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Project Cycle Handbook
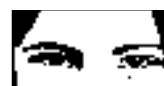
Founded in 1960, Terre des hommes helps to build a better future for disadvantaged children and their communities, with an innovative approach and practical, sustainable solutions. Active in more than 30 countries, Terre des hommes develops and implements field projects to allow a better daily life for over 1.4 million children and their close relatives, particularly in the domains of health care and protection. This engagement is financed by individual and institutional support, of which 85% flows directly into the programs of Terre des hommes.

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The annexes can be found on the KIT database

ACRONYMS AND INSTITUTIONAL TERMS

DAC	Development Assistance Committee of the OECD
Foundation	The Terre des hommes Foundation
OECD	Organisation for Economic Co-operation and Development
OM	Outcome Mapping
NGO	Non-Governmental Organisation
Thematic policy	Reference document that defines an issue and provides a framework for activities related to that issue
UNDP	United Nations Development Programme
Sitrep	Monthly report
SWOT	Strengths, Weaknesses, Opportunities, Threats
Tdh	The Terre des hommes Foundation
TOR	Terms of reference
Geographical team:	Team at headquarters composed of a programme manager, a programme officer and an administrator, responsible for a group of countries

SYMBOLS USED IN THIS HANDBOOK

💡	Methods
🔧	Tools
!	Compulsory
📄	References *(see bibliography towards the end of the handbook for the URL giving access to the documents)*
✔	Well done
✖	Not so good

Introduction

What is the purpose of this handbook?

This handbook published in 2012 is an updated and supplemented version of the Terre des hommes Foundation's 2001 Project Cycle Handbook. The publication of the first handbook and its distribution were accompanied by a series of training courses and by the implementation of an institutional learning and knowledge management system. They jointly have contributed to good ownership of a reference framework and of standardised methods for the organisation's project planning and management.

A lot has changed since 2001 within Tdh and in its working environment. An update of the handbook was therefore required.

This new version aims to strengthen procedures and to improve the project cycle management methods and practices throughout the organisation so that the following results can be achieved:

- Planning clear and rational projects resulting in concrete improvements in children's lives
- Adoption of a common language, making communication and dialogue easier
- Continuous learning
- Better accountability to donors, local authorities, partners and beneficiary representatives

This handbook is meant to allow the reader to acquire:

- A global overview and an understanding of the objectives, principles, processes and standards concerning the various steps involved in project cycle management
- Knowledge of the essential components, and of tools and practical methods for identification, planning and monitoring of a project. The aim is to allow him/her to understand and implement these steps.
- Comprehension of the essential components of evaluation and of institutional learning. The aim is to allow him/her to manage them, and to understand and use their results.

Who is this handbook for?

This handbook is meant for use by the operational teams in the country offices and at Tdh headquarters, as well as by senior staff of partner organisations.

How is this handbook organised?

The structure of the handbook follows the life cycle of a project, from its design to its closure or to the beginning of a new phase. This cycle comprises the following steps:

- The **identification** of a project that stems from the framework defined by the institution (prerequisites) and consists in an appraisal and the drafting of a concept note
- **Strategic planning** where the analysis of the situation is deepened and the objective of the project, its expected results and the other components of its strategy are defined.
- **Operational programming** that prepares the implementation of the project and results in the design of an operational plan
- **Monitoring** of the project, that consists of collecting, compiling and analysing data connected with the project throughout its implementation so as to be able to account on how it is running, to adapt it, and to draw lessons from it
- **Evaluation** that is a systematic and objective assessment of the design of a project, its implementation and its results at a given point in time
- Although it is more related to knowledge management than to project management, Tdh considers **institutional learning** as an integral part of the project cycle. It is a learning process in which we analyse and document the lessons learned from a project in order to be able to use that knowledge in the future.

Figure 1 : Project cycle
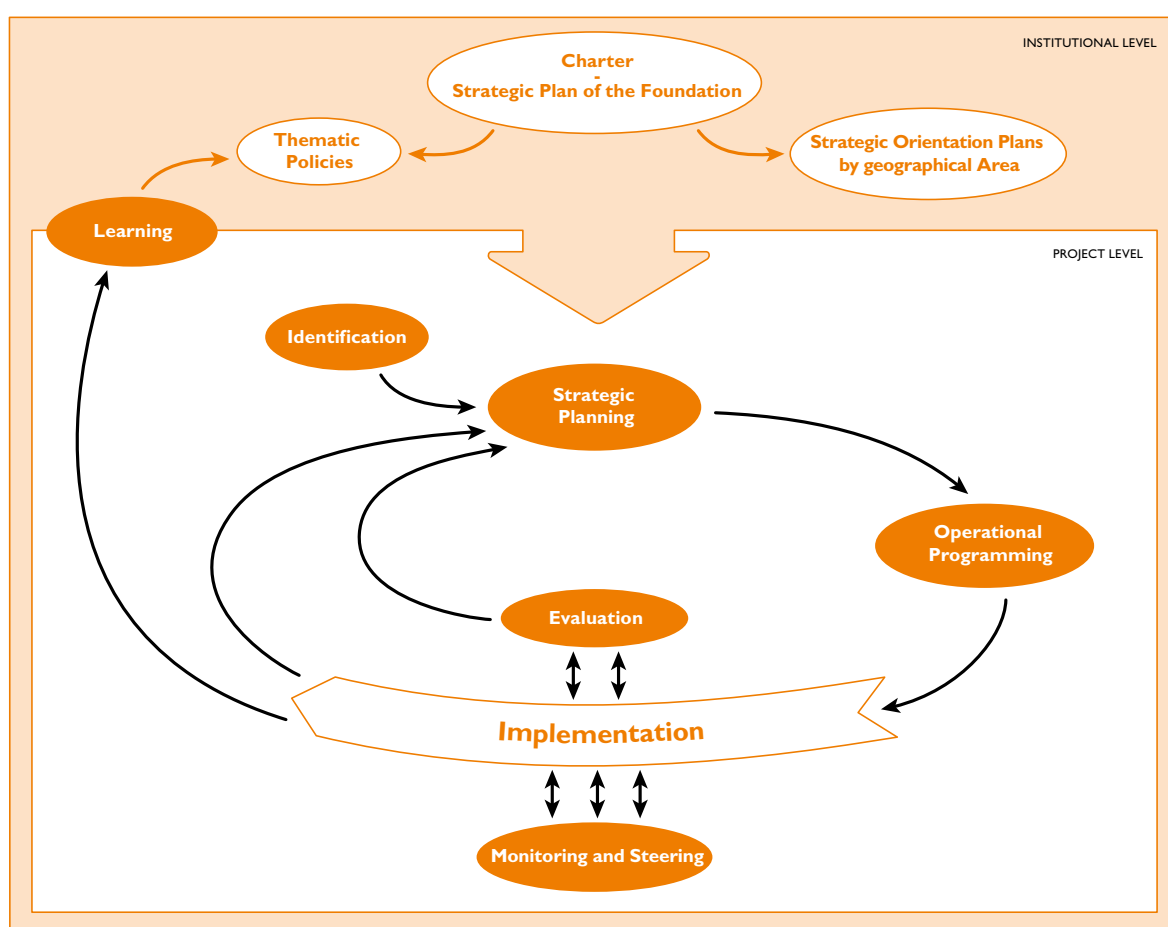
How should this handbook be used?

Use this document as a reference as the project cycle moves forward. The information is accessible via the general summary, the summaries of each section, and by using the glossary at the end of the document.

Some sections of the handbook draw on external documents. They are indicated in the text. At the end of the handbook, you will find a reference section with texts that allow going deeper into certain subjects. Look at these reference documents before making use of a tool or a method. They provide examples and/ or further information. All texts are freely accessible on the Internet.

The methods ($\overset{\heartsuit}{}$), tools ($\mathscr{L}$) and compulsory courses of action (!) are identified by these symbols.

Each context is specific and has its cultural and institutional characteristics. Each course of action must therefore be adapted to local realities, while meeting the principles and methods defined in this handbook.

What you will not find in this handbook

This handbook is about principles, procedures, and methods for project cycle management. It refers to Tdh's institutional reference documents, notably the Strategic Plan of the Foundation, the Orientation Plans by geographical Area, Tdh's Policy on Emergencies & Recovery, and the Thematic Policies. There are several areas that are not mentioned here but that you need to comply with when you plan and implement projects. They are covered in the following documents:

- Child Protection Policy
- Security Policy
- Anti-Theft, Fraud and Corruption Policy
- Gender Guidelines for Tdh projects
- Psychosocial Reference Document

This handbook is not an operations manual for country offices either. A set of documents from the finance and human resources departments fulfils this function.

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Identification

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1.1. REASONS TO ACT AND INTERVENTION ORIENTATION

All Tdh projects are inspired by the mission statement and the Charter of the Foundation and are conceived and carried out in the framework provided by the Foundation's Strategic Plan, the Orientation Plans by geographical Area, the Thematic Policies, and a predefined budget framework.

Terre des hommes' action is led by the **vision** of a world where children grow up with dignity in an environment that protects them and responds to their needs. Tdh's **mission**, according to the Foundation's Strategic Plan, is to make lasting improvements to the conditions of the most vulnerable children:

- By offering children direct support,
- By acting with them and their families to ensure that their rights are promoted and respected,
- By strengthening communities and institutions so as to improve their ability to organ-

ise and respond to the vulnerable children's health and protection problems,
- By supporting these actions through effective, appropriate and relevant advocacy.

It is normally staff members in the country offices or at headquarters who propose new projects. They identify ideas for interventions, including their possible location, potential partnerships, and the type of population that could make up the beneficiary group by observing the contexts or further to requests from internal or external stakeholders.

Based on initial information, we start sketching out a potential intervention. First we need to set the scope and framework of a potential project. Tdh's mission stated above, its priorities and institutional competencies, its action principles, and the working practices as defined in the Foundation's Strategic Plan decide the priorities and framework of our actions.

On a general level, Tdh carries out the following types of actions:

Figure 2: **Tdh's general model of action**

General model of action
2 pillars of the Charter

Direct action in the field   **Advocacy**

CHILD RIGHTS ANALYSIS SITUATION

CHILD / FAMILY	GOVERNMENT	FAMILY / COMMUNITY / CIVIL SOCIETY
Direct actions (1)	Reinforcement of systems (2)	Renforcement of capacities and expertise

(1) Direct action by Tdh or partner organisation
(2) Health and protection systems
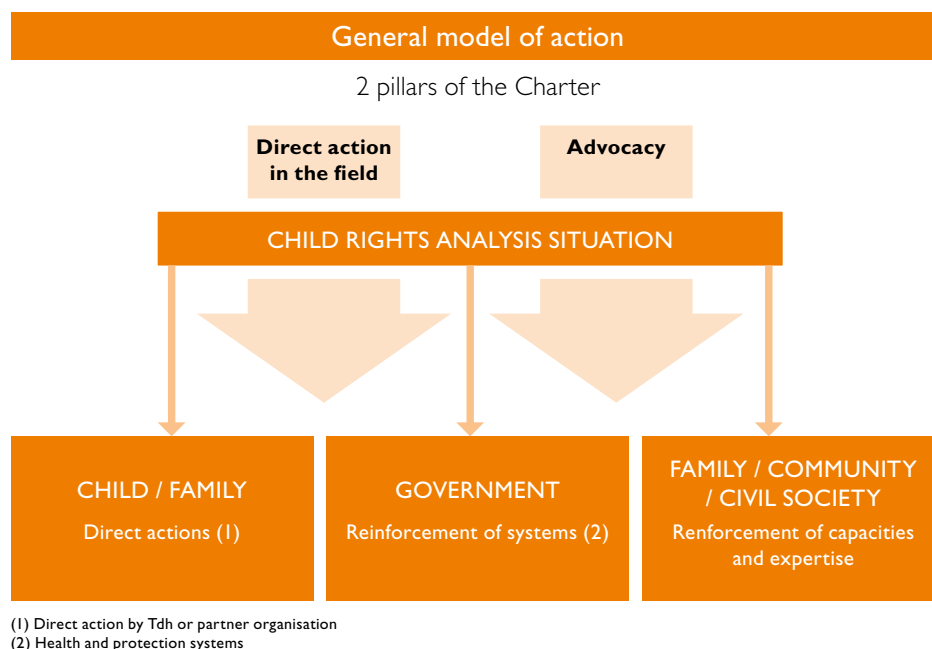
The **thematic policies** reinforce this framework from a thematic and technical point of view, and the **orientation plans by geographical area** define the development and the operational and thematic prospects of each of Tdh's areas of intervention.

1.2. PREREQUISITES

Strategic decisions concerning the organisation's geographical and thematic positioning, as well as conceivable partnerships, guide the launch of a project identification phase. A decision is also taken concerning the potential budget, depending notably on funding prospects. This framework for a project identification is called **prerequisites.** It forms the basis for the terms of reference for the identification of a potential project.

> **! COMPULSORY**
>
> The definition of the **prerequisite**s and the **decision to initiate a project identification** belongs to the head of the operations department, further to a proposal by the programme manager of the concerned geographical team.

Figure 3: **Prerequisites and identification of a project**

Prerequisites	→	Situation analysis	Concept note
		Project identification	

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1.3. SITUATION ANALYSIS

The information collected and analysed during the situation analysis is used to formulate a **concept note** which then informs a **global assessment** of the relevance, feasibility and likely sustainability of a potential project. Hence, the **objective** of a project identification is to provide the basis for a decision whether to engage in strategic planning.

The situation analysis is done by **examining documentation** – reports from other organisations, literature on the subject and the context, official statistics, donor funding strategies, etc. – by **visiting** the future project's location and by carrying out an **analysis** of the available information.

1.3.1. Modalities according to the type of context

The duration and the scope of the situation analysis depend on the context, deadlines, and available resources. It can last from a few weeks to several months. In an emergency context, this can be reduced to a week or a few days.

A) Development contexts

In a country or context where Tdh is already present, the country office or one or more people appointed by the country representative collect and analyse all relevant information required for a good understanding of the context and the issue. The situation analysis must comprise on-site visits and exchanges with the concerned people.

In a country where Tdh is not yet present, an **exploratory mission** is led by one or more representatives of the Foundation – from the headquarters or the field – or by one or more external persons. There are no hard and fast rules for the choice of the persons carrying out this mission; it depends on the context, the type of intervention planned, and on available resources.

The **terms of reference** for the situation analysis are drawn up under the responsibility of the programme manager of the relevant geographical team.

If, based on the available information, the country office or the programme manager come to the conclusion that an intervention is relevant and feasible, a **concept note** is prepared.

B) Emergency contexts

In an emergency context where Tdh is already present, we refer to the **contingency plan** prepared beforehand by the country office. In such a context, depending on the extent and complexity of the issue and on the geographical team's capacity, an intervention is led either by the geographical team or by the emergency unit. This decision is in the hands of the head of operations. The country office is involved right from the beginning and provides all its support according to needs.

The emergency unit usually takes responsibility for interventions in **large-scale emergencies** and in the countries where Tdh is not present as the crisis unfolds.

In most cases, an **interdisciplinary team** is mobilised and sent to the field. In the case of natural disasters these deployments happen as quickly as possible. The interdisciplinary team's first task consists in proposing and implementing a **rapid humanitarian response** for the victims. This kind of action typically involves distributing relief goods and shelter materials. Such an emergency project is limited in time, lasting up to three or four months. During the first days, until external funding is secured, it is usually pre-financed by non-earmarked funds.

As they implement the rapid response, the team members also work on the identification of a **longer-term project** (from 6 months to 2 years) that will build on the humanitarian response. This project will provide assistance in one or more of Tdh's priority thematic areas. The team identifies and contacts potential partners and donors on site, and prepares concept notes for future projects. Project planning follows the usual steps of strategic planning, albeit at a faster pace.

In complex emergency contexts, initial evaluations are sometimes carried out jointly with other organisations, international and/or local. **Initial joint analyses** can be efficient as cost is shared and effective as the collaboration helps the exchange of expertise and the future intervention's coordination. They however can also be slower to plan and implement and complex to coordinate. This type of collaboration is seldom used by Tdh. It can however offer real advantages.

📄 REFERENCE

See ODI, *Humanitarian Practice Network, "Common Needs Assessments and humanitarian action", Network Paper Number 69, January 2011*

1.3.2. Consultation and participation of beneficiaries and partners

A **key component** of field assessments is listening to potential partners and affected communities, families and individuals in order to collect their points of view and analysis. This contributes to ensuring the relevance of the planned interventions and their appropriate implementation. Being a child relief organisation, Tdh places special emphasis on talking with the concerned children about the design, implementation and evaluation of projects. Moreover, participation is a key element in the organisation's capacity to be accountable to the children, families, and communities for the projects carried out for their benefit. The legitimacy of the projects that Tdh carries out is grounded in this accountability vis-à-vis the beneficiaries.

The **extent and forms of** appropriate and possible **participation** vary depending on the context and the project type. Participatory methods require time, resources and specific skills.

Pay attention to the following points:

- Be clear and transparent about the meaning and the limits of the consultations, in order not to give rise to expectations that may not be fulfilled later.

- In certain contexts, the consultation process can endanger the interlocutors' and the investigation team's safety.

- Pay attention to involving less visible groups, mainly minorities or marginalised groups, in the participation process.

💡 METHOD

You can use various consultation and participation tools and methods in the appraisal phase, notably for the problem and stakeholder analysis. Among the most often used methods are:

- **Meetings:** To identify stakeholders and find out about their priorities and expectations, community representatives, national or international NGOs and representatives of national institutions come together for discussions.

- **Personal interviews:** with key informants or within a wider-ranging investigation.

- **Focus group discussion:** Small groups of people concerned by the issue talk about it in an informal manner. This method allows participants to express their expectations in relation to a potential intervention. It is often used in rapid qualitative surveys.

- **Questionnaire survey:** This method allows quantifying and comparing data collected from a representative sample of the population. It is mainly used to collect information on perceptions, opinions, and ideas.

📄 REFERENCE

For further details on these methods, please refer to Europeaid, *"Evaluation Methods for the European Union's External Assistance" (2006)*

In appraisals for new projects, make sure that the consultation process is **culturally appropriate, that there is enough time for it** (notably in emergency situations) and that it does **not require too much mobilisation** of the prospective beneficiaries.

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! COMPULSORY

A resource person or a regional adviser must approve the consultation methodology.

◯ METHOD

For a better understanding of social and cultural realities in development contexts, we use **participatory research methods**, in particular participative rural appraisal – PRA, or participatory learning and action – PLA. These methods are mainly based on direct observation together with interviews of concerned individuals, local leaders, and government services representatives. PRA/PLA methods have the advantage to require little time and resources. Although they had been developed for surveys in rural contexts, they can be adapted to the majority of other contexts. Whenever possible, they should be implemented by an interdisciplinary team.

🔧 TOOLS

In addition to personal interviews and focus groups discussions as presented above, the following consultation and participation tools are used in PRA/PLA:

- **Direct observation,** by participating in activities, and/or by way of "transect" walks (this is a method consisting in walking through the area of the future project in a straight line and interviewing the people encountered along the way).

- Participative **economic and social mapping.**

- **Ranking and grading matrixes.**

- **Calendars, timelines** (according to the seasons, for example).

Use these methods during the appraisal phase, or at the beginning of the project to deepen our knowledge of the communities and their situations.

🗐 REFERENCE

For further advice on participation see *"Participation by Crisis-Affected Population in Humanitarian Action, A Handbook for Practitioners"*, *ALNAP, ODI (2003)*. Section 3 of this publication provides information on using PRA/PLA methods in the project identification phase.

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1.3.3. Types of analysis

Project identification requires that information be collected and analysed to assess the situation, the extent of the needs, and available resources.

> **!** **COMPULSORY**
>
> In all cases, the appraisal must comprise a **stakeholder analysis** (see section 1.3.3.1) and a **problem analysis** (see section 1.3.3.2), supplemented by a **resources analysis** (see section 1.3.3.3).

The actors and problem analysis will be looked at again and deepened in a participatory manner during the project's strategic planning exercise.

> **!** **COMPULSORY**
>
> In **new contexts**, for instance when opening a project in a country or a region where Tdh is not yet present, do a **context analysis** (see section 1.3.3.4). The latter comprises an analysis of the **operational conditions**, i.e. it examines the elements enabling Tdh to operate a country office and carry out projects.

You can find standard tools to carry out **rapid appraisals in emergency situations** (see section 1.3.3.4).

The stakeholder analysis and the problem analysis outlined hereafter are closely connected. The stakeholders cannot be identified without having identified the problems that we wish to address, and it is often a lack of commitment or capacity of certain stakeholders that lays at the heart of an issue. The two types of analysis are hence not carried out in succession, but concurrently.

1.3.3.1. Stakeholder analysis

By stakeholders, we mean all individuals, families, formal or informal community based groups, local initiatives, government services, NGOs, and international agencies that are affected or concerned by an issue. Analysing them enables us to better identify who the beneficiaries and target groups of the future project are, to identify the partners whose capacities we wish to strengthen, and to choose the stakeholders towards whom we will direct our advocacy.

In whose favour will we carry out our intervention? With whom will we act? Who do we wish to support, and who do we wish to influence? The answers to these questions depend on the stakeholders' perceptions, views and interests about the issue, and on how they interact when responding to the issue.

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🔧 TOOL

Write down a stakeholders **list,** and **map** them according to the following criteria:
- **Interest** in the issue shown by stakeholders
- **Importance** given by stakeholders to the issue
- The extent to which **stakeholders share** Tdh's views and orientations

The following tool is **recommended** as it has proven to be effective. It is normally adequate for carrying out stakeholder analysis:

- The **Stakeholder importance and influence matrix** aims to evaluate how stakeholders are involved concerning the issue. To what extent are they interested in the issue? What is their capacity of influence on the factors that determine the issue, or that could resolve it?

📄 *See UNPD, Handbook on planning, monitoring, and evaluating for development results (2009), pp. 25-29*

Example of stakeholder analysis based on a mother and child healthcare project:
The stakeholders are ranked on a scale of 1 to 6 according to the importance of the subject for the stakeholder (0 = the stakeholder attaches no importance to the subject; 6 = the stakeholder attaches high importance to the subject) and according to the influence the stakeholder may have on the subject (0 = the stakeholder has no influence; 6 = the stakeholder has high influence on the subject). This allows for the stakeholders to be placed in a matrix as follows:

Matrix 1: example of stakeholder analysis

Importance of the issue to the stakeholder		0	1	2	3	4	5	6
	6	Children		Mothers	Fathers			
	5							District health-care services
	4			Donors				
	3				Pharmacists	Local associations		
	2							
	1							Religious leaders
	0	1	2	3	4	5	6

Stakeholder's power & influence on the subject

This stakeholder ranking helps us choose our partners and decide on the types of actions – capacity building or advocacy – we want to carry out to the benefit of which stakeholders. To the stakeholders placed in the top left corner of the matrix (children in this example) the importance of the issue (mother and child healthcare in this example) is fundamental. We know however that they have no influence on health care services. Our task is to try to strengthen their voices to help them be heard. The stakeholders placed in the top right corner of the matrix (public healthcare services in this example) are the ones with whom we stand a greater chance of achieving positive results, as they both are interested and have a strong capacity to influence the situation. The stakeholders in the bottom right corner (religious leaders in our example) are influent but feel less concerned. We might try to persuade them to attach more importance to the issue.

A similar, albeit more complex tool:

- The **"Alignment, Interest and Influence Matrix"** adds the dimension of stakeholders' alignment to the importance and influence analysis: do the stakeholders defend points of view or positions that support, or on the contrary, oppose the values or orientations upheld by the project?

  ODI, The Alignment, Interest and Influence Matrix

The following tool is a good visual aid:

- The **Venn diagram** allows displaying the positioning of stakeholders on an issue, a structure or a project.

  Participation by Crisis-Affected Population in Humanitarian Action, A Handbook for Practitioners, ALNAP, ODI, (2003), pp. 132-133

The above methods lead us to consider the capacities each stakeholder has in relation to the issue. It can also sometimes be useful to look into their vulnerabilities regarding the issue.

- The **Capacities and Vulnerabilities Analysis** allows taking these factors into account for project identification.

  Participation by Crisis-Affected Population in Humanitarian Action, A Handbook for Practitioners, ALNAP, ODI, (2003), pp. 135-138

REFERENCE

More elements and tools for stakeholder analysis can be found in DFID, *Tools for Development, A handbook for those engaged in development activity, Department for International Development (2003), section 2, stakeholder analysis, pp. 15-25.*

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�“ METHOD

An alternative or complementary stakeholder analysis method is grounded in the **rights-based** approach. In every humanitarian or development situation or intervention, there exists a **system of rights and obligations** regulated by law. This system provides a framework for analysis that helps to **identify stakeholders** and the **role they should play** in relation to a given issue.

Hence, there are legal norms that must guide our action. And we can call on these norms when we interact with local stakeholders. Parents, community leaders, government services staff, local administration, etc. all have obligations that derive from these legal norms.

To carry out rights-based stakeholder analysis, set out by identifying the **rights that are at stake**. Refer to the Convention on the Rights of the Child, to national law, or to customary or religious standards. Then, identify the **stakeholders that have responsibilities** deriving from those rights. They are the ones our project will engage with, either to improve their capacity to guarantee the enjoyment of the rights by the rights holders, or to make them improve the respect of the rights.

▤ REFERENCE

For advice on the implementation of the rights-based approach in stakeholder analysis, see: *"Getting it Right for Children, A practitioners' guide to child rights programming", Save the Children UK (2007), sections 2 and 3*

1.3.3.2. Problem analysis

A second complementary aspect of project identification is the identification and analysis of the problems, their **causes**, and their **consequences** that, put together, make up the **issue**. The aim of this analysis is to identify the critical points that stakeholders deem important and that they wish to resolve. A clear problem analysis creates a base to develop a coherent and well-focused objective for the project.

�“ METHOD

For its priority thematic areas, Tdh has thematic policies with **models of action**, i.e. **models** focused on an **issue**. These models guide us in our problem analysis in a given situation. A model of action presents an issue's **causes** and **consequences**. But not in an exhaustive manner. The model contains only those causes and consequences **we may choose to act upon** because we know **effective methods for dealing with them**, based on our experience and/or on scientific literature. The model of action also shows the **actions** we take to prevent or resolve these causes and consequences.

The observed problems are hence analysed in the light of the corresponding thematic policy.

🔧 **TOOL**

A tool that is useful in problem analysis is the **causal relationships analysis**, or "problem tree". It takes the form of a diagram that shows at the bottom, the causes of a problem, and at the top, its effects. To produce it, go through three steps:

- Define the nature and scope of the issue at stake (the main problem)
- Identify the problems encountered by the beneficiaries or the target group related to this main problem: What is/are the problem(s)? Who is affected by it/them?
- Display the problems in the form of a diagram in order to ease analysis and clarification of the cause and effect relationships.

Figure 4: problem tree

Effects

Main problem

Causes

🐾 Terre des hommes

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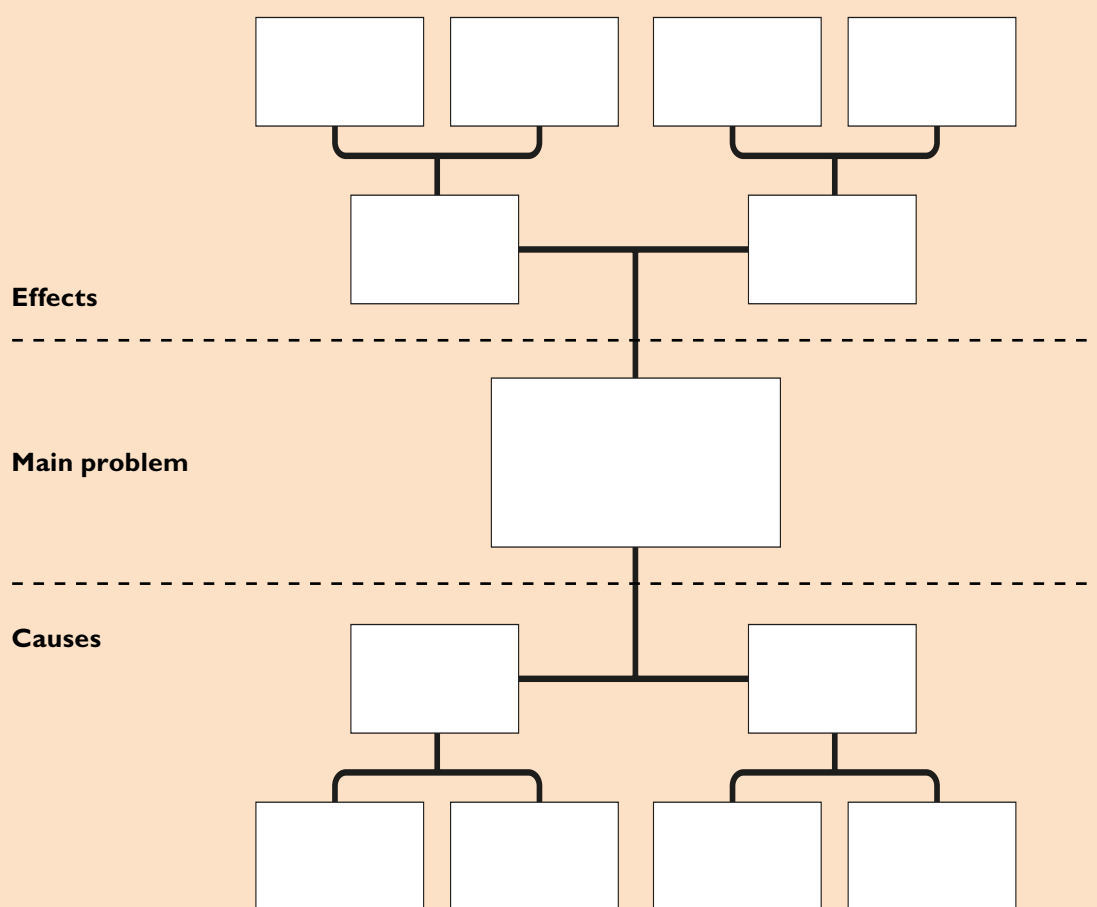
Figure 5 : **simplified example of a problem tree related to a water/hygiene/sanitation issue**

Consequences

High child mortality rate

Main problem

Children are often sick

Causes

Exposure to waterborne pathogens

Consumption of water not fit for drinking

Open defecation in the environment
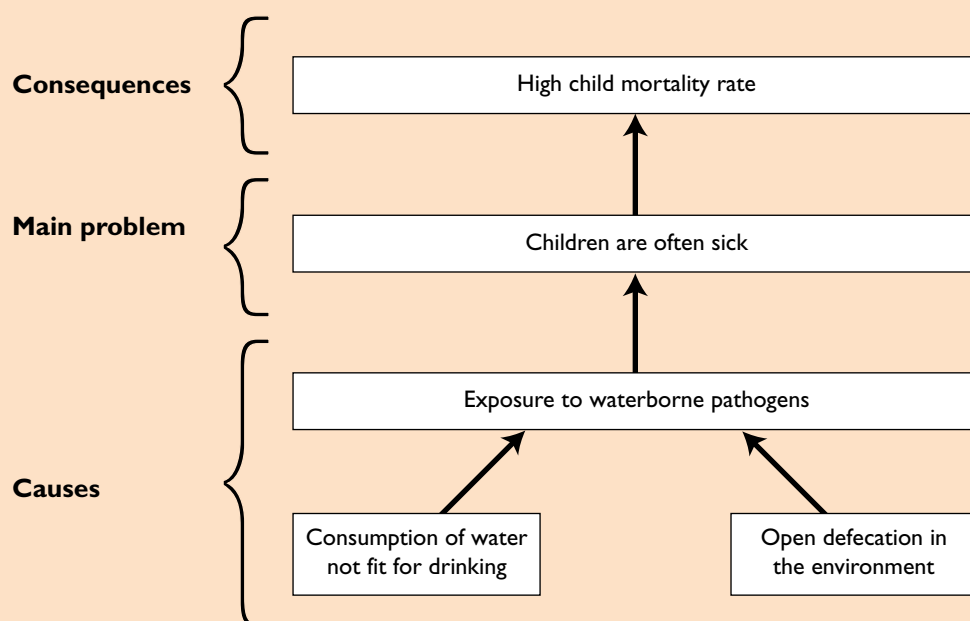
Figure 6 : **example of a problem tree focused on community development**

Neglect by the authorities

Lack of intersectoral coordination

Lack of training

Unemployment

Inadequate community management

Relationship behaviours

Migration

Inadequate resource management

Inadequate development in socially isolated communities

Lack of integration into the health care system

Lack of basic services

Stick children

Malnutrition

Family exposed to violence

Emotional insecurity

Inadequacy of the educational system

Children having no autonomy

Despair and violence

Causes　　**Main Problem**　　**Consequences**

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REFERENCE

For more information on the production of a problem tree, see: *Tools for Development, A handbook for those engaged in development activity, Department for International Development (2003), section 3, Problem and Situational Analysis*

The problem tree is useful to sort and view problems and to clarify causal relationships in complex situations. Even so, keep in mind that the declared or observed problems are not the only possible and relevant entry points for identifying an intervention. Avoid using the problem tree in a mechanical way, as is often shown in literature, to deduce the objective, expected results and strategy of a project. This would mean, amongst other things, leaving out the insights brought to us by the stakeholder analysis.

TOOL

The **capacity analysis matrix** helps to identify and analyse problems in a more systematic and targeted way. It derives from the **rights-based approach** (see previous section on stakeholder analysis). It consists in identifying the rights that children (or other beneficiaries) do not enjoy, and to specify what the obstacles to the full benefit and respect of these rights are. By identifying what is missing you can identify the actions that could help resolve this issue. You can do this by assisting children, families, and communities in **asserting their rights**, by **strengthening the capacities** of those who bear a duty regarding those rights, or by advocating towards them to make them **change their practices**.

To fill out the matrix, start with the duty-bearers column and the column stating their responsibilities. Only consider duty-bearers who play, or should play, a significant role in the given context. Then, fill out the three columns on the right with an evaluation of these stakeholders' motivation, authority, and resources.

Exemple
Matrix 2: capacity analysis of a child protection project

Duty-bearers	Responsibilities and Roles of each stakeholder	Motivation and Willingness Do the duty-bearers accept their responsibilities?	Authority Do the duty-bearers have the authority to carry out their role?	Resources Do the duty-bearers have the required knowledge, capacity, human and material resources?
Immediate caregivers, e.g. parents	*Primary responsibility to protect children from the risk of exploitation and trafficking*	*Limited by cultural norms, gender and power relations, and lack of access to information*	*Unilateral decision-taking by males*	*Limited knowledge, other priorities, weakness of the family structure, lack of resources*
Community, e.g. community leader	*Protect children in the community, assist parents*	*Child protection is not a priority, interventions are occasional*	*Only informal power*	*Traditional protection mechanisms, lack of resources*
Private sector, e.g. an employer	*Protection of children against harmful employment and exposure to risks*	*Responsibilities not widely accepted, infrequent willingness to take social responsibility*	*Yes*	*Lack of know-how*
Civil society, e.g. an association	*Support children and parents to claim their rights, pressure on the State to respect rights*	*Interest in children and children's rights protection*	*Only limited role*	*Limited organisational capacity, resources, know-how, and political space*

Local government, e.g. health workers	*Protect children and guarantee their rights*	*Motivated, but there is often a limited awareness of obligations*	*Authority exists but is often ineffective*	*Lack of technical capacity, financial resources, ineffective decision-making processes*
National government, e.g. Ministry of Health	*Protect children and guarantee their rights*	*Lack of political willingness, other priorities*	*Ratification of international norms, but lack of implementation mechanisms*	*Lack of technical capacity, financial resources, ineffective decision-making processes*
International community, e.g. UN agency, donor	*To assist the State in its responsibility to children*	*Child protection is a priority*	*High influence, but multiple priorities*	*Sometimes lack of expertise for coherent programming*

Adapted from: "Getting it Right for Children, A practitioners' guide to child rights programming", Save the Children UK (2007), pages 30-31

REFERENCE

For more advice on the implementation of the Rights-Based Approach in project identification, see: *Getting it Right for Children, A practitioners' guide to child rights programming, Save the Children UK, 2007*

1.3.3.3. Resources analysis

What resources can be mobilised? Be they external, local, and even within the concerned communities.

Our organisation's intervention capacities depend, among other things, on the **financial resources** that can be mobilised. While carrying out the situational analysis it is hence important to also explore the orientations, guidelines and funds of the donors present in the context, or who are known to have an interest in the issue at hand. Contact and exchange with **donors** at the appraisal stage also allows benefiting from their possible knowledge of the context and their situation analysis.

One way to increase our interventions' impact is by joining our strengths to that of other external stakeholders engaged in the same context. The main ones have already been identified by the stakeholder analysis. By joining our forces in the form of **cooperation, alliances** and **consortiums,** synergies can be created, redundancies avoided, and counter-productive influences can be opposed. In complex emergency situations, **inter-agency coordination mechanisms** (clusters) are an important source of information on potential collaboration opportunities.

1.3.3.4. Context analysis

! COMPULSORY

Carry out a **context analysis**, comprising an analysis of **operational conditions**, in all **new contexts**, for instance when opening a project in a country where Tdh is not present, or in a new region showing significant differences (be they geographical, social, ethnic) compared to our intervention areas.

In any new context, be it a development situation or an emergency, check that conditions **allow Tdh to both operate a country office and to carry out projects smoothly.** Do this by examining the following aspects:

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Table 1 : operational conditions

Security	Administration	Infrastructure
• Security conditions • Risk factors • Aspects connected with health	• Administrative aspects • Registration conditions • Obtaining a visa	• Availability of electricity and water • Communications infrastructure
Offices and accommodation	Transport	Human resources
• Availability of premises • Rent levels	• Transport infrastructure • Access to the relevant areas • Availability of vehicles • State of roads	• Availability of qualified staff • Salary levels • Labour legislation

Depending on the context, examine also the following aspects :

A) In development contexts

For Tdh, a more thorough analysis of a new context usually comprises two aspects :

I. An analysis of the **general situation** :

Table 2 : general situation

Geography and population	• Geographical data • Population statistics, by gender and age group • Ethnic structure, languages
Administration / political situation	• Administrative structure • Political structure, type of government • Political events: coups d'état, elections etc.
Economy	• Economic situation, employment and unemployment, inflation, foreign investment • Seasonal elements : Harvesting periods, food deficit periods • Household solvency and capacity to save
Health and education	• Epidemiological data: life expectancy, fertility rate, new-born and child mortality rate • Illiteracy rate (men/women, and urban/rural)
Public and private services in expected fields of intervention	• Government policies in the relevant fields • Government services' structure and level of operation • Presence and operation of private services, associations, or NGOs • Presence of qualified staff
Humanitarian and human rights situation	• Gaps in addressing basic needs • Presence and programmes of humanitarian actors (NGOs, international agencies) • Human rights situation
Security	• Security situation, risk factors, possible development • Presence of military forces

II. An analysis of the social and cultural situation of communities concerned by a future project allows us to acquire better knowledge of daily realities, of living conditions, and of the constraints facing beneficiaries and partners. This analysis must include religion, beliefs, gender taboos, and other practices. It helps to take into account the various components of the environment and is especially recommended for projects at community level.

METHOD

Participatory research methods, mainly those of participative rural appraisal – PRA or participatory learning and action – PLA, lend themselves well to social and cultural analysis (see section 1.3.2).

B) In emergency contexts

TOOL

For recurring issues arising in **natural disasters or armed conflicts**, NGO and UN agencies active in emergency situations have developed – in the framework of the *Inter Agency Standing Committee* (IASC) – **standard tools** for data collection. There are forms and templates to be used in appraisals.

REFERENCE

For tools and guides suited to general situational analysis and specific to various issues, see: *IASC / OCHA, OneResponse Needs Assessment Toolbox*

1.4. DRAFTING OF THE CONCEPT NOTE

We use the information and data collected during the exploratory mission or situation analysis to draft a **concept note.** It outlines the intervention framework and provides the basis for the **preliminary assessment,** i.e. an analysis of the expected relevance, feasibility, and sustainability of a project. Without going into much detail, a concept note must provide the information needed by the programme manager and the head of operations to take a decision whether to continue work on a possible future project and to initiate its planning.

Concept notes are produced when time allows, when requested by the programme manager or when required for fundraising. Many donors ask for concept notes, whose positive assessments can open doors for project funding.

The relevant **thematic policies and models of action** provide a theoretical and conceptual framework for defining the future project's objective and strategy. On advice of the resource person or of the regional adviser, other sources and tools can be used. Referring to thematic policies and scientific literature helps us to make sure that the proposed methods and approach are the most effective.

METHOD

Follow the principles of **strategic planning** when formulating the concept note:

• **Focus** the project on an **objective**: the concept note must define this objective and sketch out a strategy to reach it.

• Make sure the action stems from thorough **consultation and reflection** rather than just from a reaction to perceived problems or the implementation of a standardised response.

1

1.4.1. Format and template

> **! COMPULSORY**
>
> A concept note is a **short document**, it should not exceed four pages, not including the annex presenting the budget and funding plan. Except if the donors to be contacted require a different format.

The concept note comprises the following elements:

1. Basic information
- Name and location of the proposed intervention
- Author/s of the concept note
- Submission date

2. Contents and strategy of the proposed intervention
- Description of the situation and of the issue
- Preliminary formulation of the objective
- Target group, beneficiaries
- Preliminary formulation of the expected outcomes, outputs and actions
- Foreseen partners

3. Required resources
- Estimated budget
- Prospective donor/s

4. Design process
- Consultations already carried out / stakeholder participation in the situation analysis
- Proposed planning process, including target groups and beneficiary participation
- Issues that remain to be resolved

1.4.2. Objective of the proposed intervention

The **formulation of the objective** has to answer the following question: should the future project be successful, what will be the main positive effects for the beneficiaries? Hence, the objective is the **description of the improved situation of the target population at the end of the future project.** The improvement must be concrete and measurable, meaning that it must be possible at the end of the project to ascertain whether the objective has been achieved, and to what extent.

See section 2.4.3.4 for further advice on how to formulate the objective.

1.4.3. Strategy of the proposed intervention

The project strategy is structured on a set of **causal relationships** (results chains) connecting actions, intermediate results, final results and the defined objective. When drafting the concept note, **just define the objective and the final results** (there can be from two to five). Further elements of the strategy will be elaborated later during strategic planning, if it takes place.

Figure 7: objective and final results
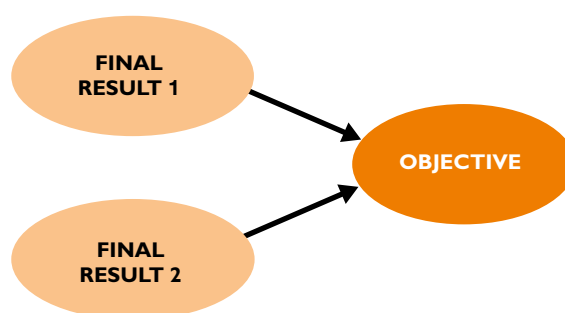
See section 2.4.4.2 for a method to formulate final results.

The OECD has standardised the definitions of the main terms used in planning and evaluation. There remain however among humanitarian and development organisations differences in the terminology used to describe different result levels and effects in projects. For concept notes, we adopt the **terminology used by the donor** that will be approached. The terms and definitions are defined in the manuals, instructions and templates provided by the donors and are usually accessible on their web sites.

> **REFERENCE**
>
> See OECD/DAC, *Glossary of key terms in evaluation and results based management (2002)* for the standard definitions

2

Strategic planning

Table of contents

2.1. RESULTS-BASED MANAGEMENT

Effectiveness is becoming more and more important in humanitarian aid and development cooperation. Hence, the principle of **managing for development results** (MfDR) can be found in the main international commitments of the last decade:

- By adopting the **Millennium Development Goals** in 2000, the United Nations' General Assembly defined concrete and measurable objectives in eight key areas to eliminate poverty by 2015.

- The **Paris Declaration on Aid Effectiveness** (2005) is an international agreement in which developing countries and donor countries as well as multilateral organisations have adopted five cooperation principles, among them notably that management should be centred on the results of aid and that actions and results should be monitored by way of a set of indicators.

> **! COMPULSORY**
>
> To be in line with the principles of results-based management, the **planning of every project must:**
>
> - Be focused on an **objective**, formulated in terms of its effects on a target group or beneficiaries.
> - Be based on **assumptions of causality** that clearly connect planned actions to expected results. These hypothesis must be rational and based on scientific evidence or on a consolidated institutional experience.
> - Include the formulation of **measurable indicators**, with known starting levels (baseline) and clearly defined levels expected at the end of the project.
> - Include a system for **monitoring** and **evaluating** the project's effects.

The method we use for planning our projects fulfils several needs:

• It ensures the project's relevance, effectiveness, and efficiency.

• It provides a steering device.

• It allows all stakeholders to collectively exchange and reflect.

• It allows the communication of a project's meaning and approach to all internal and external stakeholders (beneficiaries, partners, authorities, donors).

2.2. LEVELS OF RESULTS

Here are some fundamental notions used in results-based management. Our thinking is based on a hierarchy of results, also called **results chain.**

Outputs

We mobilise human, material, and financial resources to carry out activities. **Activities** are tasks that are carried out or work that is done. What we call **actions** are a set of tasks leading to a common goal.

The goods, equipment, or services resulting from these actions are called **outputs.** An output is characterised by the fact that the project **controls** the elements required to create it. Throughout this document, the term *"output"* is used in that precise sense, as defined here.

Examples

• 36 trained social workers;

• 2 wells that have been built;

• 125 children that were taken care of in a Tdh centre; or

• A child protection unit established within government services.

Outcomes

Outcomes are significant and measurable changes in the beneficiaries' or target groups' practices, capacities, knowledge, and/or well-being resulting from the outputs of a project. Throughout this document, the term *"outcome"* is always used in that precise sense, as defined here.

Examples

• New methods used by social workers in their daily work,

• Decrease in diarrhoea owing to the consumption of safe drinking water from a new well,

• Increase in self-confidence of children who have been to a psychosocial care centre, or

• Detecting and following up cases of children victims of abuse or neglect by State child protection units.

Impact

By **impact,** we mean the long-term effects, be they negative or positive, direct or not, intended or unintended, resulting from a project's outputs. Unlike outcomes that are short and medium-term intended effects, impact refers to longer term changes and also includes unintended and/or negative effects.

It is usually not easy to work out whether, and to what extent, observed long-term changes result from a project's outputs. This makes impact assessment difficult. The notion of impact is above all useful in project evaluation. Taking into account all the effects, and not only the intended ones, is essential if we want to forge an opinion on a project's value.

Results chain

The graph below depicts the results chain and identifies the **area of control** – where we mobilise resources to carry out activities that allow us to produce outputs – and the **area of influence** where our outputs contribute to effects on the beneficiaries and target groups.

Outcomes do not only depend on the project's actions. We try as much as possible to achieve a direct and plausible causal relationship between a project's outputs and the outcomes we want to reach for the target group or the beneficiaries. But we are aware that some factors that are not under our control can also play a role.

Figure 8: results chain
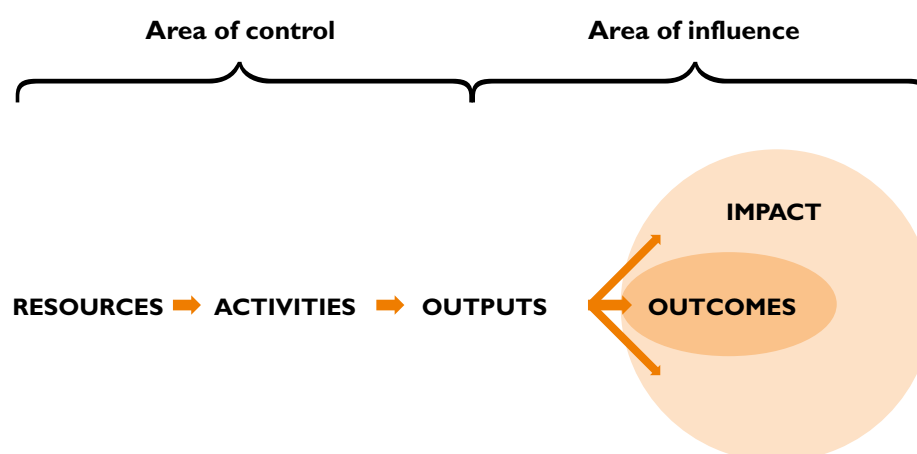
2.3. COLLECTIVE AND PARTICIPATIVE PLANNING

Use **participatory methods** in planning. This allows you to develop projects based on the stakeholders' **collective intelligence**. It also helps to build **ownership** of the project by all stakeholders. In this way, you can increase the chances of creating **relevant** projects with **sustainable effects.**

The planning workshop

From the introduction of the project cycle management methodology at Tdh in 2001, strategic planning is usually carried out in **participatory workshops** lasting from 3 to 5 days. At these workshops we carry out the complete planning process, from a review of the situation analysis to the formulation of the objective and the design of the project strategy. These workshops are a **key moment** in the project cycle enabling common **understanding** and **agreement** on the project by the various stakeholders *(see Annex 2.2 for a suggested planning workshop programme).*

Prior to the workshop, when deemed useful, we hold **preparatory meetings**. They serve to talk with people who would not feel at ease in a planning workshop, such as representatives of the community or of target groups, or with larger groups whose participation in a workshop would not be practicable. Past experience has shown that bringing together all the concerned stakeholders can lead to communication and comprehension problems. Some people may not dare express themselves in front of a large group or in the presence of officials.

We base the planning workshop for a **new project** on the results of the appraisal carried out beforehand (see section 1.3). Participants also look at the institutional framework (see section 1.2) and, if it is available, the concept note (see section 1.4). When we plan a **new phase of an existing project**, we look at the monitoring and evaluation reports.

Participants

> ! **COMPULSORY**
>
> Invite the new project's key stakeholders to the planning workshop:
>
> - the country representative
> - the head of project, if already chosen
> - the resource person or regional adviser
> - a representative of the geographical team, if possible the programme manager

You can also invite other stakeholders, often only for a part of the workshop:

- The project team
- Other national employees
- Partners
- Representatives of government authorities and/ or international organisations
- Community representatives
- Consultants

Alternative planning format

The institutional and operational environment has evolved over the past decade. It no longer allows systematically holding participatory workshops following the traditional format: We plan many projects **without prior guarantee** concerning their funding; **donors** wish to influence the contents of the project; **deadlines** are often tight; key interlocutors often have limited **availability.** It is therefore sometimes complex, and even ineffective and/or inappropriate, to carry out participatory seminars lasting several days with beneficiary representatives, partners and authorities.

Alternative forms of organising the planning process are possible. Depending on the context, we choose to organise a **series of meetings** with different interlocutors, before and/or after, or even instead of the traditional workshop. In such cases, it is all the more important to organise an **orientation meeting** when the project is initiated. This meeting brings together all stakeholders so as to ensure collective project ownership.

The country representative proposes, and the programme manager approves, the sequence of events of the planning process.

> ! **COMPULSORY**
>
> Whatever the format and modalities of strategic planning, follow the **main methodological steps** outlined in section 2.4.

2.4. THE FOUR STEPS OF STRATEGIC PLANNING

Strategic project planning consists of four steps. The first two steps comprise a review of the situation analysis carried out during the identification phase. We then define an objective and develop a strategy to reach it.

Figure 9: steps of strategic planning

STAKEHOLDER ANALYSIS

PROBLEM ANALYSIS

DEFINITION OF THE OBJECTIVE

DEFINITION OF THE STRATEGY
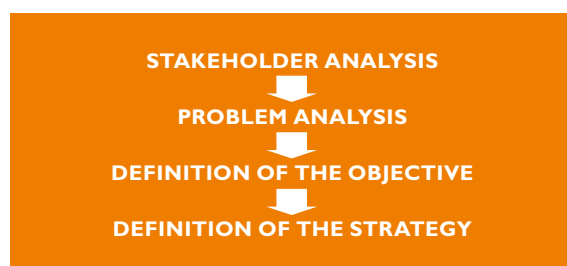
2.4.1. Stakeholder analysis

We look again at the stakeholder analysis that we carried out in the project identification phase and develop it further. In stakeholder analysis, we focus on **for whom and with whom** the project will be carried out.

METHOD

With stakeholder analysis we define who will be the future project's **beneficiaries.** They are those who should benefit from improvements resulting from the project. We also identify the **target groups**, i.e. those whose capacities we want to strengthen or whose practices we want to change. Finally, we choose the **partners** with whom we wish to cooperate.

TOOL

Use the **stakeholder importance and influence matrix** for stakeholder analysis. First draw up a stakeholders list. Then estimate the importance each stakeholder attaches to the issue and their influence on it. By cross-checking the criteria in the matrix, you will be able to identify various categories of stakeholders. The matrix is further explained in section 1.3.3.1.

Then carry out a more thorough analysis by identifying the stakeholders, among the ones who figure in the matrix, who **share our objectives** and orientations regarding the issue – our potential allies – and those who **oppose** them.

METHOD

You may also work out the **rights** at stake regarding the issue; identify those whose rights **are not enough protected or guaranteed,** and those who are **responsible for protecting and guaranteeing** these rights. The rights-based approach allows identifying the stakeholders who bear legal responsibility. Mobilising and strengthening them can result in a sustainable improvement of the situation. *See example in section 1.3.3.2*

2.4.2. Problem analysis

All Tdh projects aim to address an issue or problem situation. In order to clearly define and outline this issue in a given context, we need to identify the problems or unsatisfactory situations affecting the concerned group or population. They are often connected by causal relationships.

The following questions and considerations provide guidance:

• **Problems** often do not have an objective existence. They **exist for those who see them as such and who are affected by them**. When identifying problems, check who is affected by them, and evaluate whether, and in what way, the concerned groups perceive them as problems.

• Did you forget any **important aspects**? The lack of drinking water can for example not only result in health problems, but also affect the daily schedule of those – often women and young girls – who are responsible for fetching water. Do we understand the problems affecting children? Do we know whether it is women or men who are affected to a greater extent by a given problem? Have we identified the problems affecting marginalised groups?

• The rights-based approach helps in formulating problems in terms of **lack of guarantee** or respect of the various groups' **rights.**

TOOLS

The **capacity analysis matrix** *(section 1.3.3.2)* guides us in identifying what is missing to guarantee the respect of these rights.

Strategic choice of the central issue or main problem

A project strategy aims to address an issue. You need to carefully outline this issue.

◯ METHOD

To choose the central issue of the project, organise and prioritise the main problems according to the following three criteria:

I. Is this issue a priority for the concerned people? Is it perceived by them as a problem?

❗ The recognition of the issue as an important problem by the local stakeholders is an essential condition to ensure the future project's relevance.

II. Does our organisation have the capacity, organisational and technical competencies to help resolve this issue?

❗ Terre des hommes intervenes in issues where it has thematic expertise. The Foundation has eight thematic areas related to health and protection where it maintains thematic policies and models of action. To qualify for an intervention an issue therefore not only has to represent an important need, it also needs to correspond to an area where Tdh has institutional expertise.

Make sure that Tdh has a comparative advantage in terms of expertise/added value compared with other organisations that could intervene in the same field.

III. Does the situation and the environment allow us to be active in this issue?

Does the **government policy** allow us to be active in this field? Can we find **skilled local collaborators** for this project? Are we able to identify **allies and partners** to intervene? Can **resources** be mobilised?

❗ Only choose an issue if it fulfils **each of these three criteria.**

▤ REFERENCE

For further advice on problem analysis and the identification of a central issue, refer to the *UNPD Handbook on Planning, Monitoring, and Evaluating for development results (2009), pp. 33-37*

Identification of the causes and consequences of the main problem

After the choice of the **main problem** we wish to help resolve, we identify **causes** that contribute to it as well as **consequences** that derive from it. In this analysis, we deliberately simplify reality by reducing it to the most significant causal links.

Figure 10: causal chain
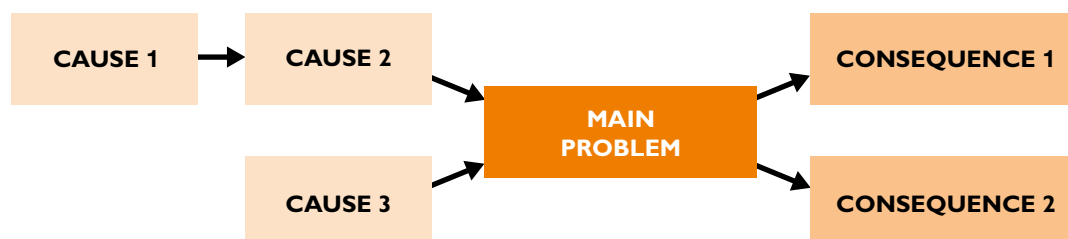
To identify the causal links between the problem and its causes and consequences, we draw support from the **situation analysis** as well as from the **collective expert opinion** of all those participating in the planning. The **thematic policies** can also provide guidance.

2.4.3. Steps for drawing up the objective

Our approach is to always start by considering what we want to achieve before planning what we need to do to achieve it. This is why we always define the project objective before thinking about what we will have to do to reach it, and what steps will lead to it.

To prepare the ground for the formulation of the objective, we **define a common vision**, we formulate a **final aim** and we look at **the concept note** of the future project.

2.4.3.1. Vision, a scenario for the future

Having analysed the situation, and before proceeding to formulate an intervention, make sure that all stakeholders **share a common vision of the future** the project is going to contribute to. If a project is designed based solely on the analysis of the present situation, there is a risk that we only react to the problems of the present. We should rather think about the future that we want to shape.

A team sharing a common vision of the future is likely to be better **motivated** and to work together in a more **coherent** way.

A vision reflects large scale changes. Although related to the future project's objective, the vision has a much broader scope; it goes further into the desired development and is more in the long term (5 to 10 years).

The description of a vision extends to approximately one page.

Example

"Public healthcare centres offer pregnant women and children free services of good quality. All women and children have access to healthcare services, and children suffering from severe acute malnutrition are taken care of in a nutritional stabilisation unit of the Department of health and family planning. Access to basic healthcare is provided within a maximum range of 2 kilometres from each household, with a clinic for every 5 000 people. Government doctors do not require payment for their services; they make themselves available and have a welcoming and helpful attitude. In places where there is still a lack of government services, the communities involve themselves and require that services be implemented. In the meantime, they set up community healthcare structures.

2

Husbands and other family members allow women to access prenatal care, assist pregnant women to desist from hard physical work, and encourage suitable leisure activities promoting a pleasant and enjoyable prenatal period. Children are fed by exclusive breastfeeding during their first six months, and mothers bring their children to the clinic for postnatal care. Mothers form groups to mutually encourage themselves to access healthcare when necessary and to organise themselves for integrated care of child illnesses at community level. Young couples agree and take steps to limit the number of children to one or two. The population strives to maintain the water supply clean, to use latrines and to keep them clean. As a consequence, waterborne illnesses are much less frequent.

These changes together contribute to a great improvement of the children's health and nutrition. Communities also commit to better protect their children: safe play areas are available and children are less often absent from school."

Formulating a vision is a **collective creative process.** Do it in a workshop in small groups, with results then talked about in plenary sessions.

💡 METHOD

Proceed as follows:

1. Tell participants to first work on a short description of the identified issue. The workshop facilitator asks each participant to write down three to five key words that characterise the situation, encouraging them to draw on the situation analysis carried out beforehand.

2. Working in small groups, participants then share the key words, group them according to various aspects of the situation, and use them as a basis for writing a short text summarising the situation.

3. Compare these descriptions in a plenary session and draw up a synthesis.

4. Then ask participants to project themselves 5 to 10 years into the future, and to imagine what the situation could be then. Tell them to adopt an optimistic attitude, but without indulging in illusions. The imaginary situation must be achievable if all necessary measures are taken to resolve the problems that were identified. It is however not useful at this stage to talk about what measures would be required. The facilitator asks each participant to write down three to five key words that characterise the ideal future situation.

5. These key words are used in small groups to write a short description of this ideal future situation. These descriptions are then read out and compared. A consensus among all participants is then built around the common elements in these descriptions, and a final version describing the "best possible future" is agreed upon.

📄 REFERENCE

For further advice on how to run a session to formulate a vision, see: *Outcome Mapping : Building Learning and Reflection into Development Programs, International Development Research Center, Ottawa (2001), pp.51-54*

Or refer to: *Tools for Development, A handbook for those engaged in development activity, Department for International Development (2003), pp. 37-43*

2.4.3.2. Final aim

The final aim of a project is **the global objective the project contributes to**. Although not achievable by way of a single project, the final aim gives a general direction and a path to follow.

The final aim stems from the vision but its content is more general. Its formulation is one or two sentences long and often refers to international standards, global objectives or national policies such as the millennium goals, the Convention on the Rights of the Child, or national sectorial policies.

Most logical framework templates require the definition of a final aim.

Example

Child and maternal mortality have decreased to the levels defined by the Millennium Development Goals. All children under five years of age, their mothers, and pregnant women have equal access to quality mother and child healthcare.

2.4.3.3. Review of the concept note

At the end of the identification phase, a concept note containing the formulation of an objective and of a strategy has usually been drafted. At this stage, we look at it again and evaluate its **strengths** and **weaknesses** as well as the related **opportunities** and **threats.**

> ### 💡 METHOD
>
> This review is best done in a workshop, for example by making use of brainstorming. Discussions and the synthesis of various factors allow knowing whether, and in what way, the objectives and the concept note strategy should be looked at again and fine-tuned.
>
> 🔧 The SWOT *(strengths, weaknesses, opportunities, threats)* analysis is a tool to analyse strategies. It takes into account external factors (e.g. the project's environment, the partners and the authorities) and internal factors (e.g. our expertise, team, and resources). The results of the analysis allow revising the project strategy, maximising the potential of strengths and opportunities and minimising the effects of weaknesses and threats.

Matrix 3: **example of SWOT analysis**

	Positive	Negative
Internal	Strengths: • Tdh is active throughout the juvenile justice process, all the way to children's rehabilitation • Tdh is the only stakeholder holding a broad relevant experience	Weaknesses: • Resources are too limited to implement a countrywide project
External	Opportunities: • Training of judges on the rights of the child would allow building a relationship with the Ministry of Justice • Reactivating the network allows better coordination between stakeholders	Threats: • Reluctance of the Ministry to circulate the new code of procedures among main stakeholders • Change of government, lack of interest on part of the new administration

In the above example, we examine internal strengths and weaknesses, and external opportunities and threats. We can also use this analysis framework in a different manner. Strengths and weaknesses (be they internal or external) can be related to the present, and opportunities and threats (internal or external) to the future.

> ### 📄 REFERENCE
>
> *For further details on the SWOT analysis, see Europeaid, Evaluation Methods for the European Union's External Assistance (2006), Evaluation Tools*

2.4.3.4. Objective

We are now ready to define the objective, the project's **central element**. It addresses the main issue identified in the intervention context. A project has only **one** objective.

The objective describes the **positive situation** the beneficiary population will experience at the end of a project or project phase, owing to the actions conducted by the project.

The objective describes **the project's effect on the beneficiary group.** At Tdh, children and their families typically form the beneficiary group. Although projects often strengthen or provide support or services to intermediate target groups, for example social or healthcare workers, it is the final beneficiaries who are defined in the project objective.

A project's effect is **measurable,** meaning that we can objectively verify whether and/or to what extent the objective has been reached at the end of the project. To this end we formulate **indicators.**

As a project contributes to structural transformations or changes in practices that persist once it has ended, the effects described in the objective are wholly or partly **sustainable.** At least one indicator measures or describes the social or institutional changes that render the improvements sustainable.

Finally, the formulation of an objective is **realistic.** The project has the resources to achieve it.

When formulating a project objective, the following points should therefore be kept in mind:

- Define the **beneficiary group**
- Define in what way the **beneficiary group's situation will be improved.**
- Describe a **situation** (not a process)
- This situation is **measurable** or can be **objectively observed**
- This situation must occur at a **given time**, i.e. the end of the project
- Certain improvements brought by the project are **sustainable**
- The objective is **concisely** formulated

Examples
✔ *WELL DONE: At the end of December 2011, in the 20 rural communities covered by the project, more*

than 1000 orphans or vulnerable children below 15 years of age are assisted by strengthened endogenous and/or institutional protection systems. Their social integration, their psychological state, material situation, and health are improved.

✔ *WELL DONE: At the end of 2010, the mortality, morbidity and malnutrition rates of pregnant women, breastfeeding mothers, and children below 5 years of age in Ratoma district are below critical thresholds.*

✖ *NOT SO GOOD: In the medium term, the project aim would be to improve the sanitary situation of the children and pregnant and/or breastfeeding women in the intervention area.*

The description of an objective is NOT:
✖ *NOT SO GOOD: the description of a process or of an activity.*
✖ *NOT SO GOOD: a list of various results.*
✖ *NOT SO GOOD: a project summary that also describes what the project will do. Avoid including information on how the expected changes will be achieved or on the methodology or tools to be used.*
✖ *NOT SO GOOD: expressed in negative terms, or in terms of comparison to the present situation.*

2.4.4. Project strategy

2.4.4.1. Model of action

Rely on the thematic policies and their reference models of action to make sure that you only plan for actions and results that are known to be effective and efficient.

A **model of action** focuses on an issue and presents the issue's **causes** and **consequences.** Unlike a problem tree *(see section 1.3.3.2)*, **the model of action only contains the causes and consequences Tdh will act on**. Moreover, the model of action shows the actions we carry out to respond to the different aspects of the issue. Only actions resulting from Tdh's institutional experience and/or that are deemed effective and appropriate from a scientific point of view (evidence based) are included in a model of action.

Figure 11: model of action
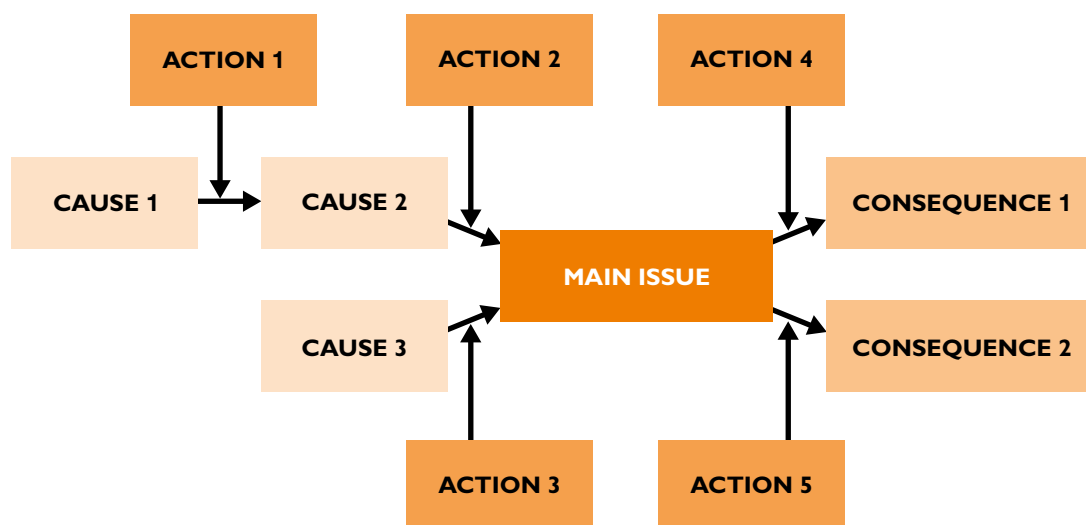
Example

Figure 12: model of action centred on the issue of acute malnutrition
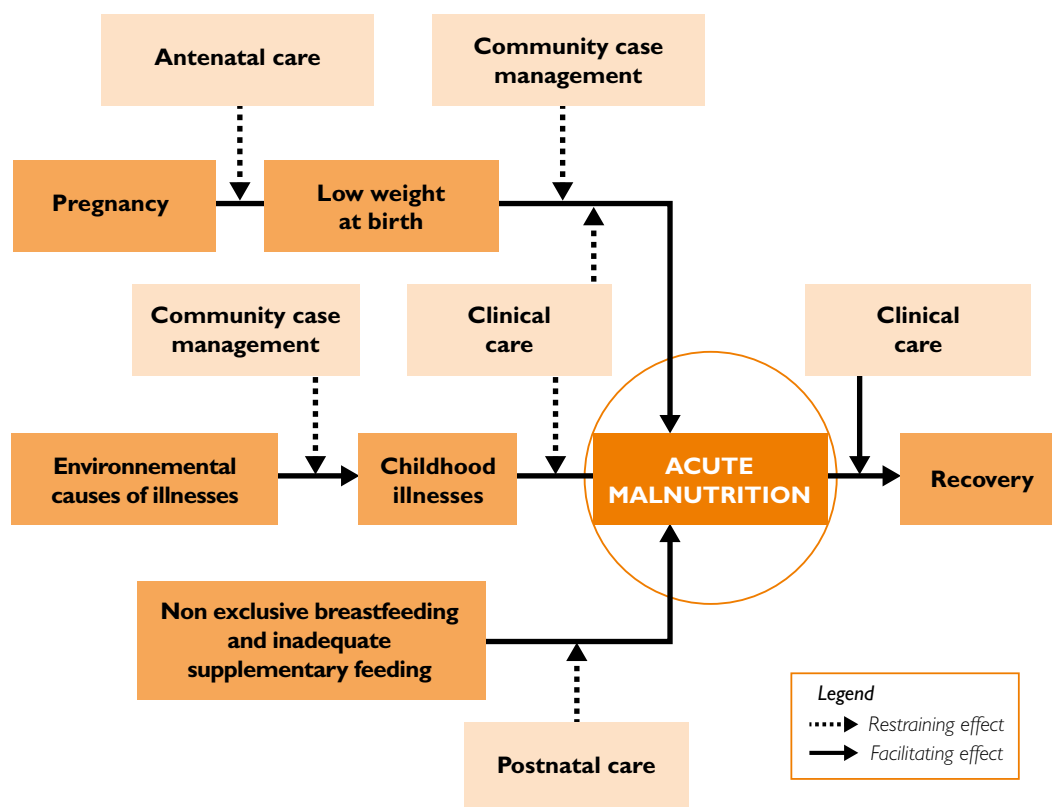
Model of action showing causes and consequences in the darker boxes, actions in the lighter boxes, and the main issue in the circle.

The model of action is a **tool** that is an integral part of **thematic policies** and is used to **guide** project **planning.** You can find **one or several models of action** in a thematic policy document, depending on the variety/complexity of the issues covered in the thematic area.

METHOD

When designing a project, **adapt** the models of action to the context. Include only the elements that are **relevant** in the given context in the project, and **tailor** them to the specific situation. Exceptionally you may add interventions on other aspects of the issue if these are particularly important. For example, to a project dealing with malnutrition, you can add interventions promoting food security. Broadening in this manner is only possible if the new elements are known to be effective, and if we can mobilise **external expertise and capacity** to carry them out. We usually do this by delegating them to partners who are competent in that field. Seek advice and support from the resource persons or regional advisors when engaging in innovative endeavours.

2.4.4.2. Final results

At the time of planning, the project strategy being formulated is, in fact, a set of assumptions about effects: if we carry out action X, we will achieve result Y. Y will contribute to the Z effect on the beneficiaries. And so on until we get a coherent and complete set of assumptions about effects enabling us to achieve the objective. By doing this we reduce the complexity of reality to unidirectional causal relationships leading to a result. Each action and result included in a project is meant to contribute to achieving the objective.

The strategic path is built up **in "reverse".** Start by defining the objective, and then ask yourselves what are the **modifications** in the situation that most significantly contribute to achieving it. These are called **final results**. In the given context, among all the possible final results, retain those that are the **most relevant and effective** in their contribution to the objective. A project usually comprises from 2 to 5 final results. When adapting the model of action for the project, you identified the issue's main causes and consequences. Use them for the formulation of the final results.

Final results are descriptions of **situations** that will be reached at a **given point** in the future. These situations correspond to project **outcomes,** i.e. direct effects on the beneficiaries or on a target group.

Three elements distinguish final results from the project objective:

- Final results are at a lower level and of lower importance. They contribute to achieving the objective.
- Final results can describe effects on beneficiaries or on target groups (such as a community group or a State service) whereas an objective is always framed in terms of an improvement of the beneficiaries' situation.
- A project can aim to reach a final result at any point of time during the project or at the end of the project whereas the objective is always meant to be reached at the end of the project.

Avoid formulating final results in terms of outputs only. They should express changes we are aiming at, e.g. that children be protected from malnutrition or less exposed to risky migration.

Examples of final results

✔ *WELL DONE: 320 children who have attended a social centre experience an improved psychosocial well-being.*

✖ *NOT SO GOOD: 45 social workers are trained in psychosocial methods.*

2.4.4.3. Intermediate results and actions

Intermediate results contribute to final result. **Actions,** which consist of a set of **activities,** are required to achieve intermediate results.

Unlike final results that are always expressed in terms of outcomes, intermediate results can be either outputs or outcomes. This provides us with flexibility when designing the project.

🔧 **TOOL**

We need to identify and ensure the logical connections between the planned actions and the intermediate results and final results we want to achieve. To do this, we use a tool called **the representation of the action**. Drawing up the representation of the action is a chance for all stakeholders to participate in planning. This allows each stakeholder to acquire a thorough understanding of the structure and purpose of the project and to picture the project as a unified and logical whole that is easily committed to memory.

As stated above, each final result describes an **outcome** concerning a **specific target group**. This target group can be either the beneficiaries themselves, or other stakeholders such as community groups, state services, or others that have an influence on the beneficiaries' situation.

The representation of the action is a flow chart diagram. It shows how the target group is affected by the problem that the project aims to tackle. The diagram then adds the actions to be taken by the project to prevent or mitigate unfavourable developments or to favour positive developments, in order to contribute to the final result.

Figure 13: representation of the action
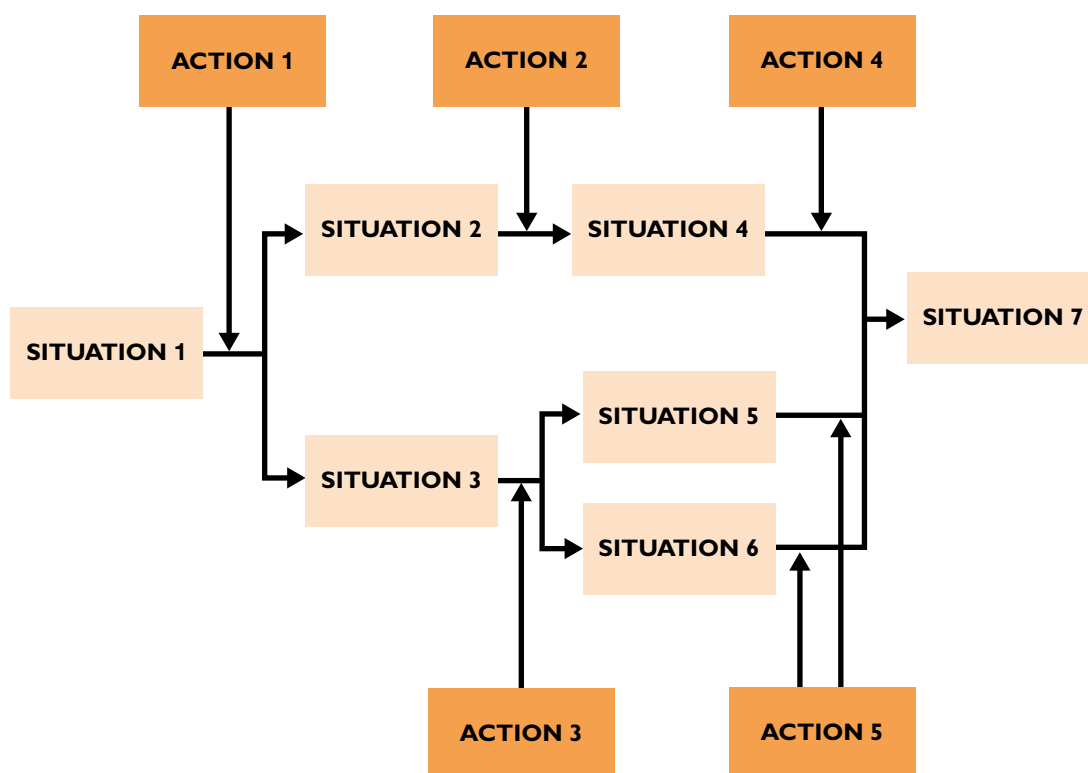
The lighter boxes represent the various situations (or states) the target group is in, or is going through, whereas the darker boxes represent the project's actions to react to, or prevent, these situations or states.

Example
Figure 14: representation of the action in a child protection project
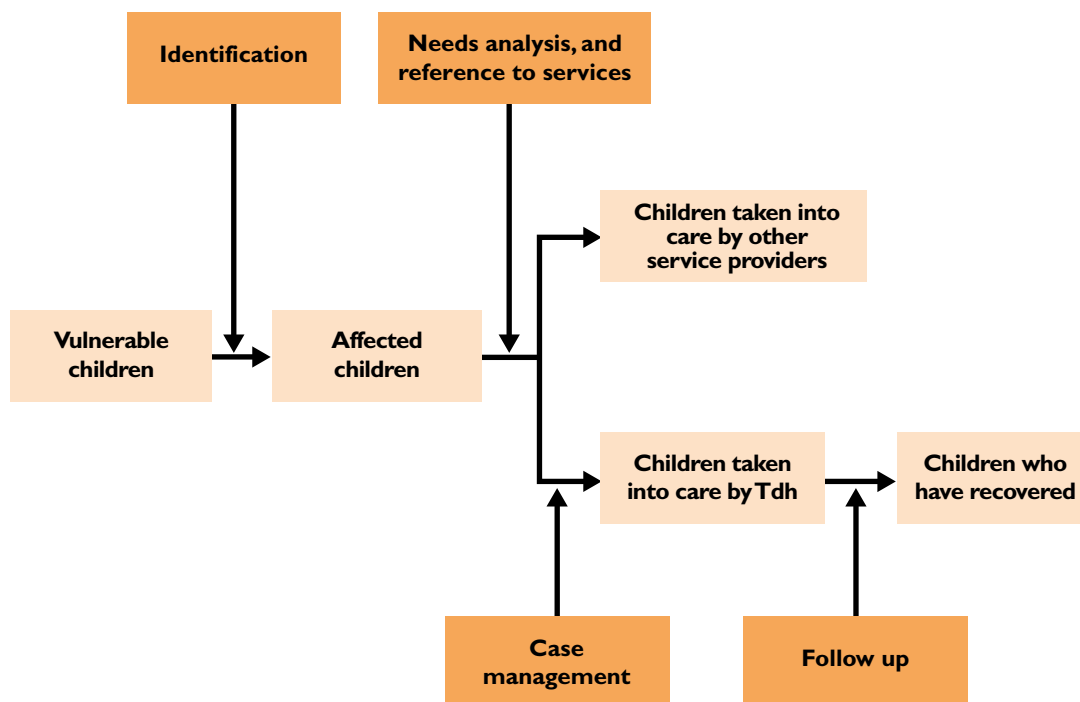
As a rule, develop a **separate representation of the action** for each final result. However if more than one final result concerns the same target group, you may draw up a representation of the action that embraces the actions leading to several final results, provided that the presentation remains clear and easy to read.

METHOD

Starting from the final result, first identify the pathways the target group evolves through. Then identify the different actions that are required. Then break up each action into activities to be carried out by the project staff.

To build up the representation of the action, draw on the **thematic policies** that show methods, actions, and activities that have proven to be efficient and effective in achieving the targeted results.

Example

The example below displays the representation of the action of a project component aimed at protecting against acute malnutrition. The lighter boxes show the steps the children go through as they interact with the project whereas the darker ones show the project's actions.

Figure 15: representation of the action of a project aimed at protecting from acute malnutrition
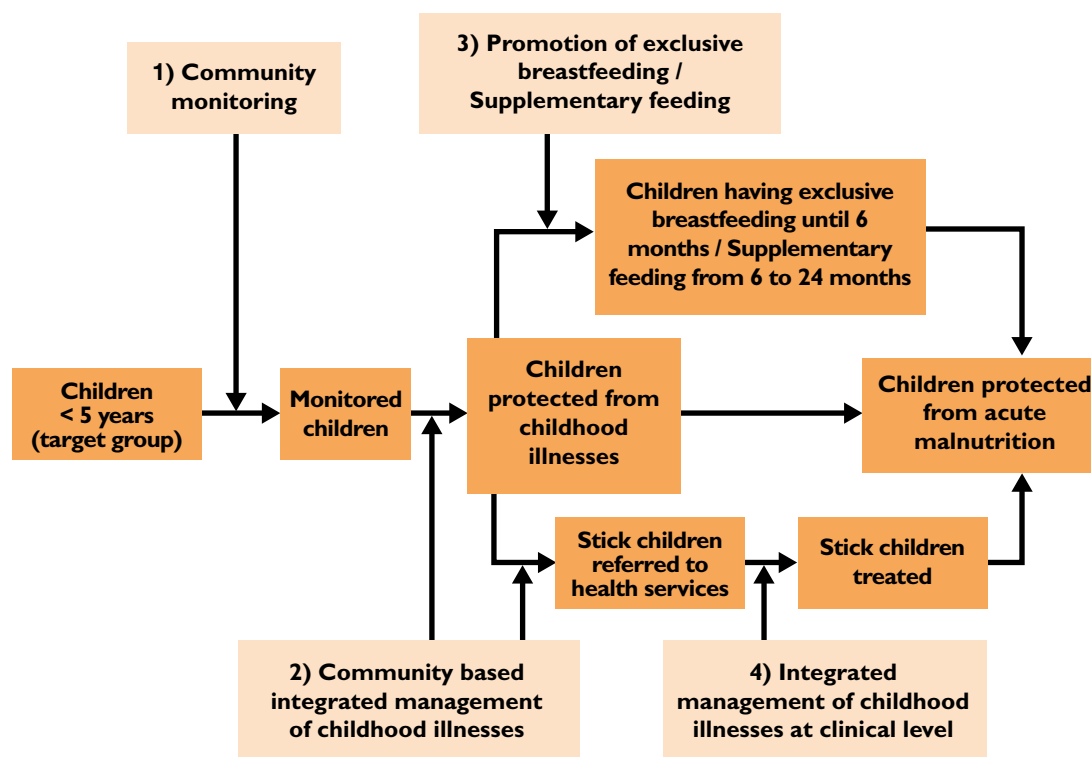
Once the project's actions have been identified (lighter boxes in the chart above), we can work out the activities required for these actions and decide who is responsible for their implementation:

Table 3: actions and activities by final result

Final result	Actions	Activities	Stakeholders
Protection from acute malnutrition	1) Community monitoring	Beneficiary census	Community health workers (CHW)
	2) Community based integrated management of childhood illnesses	Nutritional monitoring	CHW
		Vitamin A	CHW
		Deworming	CHW
		Vaccination	CHW
		Mosquito net	CHW
		Warning signs – reference	CHW
	3) Exclusive breastfeeding / supplementary feeding promotion	Promotion of exclusive breastfeeding < 6 months / supplementary feeding 6 – 24 months	CHW
	4) Integrated management of childhood illnesses at clinical level	Clinical care according to national protocol	Healthcare centre personnel

2.4.4.4. Quantitative estimate of expected results

To estimate quantitatively the expected results, work out the expected **number of individuals** concerned at each step of the representation of the action. The accuracy of these estimations depends on:

• The target group size; this information depends on the availability of demographic data or of a target population census.

• The availability of reference data to evaluate an issue's prevalence (how many people are concerned in a given population).

• The estimated capacity of the response / the services implemented by the project

• Our knowledge concerning the effectiveness of the actions we are undertaking to address the issue.

2.4.4.5. Results structure

Turn to the representation/s of the action that you elaborated and choose the **most significant or important steps** of the process. Define them as the project's **intermediate result/s**. Then add quantitative targets for each intermediate result, estimated as explained in the previous section.

Example
In the example in Figure 15, you may choose the following final and intermediate results, always adding quantitative target estimates:

• **Final result 1**: 9 000 children from 0 to 5 years of age are protected from acute malnutrition

• **Intermediate result 1.1**: 9 000 children from 0 to 5 years of age benefit from integrated care of childhood illnesses at community level

• **Intermediate result 1.2**: 3 000 children from 0 to 24 months of age benefit from exclusive maternal breastfeeding (children up to 6 months) or from supplementary feeding (children from 6 to 24 months)

• **Intermediate result 1.3**: Healthcare structures admit 15 000 children below 5 years of age (the same child may be admitted several times)

We have formulated a logical sequence of results leading to a final result. This sequence is called a **strategic axis** as it constitutes a building block of the project strategy.

Figure 16: example of project strategy
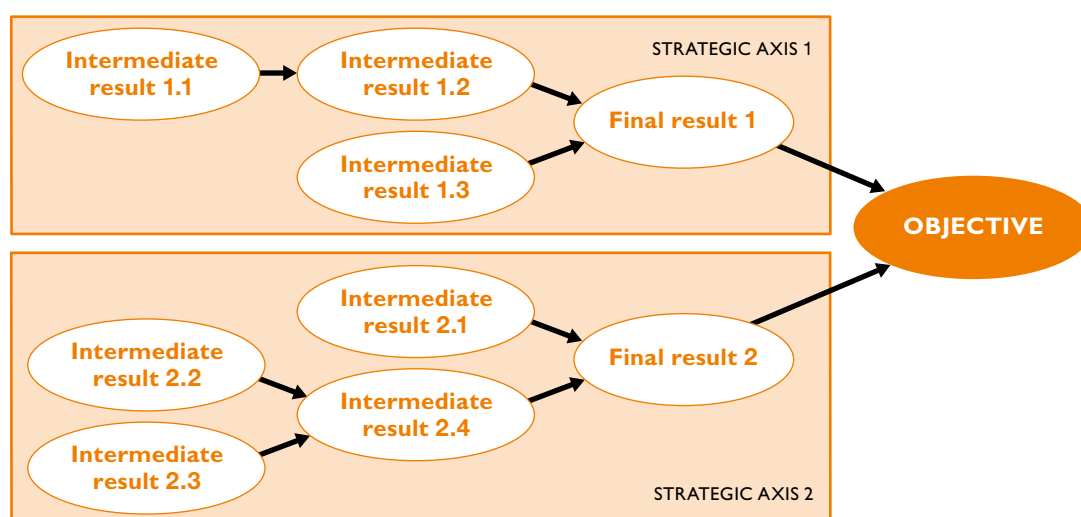
We have also identified the project's actions, the activities required for each action and the beneficiary numbers at each stage. These elements are essential to the operational project programming.

Terre des hommes

2.5. RISKS AND ASSUMPTIONS

We now examine the risks that may hamper or prevent achieving the results we plan for.

A risk is a **factor that could impede** achieving a project's results. Our focus is on external risks, i.e. those that stem from circumstances or events **over which we have little or no influence.** We consider a wide range of risk types:

Table 4: risk types

Category	Description	Examples
Infrastructure	Faults in the infrastructure hamper project implementation	Cut roads or bridges prevent access to the intervention area
Economy	The beneficiaries or the project suffer from unexpected economic problems	Increase in unemployment makes job placement for young people more difficult
Legislation, regulations	Faults or gaps in the legal framework prevent institutions supported by the project from providing improved services	Failure of a new law on judicial organisation to pass prevents judges from adopting alternative measures to imprisonment for young people
Politics	Political circumstances/changes render the project strategy unsuitable	Interlocutors in ministries are not available during an election period
Markets	The project is affected by developments on the labour market or the markets for goods and services	Goods required for project implementation are no longer available at affordable prices on the local market
Disasters	Natural disasters or armed conflict change the situation	Flooding in the intervention area damages wells built by the project
Security	Security risks or incidents narrow the range of action	It is too dangerous for project staff to travel owing to the risk of attacks

How to identify and analyse risks affecting a project?

> ### METHOD
>
> **Risk identification** can be carried out
>
> - In a brainstorming session.
>
> - Or by looking at the project strategy step by step. For each intermediate result we work out what factors could impede its contribution to the related final result. Then we identify factors that could prevent each final result from contributing to the project objective.
>
> Once all the risks are listed, **analyse** them. What is their potential for harm? This potential depends on the adverse event's probability to occur and on the damage it could cause should it occur.

There are three possible strategies for risk management. For each risk, the appropriate strategy is chosen according to the potential damage resulting from it, the cost of risk management measures, and their feasibility:

• **Tolerate** certain risks and manage their consequences. For this we need to list and monitor them.

• **Adapt** our activities in order to limit the possible harmful occurrence's effects. Risk analysis may therefore lead to a review of the project strategy.

• **Transfer** certain risks to other stakeholders. For example by subcontracting certain tasks to other organisations that are less vulnerable to the risks or to their possible consequences.

🔧 **TOOL**

Pay attention to the risks that have a medium or high likelihood to occur and that imply a medium or high adverse impact. List these risks and show for each the measures we will take to reduce the likelihood of their occurrence and/or to reduce the impact should they occur.

Table 5 : risks and management measures

Risks	Likelihood of occurrence		Severity of the impact		Risk management measures
	medium	high	medium	high	
Example: the authorities do not renew authorisation to access the intervention area	X			X	Meet deadlines for access requests. Regularly speak with the authorities and inform them about the project's objective and progress.
Example: community water tanks are stolen	X		X		Anchor them to a concrete base. Ensure that the maintenance committee is aware of its responsibilities.

❗ **Adapt or discard** a result that is exposed to a risk with severe potential consequences and a high probability of occurrence.

📑 **REFERENCE**

For further information on risk analysis, see DFID, *Tools for development: A handbook for those engaged in development activity (2003), pages 55-62*

2.6. INDICATORS AND MEANS OF VERIFICATION

Results-based management is only possible if we make sure that we are able to ascertain if, and to what extent, a project's expected results are achieved.

Indicators are quantitative or qualitative factors or variables that provide a simple and reliable **means to measure** or at least to accurately describe the achievements resulting from an intervention. They are **operational descriptions** defining values in quantitative and qualitative terms enabling us to measure or assess whether the objective and results at all project levels have been reached.

As it is often difficult and/or costly to measure all the aspects of a project's results, we choose a limited number of indicators that are easy to **measure but significant** to the project's success. At least two indicators are required for the objective *(see Matrix 4),* and one or several for each of the final and intermediate results. Keeping in mind that monitoring absorbs resources, strive to use as **few indicators as possible**, but enough to get a **reliable indication** of the changes that occurred.

Indicators define **what will be measured or observed**, and set a **target value or a situation to be reached**. You can express the indicator's target value as an absolute value or as a percentage. To work out the target value, make sure you have corresponding values at the beginning of the project (baseline), and be aware of the generally accepted **references** or **standards** (benchmark). Carry out a survey to set the baseline at the beginning of the project should it not be available from reliable sources.

The indicators are the tools for a project's monitoring, steering, and evaluation:

• Monitor the project's actions and **outputs** by looking at the work plan, activity reports, and accounting data. These elements can be directly observed, measured, and documented.

Example
The number of children who have attended an outpatient care centre can be directly observed, and is documented in the centre's admissions record.

• Measuring progress in terms of project **outcomes** (effects on the target group) can be a challenge, in particular when information is not directly available and has to be produced through surveys and studies.

Example
You need to conduct surveys measuring various aspects of the children's behaviour and situation to measure the improvement of their psychosocial well-being. The survey tools must be suited to the cultural and social context.

A good indicator is:

• **Reliable:** different people using a given indicator in the same context come up with the same result. The indicator is hence objectively verifiable.

• **Sensitive:** the indicator records in a timely manner changes occurring in the parameters defined for the relevant objective or result.

• **Specific:** the data recorded by the indicator measures the changes we are interested in, and is not overly influenced by other factors.

• **Measurable:** the indicator's definition is clear and unambiguous and quantitative or qualitative data can be found to ascertain the indicator's value.

• **Available at reasonable cost:** the required data to read the indicator is available or can be obtained by using resources (financial or human) that are not disproportionate to the value this information represents.

• **Plausible:** The measured changes are directly connected with the project's interventions. It is plausible that if the readings of the indicator progress, the project is on the right track.

Here are some **common mistakes** in the formulation of indicators:

 • The indicator's **target value** is not defined:

Example

❌ *NOT SO GOOD: Percentage of children taken into care who have been reintegrated in their family*

The target value must be defined:

Example

✔ *WELL DONE: 60% of the children taken into care have been reintegrated in their family*

• The indicator is not measurable because its definition is not precise:

Example

❌ *NOT SO GOOD: Significant improvement in the hygienic practices of 230 mothers*

Measurable elements have to be set:

Example

✔ *WELL DONE: 80% of the 230 mothers declared that they washed their hands with soap at least at two critical moments (after changing the baby, before preparing food) in the previous 24 hours*

When you formulate indicators, look at the **thematic policies.** They provide information for defining and determining the indicators' reference values and thresholds. The **resource persons** at headquarters and **regional advisers** in the field can also provide advice on this matter.

As mentioned earlier an indicator is only useful when the information to monitor it is indeed **available** or can be **found** or **produced by surveys.** To be sure of this information's availability, define means or sources of verification each time you set an indicator. The **sources** define the documents (reports, minutes, files, registers, etc.) that provide relevant information, whereas the **means of verification** refer to the methods to be used to collect data or information.

2.7. LOGICAL FRAMEWORK MATRIX – WITH ANNOTATED TEMPLATE

🔧 **TOOL**

The logical framework is the **standard tool** to present a project's essential elements. It is used as a summary of the planning elements, as a monitoring device, and as a basis for elaborating reports on the project.

❗ The logical framework is an **integral part** of all Tdh **project documents.**

Considering the importance of the logical framework matrix, strategic planning is sometimes referred to as the *logical framework approach.*

A logical framework is a matrix made up of four columns. In the first column, the project results are presented, from the final aim, objective, final results, intermediate results down to the actions. In the following columns, we write the indicators for the objective and the various results, their means of verification, as well as the risks and assumptions related to them.

The logical framework matrix allows to present the essential elements of the project concisely, and to check their logical coherence. Fill **all the boxes** of a logical framework. In particular, don't neglect defining the means of verification and the assumptions and risks.

Although the basic four column structure of a logical framework is generally respected, donors often vary the terminology and structure in their templates. When preparing a project with no specific donor in mind, or if a donor has no specific requirements, the template below is used:

Structure of the Tdh logical framework
Matrix 4: **logical framework, first part – final aim, objective, and final results**

Project title: Write the project title	Country/region of intervention: Write the country and the region or city of intervention	Starting date and duration: Write the project's expected starting date and how long it will last	Programme manager and country representative: Write the names of the programme manager and of the country representative
Intervention logic	**Indicators**	**Sources and means of verification**	**Risks and assumptions**
Final aim: describe the global objective – the long-term improvements the project contributes to. *(see section 2.4.3.2)*			
Objective: describe the positive situation the beneficiary population will experience at the end of the project or project phase. Improvements must be sustainable. *(see section 2.4.3.4)*	Write the factors and variables that can be measured, or at least accurately described, to show that the objective has been achieved and that the benefits are sustainable. Formulate at least • one indicator that measures the improvements for the beneficiary population and • one indicator that measures the changes in the population's practices and/or the transformations in institutions making this improvement sustainable.	Set for each indicator the documents or sources, or the methods or means to find or produce relevant information to measure it.	If the objective is achieved, what assumptions must be true in order for the objective to effectively contribute to the final aim?
Final result 1: describe the effects that the project's actions specific to this result will have on the target group. *(see section 2.4.4.2)*	Give factors or variables (1 to 3, maximum 5) that can be measured, or at least accurately described, and that show that final result 1 has been achieved.	Set for each indicator the documents or sources, or the methods or means to find or produce relevant information to measure it.	If final result 1 is achieved, what are the risks that could prevent it from contributing to the objective?
Continue for the remaining final results. There are usually no more than 3 and at most 5 final results.			

Matrix 5: logical framework, second part – intermediate results and actions by final result

Final result 1: Enter final result 1 here again			
Intermediate result 1.1: Project outcomes or outputs that contribute or lead to final result 1. *(see section 2.4.4.3)*	Measurement of the quantity and quality of the project's outputs or outcomes. Limit to between one and three indicators per output or outcome.	Set for each indicator the documents or sources, or the methods or means to find or produce relevant information to measure it.	If intermediate result 1.1 is achieved, what are the risks that could prevent it from contributing to final result 1?
Actions: List of actions that will be carried out to produce intermediate result 1.1. These actions appear in the representation of the action tables. Give significant actions only.			
Continue, if applicable, for the remaining intermediary results that contribute to final result 1, and list for each intermediary result the related actions.			
Continue for the following final results, intermediate results, and actions. Limit the number of intermediate results to a maximum of three per final result.			

2.8. ASSESSMENT CRITERIA

Once you complete strategic planning, look again at the project and make sure it follows in the best possible way the quality criteria, values, fundamental principles, and approaches Tdh is committed to. Use these three complementary ways to ensure compliance:

- Integrate them into the project's **strategy** by formulating them as results to achieve.
- Choose **methods and tools** that promote them.
- Choose appropriate project management, training, team development, or organisational development **processes.**

Among the most fundamental **principles** are:

- **Strengthening** local partners' **capacities**.
- Stakeholder **participation** at all project stages.
- **Empowerment** that helps individuals, groups, associations, and organisations to strengthen their autonomous capacity to recognise and take ownership of problems, to make their voices heard, and to defend their rights.

We systematically follow:

- The **gender-based** approach that enjoins us to take into account the specific situations and needs of all community members: women and men, girls and boys. The dynamics, the power relations, and the difference in access to resources of the various groups have an influence on how the intervention will be carried out and on who will be the target groups.

- The **rights-based** approach that is based on the recognition that a system of rights and obligations exists in every humanitarian or development situation. This system provides an analysis framework to identify stakeholders and the role they ought to play in relation to the issue at hand. The formulation of the intervention strategy is guided by the rights that are at stake for the beneficiaries, and the extent the respective duty bearers are able or willing to uphold their responsibilities.

Consider the **quality standards** defined by the OECD/DAC evaluation criteria *(see section 5.2.2)*. For **development projects**, examine compliance with the following criteria:

- **Relevance:** are the project's objective and its expected results in line with beneficiaries' requirements, country needs as well as to the various stakeholders' priorities and capacities?

- **Effectiveness:** can the objective and the results be achieved?

- **Efficiency:** will resources (funds, expertise, time, etc.) give good value to reach results?

- **Sustainability:** will the benefits resulting from the project be maintained when the intervention has come to an end? Will benefits be achieved in the long term?

- **Impact:** have the long-term effects been taken into account? Be they positive or negative, intentionally brought about by the project or not.

For projects in **emergency or chronic crisis** situations, consider **effectiveness** and **efficiency**, as well as the following criteria:

- **Appropriateness:** are the actions suited to the local and national needs and capacities?

- **Connectedness:** do short-term emergency actions take into account, and are they connected with, the answers to longer-term problems? Is there a logic of continuity connecting emergency assistance, rehabilitation, and development?

- **Coverage:** do all the groups of people who are victim of the crisis or the disaster have access to assistance? Is the definition of the target group relevant? Does help reach this target group in an effective way?

Pay attention to the notions of **complementarity** and **coordination** between Tdh and the other stakeholders when a multitude of actors are present.

The requirement to develop an **exit scenario** or a plan for the sustainability of the project's effects is linked to the sustainability criteria. After completing a project, Tdh must be able to withdraw and leave behind lasting benefits, without having created needs that will no longer be covered.

2.9. THE PROJECT DOCUMENT

2.9.1. Strategic planning document

The elements drawn up during the project's identification and planning are collected and summarised in a reference document. Not all elements will be required for funding applications, but it is useful to keep them as a reference for future project reviews.

The strategic planning document is structured according to the template presented in *annex 2.3.*

> **! COMPULSORY**
>
> The strategic planning document must include an executive summary (approximately one page), it must contain the essential elements of identification and strategic planning, and it must be accompanied by a logical framework.

2.9.2. Funding applications

Most donors provide detailed instructions and templates for funding applications. To complete them use the relevant elements of the strategic planning document. Supplement them with information on the approaches, strategies and processes - for example learning or networking processes - of the proposed project. Moreover, the application will include information on the structure of the project, its resources and procedures, its steering, its budget, evaluations and audits, and on donor visibility.

A funding application has better chances of success if it is:
• **Concise,** it only provides essential information and allows straightforward understanding of the project's strategy and expected outcomes;
• **Appealing,** it must highlight key ideas in a striking way;
• **Structured,** it complies with the template;
• **Coherent,** it proposes relevant ideas and convincing arguments, logically ordered;
• **Clear,** it is aimed at all types of readers and makes use of simple language.

2.10. ALTERNATIVE METHOD: OUTCOME MAPPING

Outcome mapping (OM) is an alternative method for planning, monitoring, and evaluating development projects. A number of agencies and donors use it, although often still only partially, together with more traditional elements, or on an experimental basis.

At Tdh, strategic planning and the logical framework **remain the standard approach** for project cycle management. We only use OM on an exceptional basis in few projects. It is well suited to medium or long-term projects, in complex contexts where a systemic approach is used, and for projects focusing on community or organisational development.

The introduction of OM, or of some of its elements, can be confusing as the methodology uses a **specific terminology.** Some words are used with meanings that are different from the ones widely accepted in project cycle management and in institutional development.

2.10.1. Key concepts of OM

OM rests on **three basic assumptions:**

• Real and sustainable change in the situation of a population can only result from **changes in the practices** and behaviours of the individuals and organisations that compose it. OM focuses on this type of result. **Outcomes** are defined as changes in the behaviour, relationships, or actions of people, groups, and organi-

sations that a project works with. By putting **emphasis on this type of outcomes** rather than on the effects on the situation of beneficiaries, OM modifies our conception of a project's objective, and of how its effectiveness ought to be monitored and evaluated.

- Development projects intervene in **complex and interconnected social systems**. It is unlikely that a temporary intervention by external stakeholders can exert a decisive influence on social realities. While there may be links between the activities and changes in a complex social system, we cannot be sure that these links are direct cause and effect relationships. It is the individuals and institutions making up the social system that are in control of the change process within it. An external stakeholder can at best help these processes by granting access to resources, ideas, or innovative opportunities during a given period. The external stakeholder has **control** over its own activities and outputs – its **sphere of control** – but only has an **influence** on the outcome level – **its sphere of influence.**

- Certain individuals, groups, or local organisations the project works with play a key role as they have a **decisive position in social change.** They are called **boundary partners** as they are situated at the border that separates the project's sphere of control from its sphere of influence. The project works with them to bring about changes, but does not control them.

To summarise, the three key concepts of OM are:

- *Outcomes* defined as c**hanges in practices.**

- A project's **sphere of control** and **sphere of influence.**

- **Boundary partners.**

2.10.2. The three phases of the OM project cycle

- Planning – **intentional design** in OM terminology – consists of seven steps:

  - **Vision:** What is the project's vision of the future? *The vision statement is much more than just a concise summary of the project's final aim. It is a detailed description of the stakeholders and their roles and contributions. (See section 2.4.3.1 for an example).*

  - **Mission:** How will the project contribute to achieving these aims? *The mission describes the project's approach and how it contributes to the vision.*

  - **Boundary partners:** Who are the project's boundary partners? *The project aims to influence boundary partners to achieve the vision. Boundary partners are groups or individuals who can, or not, belong to the intended beneficiaries.*

  - **Outcome challenges:** What changes in our boundary partners' practices are we aiming at in order to contribute to the vision?

  - **Progress markers:** In what way will we measure the progress of our boundary partners with respect to the outcome challenges? *We use a gradual measurement tool that defines three levels of change leading to the attainment of outcome challenges:*

    1. *Expected to see: the minimum necessary in terms of the boundary partner's initial reaction to the project's activities that shows the partner's willingness to commit to the project.*

    2. *Like to see: shows a more active attitude towards learning and participation, leading us to hope that the project will contribute to real changes in practices.*

    3. *Love to see: shows that the project has a deep and sustainable influence.*

- **Strategy maps:** What do we do to achieve outcomes?
There are three types of strategies: the ones focused on causes and effects, the ones focused on persuasion, and the ones focused on assistance.

- **Organisational practices:** To what extent are we efficient?

• **Outcome and performance monitoring** focuses both on how boundary partners progress towards outcome achievement, and on the project's activities. It rests upon systematic self-evaluation and other tools. OM deliberately includes partners in the design of monitoring and in the collection and analysis of data so as to better mobilise them and encourage them to make use of the findings.

• **Evaluation** is planned from the outset. This allows a better use of the resources available for evaluation.

Figure 17: project cycle in the OM approach

INTENTIONAL DESIGN
STEP 1: Vision
STEP 2: Mission
STEP 3: Boundary Partners
STEP 4: Outcome Challenges
STEP 5: Progress Markers
STEP 6: Strategy Maps
STEP 7: Organizational Practices

OUTCOME & PERFORMANCE MONITORING
STEP 8: Monitoring Priorities
STEP 9: Outcome Journals
STEP 10: Strategy Journal
STEP 11: Performance Journal

EVALUATION PLANNING
STEP 12: Evaluation Plan

Except from IDRC, *Outcome Mapping: Building Learning and Reflection into Development Programs, Sarah Earl, Fred Carden and Terry Smutylo (2001)*

2.10.3. OM and strategic planning

Strategic planning practices evolve as new methods emerge. Core elements of OM, in particular the attention paid to outcomes in terms of **changes in the practices and behaviour of key stakeholders** and the formulation of expected results and indicators at that level, are today often **integrated** into, or at least **inspire,** practices in mainstream planning methodologies.

Integration of OM elements can help to build more of a meaningful relationship with the target groups. This is specifically useful when projects stress a participatory and/or community approach. Project staff improve their skills and are likely to adopt a more congenial attitude for engaging with the communities and building with them a system to monitor the expected changes.

Attempts have been made to merge OM with traditional strategic planning. The basic underlying assumption of the two models are however different: a positivist approach based on unidirectional causal assumptions versus an approach taking into account the systemic and complex nature of social reality.

REFERENCE

For further information see www.outcomemapping.ca

IDRC, Outcome mapping: Building Learning and Reflection into Development Programs, Sarah Earl, Fred Carden and Terry Smutylo (2001)

ODI, Outcome Mapping: a realistic alternative for planning, monitoring and evaluation (2009)

3

Operational programming

Table of contents

3.1. PRINCIPLES

Operational programming prepares the **implementation** of the intervention. It aims at establishing an operational plan.

To programme, we **organise and schedule available resources** to carry out the actions identified in the strategic planning.

Programming further clarifies and elaborates the actions and activities required to reach the defined results, and develops schedules and sequences for each of these actions. The **operational plan** takes the form of a bar chart that shows the project schedule, and a detailed definition of the resources (human, material, and financial) required for carrying out the project. It allows checking whether the strategic plan is consistent with available means.

3.2. WHAT PERIOD?

Always draw up an operational plan covering the **full period of the project.** For projects lasting two or more years, break this global operational plan into more detailed **annual operational plans**.

3.3. SCOPE OF OPERATIONAL PLAN

The **operational plan** covers activities belonging to the following three areas:

• Actions/activities that directly aim at reaching the project's results. They have been identified in the representations of the action for the project's final results and appear in the logical framework.

• Activities required for **project monitoring and reporting.** As explained further in the next section, this is not limited to monitoring of activities and results. We also collect and analyse information on what **other actors** are doing, and on **contextual elements** that have an incidence on the problem the project seeks to resolve. Also include due dates of **reports** to be produced by the project in the operational plan.

• Project implementation requires a range of other activities that do not directly derive from the logical framework and the representation of the action. We need to **inform and provide** orientation to the public and partners, conclude and monitor **agreements** with partners and State institutions, integrate and train **staff members,** and implement **risk management** procedures (child protection, safety, prevention of corruption). In all these areas we need to systematically consider the goals we want to reach and deduce the actions and activities necessary to reach them.

3.4. DRAWING UP THE OPERATIONAL PLAN

The following procedure helps scheduling activities:

METHOD

Draw up a list of activities related to the three fields mentioned above: activities that appear in the representation of the action and logical framework, monitoring activities, and other activities required for project implementation.

Then, define the starting point and the time each activity will last so as to ensure that the project's operations take place in a coordinated and effective manner. Consider that some activities depend on the progress or completion of other activities.

TOOL

Display activities in a chronological bar chart – called GANNT chart - where each line represents an activity, and the period of implementation is identified by a horizontal bar. Identify milestones such as the dates foreseen for the achievement of a result, steering committee meeting dates, or due dates of reports on the same chart.

Matrix 6: **example of a GANNT chart**

PROJECT TITLE	YEAR				
Actions related to project implementation and monitoring	**Aug**	**Sep**	**Oct**	**Nov**	**Dec**
Baseline survey	▓	▓			
Recruitment of healthcare personnel	▓				
Continued training of healthcare personnel		▓		▓	
Purchasing of medical material		▓			▓
Actions specific to final result I	**Aug**	**Sep**	**Oct**	**Nov**	**Dec**
Case management of severely malnourished children in healthcare center 1		▓	▓	▓	▓
Case management of severely malnourished children in healthcare center 2			▓	▓	▓
Case management of moderately malnourished children in healthcare centers 1 and 2				▓	▓
Identification of malnourished children in the communities				▓	▓
Advice and assistance to promote breastfeeding in healthcare centers 1 and 2				▓	▓
etc.					

For simple cases, prepare GANNT charts on Excel software. Dedicated software for the preparation of GANNT charts such as gannt-project (http://www.ganttproject.biz/) or open-workbench (www.openworkbench.org) is also available. Time spent on figuring out how the software works may be quickly compensated by the ease with which the charts can be modified and updated as the project progresses.

Then use the listing of activities in the chronological bar chart to identify – activity by activity - the resources (human, material, and financial) that are required for implementing the project, and work out when these resources will be required.

To complete the operational plan, elaborate an **organogram** and **job descriptions** for the project personnel as well as a **list of required goods and materials.**

4

Monitoring and reporting

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4.1. WHAT IS MONITORING?

Monitoring is the **production and collection of data** related to the project's progress. We collect data by means of an **information system**.

Analysing this data allows us to:

Adjust the project: we stay in touch with a project's reality and its environment, we know how far it has progressed, in what direction it is going, if it achieved what was expected, and whether it needs to be changed in order to better move towards the objective.

Report on it: we obtain information for drafting reports on how the project is running and on its results to Tdh headquarters, to donors, to local authorities, and to the project's partners.

Learn from it: we gain insights that allow us to learn from our experience. This improves our capacity to act and to get organised in an effective and efficient manner.

4.2. DISTINGUISHING BETWEEN MONITORING, EVALUATION, INSTITUTIONAL LEARNING AND SUPPORT

We carry out monitoring throughout the project. Monitoring is different from the other steering, institutional learning, and technical support activities that occur in a project's life cycle:

Evaluation allows assessing a project's relevance and internal consistency as well as the achievement of its results at a given moment.

Institutional learning is a process in which the team that is involved in project implementation documents and analyses its practices, leading to the production of institutional knowledge that they, or others, can use in the future.

Support missions help to check and improve the technical aspects of a project, as part of a quality assurance process.

4.3. INFORMATION COLLECTION AND ANALYSIS

Monitoring focuses on **four areas:**

➡ Monitoring the project's use of **resources**, its **activities**, and its **outputs** helps management make informed decisions to **optimise the implementation** of activities.

> **METHOD**
>
> We get **output monitoring** data from the monthly analysis of accounting data, from comparing what was foreseen in the operational plan with what was achieved, and from collecting data on the logical framework's indicators at activity and intermediate result level. In projects using individual case management tools, we also get relevant information from the case management database. We present and comment the findings in the country office's monthly report.

➡ A project is based on the assumption that its activities and outputs will lead to the expected outcomes. Hence, a key function of monitoring is to ascertain that the final results and the objective are gradually achieved as actions are carried out and intermediate results are reached. This monitoring of **outcomes** provides essential information for drafting reports, for the annual review of the project's strategy, and for the project's evaluation.

> **METHOD**
>
> We get **outcome monitoring** data by collecting information on the indicators at the final results and objective levels of the logical framework. Depending on the indicator's nature, we can monitor it on a regular monthly basis or by carrying out studies or surveys at longer intervals.

➡ The steering processes and internal structure of a project, the quality of the team's collaboration, the organisation of the activities, the way in which it cooperates with other actors and its learning processes all are factors that are crucial to a project's success, or can bring on its failure. We monitor a project's **organisation** and **processes** to be able to adjust and refine these elements if needed.

> **METHOD**
>
> We interview project personnel, put into place suggestion boxes, and hold self-evaluation workshops to gather information enabling us to analyse the structures and processes used in the project's organisation and to change them if need be.

➜ Changes in the environment can weaken or strengthen a project's relevance, and positively or negatively influence its implementation. We keep track of these elements by **monitoring the context.**

> ### 💡 METHOD
>
> We keep track of the elements noted in the assumptions and risks column of the logical framework and of other factors or risks that may be occurring during the project. We also monitor developments with regard to stakeholders, problems, and resources *(see section 1.3.3)* so as to identify changes that could potentially jeopardise the relevance of the project's strategies.

A word on **impact monitoring:** effects at impact level are only perceptible in the long term. It is then often difficult to establish cause and effect relationships linking the changes observed and the past project's actions. We can only reliably monitor the project's outcomes. Outcomes either consist in effects on beneficiaries that are limited to the project period, or they are transformations in systems and structures and changes in behaviour and practices of individuals that have longer lasting effects. Outcomes that have lasting effects are contributing to impact. As monitoring stops when the project ends, we can only monitor these outcomes, not the resulting impact.

4.4. WHO TAKES CARE OF MONITORING?

The project team has the primary responsibility to collect and analyse information and data. Operational **partner** organisations or institutions should be invited to take part as this may strengthen their management capacities and their ownership of the project. When collaborating with State services, we should rely on and strengthen their **information systems**. Even if elements specific to the project may need to be added.

Whenever possible, we rely on a *steering committee* composed of representatives of the project, of communities, partners, and authorities for monitoring and steering the project.

We may call upon **intermediaries** for carrying out monitoring tasks. We can for example contract out periodical surveys to consultants or local university institutes: they may carry out a survey on parents' opinion of the care offered to their children, or a survey on how partner organisations see the quality of networking. This reduces the project team's workload and may lend added credibility to monitoring.

Beneficiary and community participation in project monitoring enhances accountability, has positive effects on their project ownership, and can improve the project's results. We may achieve such participation by way of group talks and consultations within the community. Involving beneficiaries in monitoring is only possible if we provide clear **information** on the project's objective, its expected results, and the available resources.

Each time we involve beneficiaries and partners in data collection and analysis, we must offer **feedback** summarising the collected information and stating the decisions, if any, that have been made as a consequence.

Participatory monitoring methods require a great deal of time and resources; the energy spent must be in proportion to their usefulness for the project and the beneficiaries.

4.5. STEPS OF PROJECT MONITORING

Monitoring comprises the following steps:

➜ During the preparation of the project: draw up a **monitoring plan**. It comprises the indicators and means of verification defined in the logical framework and elements connected with the processes and the context.

🔧 TOOL

Matrix 7 : **project monitoring plan**

Result or element to be monitored (Objective, final results, intermediate results, processes, context)	Criteria (Indicators)	Monitoring tool (Means of verification)	Frequency of use of the tool	Responsibility		
				Main	Secondary	Support

➜ **Collect data** according to the monitoring plan (throughout the project).

Guiding criteria in establishing a monitoring system are reliability, validity of the collected data, and efficiency of the information collection system.

➜ Analyse data on the **project's activities and outputs** (**monthly** or every two weeks).

Output data is analysed at a monitoring meeting chaired by the head of project. If data at the final result (outcome) level is easily available, include it in the analysis. The team collates the data and checks the project's progress against the operational plan (expected actions/activities, schedule, use of resources, etc.). You then may decide on changes in the activities so as to better reach the results.

➜ Monitor **Outcomes** (every three months; at longer intervals for data that is not available on a quarterly basis).

The project team looks at the progress made in relation to the final results and the objective. It asks whether actions and intermediate results effectively contribute to the final results. It also looks whether progress with respect to the final results effectively contributes to achieving the project's objective.

➜ **Review** the **project** (at the **middle** and the **end of the year**)

Senior project and country office managers and, if appropriate, representatives of other stakeholders: partners, authorities, or communities assess the project's progress. They look at developments

*at **organisation, process,** and **context** levels in addition to the aforementioned outputs and outcomes. The review team checks if the expected results have been or will be attained. If this is not the case an enquiry is launched to find out why. The team also draws up **proposals for optimising the strategy and the implementation** of the project.*
*The end of year review is reflected in the annual project report and monitoring matrix (see Matrix 8).*

➡ For projects lasting two years or more, hold an **assisted self-evaluation at mid-term**

*Assisted by an external facilitator, the project team looks again at the project's organisation and the various elements of its strategy: it revisits the problem and stakeholder analysis, and the project's objective and its model of action in the light of the appreciation criteria. Self-evaluation requires a full day of work. Should this workshop result in **proposals to modify the strategy,** these are shared and talked about with the programme manager. They can lead to changes in the project's processes and activities and may influence the planning of a further phase of the project.*

For a three year project, structure the process as follows:

Figure 18: steps for planning, monitoring, and reporting
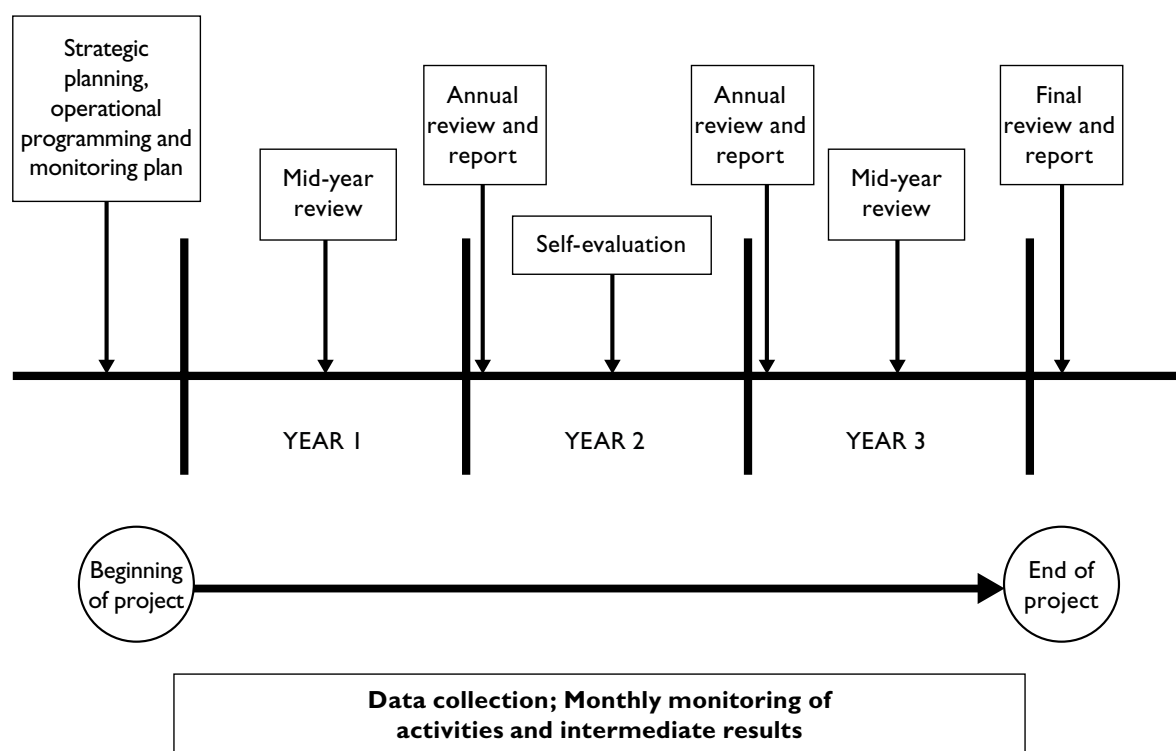
4.6. REPORTING

We submit reports to donors, authorities, and to Tdh headquarters and provide feedback and information to beneficiary communities and partners to account for the use of the resources put at our disposal and for the success or otherwise in reaching the results we committed to. This **accountability** legitimises the trust put in us by those who give us funds, and by those with and on account of whom we carry out our projects.

Reports are also **communication** tools. The reader's information needs decide a report's content. Write clearly, succinctly, and attractively, and make use of language easily understood by the target audience.

Report writing is a moment of **analysis** and **reflection**. Present the project's results and effects in terms of improvements in the beneficiaries' lives, and refer to the project's objective and to its expected results.

The funding contracts define donor requirements for reports. Tdh also has requirements and a set layout for reporting; these are explained in detail below:

➡ The country offices write **monthly reports** (or **sitreps**), following a standard template *(see Annex 4.1)*. These reports present the general situation in the country, specific events that need to be highlighted, how projects are running, and other specific points (HR, finances, etc.).

➡ The country office also prepares **annual project reports** that describe changes in the context, the main project results (with an analysis of their data), the problems and meas-

ures taken to put things right, and prospects *(see Annex 4.2 for the template)*. The monitoring matrix *(see below)* helps to work them out. Do not to go into details on activities and outputs in an annual project report, but concentrate on analysis and outcomes. We use these reports for drafting donor reports.

For projects where a donor template is used and if this template comprises the analysis and follows the outcome orientation of the Tdh annual reporting format, you don't need to prepare a second report following the Tdh template. A list of exempted projects is drawn up annually at headquarters.

➡ The **monitoring matrix** *(see Matrix 8 below)* is modelled on the project's logical framework. It is worked out during the mid-year and annual project review meetings. We use it to determine progress for each result, indicator by indicator, and to work out the reasons for delays and for differences between what was expected and what has been achieved. The matrix helps in drafting the annual project report and is useful during evaluations. It is a mandatory annex to the annual project report.

The monitoring matrix is a table having one line for the objective and one per final result, and 4 columns: Logic of intervention, indicators, measurements of indicators, explanation of recorded gaps. Copy the first two columns from the project's logical framework. You can omit intermediate results when the indicators at final result level are meaningful enough.

Matrix 8: monitoring matrix

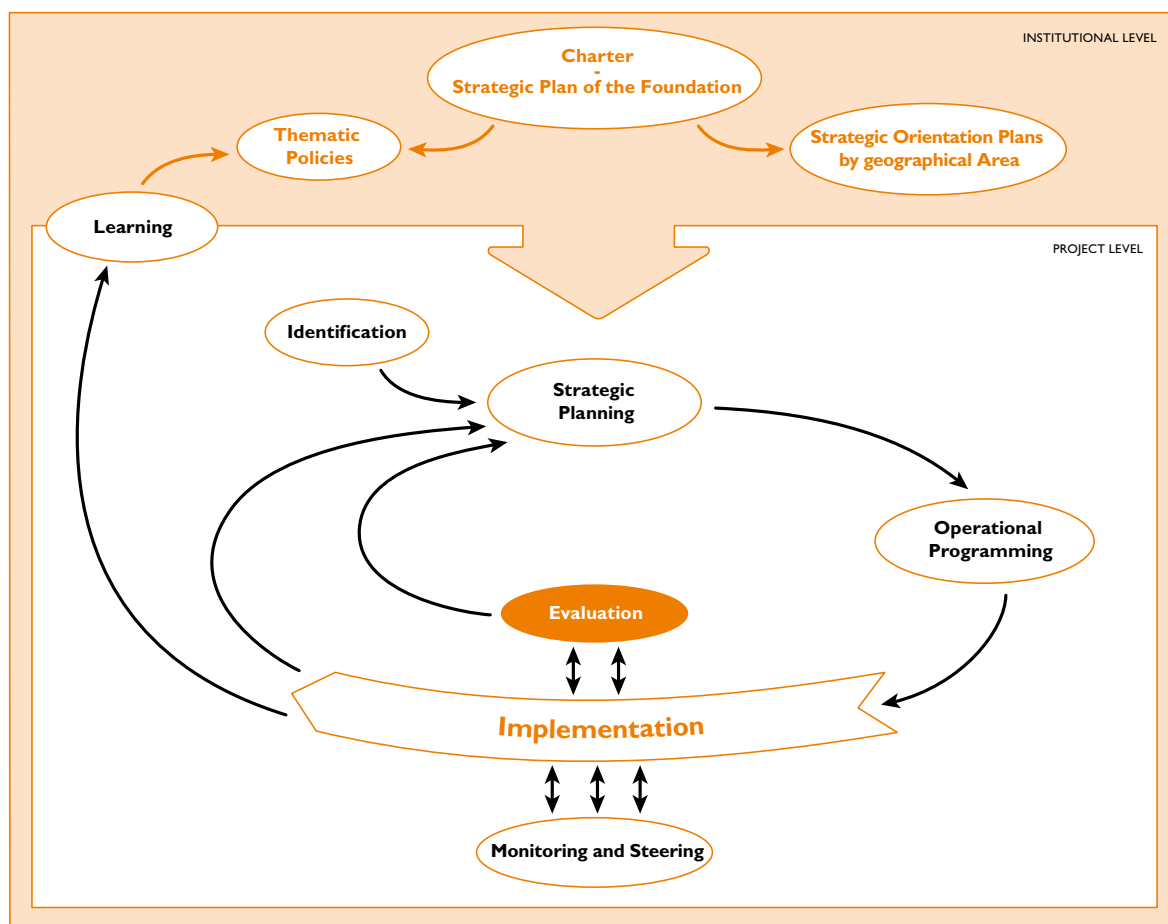| Intervention strategy	Indicators defined in the project document	Measurement of the indicator at the end of the year	Explanation of gaps between expected results and achieved results
Objective: copy from the project's logical framework			
Final result 1: copy from the project's logical framework			
Intermediate result 1.1: (Presenting intermediate results is optional, do it if there is space)			
Etc.			
Final result 2:			
Etc.			

Terre des hommes

5

Evaluation

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5.1. PRINCIPLES

5.1.1. What is an evaluation?

An evaluation is a *"systematic and objective assessment of an on-going or completed project, programme or policy, its design, implementation, and results (…) An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process of both recipients and donors"* (OECD/DAC definition).

The origin of the word "evaluate" stems from **giving value**: to the project's beneficiaries and stakeholders, to the people and institutions supporting the project, and to the work done.

The following elements characterise an evaluation:
- It is a **critical judgment.**
- It shows **rigor** and **method.**
- It aims to be **impartial.**

5.1.2. Why do an evaluation?

Evaluations have four functions:

- **Accountability:** They make us better accountable to partners and national authorities, to Tdh, to institutional and individual donors and to the communities, families, and individuals for whom and with whom the projects are carried out.

- **Learning:** They help to better understand the project and to take increased ownership of its aims and strategy. Evaluations also create internal dynamics in a project team that help common thinking and learning.

- **Management:** They help to better manage the various actions and to allocate human and financial resources more rationally.

• **Decision:** They inform decisions on continuing, stopping, or changing a project.

5.1.3. When to evaluate?

> ! **COMPULSORY**
>
> Projects lasting **more than one year at least once**, be it completely or on a particular aspect. You can do this with an external or an internal evaluation.

Set the time and duration of the evaluation after consulting the project team, the partners and other stakeholders involved in the project. Take into account the project's progress and local constraints in terms of security, climate, public holidays, etc.

You can evaluate **in the middle** of a project (midterm evaluations), to help improve the second half. You then have the results available in time for use in planning the following phase.

Most often, evaluations are done towards the **end of a project,** to give an appraisal of the project's implementation as a whole and of the results and likely impact.

You can also evaluate **after** the end of a project (ex-post or retrospective evaluation), to give a better view of the project's impact and of the sustainability of the supported structures, systems, and practices.

5.1.4. Types of evaluation

> ♀ **METHOD**
>
> • **External evaluation:**
> External means that the persons carrying out the evaluation are not Tdh headquarters or field employees. An expert or a team of experts lead the evaluation. Donors often prefer this type of evaluation as it is thought to be more objective and credible. It also offers a chance to draw on external knowledge and resources. It is however more costly than internal evaluation as consultant's fees and preparation time have to be paid.
>
> • **Internal evaluation:**
> An internal evaluation is carried out by a person employed by Tdh: a resource person, a regional adviser, a programme manager from another geographical team, or a country representative of another country. They take an outside look at the project while having the organisation's know-how and knowledge.
>
> • **Assisted self-evaluation:**
> Self-evaluation is carried out by the people who planned and implement the project. The project team and partners look at their own work. To help them take a step back, an external person helps them. These evaluations are useful if the participants are ready to question their own work. Self-evaluations work less well in situations of conflict or if the very relevance of the project is put into question.

5.2. HOW TO DO AN EVALUATION

5.2.1. Carrying out the evaluation

There are **four phases** in evaluation:

I) In the **preparatory phase**, after the decision to evaluate, the programme manager, the country representative, and the concerned resource persons jointly work out the key questions *(see section 5.2.3)*, draw up the terms of reference *(see section 5.3.1)* and choose the evaluator or evaluation team *(see section 5.2.4)*. If it is an external evaluation, a service contract is signed with the evaluator.

Certain donors want to be asked about or even decide on the terms of reference and/or the choice of the evaluator(s).

II) In the **field phase,** the evaluator gathers information by various means: personal interviews, focus group discussions, targeted observation and/or documents. He or she listens to beneficiaries, local stakeholders, and the project team.

The information and data is collated and analysed. Findings and conclusions are worked out so as to provide answers to the key questions and to issues related to the evaluation criteria. The evaluator presents the findings and conclusions at a local feedback meeting organised by the country representative.

III) In the **synthesis phase,** the evaluator presents her or his findings and conclusions at a debriefing at headquarters or, in the case of a local evaluator, at the country office. He or she then hands in a first version of the evaluation report *(see section 5.3.2)* to the programme manager. The programme manager, country office team and resource persons read it, and the programme manager sends a summary of the comments to the evaluator. The evaluator then finishes the report and hands it again over to the programme manager. The programme manager responds to the various recommendations in a written management response *(see section 5.3.3)*.

IV) In the **dissemination and follow up phase**, the programme manager and the country representative hand the evaluation report and the management response to the project team, the partners, the authorities, and the donors. The results of the evaluation are shared with the beneficiaries and local organisations who contributed to the evaluation process, and they are told if and how Tdh plans to act on them. Exceptionally, for example if the report is of uneven quality or if there is a conflict, the report may be distributed less widely.

You can disseminate the report in various ways: postal delivery or via email, making it available on a database or a website. The evaluation and its results must be presented in a way that is accessible and easily understandable for the target audience.

The recommendations inform decisions, be it in the short term, for a next phase of the project, or for a new project.

Annex 5.1 presents a table showing step by step the implementation of these phases, along with the roles and responsibilities of the various stakeholders.

5.2.2. Evaluation criteria

The OECD's Development Assistance Committee (OECD/DAC) wrote in 1991 that the goals of an evaluation are to *"determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact, and sustainability"* of a project or a programme. These goals reflect recurring problems encountered in projects. The DAC so set the five evaluation criteria that are still valid and **systematically applied** for development projects.

As we face different issues and challenges in **humanitarian emergency assistance in complex situations,** some evaluation criteria have been adapted or added.

Table 6 shows the criteria that we use in the evaluation of development projects and of projects in emergency situations:

Table 6: evaluation criteria

Evaluations in development situations	Evaluations in emergency or chronic crisis situations
1. Relevance 2. Effectiveness 3. Efficiency 4. Sustainability 5. Impact	1. Relevance and/or appropriateness 2. Effectiveness 3. Efficiency 4. Connectedness 5. Impact 6. Coverage

• Relevance
Extent to which the objectives of an intervention are consistent with beneficiaries' requirements, the country's needs and policies, as well as the partners' and donors' constraints.

• Effectiveness
The extent to which the intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance.

• Efficiency
A measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results.

• Sustainability
The continuation of benefits from a project after it ends. Or: the probability of continued long-term benefits (durability).

• Impact
Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended.

• Appropriateness
Extent to which a humanitarian intervention is suited to local needs and to beneficiaries' capacities to build ownership of the activities. This notion is narrower than relevance. *Example: The food distributed in an emergency project corresponds to the target population's dietary habits.*

• Connectedness
Extent to which short-term emergency activities take into account, and are linked to, answers to longer-term problems, so as to be part of an intervention logic: emergency assistance / rehabilitation / development (LRRD – linking relief, rehabilitation and development).
Example: community participation is built into an emergency project in order to maintain empowerment objectives that will be pursued later in the framework of a development project.

• Coverage
Extent to which all the groups of people who are victim of the crisis or the disaster have access to assistance. Also a measure of the relevance of the target group's definition, and of the effectiveness with which this group was reached by assistance. *Example: the project covers everybody in the target area, without omitting remote areas or marginalised groups.*

Sometimes we also pay particular attention to the notions of **complementarity** and **coordination** between Tdh and the other stakeholders.

📑 **REFERENCE**

OECD/DAC, Glossary of key terms in evaluation and results based management (2002)

Real-time evaluations of humanitarian action: an ALNAP guide, John Cosgrave (2009)

By applying different evaluation criteria, we focus on **different result levels:**

• The evaluation of the efficiency and effectiveness in the production of outputs looks at the action in itself.
• The evaluation of the effectiveness and relevance in the achievement of outcomes looks at the interaction between the action and the population.
• The evaluation of a project's impact and sustainability is both an assessment of the interaction between the action and the population, and of the dynamics of change in the population targeted by the action.

5.2.3. Key questions

The key questions are the central element of the terms of reference. They are drafted by the country representative and approved by the programme manager after talking with the people concerned in the country office and at headquarters. The evaluator may propose to clarify the key questions.

Key questions are based on:

• Issues that **motivated** the evaluation.
• An analysis of the project's **purpose**
• An analysis of the **coherence** of the project's strategy

They are always framed as questions, not as assumptions or positive statements.

The evaluation looks at the project using the five standard evaluation criteria (six for humanitarian assistance projects) and **pays particular attention to the evaluation's key questions.**

Avoid trying to evaluate all the aspects of a project in depth: better focus on a few points. Apply the principle of proportionality, by adapting the scope of the evaluation to the project's size and to the anticipated benefits of the evaluation.

5.2.4. Choosing evaluators

The quality of an evaluation greatly depends on the person(s) who carry it out and on the independence they are given. Their knowledge and professional and human skills are essential elements of an evaluation's success.

If a team carries out the evaluation, a local consultant should be part of it.

The evaluator is responsible for the methodology, the collection and analysis of data, as well as for the report, including the drafting of the findings, conclusions and recommendations. He needs the following knowledge and skills:

• **Knowledge of the context:** Understanding of the regional, local, social, cultural, and political context of the project.

• **Expertise:** Professional knowledge and know-how suited to the project and to the questions to be evaluated.

• **Social competence:** Ability to express things clearly, and to hold open and constructive talks, team spirit, ability to work with women and men (notably those belonging to other cultures), negotiating skills, ability to deal with conflict.

• **Methodological competence:** Analytical skills, didactic skills, problem-solving skills, ability to lead discussions, abstract thinking skills, organisational skills, ability to set priorities. Knowledge of the local language by at least one of the team members is required.

• **Leadership skills (to lead an evaluation team):** Organise decision-taking processes, motivate and encourage others, adopt an associative and strategic perspective.

When you need to identify a person to carry out an evaluation, you may refer to the list of evaluators who have worked for Tdh.

Sometimes the donor chooses the evaluator(s).

5.2.5. Information collection and participatory methods

The evaluators should, whenever possible, solicit the views and listen to the children and families for whom the project works and to other direct stakeholders. Their participation helps to focus the evaluation on the changes the project has made in their lives.

The following principles apply:

• Involve communities and local stakeholders as of the **design phase** *(see section 1.3.2).* But even if that was not done, they should be listened to when evaluating a project.

• Local stakeholders may evaluate the project using **criteria** that are different from those that Tdh or a donor would choose. To create a common understanding, clarify the evaluation's purpose and orientation beforehand.

• Avoid limiting interaction to simple data collection. This creates more frustration than satisfaction. Try to **involve local stakeholders** in the **interpretation and analysis** of the information.

• Be transparent and communicate on all aspects of the evaluation. In particular, **inform all participants about the results** of the evaluation and about its follow-up.

📄 **REFERENCE**

The above principles are adapted from: *Participation by crisis-affected populations in Humanitarian Action: A Handbook for Practitioners, ALNAP/ODI (2003), p. 217-228,* where further information can be found

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As the evaluator gathers information that is **already available** (secondary data) and uses tools to gather **new information** (primary data), he or she observes the following points:

• As much as possible, use available data.

• Find out how this data was collected and make sure it is accurate.

• When gathering primary data, make sure it is credible, valid, relevant, reliable, and accurate.

• Do not hesitate to use a variety of methods.

💡 **METHOD**

Apart from the methods already described in section 1.3.2 **(focus group discussion, personal interviews**, and **questionnaire surveys)**, use the following methods for participatory information collection:

• **Evaluation day:**
A visit of the project, followed by a social event and discussions with the beneficiaries.

• **Social audit:**
A one day information and discussion event led by a facilitator. Beneficiaries, other members of the community, representatives of the authorities and of local organisations are invited to listen to a presentation by the project staff followed by a questions and answers session. The project's results and objectives, its management of resources, the relationships with beneficiaries and partners, and governance issues are all brought up in an open and transparent manner.

5.2.6. Ethical standards

These standards govern the whole evaluation process. Some apply more specifically during information collection:

• **Respect of culture**
Evaluators are respectful towards the interviewed people's beliefs, morals, and traditions as well as towards their religious convictions and practices, and take into account the local social system and political realities.

• **Fundamental values**
While evaluators respect other cultures, they are also aware of international human rights standards and of the Convention on the Rights of the Child.

• **Privacy**
Evaluators respect people's right to provide information confidentially and to protect their sources. The evaluation is transparent in itself, but individual statements are treated confidentially, if this is requested and/or deemed appropriate.

• **Respect for the individual**
Evaluators listen to their interlocutors and treat them with respect. They inform of their visits well in advance and spare interlocutors' time as much as possible. Evaluators are not expected to evaluate individuals; they focus on actions and their effects in the framework of a given function.

• **Evidence of wrong-doing**
Evaluators consult with the programme manager when in doubt about if and how issues such as evidence of wrong-doing should be reported.

• **Individual responsibility**
Members of the evaluation team are free not to agree with certain findings or recommendations. Their difference in opinion is acknowledged in the report.

• **Publication of results / transparency**
Evaluators only present a synthesis of the work at the on-site debriefing meeting. The final report is handed only to the programme manager and/or country representative who then takes a decision on when and to whom to distribute it.

• **Integrity**
Evaluators work with independence and impartiality.

> 🗎 **REFERENCE**
>
> Adapted from: *Guidance on Evaluation and Review for DFID Staff, DFID (2005), Annex 4.*

5.2.7. Impact evaluation

There is growing interest in evaluations of projects' impact. This type of evaluation is rare at Tdh as it is costly and methodologically difficult.

Impact is one of the standard evaluation criteria. Its analysis is, to an extent, part of every evaluation. In practice, most evaluations concentrate on the project's relevance and effectiveness, to the expense of the other criteria.

At times the word impact is used loosely, and mixed up with outcome. The evaluations and studies in question then adopt a narrow view confined to expected effects in a limited time frame.

Evaluations focusing on impact should offer a **broader and more complete picture** of the changes resulting from projects. They look at the sum of positive and negative effects, intended or not, expected or not brought about by a project. Their scope is not limited by the project's objective and end date and takes into account the complexity of interactions between the project and the population concerned by it.

The following issues make impact evaluation difficult:

• Impact depends both on the operator and on the environment where the action is carried out;

• The public concerned by the impact is broader than the project's target group;

• Actions carried out by other actors may have interfered with the project that is evaluated. This influence of factors not linked to the project increases as we focus on longer-term impacts.

Rigorous impact evaluation enabling the **attribution** of observed changes to a project's interventions requires a complex methodology that not only checks the beneficiaries' situation before and after the action, but also compares it with that of a control group living in a similar context where no intervention has been carried out. Such evaluations are costly and pose ethical problems: the control group, who has needs similar to those of the project's beneficiaries, is being investigated without receiving anything in return.

Even if we abandon the idea of attributing observed changes to our intervention on the basis of a rigorous method, we still can look at a **likely contri-**

bution of the project to wider changes. To do so we **identify relevant changes**, and find plausible **causal relationships** between the project's actions and the observed impacts. These causal relationships are best based on theoretical models such as, for example, the models of action in the thematic policies.

The **situation analysis** in a project's identification phase must give an account of important elements the future project is likely to influence. This gives a baseline for analysing the likely impact after the project has been completed.

REFERENCE

For more information on impact evaluation methodology and tools, see: *3ie, Theory-Based Impact Evaluation: Principles and Practice, Howard White (2009)*

5.3. DOCUMENTS

5.3.1. Terms of reference

The terms of reference (TOR) define the framework, objectives, functions, responsibilities, and may provide instructions on how to proceed. In external evaluations, they are an annex to the service contract.

TOR are at times drawn up jointly with a donor, or imposed by the latter.

The TOR addresses the following points:

Context
• Situation and objective of the project to be evaluated
• Changes in the social, political, and economic context since the project started
• Previous evaluations or reviews

Objective of the evaluation
• Define what is to be evaluated (the project to evaluate)
• Reasons for the evaluation
• The evaluation's scope and depth

• Set the key questions, taking into account standard evaluation criteria and Tdh's action principles and methods

Methods
• Potential requirements in terms of methods for data collection, including among beneficiaries
• Identify the groups of people who will be listened to

Schedule
• Number of days in the preparation / inception phase
• Number of days of fieldwork
• Number of days for synthesis and reporting

Report(s)
• Report(s) to be handed in
• Deadlines for each report
• Structure of the report(s) and maximum number of pages
• Language
• Recipients of the report(s) and method of distribution

💡 METHOD

Steps to be followed for drafting TOR:

1. Work out **who** needs to be involved: identify the people and/or organisations that will take part or are concerned by the evaluation and inform them of its organisation.

2. Write down the **key questions**: the country manager drafts and the programme manager finalises the key questions and sets priorities for the evaluation.

3. Define the **profile of the evaluator or evaluation team:** establish the requirements for recruiting the evaluator or evaluation team, free from personal or institutional interests.

4. **Listen to** the stakeholders: the programme manager sends the draft TOR to the people involved at headquarters and in the field, explicitly asking for comments. The country office talks with local stakeholders and beneficiary representatives about the evaluation's objectives and criteria.

5. Draft the **final version**: integrate relevant changes on which there is a consensus.

6. Collate the required **documents**: project document, logical framework, monitoring reports and Tdh policies and strategies.

7. For external evaluations, draw up a **service contract**: the terms of reference are an integral part of the service contract.

5.3.2. Evaluation report

Structure the report, of a maximum of thirty pages (plus annexes), as follows:

1. An **executive summary** of three to four pages, where you present the evaluated project, the main sources of information, the methodological choices, the findings, the conclusions, and the recommendations.

2. An introduction where you describe the **project and the evaluation.** Give enough **methodological explanations** to allow the reader to assess the credibility of conclusions and to understand the strengths and limits of the evaluation.

3. A section where you give answers to the **evaluation's key questions,** and connected reasoning and judgments.

4. A section where you present and link the **findings, conclusions,** and **recommendations.** Sum up the answers to the evaluation's key questions in an **overall assessment.**

*Findings result from facts, data, interpretation, and analysis. They include cause-and-effect statements but no value judgments. From the findings, **conclusions** are drawn that answer the evaluation's questions but can also concern other issues. Conclusions involve value judgments. Methodological limitations are mentioned, as well as dissenting views among the evaluation team members if there are any. The conclusions allow making **recommendations.** Recommendations propose changes to the project to improve it, or to prepare planning of a new phase. The evaluation indicates the relative importance of the recommendations, and to whom they are addressed.*

5. Add the following annexes:
   • terms of reference
   • list of the people met by the evaluator / evaluation team
   • work schedule

5.3.3. Management response

> **! COMPULSORY**
>
> The country office together with the programme manager the management response *(see template in Annex 5.2)*. The programme manager approves this document **at the latest one month** after the evaluation report has been received.

List **all recommendations** made in the evaluation report in the management response, and state for each recommendation whether and to what extent it should be taken into account. Indicate what you will do to follow it. When you reject recommendations, give reasons.

The recommendations accepted in the management response will be better implemented and monitored if you :

• Share the results widely, both internally and externally, by using various means (meetings, presentation events, publications in local languages, etc.);

• Make sure that all project stakeholders understand the evaluation's results and the methods that led to them.

• Draw up a realistic action plan to implement the recommendations accepted in the response to the evaluation. In on-going projects, the project team is responsible for this, while for future project phases the country representative and the programme manager will see to it.
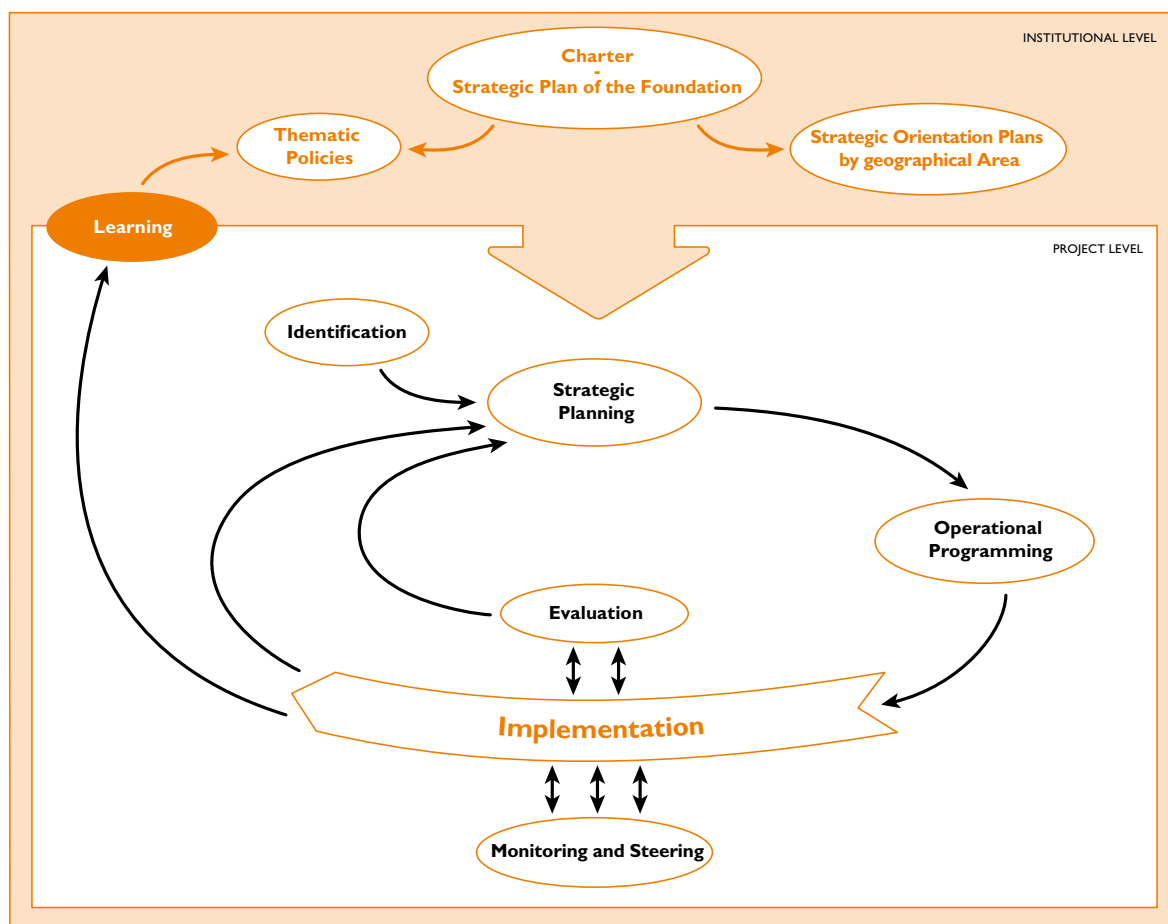
6

Institutional learning

Table of contents

6.1. PRINCIPLES

6.1.1. What is institutional learning?

Institutional learning happens when **people who work in a project analyse their practices, draw conclusions, and make this knowledge available for their own or others' use.** Institutional learning is meant to lead to changes in the practices both in the team that carried out the learning process and in other similar projects.

Institutional learning is not an academic exercise. It stems from practice and is aimed at improving practice. The learning results from recalling from memory and analysing past experiences.

Institutional learning links project cycle management with **knowledge management.**

6.1.2. Why carry out a learning initiative?

To grow institutional knowledge and know-how, an organisation should not only train the individuals working in it, but also encourage **collective learning.** This turns tacit and localised knowledge into explicit and shared knowledge.

6.1.3. The three levels of learning

There are three levels of institutional learning at Tdh, with different but complementary objectives: learning with a view to advancing institutional know-how on an **issue,** learning at **project** or country level, and furthering the professional development of **team** members.

(I) Thematic issues

Within child health and child protection, Tdh specialises in eight thematic issues *(see Tdh Strategic Plan 2011-2015, p.7)*. For each issue a thematic policy document explains which aspects the organisation specialises in, and the tools and approaches that are used. The resource persons and regional advisers are experts on these issues. They provide advice, tools, and related documents to the geographical teams and country offices. Tdh also has reference documents for **working methods,** such as the Psychosocial reference document.

Periodic **thematic meetings** help to revise and develop the thematic policies and tools. Such meetings take place every three to four years for each issue. They are scheduled and managed by the responsible resource person. Heads of projects, regional advisers, and the resource person exchange experiences from projects pertaining to the thematic issue at these meetings. Preparatory workshops can be held at project level.

Similar meetings are organised at **regional level** to develop and adapt tools and approaches suited to the context. The regional advisors steer and manage these regional learning processes.

(II) Projects

When it deems it useful, the country office may launch a project-based learning initiative in the course of or near the end of a project. This helps **training** project staff and partners, and **improving approaches and methods** in this type of project. The whole country team and the partner or partners take part in the learning workshop.

(III) Project team

When **closing a project**, the team who worked in it is given an opportunity to take stock and exchange views to analyse their practice and draw lessons from it. The purpose is to give time for collective thinking and to further the **professional development of the team members.** This type of learning does not contribute to institutional knowledge management. So there is no obligation to produce a report.

6.1.4. Format and duration

An institutional learning initiative usually takes **one or more meetings lasting a few hours,** but it can be a longer process consisting of workshops, interviews, and meetings over a span of several weeks or months.

In projects where we try out new approaches, we may also use **successive learning cycles.** Changes inspired by lessons learnt are implemented at the end of each cycle, and their effects reviewed in the next cycle.

6.1.5. Who decides to launch a learning initiative? Who carries it out?

An institutional learning initiative at **thematic level** is decided on and steered by the **resource person or the regional adviser** in charge of the thematic area, upon agreement with the programme manager and the country representatives of the concerned countries. Institutional learning at **project level** is decided on and steered by the **country representative**, upon agreement with the programme manager.

An **external facilitator** guides the participants and leads the learning process. But it is the **group that was directly involved** that recalls, analyses, and structures the lessons they learned:

- At thematic level, managers of several projects, the regional adviser(s), and the resource person.

- At project level, the project team and managers together with local partners and, if possible and relevant, the project's beneficiaries.

- At the closure of a project, the project team.

6.1.6. When to carry out an institutional learning initiative

Always initiate institutional learning at an appropriate time or times so as to **address a specific** need that you have identified. Clearly define the aims of learning, and designate the intended recipients.

Usually we organise institutional learning **during a project** so that the staff of the project and the partners are available to participate. But we can also do it after the project ends, with hindsight enabling to understand more clearly what happened. Don't wait for too long. After a long delay, only a list of results may remain as the participants won't recall the methods used to achieve them.

6.1.7. Institutional learning and evaluation

The only objective of institutional is learning. This makes it different from an evaluation that also aims at making a judgment on a project's value, improving its management, and making decisions on its future.

The analysis produced by an evaluation can inform and inspire reflection for institutional learning. Likewise, institutional learning can feed and refine an evaluation.

6.2. HOW TO CARRY OUT AN INSTITUTIONAL LEARNING INITIATIVE

Institutional learning is more about **how** things were done than about **what** was done. We focus more on **methods and processes** than on activities and results.

6.2.1. Terms of reference

In Annex 6 there is a template for **terms of reference** of an institutional learning initiative.

Three points are essential when planning an institutional learning initiative:

- **What will be analysed?**
  Define the **project(s)**, the **period** to take into account, and the issue that is looked at.

- **What aspects?**
  Formulate one or several **key questions** that will direct the recollection of experiences and their analysis. Define them according to:
  - Their **particular interest** to Tdh.
  - Where the project's experience can bring us **original and useful information.**
  - The **expectations** of the team and partners engaging in the learning process.

- **To what end?**
  Identify **those who will use the results,** and **what they will do with them.** All institutional learning must address specific needs that have been identified beforehand. Design learning at a thematic level so that it feeds into the development of the thematic policies and tools. Identify

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by whom and in what way the results of learning at project level will be used. Present and distribute the results of institutional learning in a way that best suits the intended recipients.

6.2.2. The learning process

An institutional learning initiative consists of one or several workshops bringing together the project personnel and partners in order to collect and collectively analyse information. Interviews with key informants and talks with beneficiary groups may add to the information produced at the workshop.

> **METHOD**
>
> Observe the following points when preparing a workshop:
>
> • Invite whoever is or was **directly involved** in the project. If feasible and relevant, call in beneficiaries. You may also hold separate individual or group interviews with them.
>
> • Invite the local team in charge of the project to contribute to **defining the terms of reference** and preparing the workshops.
>
> • An **external person** guides the participants in the process. Make sure everybody understands the methods used in the learning process and the external facilitator's role.
>
> • Adapt the **method** to the project's situation. You may have to make provisions so that everyone can express themselves freely : for instance, by promoting moments "among women" or by separate meetings for specific groups.

Organise the learning workshop in **three** consecutive **steps:**

1. The first step deals with working with memory: Participants **recall and describe their personal and collective experiences** during the project. But they do not just list activities and results. They focus on the processes and methods they used in the project, taking into consideration both what was successful and what was difficult.

> **METHOD**
>
> • Bring together personal contributions, by brainstorming for instance.
>
> • Display the events or changes that occurred on a timeline.
>
> • Identify key moments or moments of significant change.

2. Then, the team **analyses** these experiences, the events, the circumstances, as well as the internal and external influences that contributed to them in order **to draw lessons.** Encourage participants to talk about and to question what they did, and to take a step back concerning their personal roles in the events. This will help learning about an issue or a specific questioning.

> **METHOD**
>
> • Group discussions identifying events or developments that made participants happy, or unhappy.
>
> • Draft a list of problems the teams were faced with, indicating for each problem the measures that were taken to deal with it and the results.
>
> • SWOT analysis of the strategies employed to address problems.

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3. Participants then formulate the lessons learned. They describe the conclusions drawn from successes and failures in a structured manner, adding contextual elements for better comprehension. Stating prescriptive elements is not enough, you need to indicate the characteristics of the situations where these prescriptions apply.

METHOD

- Discussions in small groups.

- A committee drawn from the participants drafts a report that is then approved by the whole group.

6.2.3. Lessons learnt report

A learning process aims at **stimulating changes** in practices among the recipients who have been identified beforehand, including the team who carried out the process. It is essential to **disseminate** lessons learned with a view to their application, in a form that will allow the recipients to easily understand and use them.

Present the lessons learned **succinctly** (max. 7 pages). This helps understanding and assimilation. Focus the report on the **best practices** related to the key questions defined in the terms of reference. The project description and the more general context should be short. Its sole purpose is to ease understanding of lessons learned by placing them into their context.

! COMPULSORY

Include the following elements in the report:

- **Project(s)** and the **period** taken into account, and **issues** that were analysed.

- **Objectives** and **key questions**.

- **Process and steps** that you used.

- **Lessons learned:** best practices, based on successes and problems.

Send the report to the previously identified recipients and make it available on the internal database for use by a wider range of people.

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GLOSSARY

Below is a choice of the most used terms in Tdh's project cycle management. Most of the definitions are adapted versions of the OECD's standard definitions. A limited number are specific to Tdh.

> **REFERENCE**
>
> *In 2001, the OECD clarified and harmonised the definitions of the main terms related to project management and evaluation. The OECD glossary (OECD/DAC, Glossary of Key Terms in Evaluation and Results Based Management (2002)) is still the reference in this field.*

Note: The terms are presented with their equivalent in French and Spanish, as follows: English / French / Spanish. You also find an indication of where in the text the term appears first.

Action / *Actions / Accíon*
(page 31, section 2.2)
A set of activities leading to a result.

Activities / *Activités / Actividad*
(page 31, section 2.2)
Actions taken or work performed.

Appraisal / *Analyse préliminaire / Evaluación ex ante* *(page 14, section 1.3)*
An overall assessment of the relevance, feasibility, and potential sustainability of a project prior to a decision of launching its strategic planning.

Appreciation criteria / *Critères d'appréciation / Criterios de apreciación* *(page 52, section 2.8)*
Quality criteria, values, and fundamental principles that are the basis for a project's appreciation.

Appropriateness / *Adéquation / Adecuación*
(page 79, section 5.2.2)
The extent to which a project is suited to local needs and to beneficiaries' capacity to build ownership of the activities. This criteria is narrower than relevance.

Assumption (in the logical framework*) / Hypothèse / Supuestos* *(page 46, section 2.5)*
Hypotheses about factors or risks that could affect the progress or success of a project.

Beneficiary / *Bénéficiaire / Beneficiario*
(page 34, section 2.4.1)
Individual, group, or organisation, whether targeted or not, that benefits, directly or indirectly, from the effects of a project.

Concept note / *Avant-projet / Anteproyecto*
(page 26, section 1.4)
Document that outlines the context, objective, strategy and resource needs of a potential project so as to allow its appraisal.

Connectedness / *Interconnectivité / Conectividad* *(page 52, section 2.8)*
The extent to which short-term emergency activities take into account, and are linked to, answers to longer-term problems, so as to be part of an intervention logic: emergency assistance / rehabilitation / development (LRRD – linking relief, rehabilitation and development).

Coverage / *Couverture / Cobertura*
(page 52, section 2.8)
The extent to which all the groups of people who are victims of the crisis or the disaster have access to assistance. Also a measure of the relevance of the target group's definition, and of the effectiveness with which this group was reached by assistance.

Effectiveness / *Efficacité / Eficacia*
(page 52, section 2.8)
The extent to which the intervention's objectives were achieved, or are being achieved, taking into account their relative importance.

Efficiency / *Efficience / Eficiencia*
(page 52, section 2.8)
A measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results.

Evaluation / *Evaluation / Evaluación*
(page 75, section 5)
A systematic and objective assessment of an on-going or completed project, its design, implementation, and results. It must provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process.

Final Aim / *Finalité / Finalidad*
(page 38, section 2.4.3.2)
Intended impact on a higher level to which the project should contribute. Although it is not achievable by way of a single project, the final aim gives a general direction.
Synonym: Development Objective / Objectif de développement / Objetivo de desarrollo

Final result / *Résultat final / Resultado final*
(page 41, section 2.4.4.2)
Description of significant and measurable changes in the situation, practices, capacities, knowledge, and/or well-being of the beneficiaries or target groups that are to be achieved in the framework of the project. Final results contribute to the objective.

Identification / *Identification / Identificación*
(page 11, section 1)
First step of the project cycle where, based on the framework set in the prerequisites, we do a preliminary situation analysis and formulate a concept note.

Impact / *Impact / Impacto*
(page 31, section 2.2)
Long-term effects, be they negative or positive, direct or not, expected or not, resulting from a project's outcomes.

Indicator / *Indicateur / Indicador*
(page 48, section 2.6)
Quantitative or qualitative factors or variables that provide a simple and reliable means to measure or at least to accurately describe the achievements resulting from an intervention.

Institutional learning / *Capitalisation d'expériences / Capitalización*
(page 87, section 6)
A process where people who work in a project analyse their practices, draw conclusions, and make this knowledge available for their own or others' use.

Intermediate Result / *Résultats intermédiaires / Resultado intermedio*
(page 41, section 2.4.4.3)
Description of goods, equipment or services, or of changes in the situation, capacities, or knowledge of the beneficiary population or target groups that result from actions and contribute to achieving a final result.

Logical framework / *Cadre logique / Marco lógico* *(page 49, section 2.7)*
A project management and presentation tool consisting of a matrix that displays in its first column the results and actions of a project – final aim, objective, final results, intermediate results, and actions – in a coherent hierarchy, and in the following columns, indicators, their means of verification, as well as corresponding risks and assumptions.

Model of action / *Modèle d'action / Modelo de acción* *(page 39, section 2.4.4.1)*
A model, focused on an issue, presenting an issue's causes and consequences. But not in an exhaustive manner. It contains only those causes and consequences we may choose to act upon because we know effective methods for dealing with them, based on our experience and/or on scientific literature. The model of action also shows the actions we take to prevent or resolve these causes and consequences.

Monitoring / *Suivi / Seguimiento*
(page 65, section 4)
Generation and collection, via an information system, of data on events and processes connected with the progress of the project. The analysis of this data allows to report on the project's progress, to adjust the project, and to draw lessons.

(Project) Objective / *Objectif (d'un projet) / Objetivo* *(page 39, section 2.4.3.4)*
Description of the positive situation the beneficiaries will reach at the end of the project.

Operational Programming / *Programmation opérationnelle / Programación operativa*
(page 59, section 3)
Scheduling and preparation of the implementation of the intervention strategy set in strategic planning.

Outcomes / *Réalisations / Efectos directos*
(page 31, section 2.2)
Significant and measurable changes in the beneficiaries' or target groups' practices, capacities, knowledge, and/or well-being that result from the project's outputs or to which these outputs have contributed.

Outputs / *Prestations / Productos*
(page 31, section 2.2)
Goods, equipment, or services resulting from a project's actions.

Partner / *Partenaire / Asociado*
(page 17, section 1.3.3.1)
Person and/or organisation that collaborates to achieve mutually agreed upon objectives.

(Project) Phase / *Phase / Fase*
(page 8, Introduction)
Period of time that corresponds to a project cycle and that is the object of strategic planning. When a project enters a new phase, a new strategic planning is carried out.

Prerequisites / *Préalables / Preliminares*
(page 13, section 1.2)
Framework for the identification of a project, reflecting strategic decisions concerning thematic and geographical positioning, possible partners, and the potential budget of a future project.

Project / *Projet / Proyecto*
(page 8, Introduction)
Complex endeavour to achieve an objective that needs to keep to a schedule and stay within a budget.

Project cycle / *Cycle de projet / Ciclo del proyecto* *(page 8, Introduction)*
Series of steps in a project's life that re-occur in each project phase. Tdh distinguishes the following steps: identification, strategic planning, operational programming, monitoring, evaluation, and institutional learning.

Relevance / *Pertinence / Pertinencia*
(page 52, section 2.8)
The extent to which the objectives of an intervention are consistent with beneficiary requirements, the national sector policy, as well as the expectations of partners and donors.

Representation of the action / *Représentation de l'action / Representación de la acción*
(page 42, section 2.4.4.3)
A flow chart diagram that shows the situations or states that the target group goes through as it is affected by the problem that a project aims to tackle. The diagram also shows the actions that the project will do to prevent or mitigate unfavourable developments or to favour positive developments. We generally draw up a separate diagram for each final result of a project.

Stakeholder / *Partie prenante / Parte interesada* *(page 17, section 1.3.3.1)*
Any individual, family, formal or informal group, local initiative, government agency, NGO, or international agency who is affected or concerned by an issue.

Strategic axis / *Axe stratégique / Eje estratégico* *(page 45, section 2.4.4.5)*
A logical sequence of intermediate results leading to a final result.

Strategic Planning / *Planification stratégique / Planificación estratégica* *(page 29, section 2)*
The process of defining an objective and developing a strategy to achieve that objective.

Sustainability / *Viabilité / Sostenibilidad*
(page 52, section 2.8)
Extent to which the benefits of a project continue after it ends. Or: the probability of continued long-term benefits.

Target group / *Groupe-cible / Grupo meta*
(page 34, section 2.4.1)
The people or organisations towards which the actions of a project are aimed at. Because they are the intended beneficiaries, or because they have an influence on the situation of the beneficiaries.

Thematic policy / *Politique thématique / Política temática* *(page 20, section 1.3.3.2)*
Tdh reference document that defines a thematic issue, explains which aspects of the issue the organisation specialises in, and presents the tools and approaches that are used.

Vision / *Vision / Escenario*
(page 36, section 2.4.3.1)
Scenario for a desirable future.

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