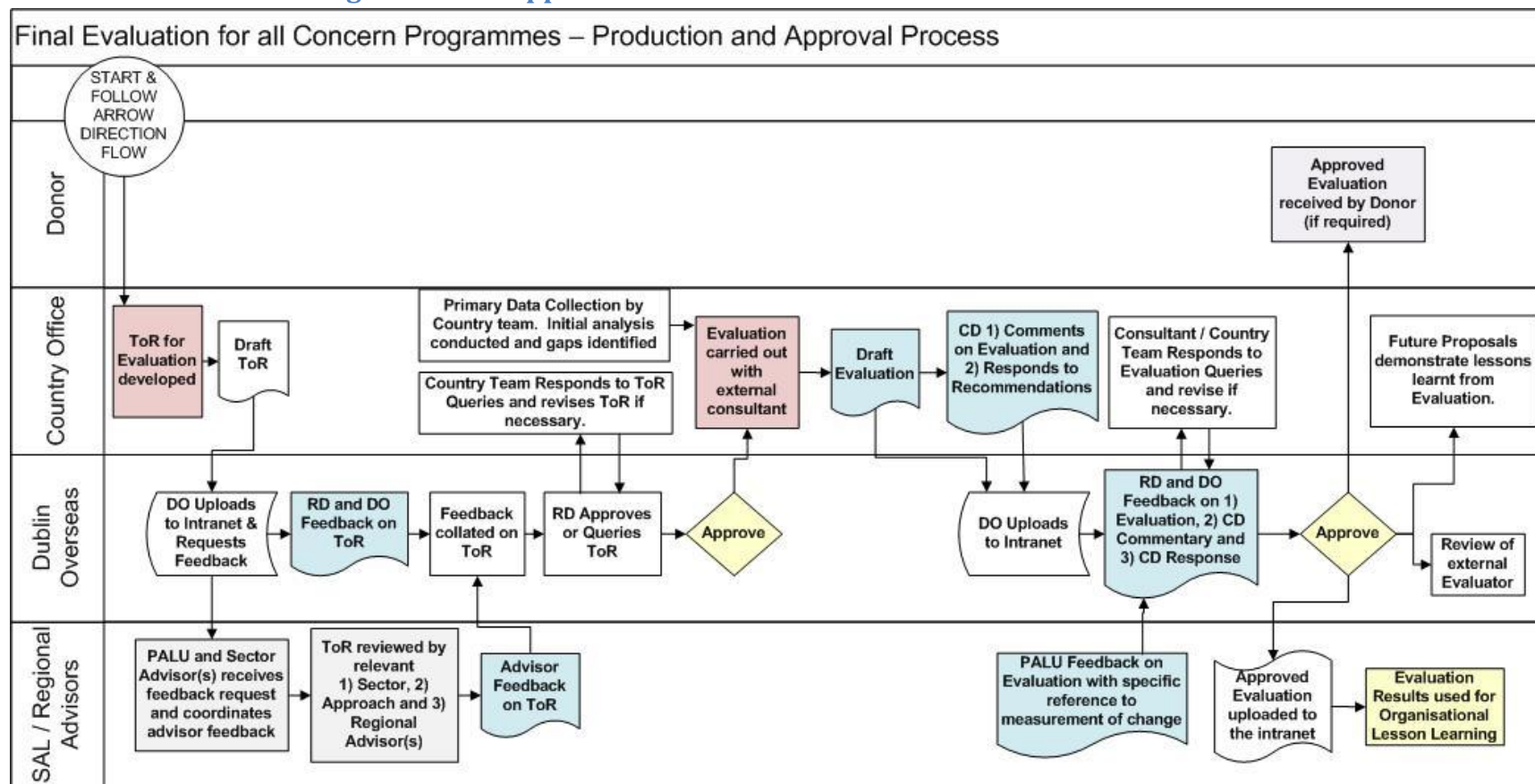
The Evaluation process minimum requirements are the same as those for mid-term reviews and are detailed in [section 5.4](#).

### **6.4 Evaluation Responsibility**

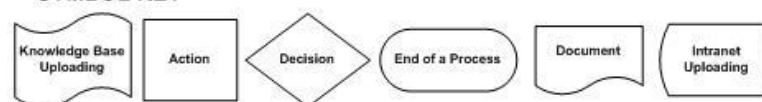
The RD is responsible for ensuring evaluations are carried out to required standards. The CD is responsible for a management commentary on the evaluation, a response to the recommendations and for incorporating lessons learnt into relevant future programmes.

CDs and ultimately Regional Directors, with the assistance of Desk Officers, have the mandate and responsibility to follow up and check what progress has been made on the recommendations of a specific review or evaluation report.

### 3.4 Final Evaluation Management and Approval Processes



#### SYMBOL KEY



#### ABBREVIATIONS

RD – Regional Director  
 CD – Country Director  
 DO – Desk Officer  
 DIP – Detailed Implementation Plan  
 KB – Knowledge Base  
 MTR – Mid Term Review  
 ToR – Terms of Reference



## 7.0 Technical Assistance Reports

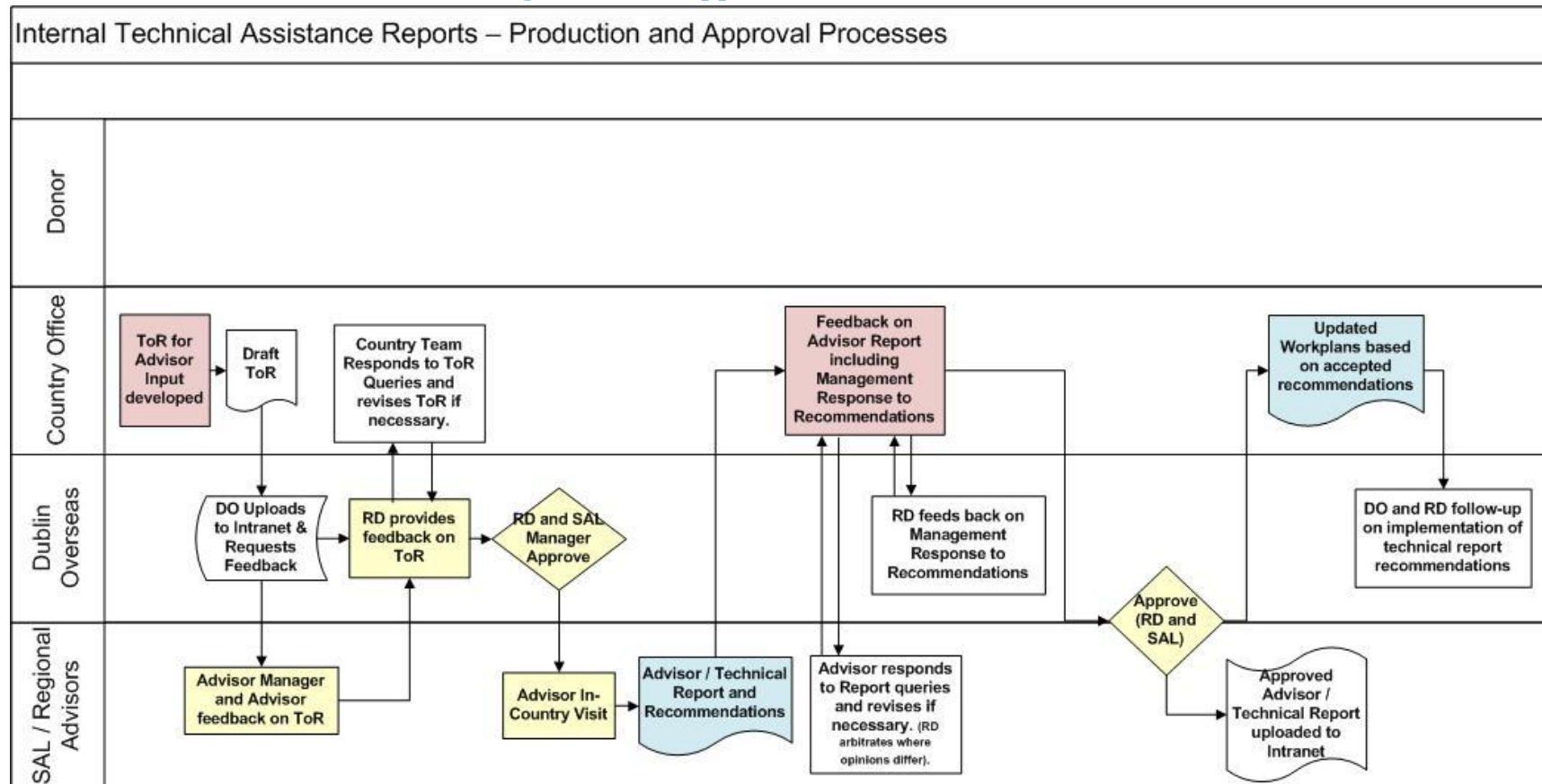
### 7.1 Technical Assistance Definition

Technical assistance is defined as appropriate technical inputs provided at the optimal time by experienced staff/external consultants who have access to appropriate programme knowledge and analytical skills that results in or promotes best practice, innovation, learning and increased impact. Managers are responsible for seeking advice on a particular area in which they are not an expert. Advisors give advice according to their role and function.

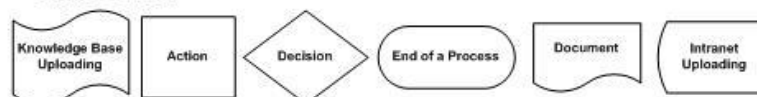
Where technical advice is provided internally:

- Timing of advice in terms of programme design should come as early as possible in the PCM system.
- Programme and Country Management will have the opportunity to respond to the various recommendations in the Technical Assistance (TA) report, just like management respond in Audit Reports.
- If the recommendations are accepted, managers must ensure these recommendations are implemented and provide an action plan for the implementation.
- If recommendations are rejected, the reasons given must be documented in the TA report.
- If no solution can be found then the relevant Regional Director will be expected to arbitrate and decide.
- Individual advisors are accountable for providing the correct technical options or best practice.
- Regional Directors, with the assistance of Desk Officers, have the mandate and responsibility to follow up and check what progress has been made on the recommendations of a specific technical report.

## 7.2 Internal Technical Assistance Management and Approval Processes



### SYMBOL KEY



### ABBREVIATIONS

RD – Regional Director  
 CD – Country Director  
 DO – Desk Officer  
 DIP – Detailed Implementation Plan  
 PCN – Programme Concept Note  
 KB – Knowledge Base  
 MTR – Mid Term Review  
 ToR – Terms of Reference

## Annex 1: Contextual Analysis Plan Template

Reference: PM&E Guide Contextual Analysis, Section 2.1

### 1. Programme Background Details (see caveats on Page 7)

Proposed Name of Programme <i>(Please have as short a programme name as possible in order to help document uploading to the intranet i.e. max of 123 characters)</i>	
Programme Location (District / Province / Country)	
Anticipated Starting Month and Year of Programme	
Length of Programme (months / years)	
Is this a continuation on from a previous programme? If so, please attach a copy of the programme's evaluation.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Programme Evaluation Attached
Name and Position of PCN Author	
Is funding required for proposal development?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Who will design and manage proposal development? (Name and Position)	

### 2. What are key questions to be answered during the Contextual Analysis process?

Key Questions to be answered by Contextual Analysis (see PM&E guide for key questions - box text p80)	What information do we already have to answer this question?	What additional information / data are needed from other institutions (secondary)?	What additional information needs to be gathered (primary)?	What informants to consult?	What methods / tools to use

*Example Questions:*

- *Area Based Programme: Who are the extreme poor in this context? Why are they poor?*
- *Sector Based Programme: Within the poorest communities, whose right to education / health / a livelihood is not fulfilled and why?*

### **3. Stakeholder Involvement in Contextual Analysis**

<b>Stakeholder</b>	<b>How do they need to be involved in contextual analysis process?</b>	<b>Level of Involvement (Full / Provide information / informed)</b>

*Sample Stakeholders:*

- *Local authorities, community leaders, local people who represent different target groups, potential and existing partners, government, other NGOs, colleagues from other programmes, advisers and the regional desk at head office. Note that their respective roles can vary from being fully involved in the process, providing information or just being informed.*

#### 4. Contextual Analysis Plan

Contextual Analysis Activity	Why Activity is Required	Who will be involved	Tools	Risk/Assumptions	Timeline	Resources Required
<i>EXAMPLE: Stakeholder Workshop</i>	<i>Deepen understanding of issues, views, opportunities. Invite participation in further analysis / fieldwork</i>	<i>Begin to identify potential partners  Concern team, Programme Manager and ACD</i>	<i>Report of secondary data and stakeholder analysis. Map of who is doing what. Identification of information gaps.</i>	<i>Not jumping to conclusions. Understanding the stakeholders. Including relevant stakeholders.</i>	<i>February 2009</i>	<i>Budget in terms of costs for Concern staff, workshop facilities, partners etc.</i>

## Annex 2 - PCN Template

The Programme Concept Note should be **no more** than 2-3 pages and provide a broad view of the proposed project/programme

1. Title of Project/Programme
2. Problem Statement
3. Target Groups
4. Proposed Overall and Specific Objectives
5. Timetable to proposal development

### Annexes

1. Contextual Analysis Report

## Annex 3 Programme Proposal Template

The programme proposal should be produced to detail the programme design to achieve the Overall and Specific Objectives outlined in the PCN.

- 1) Title Page (*including programme name, programme location, proposed start date, duration of intervention, proposal author*)

### **SECTION 1: PROGRAMME DESCRIPTION**

- 2) Programme Summary (*including reference to strategies and approaches from the Country Strategic Plan*)
- 3) Country Context
- 4) Programme Context
- 5) Problem Statement including Problem tree and Objective tree
- 6) Lessons learnt
- 7) Alternatives Analysis Results (as evaluated against [DAC criteria](#)) and Impact Chain
- 8) Goal and Purpose level Objectives
- 9) Strategies and Methodologies
- 10) Targeting details
- 11) Approaches and Cross cutting issues
  - a) Partnerships, including capacity building
  - b) Rights Based Approaches
  - c) Disaster Risk Reduction
  - d) HIV/AIDS mainstreaming,
  - e) Equality (esp. gender)
  - f) Social Protection
- 12) Outputs, Impact and example Activities
- 13) Assumptions and Risks
- 14) Logframe

### **SECTION 2: PROGRAMME MANAGEMENT**

- 15) Programme Monitoring and Evaluation (PM&E) Plan
- 16) Human Resource Plan
- 17) Technical Assistance Plan
- 18) Learning Plan
- 19) Accountability Plan
- 20) Work plan outline
- 21) Programme Budget (Figures and Narrative)
- 22) Funding Plan
- 23) Contextual Analysis Report annexed (summarizing the key questions, process, methods, findings and tools used).

## Annex 4 – M&E plan Template

The following format is suggested to be used for M&E Plans:

- Programme objectives
- Key questions and indicators
- How will the information be used?
- Data collection
  - Whom will you collect the information from? (disaggregate)
  - How will you collect the information (methods and tools)?
  - How often will the information be collected?
  - Who is responsible for collecting the information?
- Data analysis
  - Who is involved in analysing the information and how?
  - How often will the information be analysed?
  - Who is responsible for ensuring analysis happens?
  - Who gets the analysis (feedback)?

What the evaluator is expected to do and produce.

- Appendix - M&E matrix.

(see Section 2.6 of the PM&E guide for further details)