



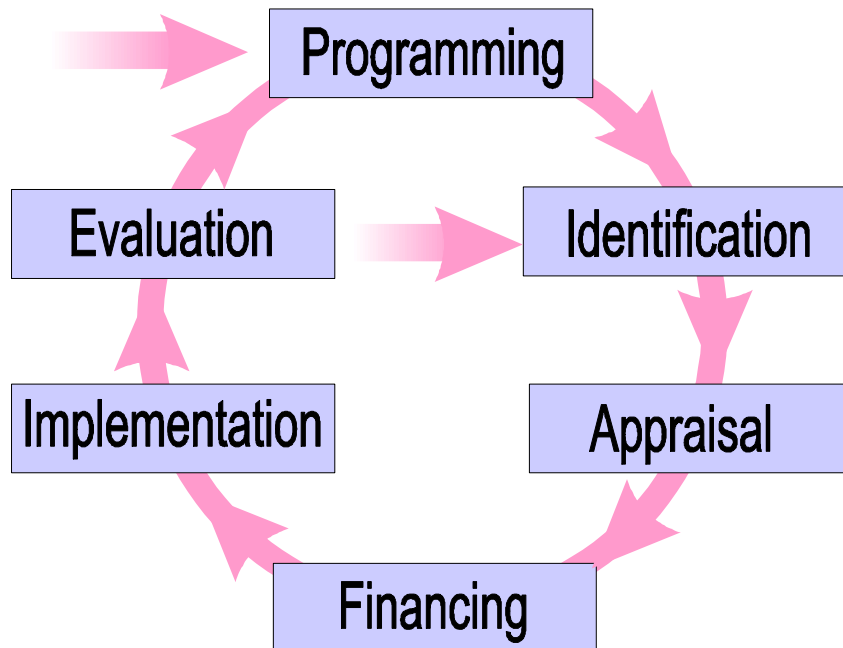
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Manual

Project Cycle Management



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This manual is a manual on PCM and Logical Framework Approach for ECHO, the Directorate-General for Humanitarian Aid.

It refers to the PCM Manual of the EC and the Training Handbook, developed and likewise produced by the Evaluation Unit of the EuropeAid Co-operation Office. It has benefited from the contributions of ECHO staff members, from critical comments and the experience of ECHO partners, and the valuable assistance of PARTICIP GmbH, Irene Lorisika and Bob Peeters, which did the preparatory work and helped to develop this manual.

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This manual does not yet include case studies, which will be developed and added as soon as possible.

Manual Project Cycle Management

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1. PCM AND ECHO: WHY PCM SHOULD BE USED FOR HUMANITARIAN AID

The following reasons explain and justify, why PCM and LFA can and should be used for Humanitarian Aid as well:

- not all operations funded by ECHO are immediate emergency operations. **For most of the interventions (post emergency and rehabilitation) more emphasis has to be put and can be put on planning and operation design, in order to increase the quality of the intervention and to act more result-oriented.**
- even for emergencies, a minimum planning has to take place. In the short period to plan emergency interventions (6 to 12 hours), more emphasis can be put on the PCM principles i.e. taking into account the potentials and the points of view of other stakeholders and actors; during a needs assessment, other aspects of the context that can influence the success of the operation should be analysed; **the desired results of the emergency intervention should be reflected and agreed upon.**
- ECHO gets more demands for funding, proposals for interventions, than can actually be funded. **Echo staff needs a system that allows to analyse the proposals in a coherent and objective way,** and to make a transparent funding decision.
- **ECHO is accountable for the money spent. It needs to have a better idea of intended results and possible impact, foreseen and unforeseen,** obtained by the different operations; and the way the operations will be managed by the partners.
- **more emphasis has to be put on monitoring.** Seen the nature of the operations ECHO is funding, a continuous reflection is necessary and decisions on adjustments to the operations have to be taken very fast in order to maintain the relevance and the feasibility of the operation.
- **ECHO wants to learn from previous experiences** and to integrate the lessons learned into new programmes and operations.
- ECHO wants to have more **uniformity and transparency** in the way they are working.

2. INTRODUCTION

In 1992, the Commission adopted “Project Cycle Management” (PCM), a set of project design and management tools based on the Logical Framework Approach, which was already widely used by many donors, including several Member States, other international organisations and the UN family, and used or partly used by many partner organisations of the EC.

This manual refers to the PCM Manual of EuropeAid, presents the main features of PCM and adapts them to the specific needs of Humanitarian Aid.

The *objective* of PCM is to improve the management of external co-operation actions – projects and programmes of all kinds, including Humanitarian Aid – by taking better account of essential issues and framework conditions in both designing and implementing projects and programmes:

1. ***Clear and realistic objectives for operations and programmes:***

- ⇒ the drawing of a clear distinction between the objectives and the means of achieving them;
- ⇒ a clear and realistic definition of the Operation Purpose which must always entail sustainable benefits for the target group(s);
- ⇒ risks and assumptions: major external factors which could significantly affect operation success – and which are normally much higher and more numerous in the field of Humanitarian Aid.

2. ***“Quality” factors to enhance operation benefits in the long run:***

- ⇒ the relevance of the intervention; the extent to which the intervention responds to really felt needs and problems
- ⇒ the degree of ownership of the operation by the beneficiaries and other important stakeholders, taking into account the 'do not harm' principles
- ⇒ the need to choose *appropriate technologies*, using, for example, locally renewable resources;
- ⇒ the respect for the *socio-cultural* values of the people relieved;
- ⇒ the appropriateness of the intervention, taking into account the interests of specific vulnerable groups
- ⇒ the management *capacity of the partners*, whether public or private, which are called upon to run the interventions;
- ⇒ differences in vulnerability of the different groups (women, children, disabled) to be acknowledged.
- ⇒ The co-operation and coordination between different actors

In the following, we present a collection of relatively simple concepts and techniques, which are required for ECHO PCM including:

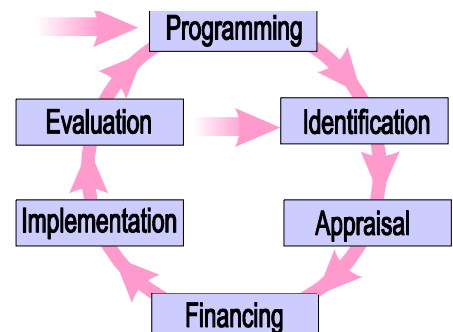
1. The concept of the project cycle
2. Stakeholder analysis
3. The “Logical Framework” planning tool
4. Key quality factors
5. Activity and resource schedules
6. Standardised, coherent structures for key operation documents (like operation proposal and funding request, mid-term narrative and financial report, final narrative and financial report in the Framework Partnership Agreement).

The use of these concepts, tools and standard document layouts throughout the life of an operation or a Humanitarian Aid intervention is sometimes referred to as the “integrated approach” to managing the project cycle.

3. THE PROJECT CYCLE

The way in which projects are planned and carried out follows a sequence beginning with an agreed strategy, which leads to an idea for a specific action, which then is formulated, implemented, and evaluated with a view to improving the strategy and further action.

Figure 1: The Project Cycle



3.1. Definitions: The Six Phases of the Project Cycle

Programming:

The establishment of a general intervention strategy for ECHO's assistance in a country, a region, a crisis situation. Based on the analysis of the context, the problems, needs and opportunities, of other players' actions and of local and EU capacities, the focus of EU aid is agreed. The outcome is the outline of an intervention strategy and an internal budget allocation/funding decision by the Commission. Echo staff and ECHO experts in the field are preparing the intervention strategy.

Identification:

Within the framework established by the intervention strategy, possible interventions – depending on the capacity of the partners, experience of ECHO, activities of other actors - are fixed and operation proposals (operation proposal and funding request) are submitted by ECHO partners.

Appraisal:

ECHO staff appraises the submitted documents (operation proposal and funding request describing the context, the needs and problem analysis, the expected results and impact as well as implementation and resource schedules). During appraisal the ECHO staff negotiates with partners and at the end of the appraisal phase a final proposal is submitted for financing.

Grant agreement issue on the operation:

A decision is taken whether or not to fund the operation. A formal agreement with the partner is then signed by both including essential financing implementation arrangements.

Implementation:

The agreed resources are used to achieve the operation purpose (= the target group(s) receive the planned benefits) and to support the achievement of the overall objectives.

Progress is assessed (= monitoring) to enable adjustment to changing circumstances. Partners are responsible for the monitoring in the field. An interim report and revised budget (mid-term) from the partners informs ECHO about the ongoing implementation and the achievement of results. The monitoring reports of ECHO field staff will complement the monitoring by ECHO HQ. Based on the outcome of the monitoring reports, the implementation can be re-negotiated and/or re-directed in a short time.

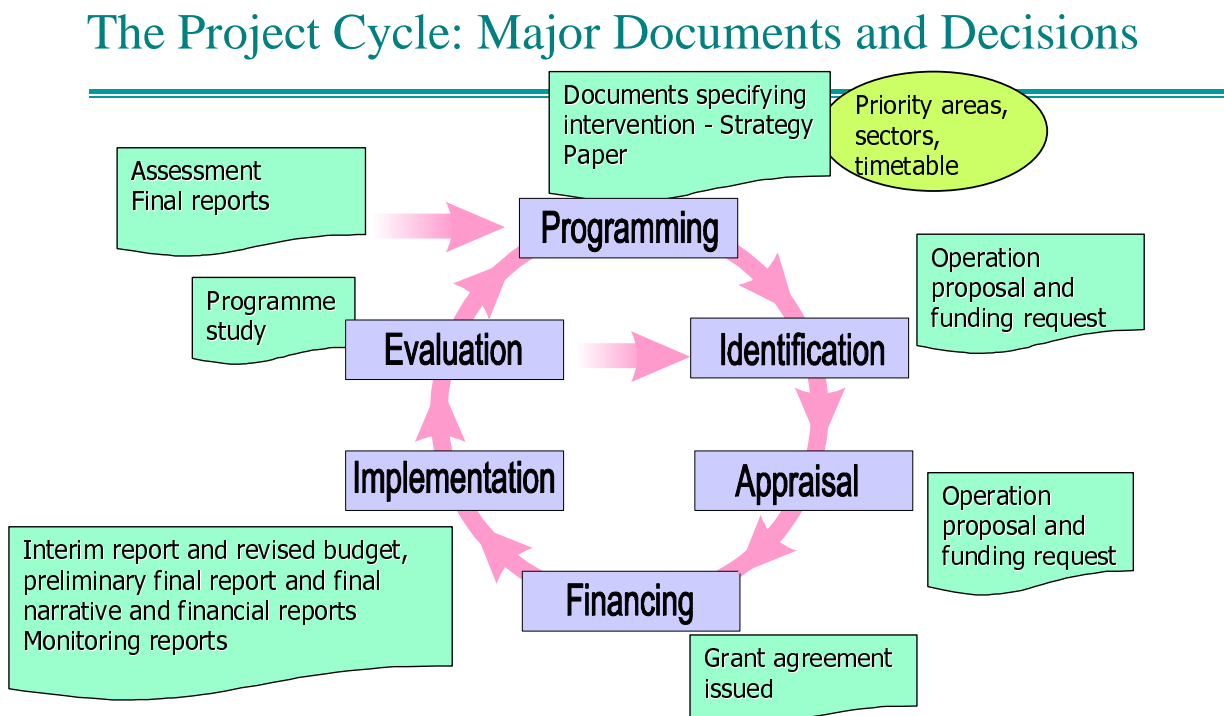
This intensive monitoring can already lead to the identification of a new operation. At the end of implementation the partners have to write an end of operation report (final narrative and financial report) in which they give their own evaluation of the operation and draw lessons from the experiences.

Evaluation:

Evaluation is a systematic assessment of an ongoing or completed intervention, 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 partners and ECHO. An evaluation should *lead to a decision to continue, adapt or stop an intervention* and the conclusions and recommendations should be taken into account in future cooperation.

In ECHO a lot of emphasis is put on partner and/or programme evaluation. This allows ECHO to draw lessons that can be used in order to improve their programming.

Figure 2: The Project Cycle: Main Documents and Decisions



3.2. Key PCM Principles

In practice, the duration and importance of each phase may vary but the basic process is the same for all projects of all kinds.

The essential PCM principles are:

1. Use of the *Logical Framework Approach* to analyse the problems, and work out a suitable solution – i.e. operation/intervention design. Avoid the formulation of solutions without knowing if indeed these solutions will generate real sustainable benefits.
2. Disciplined production of *key document(s)* in each phase, to ensure structured and well-informed decision-making.
3. Consulting and involving *key stakeholders* as much as possible.
4. Clearly formulating and focussing on the Operation Purpose.
5. Incorporation of *key quality issues* into the design from the beginning.

PCM brings together aid management principles, analytical tools and techniques, and applies them within the structured decision-making process of the cycle to ensure that:

- ⇒ Aid interventions respect and contribute to *overarching policy objectives of ECHO*;
- ⇒ interventions are relevant to the real problems of beneficiaries;
- ⇒ interventions are *feasible*, meaning that objectives can be realistically achieved within the constraints of the operating environment and the capabilities of the implementing agencies;
- ⇒ *benefits* generated by operations are sustainable.

4. THE LOGICAL FRAMEWORK

4.1. What is the Logical Framework?

The logical framework is a tool to present an intervention strategy in a logical and transparent way. It provides all information to understand an operation and to enable a follow-up of an intervention. It sets out its objectives in a systematic and logical way. This should reflect the causal relationships between the different levels of objectives, and indicate how to check whether these objectives have been achieved, and establish what assumptions and risks outside the control of the partners may influence its success.

The main results are summarised in a matrix (the “logframe matrix”) which shows the most important aspects of an intervention.

Figure 3: The Logical Framework Matrix

The Logical Framework Matrix

	Intervention Logic	Objectively Verifiable Indicators	Sources of Verification	Assumptions
Overall Objectives				
Operation Purpose				
Results				
Activities		Means	Costs	
				Pre-conditions

There are close links between the Logical Framework and the basic document formats, above all in the section / paragraph headings on overall objectives, operation purpose, results, activities, means and costs, assumptions and indicators.

In addition to analysis and design, the logical framework is also useful for the implementation and monitoring, as well as for evaluation.

It thus plays a role in each phase of the cycle. The framework should be drawn up during preparation (identification), although it cannot be fully completed at this stage, but will fill up gradually in the ensuing phases. The logical framework thus becomes the tool for managing each phase of the project cycle and a “master tool” for creating other tools, such as the implementation schedule and a monitoring plan.

4.2. Limits of the Logframe Matrix

The Logical Framework helps those who prepare Humanitarian Aid interventions to better structure and formulate their ideas and to set them out in a clear, standardised way. If the strategy is misconceived or if the logic is poor, the logframe should reveal the contradictions, though it cannot of itself design better strategies.

The establishment of a logframe should not be a formal 'blueprint' exercise. Each logframe should be the fruit of an analysis and a joint planning (even when time is short) whose quality depends upon a number of factors, including:

- The information available
- The ability of the planning team
- Consultation of stakeholders, ensuring balanced representation of different interests, including the most vulnerable groups
- Thorough consideration of lessons learnt

In particular in Humanitarian Aid, where often immediate action is necessary, the logframe must be seen as a *dynamic tool*, which can be completed, more detailed, re-assessed and revised as the intervention goes on and circumstances change during implementation.

4.3. The Logical Framework Approach: Two Stages

Drawing up a logframe has two stages:

1. **The *Analysis Stage***, during which the situation in the crisis area/of the people in this area is screened and analysed, to select the strategies that will be applied to improve it. We always intervene in order to address the problems faced by target groups / beneficiaries, both women and men, as well as their needs and interests.

There are four steps to the Analysis Phase:

- ⇒ Stakeholder Analysis
- ⇒ Problem and Needs Analysis
- ⇒ Analysis of Objectives (what can we realistically achieve/what do we want to achieve?)
- ⇒ Analysis of Strategies (comparison of different options to help in a given situation)

2. **In the *Planning Stage*** the intervention strategy is further developed into a practical, operational plan ready to be implemented. All knowledge and insights obtained during analysis are integrated in the planning. The logframe is drawn up, and activities and resources are defined and scheduled.

5. THE FOUR ANALYSIS STEPS

5.1. Stakeholder Analysis

Individuals, groups of people, institutions or organisations that benefit from or may be involved into a Humanitarian Aid intervention are stakeholders. In order to maximize the benefits and minimise negative impacts, stakeholder analysis identifies all groups likely to be affected (either positively or negatively) by the intervention.

It is important to know not only the interest and the attitude of these stakeholders in a possible intervention, but also the potential of these stakeholders to contribute to the intervention.

In all societies, there are differences in the roles and responsibilities of socio-economic groups (women, disabled, ethnic groups...), and in their access to and control over resources and their participation in decision-making. These inequalities that we will call gender inequalities hinder growth and harm development. These inequalities are continued or even increased in crisis situations. Addressing gender issues not adequately can damage the effectiveness and sustainability of interventions, even unintentionally exacerbate existing disparities. It is therefore vital to analyse the gender differences and inequalities and to take them into account in the intervention, its objectives, strategies and resource allocation.

Stakeholder analysis and problem analysis are closely connected: without people's views on a crisis, neither its nature, nor their needs, nor eventual relief will become clear.

5.2. Problem and Needs Analysis

In emergency situations ECHO and its partners want to alleviate the immediate needs of the victims of a crisis situation. These needs have to be inventoried. In order to guarantee that the intervention of ECHO will succeed it is necessary to know more of the context so that the intervention will indeed alleviate the needs of the target group.

For post emergency and rehabilitation operations a more in depth analysis of the context is needed. Problems the intervention wants to address have to be analysed. The reasons why these problems persist have to be known in order to guarantee that the proposed activities will eradicate the problem in a sustainable way.

Problem analysis identifies the existing situation and establishes the '*cause and effect*' relationships between the problems that exist. It involves three steps:

1. Precise definition of the framework and subject of analysis
2. Identification of the major problems and dangers faced by target groups
3. Visualisation of the situation in form of a diagram, called "***problem tree***" to establish cause – effect relationships

The analysis is presented in diagram form showing the effects of a problem on top and its causes underneath.

5.3. Analysis of Objectives

Analysis of objectives is necessary to:

- ⇒ Describe the situation which shall be re-established;
- ⇒ Verify the hierarchy of objectives;
- ⇒ Illustrate the means-end relationships in a diagram.

The 'negative situations' of the problem tree are converted into solutions, expressed as 'positive achievements'. For example, 'agricultural production is destroyed' is converted into 'pre-conditions for agricultural production are re-established'. These positive achievements are *objectives*, and are presented in a diagram of objectives showing a means / end hierarchy.

Often such a diagram shows some objectives that cannot be achieved by the aid intervention and so will have to be addressed by other donors, actors in the field. Some objectives may be unrealistic, so other solutions need to be found.

5.4. Analysis of Strategies

The final step of the Analysis Stage involves selecting the strategies which will be used to achieve the desired objectives.

Analysis of Strategies involves deciding what objectives will be included IN the specific intervention, and what objectives will remain OUT, and what the operation purpose and overall objectives will be.

This step requires:

- ⇒ Clear criteria for making the choice of strategies (defined at programming stage)
- ⇒ The identification of the different possible strategies to achieve the objectives
- ⇒ The choice of the operation strategy

6. THE PLANNING STAGE

6.1. Building the Logframe Matrix

The logical framework matrix is a way of presenting the substance of a planned intervention in a comprehensive and commonly understandable form. The matrix has four columns and four rows:

- ⇒ The *vertical logic* identifies what will be done and achieved, and specifies the important assumptions and risks beyond the operation management's control.
- ⇒ The *horizontal logic* relates to the measurement of the effects of, the indicators, and how and where they will be verified.

6.2. First Column: Intervention Logic

The first column of the logical framework is called the "Intervention logic". It sets out the basic strategy:

- ⇒ The activities and means (inputs, both physical and non-physical) to be mobilised (2nd column, 4 row);
- ⇒ By carrying out these activities, the results are achieved;
- ⇒ **Results collectively lead to the achievement of the purpose;**
- ⇒ The operation purpose contributes to the overall objectives.

Usually, Results, Purpose and Overall Objectives are referred to globally as "objectives". The four levels of objectives are defined as follows:

1. The **Overall Objectives** of a Humanitarian Aid intervention explain the longer-term benefits to beneficiaries. The Overall Objectives **will not be achieved by one intervention** (it will only provide a contribution to the achievement of the Overall Objectives), but will require the contributions of other players as well.
2. The **Operation Purpose** is the objective to be **achieved by implementing the operation**. The purpose should address the core problems in a given situation, and be defined in terms of benefits for the target groups. There should only be one purpose per logframe and it is recommended to design a logframe per sector, which is covered. If an intervention covers several sectors it is recommended to present cascading logframes i.e. starting with a master logframe presenting the whole intervention in a global picture and specifying what will be done in each sector in the sub-logical frameworks.
3. **Results** are "products" - outcomes of the activities undertaken, the combination of which achieve the purpose.
4. **Activities** – the actions that have to be taken to produce the results. They summarise what will be undertaken.

6.3. Second Column: Indicators

They are the operational description of:

- ⇒ the Overall Objectives
- ⇒ the Operation Purpose
- ⇒ the Results

Indicators describe the operation's objectives in operationally measurable terms (quantity, quality, target group(s), time, place).

Specifying indicators helps checking the viability of objectives and forms the basis of the operation monitoring system. Indicators should be measurable in a consistent way and at an acceptable cost.

A good indicator should be **SMART**:

- ⇒ Specific: measures what it is supposed to measure
- ⇒ Measurable
- ⇒ Available at an acceptable cost
- ⇒ Relevant with regard to the objective concerned
- ⇒ Time bound

Indicators at the level of the results should not be a summary of what has been stated at the activity level, but should describe the consequences. Often, it is necessary to establish *several indicators for one objective*. Together, these will provide reliable information on the achievement of objectives. At the same time, the trap of including too many indicators should be avoided.

Indicators should already be defined during identification and formulation, but they often need to be **specified in greater detail during implementation**, once additional information is available and the demands of monitoring become apparent. Care should be taken to ensure that the indicators for the operation purpose - the operation's "centre of gravity" - do in practice incorporate the notion of 'sustainable benefits for the target group'.

6.4. Third Column: Sources of Verification

Sources of verification indicate where and in what form information on the achievement (described by the indicators) can be found.

It is important to formulate the sources of verification at the start of the operation because means have to be foreseen to elaborate them.

The costs and sources of financing have to be added.

The sources of verification should specify:

- ⇒ the *format* in which the information should be made available (e.g. progress reports, operation accounts, operation records, official statistics etc.)
- ⇒ *who* should provide the information
- ⇒ *how regularly* it should be provided (e.g. monthly, quarterly, annually, etc.)

Sources outside the operation should be assessed for accessibility, reliability and relevance.

The work and costs of collecting information to be produced by the operation itself should also be estimated and adequate means provided. There is often a direct relationship between the complexity of the source of

verification (i.e. ease of data collection and analysis) and its cost. If an indicator is found too expensive or complicated to collect, it should be replaced by a simpler, cheaper and linked to the outputs indicator: e.g. instead of conducting a detailed survey on incomes of farm households, the changes of household expenditure may be assessed, e.g. sales of veterinary suppliers and pharmacies, or of tools or household goods (clothes, energy saving stoves, etc.) might be counted.

Indicators are not specified for activities in the Logframe, but may be specified later when preparing an Activity Schedule

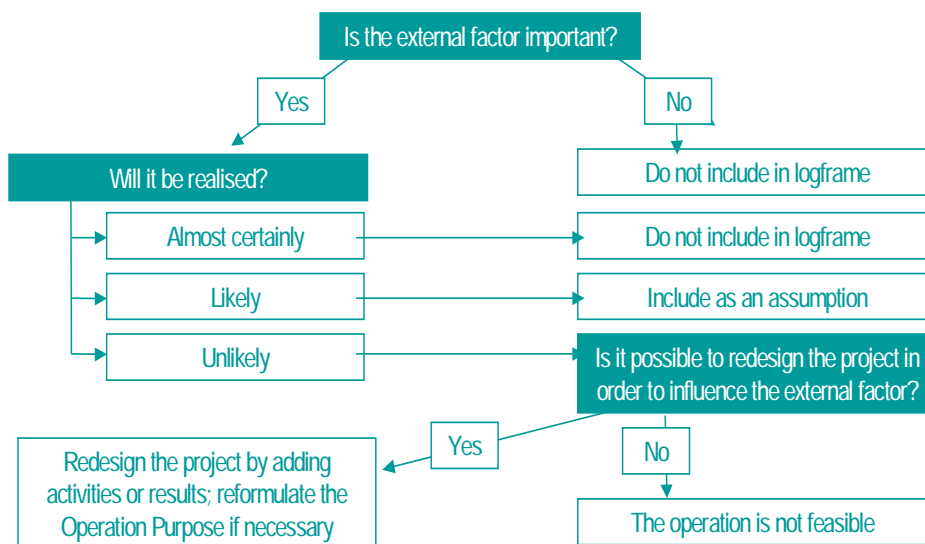
6.5. Fourth Column: Risks and Assumptions

An intervention cannot deal with all contextual factors that can have an influence on its' performance. Many of them are outside the control of the single intervention. But they are conditions that must be met if the operation is to succeed. If they might influence the success of the intervention in a negative way if not realized and if the analysis shows that we may assume that they will be realized without being completely sure, they are included as assumptions in the fourth column of the Logframe. These assumptions have to be monitored during the implementation of the operation.

Assumptions are the answer to the question: “What external factors are not influenced by the operation, but may affect its implementation and achievement of objectives?” Those assumptions, which are very critical, are risks.

Figure 4: Assessment of Assumptions

Assessment of Assumptions



The vertical logic in the logframe, i.e. the relationship between the 1st and the 4th column, works as follows:

- ⇒ once the pre-conditions are met, the activities can start up;
- ⇒ once the activities have been carried out, and if the assumptions at this level hold true, results will be achieved;
- ⇒ once these results and the assumptions at this level are fulfilled, the operation purpose will be achieved;
- ⇒ once the purpose has been achieved and the assumptions at this level are fulfilled, contribution to the achievement of the overall objectives will have been made by the operation.

6.6. Means and costs

The physical and non-physical Means (inputs) necessary to carry out the planned activities are placed in the ‘bottom’ row of the second column. A rough estimation of the necessary resources should be presented in this box. The activities are related to the different results. Indicators for activities are usually defined during the preparation of an activity schedule specifying the activities in more detail.

Means are physical and non-physical resources (often referred to as “Inputs”) that are necessary to carry out the planned activities and manage the operation. A distinction can be drawn between:

- ⇒ *human resources* and,
- ⇒ *material resources*.

7. FINAL QUALITY CHECK OF THE LOGFRAME

Once the means and costs have been established, the logical framework matrix is complete. It should now be reviewed one last time to check, whether:

1. The vertical logic is complete and accurate;
2. Indicators and sources of verification are accessible and reliable;
3. The pre-conditions are realistic;
4. The assumptions are realistic and complete;
5. The risks are acceptable;
6. The likelihood of success is reasonably strong;
7. Quality issues have been taken into account and, where appropriate, translated into activities, results or assumptions;
8. The benefits justify the costs;

7.1. Quality Criteria

7.1.1. What are Quality Factors?

Experience has shown that the success and impact of Humanitarian Aid interventions depends on many factors of which following seem crucial:

1. *Ownership by beneficiaries* – the extent to which target groups are involved and their potentials are used
2. *Policy support* – the extent to which local and national politics will not affect the operation in such a way that the objectives will not be met
3. *Appropriate technology* – whether the technologies applied are adapted to the specific conditions (sufficiency of safety regulations; local capabilities of women and men in operation and maintenance).
4. *Socio-cultural issues* – how the intervention fits in a given context and local socio-cultural norms and attitudes are taken into account
5. *Equality of all and especially the most vulnerable group* – how the specific needs and interests of the most vulnerable groups (women, disabled, elderly people, minorities...) are taken into account
6. *Institutional and management capacity* – the ability and commitment of the partner
7. The co-ordination between the different actors involved

8. USING THE LOGICAL FRAMEWORK TO DEVELOP ACTIVITY AND RESOURCE SCHEDULES

The Logical Framework for an aid intervention describes broadly, what activities are to be undertaken. After the logframe matrix has been completed, further planning can take place to add operational detail.

An activity schedule is a method of presenting the activities of an intervention, which identifies their logical sequence and any dependencies that exist between them, and provides a basis for allocating management responsibility for completing each activity. With the activity schedule prepared, further specification of means and scheduling of costs can start.

The overall activity schedule (sometimes also called “implementation schedule”) is updated and detailed activity and resource schedules are to be prepared during the first months of operation implementation (inception phase).

8.1. Preparing Activity Schedules

All information in an activity schedule can be summarised in graphical format. This is called a *Gantt Chart*. The format can be adapted to fit with the expected duration of the operation. An overall schedule may only specify activities on a quarterly or monthly basis, while an individual’s quarterly workplan may use a weekly format.

In the format some performance indicators and milestones can be taken up that have to be used for the internal monitoring of the execution of the activities.

In this exercise, an important component, which should not be overlooked is the tendering procedure both for the procurement of goods and the selection of possible sub-contractors.

8.2. Preparing Resource Schedules

Cost estimates must be based on careful and thorough budgeting. They will have significant influence over the investment decision at operation appraisal and subsequently on the smooth implementation of the operation if the go-ahead is given. Again, the list of activities should be copied into an input and cost schedule pro-forma. Each activity should then be used as a checklist to ensure that all necessary means under that activity are provided for. This list may become very detailed.

Then, the means necessary to undertake the activities must be specified. It will probably be necessary to aggregate or summarise the cost information. Operation costing should allow the allocation of costs to the different funding sources so that each party is clear about their respective contributions.

9. USING THE LOGICAL FRAMEWORK TO PLAN COMPLEX INTERVENTIONS: INTERLOCKING LOGFRAMES

Complex interventions comprising a number of components or operations can also be planned with logframes.

In principle, each logical framework can be worked out in sub-logframes. Each of these describes components of the “master” logical framework on a more detailed level.

The system of sub-dividing a “master” logical framework is useful to show the coherence of components in a given critical situation and to develop each component in more detail.

9.1. Monitoring of humanitarian interventions

Monitoring is a management activity that allows a continuous adaptation of the intervention if problems arise or if changes in the context have an influence on the performance of the operation.

During monitoring operation managers compare at different moments the actual implementation with what was planned. If activities cannot be implemented as foreseen because of different reasons, a reflection has to lead to an adaptation of that activity so that the success of the operation remains guaranteed. In Humanitarian Aid, decisions have to be taken as quickly as possible. A continuous communication with the different stakeholders is important.

Partners have to guarantee an internal monitoring. Through the interim reports they inform ECHO. The internal monitoring reports, made by ECHO staff, complete the monitoring procedures.

The activity and the resource schedules form the basis for a monitoring system.

Besides the activities, the assumptions as well as other unforeseen contextual changes have to be monitored. If they occur, again a reflection has to start leading to the adaptation of the operation in order to guarantee its success, keeping in mind that corrective measures and/or alternative solutions could be foreseen right from the beginning of the operation.

9.2. Evaluation of humanitarian interventions

Besides the accountability function, evaluations serve to capitalise the experiences and to learn from each intervention.

There are different types of evaluation.

Evaluations do not look only at the achievements of the results or the objectives but also at the way the interventions were managed. If results or objectives are not reached the evaluation has to find out why.

Glossary of Terms

Activities	The actions (and means) that have to be taken / provided to produce the results. They summarise what will be undertaken by the operation.
Activity Schedule	A Gantt chart, a graphic representation similar to a bar chart, setting out the timing, sequence and duration of operation activities. It can also be used to identify milestones for monitoring progress, and to assign responsibility for achievement of milestones.
Analysis of Objectives	Identification and verification of future desired benefits to which the beneficiaries attach priority. The output of an analysis of objectives is the objective tree / hierarchy of objectives.
Analysis of Strategies	Critical assessment of the alternative ways of achieving objectives, and selection of one or more for inclusion in the proposed operation.
Appraisal	Analysis of a proposed operation to determine its merit and acceptability in accordance with established criteria. This is the final step before an operation is agreed for financing. It checks that the operation is feasible against the situation on the ground that the objectives set remain appropriate and that costs are reasonable. Term often synonymously used: Feasibility study / Ex-ante evaluation.
Appraisal Phase	The third phase in the project cycle. It involves the establishment of the details of the operation on the basis of a feasibility study, followed by an examination by EC staff to assess the operation's merits and consistency with sectoral policies.
Assumptions	External factors which could affect the progress or success of the operation, but over which the operation manager has no direct control. They form the 4 th column of the logframe, and are formulated in a positive way, e.g.: "Reform of penal procedures successfully implemented".
Bar Chart	See "Gantt Chart".
Beneficiaries	<p>Are those who benefit in whatever way from the implementation of the operation. Distinction may be made between:</p> <ul style="list-style-type: none"> (a) Operation partners: those who are supported by EC funds in order to manage design and implementation of an operation, i.e. usually: ministries, implementation agencies; (b) Direct beneficiaries 1: those who are supported within the operation in order to better perform services to the target group(s), e.g. agricultural extension staff, benefiting from training measures to better perform their advisory services to "female and male members of farm households"; (c) Direct beneficiaries 2 /Target group(s): the group / entity who will be positively affected by the operation at the Operation Purpose level and with whom the operation will work very closely, as well as for whom, e.g. the "female and male members of farm households" in the case of the above extension operation; (d) Indirect beneficiaries/catchment population: those who, beyond the level of the target groups, benefit from the operation in the long term at the level of the society or sector at large, e.g. "children" due to increased spending on health and education, "consumers" due to improved agricultural production and marketing, or "the state" as such due to increased export earnings from improved agricultural production and marketing
Commission	The European Commission.

Commitment	A commitment is a formal decision taken by the Commission to set aside a certain amount of money for a particular purpose. No expenditure can be incurred in excess of the authorised commitment.
Contractor	The public or private organisation, consortium or individual with whom the contracting authority enters into a contract. The firm, individual or consortium to which a contract is awarded.
Cost	Costs are the translation into financial terms of all the identified resources (“Means”).
Country Strategy Papers	Country Strategy Papers (CSPs) are an instrument for guiding, managing and reviewing EC assistance programmes. The purpose of CSPs is to provide a framework for EU assistance programmes based on EU / EC objectives, the Partner Country government policy agenda, an analysis of the partner country’s situation, and the activities of other major partners. CSPs are drawn up for all ACP, MEDA (except Cyprus, Malta and Turkey) and ALA countries.
Country Support Strategy	Term used as a synonym for Country Strategy Papers (CSP).
DAC	Development Assistance Committee of the OECD (Organisation for Economic Co-operation and Development).
Delegation	The diplomatic office representing the European Commission accredited to countries or international institutions at the level of an Embassy. The Head of Delegation is often called Delegate or Ambassador.
Effectiveness	An assessment of the contribution made by results to achievement of the operation purpose, and how Assumptions have affected operation achievements.
Efficiency	The fact that the results were obtained at reasonable cost, i.e. how well Means and Activities were converted into Results, and the quality of the results achieved.
European Commission	The executive arm of the European Union. It initiates European Union policy and implements programmes and policies established by the EU legislative and budgetary authorities.
Evaluation	A periodic assessment of the efficiency, effectiveness, impact, sustainability and relevance of an operation in the context of stated objectives. It is usually undertaken as an independent examination of the background, objectives, results, activities and means deployed, with a view to drawing lessons that may guide future decision-making.
Evaluation Phase	The sixth and final phase of the project cycle during which the operation is examined against its objectives, and lessons are used to influence future actions.
Feasibility	Addresses the issue whether the operation objectives can be really achieved.
Feasibility Study	A feasibility study, conducted during the Appraisal phase, verifies whether the proposed operation is well-founded, and is likely to meet the needs of its intended target groups / beneficiaries. The study should design the operation in full operational detail, taking account of all policy, technical, economic, financial, institutional, management, environmental, socio-cultural, gender-related aspects. The study will provide the European Commission and partner government with sufficient information to justify acceptance, modification or rejection of the proposed operation for further financing.
Financing Agreement / Memorandum (N.A. for ECHO)	The document signed between the European Commission and the partner country or countries subsequent to a financing decision. It includes a description of the particular operation or programme to be funded. It

	represents the formal commitment of the European Union and the partner country to finance the measures described.
Financing Memorandum	See “Financing Agreement”.
Financing Phase	The fourth phase of the project cycle during which operations are approved for financing.
Financing Proposal (ECHO decisions)	Financing proposals are draft documents, submitted by the Commission’s services to the relevant Financing Committee for opinion and to the Commission for decision. They describe the general background, nature, scope and objectives and modalities of measures proposed and indicate the funding foreseen. After having received the favourable opinion of the Financing Committee, they are the subject of the Commission’s subsequent financing decision and of the Financing Agreement which is signed with the respective partner country.
Gantt Chart	A method of presenting information graphically, often used for activity scheduling. Similar to a bar chart.
Gender	The social differences that are ascribed to and learned by women and men, and that vary over time and from one society or group to another. Gender differs from sex, which refers to the biologically determined differences between women and men.
Gender Analysis	EU policy on gender mainstreaming in development co-operation requires the integration of gender analysis at macro, meso and micro levels, throughout the project cycle. A gender analysis allows the identification and integration of the dynamics of change in a given situation, as well as the monitoring of their evolution, particularly in relation to the disparities between women and men. A gender analysis includes attention to: the different roles (productive, reproductive, decision-making) of women and men; their differential access to and use of resources and their specific needs, interests and problems; and the barriers to the full and equitable participation of women and men in operation activities and to equity between women and men in the benefits obtained.
Gender Equality	The promotion of equality between women and men in relation to their access to social and economic infrastructures and services and to the benefits of development is vital. The objective is reduced disparities between women and men, including in health and education, in employment and economic activity, and in decision-making at all levels. All programmes and operations should actively contribute to reducing gender disparities in their area of intervention.
Grant Agreement	The document signed between the European Commission and the organisation subsequent to a financing decision. It includes a description of the particular operation to be funded. It represents the formal commitment of the European Community to finance the measures described and the organisation to implement them.
Identification Phase	The second phase of the project cycle. It involves the initial elaboration of the operation idea in terms of objectives, results and activities, with a view to determining whether or not to go ahead with a feasibility study.
Impact	The effect of the operation on its wider environment, and its contribution to the wider sectoral objectives summarised in the operation’s Overall Objectives, and on the achievement of the overarching policy objectives of the EC.
Implementation Phase	The fifth phase of the project cycle during which the operation is implemented, and progress towards achieving objectives is monitored.
Inception Period	The period from project start-up until the writing of the inception report, usually two to three months.

Inception Report	The first report produced at the end of the inception period, which updates the project design and or the terms of reference and sets the workplan for the rest of the project.
Indicative Programmes	These are prepared by the European Commission in co-ordination with partner country governments. They provide general guidelines and principles for co-operation with the European Union. They specify focal sectors and themes within a country or region and may set out a number of project ideas.
Inputs	See “Means”.
Integrated Approach	The continuous examination of an operation throughout all the phases of the project cycle, to ensure that issues of relevance, feasibility and sustainability remain in focus.
Intervention Logic	The strategy underlying the operation. It is the narrative description of the operation at each of the four levels of the ‘hierarchy of objectives’ used in the logframe.
Logframe	The matrix in which an operation’s intervention logic, assumptions, objectively verifiable indicators and sources of verification are presented.
Logical Framework Approach (LFA)	A methodology for planning, managing and evaluating programmes and operations, involving stakeholder analysis, problem analysis, analysis of objectives, analysis of strategies, preparation of the logframe matrix and activity and resource schedules.
Means	The boxes “Means” and “Costs” replace OVIs and SOV at the level of Activities. Means are physical and non-physical resources (often referred to as “Inputs”) that are necessary to carry out the planned activities and manage the operation. A distinction can be drawn between human resources and material resources.
Milestones	A type of OVI providing indications for short and medium-term objectives (usually activities) which facilitate measurement of achievements throughout an operation rather than just at the end. They also indicate times when decisions should be made or action should be finished.
Monitoring	The systematic and continuous collecting, analysis and using of information for the purpose of management and decision-making.
Objective	Description of the aim of an operation or programme. In its generic sense it refers to activities, results, operation purpose and overall objectives.
Objective Tree	A diagrammatic representation of the situation in the future once problems have been remedied, following a problem analysis, and showing a means to ends relationship.
Objectively Verifiable Indicators (OVI)	Measurable indicators that will show whether or not objectives have been achieved at the three highest levels of the logframe. OVIs provide the basis for designing an appropriate monitoring system.
Overall Objectives	They explain why the operation is important to society, in terms of the longer-term benefits to final beneficiaries and the wider benefits to other groups. They also help to show how the programme fits into the regional / sectoral policies of the government / organisations concerned and of the EC, as well as into the overarching policy objectives of EC co-operation. The Overall Objectives will not be achieved by the operation alone (it will only provide a contribution to the achievement of the Overall Objectives), but will require the contributions of other programmes and operations as well.
Pre-Conditions	Conditions that have to be met before the operation can commence, i.e. start with activities. Pre-conditions (if any) are attached to the provision of aid.

Pre-feasibility Study	The pre-feasibility study, conducted during the identification phase, ensures that all problems are identified and alternative solutions are appraised, and selects a preferred alternative on the basis of Quality Factors. The study will provide the European Commission and partner government with sufficient information to justify acceptance, modification or rejection of the proposed operation for further appraisal.
Problem Analysis	A structured investigation of the negative aspects of a situation in order to establish causes and their effects.
Problem Tree	A diagrammatic representation of a negative situation, showing a cause-effect relationship.
Programme	A series of operations with a common overall objective.
Programming Phase	The first phase of the project cycle during which the Indicative Programme is prepared. See also "Indicative Programme".
Progress Report	An interim report on progress of work on an operation submitted by the operation management / contractor to the partner organisation and the Commission within a specific time frame. It includes sections on technical and financial performance.
Operation	A series of activities with set objectives, designed to produce a specific outcome within a limited time frame.
Project Cycle	The project cycle follows the life of an operation from the initial idea through to its completion. It provides a structure to ensure that stakeholders are consulted, and defines the key decisions, information requirements and responsibilities at each phase so that informed decisions can be made at each phase in the life of a operation. It draws on evaluation to build the lessons of experience into the design of future programmes and operations.
Project Cycle Management	A methodology for the preparation, implementation and evaluation of operations and programmes based on the integrated approach and the logical framework approach.
Operation Purpose	The central objective of the operation. The purpose should address the core problem, and be defined in terms of <u>sustainable benefits for the target group(s)</u> . The Purpose should also express the <u>equitable</u> benefits for women and men among the target group(s). There should only be one Operation Purpose per operation.
Quality Factors	Criteria that are known to have had a significant impact on the sustainability of benefits generated by operations in the past, and which have to be taken into account in the design and implementation of each operation (previously: "Sustainability Criteria"): ownership by beneficiaries, policy support, economic and financial factors, socio-cultural aspects, gender, appropriate technology, environmental aspects, and institutional and management capacity.
Recurrent Costs	Costs for operation and maintenance that will continue to be incurred after the implementation period of the operation.
Relevance	The appropriateness of operation objectives to the real problems, needs and priorities of the intended target groups and beneficiaries that the operation is supposed to address, and to the physical and policy environment within which it operates.
Resource Schedule	A breakdown of the operation budget where means and costs are linked to activities, and detailed per time period selected.

Results	The “products” of the activities undertaken, the combination of which achieve the Purpose of the operation, namely a start of enjoyment of sustainable benefits for the target groups.
Risks	See also “Assumptions”. External factors and events that could affect the progress or success of the operation, and that are not very likely to hold true. They are formulated in a negative way, e.g.: “Reform of penal procedures fails”.
Sources of Verification	They form the third column of the logframe and indicate where and in what form information on the achievement of the Overall Objectives, the Operation Purpose and the Results can be found (described by the objectively verifiable indicators).
Stakeholder Analysis	Stakeholder analysis involves the identification of all stakeholder groups likely to be affected (either positively or negatively) by the proposed intervention, the identification and analysis of their interests, problems, potentials, etc. The conclusions of this analysis are then integrated into the operation design.
Stakeholders	Any individuals, groups of people, institutions or firms that may have a relationship with the operation / programme are defined as stakeholders. They may – directly or indirectly, positively or negatively – affect or be affected by the process and the outcomes of operations or programmes. Usually, different sub-groups have to be considered.
Start-up Period	The period of operation implementation immediately after the arrival of the contractor / technical assistance.
Sustainability	The likelihood of a continuation in the stream of benefits produced by the operation after the period of external support has ended.
Sustainability Criteria	See “Quality Factors”.
SWOT Analysis	Analysis of an organisation’s S trengths and W eaknesses, and the O pportunities and T hreats that it faces. A tool that can be used during all phases of the project cycle.
Target Group(s)	The group / entity who will be positively affected by the operation at the Operation Purpose level and with whom the operation will work very closely, as well as for whom.
Technical Assistance	Specialists, consultants, trainers, advisers, etc. contracted for the transfer of know-how and skills and the creation and strengthening of institutions.
Terms of Reference	Terms of Reference define the tasks required of a contractor and indicate operation background and objectives, planned activities, expected inputs and outputs, budget, timetables and job descriptions.
Workplan	The schedule that sets out the activities and resources necessary to achieve an operation’s results and purpose.