

# Planning, Monitoring and Evaluation Framework

## WOSCAP

Whole of Society for  
Conflict Prevention and Peacebuilding

### *Deliverable 1.1*

(Version 1; 31 July 2015)

**Global Partnership for the Prevention of Armed Conflict**



Horizon 2020 | BES-12-2014/2015



## Contents

1. Introduction.....	3
2. Project Start-Up with PRINCE2 (1-30 June 2015) .....	4
2.1 Planning the Initiation Stage .....	4
2.2 Key roles .....	4
2.3 Project brief.....	4
3. Project Planning with PRINCE2 (1-30 June 2015).....	4
3.1 The Project Description .....	4
3.2 The level of quality .....	4
3.3 Inception Workshop Report / Procedure & Planning document .....	4
3.4 Producing an Activity Plan for the project (overall) .....	5
3.5 Produce Activity Plans for Phase 1, or “initiation stage” .....	5
3.6 Perform a risk analysis.....	5
3.7 Controls and reporting procedures .....	5
3.8 Reporting to the Funding Authority (EU) .....	6
4. Project Stages in PRINCE2 Project Management (phase 1 – 4; June 2015 – October 2017) .....	6
4.1 Internal Communication.....	6
4.2 Monitoring and Regular progress reports .....	6
4.3 Adjustments.....	7
4.4 Reporting exceptions to the Executive Board .....	7
4.5 Look at any inbound Project Issues and decide action .....	7
5. Exception Plans with PRINCE2 Project Management (on-going) .....	7
6. End Stage in PRINCE2 Project Management (on-going).....	8
7. PRINCE2 Project Management Project Closure (Phase 5: Wrap up and sustainability; November 2017).....	8
7.1 Closure .....	8
7.2 Sustainability and continuation.....	8
8. Final aspects of the PME Framework – Reflection, evaluation, learning, adapting, strategizing .....	9
ANNEX 1.....	10

## 1. Introduction

The overall project management is done by GPPAC, who as Project Coordinator is also responsible for administration of the grant and communication with the funder. The overall project management by GPPAC is executed in close cooperation with Utrecht University (UU) as Scientific Coordinator, and with the respective Work Package Leaders. This is further elaborated in Work Package (WP) 1 – Coordination & Quality in section 3.1. of the Description of Action (DoA). In practice this will mean that GPPAC, UU and other Work Package Leaders work closely together as the ‘Executive Board’ in WP 1 in order to have clear division of tasks and prevent duplication of efforts and redundant communication and procedures. This is further elaborated in paragraph 3.2.1. of the DoA. In the Consortium Agreement, under article 6 is specified that the Executive Board functions as “the supervisory body for the execution of the Project which shall report to and be accountable to the Steering Group”. The Executive Board consists of the Work Package Leaders: GPPAC, UU, LSE and IRENE.

For the project management and quality assurance we will use the PRINCE2 method. It is a practical and therefore suitable approach to manage this kind of project with many partners, as it depends on each other’s performance and timely delivery of the specified milestones<sup>1</sup> and deliverables<sup>2</sup>. Central to this method is to divide the project into ‘stages’ and jointly decide whether the stage has been completed successfully, and the project team can move to the next stage. This is translated for our WOSCAP project by dividing the work into work packages and into 5 phases.<sup>3</sup> Each work package is led by a Consortium partner and the Work Package Leader is responsible for its management and monitor progress.

This Planning, Monitoring and Evaluation (PME) Framework will further follow the relevant steps from a simple guide for the PRINCE2 method.<sup>4</sup> Based on that, it is structured around six ‘stages’ that are applied to the WOSCAP phases.

This is a document that is submitted to the EU as project deliverable **D1.1** in July 2015. The PME framework will evolve and further develop during the project implementation if necessary. The consortium partners will recognize it by a version number and a date. It is also subject to changes agreed by the consortium partners or in the GA. Updated versions of the framework will be uploaded in the online workspace of WOSCAP.

---

<sup>1</sup> See 1.3.4 WT4 List of milestones of the ANNEX 1 (Part A) of the GA, p. 31

<sup>2</sup> See 1.3.2 WT2 List of deliverables of the ANNEX 1 (Part A) of the GA, p. 6

<sup>3</sup> See Figure 2 in the ‘Implementation’ of the ANNEX 1 (Part A) of the GA, p. 34

<sup>4</sup> <http://www.dummies.com/how-to/content/prince2-for-dummies-cheat-sheet-uk-edition.html>

## 2. Project Start-Up with PRINCE2 (1-30 June 2015)

This stage of PRINCE 2 has been done before 1 June, before the official start of the project.

### 2.1 Planning the Initiation Stage

GPPAC and UU have started the project start-up already from end of January, after approval of the application. Several meetings and telephone calls have taken place between GPPAC and UU, as well as discussions with partners on contracts from February to May 2015 in order to allow start-up of the project from the official date 1<sup>st</sup> June 2015.

### 2.2 Key roles

A Consortium Agreement was prepared and signed amongst all project partners before the start of the project. The Consortium Agreement describes the key roles, responsibilities and procedures of the governance bodies of the project, the Steering Group and Executive Board. This and the decision making structure are outlined in **Annex 1**, as well as in paragraph 3.2.1 of the DoA.

### 2.3 Project brief

GPPAC will produce a brief of the WOSCAP project summarizing the DoA, during Phase 1, as part of tasks in WP 6. Accordingly, the partners will be able to communicate about the project.

## 3. Project Planning with PRINCE2 (1-30 June 2015)

In this stage, it is important to balance the amount of planning against the need for control.

### 3.1 The Project Description

What is referred to in PRINCE2 as the “business case” is the WOSCAP project description (DoA).

### 3.2 The level of quality

The level of quality of deliverables and outputs will be checked by the responsible Work Package Leader, for which the Scientific Coordinator is responsible. Further specifications are provided in the Quality Assurance Plan (D1.2), including a checklist for written outputs. The appropriate level of quality was discussed at the Inception Workshop, which took place 22-23 June 2015 in The Netherlands.

### 3.3 Inception Workshop Report / Procedure & Planning document

The starting point for the project monitoring is section 3.2. of the DoA. That was discussed during the Inception Workshop and where necessary adapted. It will be written into the “Procedure & Planning” document by 31<sup>st</sup> August 2015. The Steering Group will approve and oversee the implementation of the Procedure and Planning document.<sup>5</sup>

---

<sup>5</sup> See ‘Management structure and procedure’, para 3.2.1 of the DoA ( as in the GA), p. 36

### 3.4 Producing an Activity Plan for the project (overall)

To visualize the timelines and work assignments within the work packages of WOSCAP project, GPPAC will prepare a chronological overview of activities and tasks. This overview will include:

- All the activities of the project (Steering Group meetings, Executive Board meetings, workshops etc.);
- Description of tasks per each work package;
- Deliverables;
- And time envisaged to perform particular tasks.

The purpose of the overview is to guide the partners throughout the whole project and to provide them with detailed information about: who is participating, what month the activity will take place and where, what the status of deliverables is, and more.

The Project Coordinator in collaboration with the Scientific Coordinator will update the activity plan continuously and produce the progress reports according to the plans in the DoA.<sup>6</sup>

The contents of the phases, work packages, deliverables, milestones and risks was reviewed during the Inception Workshop to develop them in more detail. Planning of WOSCAP is coordinated and facilitated by the Project Coordinator through the overview of activities and tasks and frequently updated on the basis of the discussions among the project team.

### 3.5 Produce Activity Plans for Phase 1, or “initiation stage”

The detailed planning for Phase 1 (1 June 2015 to 1 March 2016) was developed at the Inception Workshop, following this PRINCE2 step. This will be included in the Planning and Procedure document.

### 3.6 Perform a risk analysis

GPPAC in collaboration with UU will update the risk analysis<sup>7</sup> during phase 1, with input from case study partners, to be incorporated in the Procedure & Planning document (D1.4). Risks are continuously reviewed and periodically checked at Executive Board meetings.

### 3.7 Controls and reporting procedures

Effective controls mechanisms were put in place and are described in the WOSCAP Consortium Agreement (see governance structure in **Annex 1**).

During the Inception Workshop the Project Coordinator proposed and the Steering Group approved an internal reporting procedure. The consortium partners agreed to submit a narrative and financial report every six months to the Project Coordinator. This is to avoid any delay of the deliverables and to

<sup>6</sup> See 1.3. Workplan Tables - Detailed implementation of the ANNEX 1 (Part A) of the GA, p. 5

<sup>7</sup> See 1.3.5 WT5 Critical Implementation risks and mitigation actions of the ANNEX 1 (Part A) of the GA, p. 32

monitor the timely implementation of the planned activities. The reports will be shared with all the partners. This and other agreements on internal reporting will be laid down in the Planning and Procedure document.

### 3.8 Reporting to the Funding Authority (EU)

GPPAC will submit the first periodic report within 60 days following the end of reporting period 1 (from month 1 to month 18). The periodic report will be consisted of a 'a periodic technical report' and a 'periodic financial report'.<sup>8</sup> A technical review (D1.5, Progress Report) is planned for month 9.

## 4. Project Stages in PRINCE2 Project Management (phase 1 – 4; June 2015 – October 2017)

During this stage, it is about delivering (deliverables and milestones) and making sure the outputs are of the specified quality.

### 4.1 Internal Communication

GPPAC will set up an online workspace on its Peace Portal<sup>9</sup> that is accessible for all team members, and will ensure that all basic documentation from PRINCE2 stages 1) and 2) is archived properly. The WOSCAP Communication & Dissemination strategy (D6.1) describes how this online workspace will support information access and exchange between the consortium partners.

### 4.2 Monitoring and Regular progress reports

On-going monitoring will be the responsibility of the respective Work Package Leaders, Project Coordinator and Scientific Coordinator, in accordance with this PME Framework. Progress for each phase will be monitored at set intervals.<sup>10</sup> In order to make sure that the project runs smoothly, GPPAC and UU will monitor progress of each WP. Though WP leaders are responsible for the plan of their WP, they should report to the GPPAC and UU. In the WOSCAP project all project partners have their own responsibility to assure quality.

Monitoring and reporting includes the following:

- At the end of each phase (or intermittently) the Steering Group will meet and review progress achieved, milestone outputs and monitor overall progress. If needed, they will review any measures required to improve performance.<sup>11</sup>
- The Work Package leaders will be responsible for timely reporting of issues and implementation of measures.<sup>12</sup>
- The Project Coordinator will brief quarterly to the Executive Board

<sup>8</sup> See Article 20.3 of the GA, p. 30

<sup>9</sup> See Communication activities, para. 2.2.2 of the DoA of the GA, p.30

<sup>10</sup> See Implementation of the Doa of the GA, Figure of Work package organization, p.34

<sup>11</sup> Ibid.

<sup>12</sup> Ibid.

- The Project Coordinator will brief the Steering Group every 9 months concerning overall project progress.
- Executive Board reports are shared with the Steering Group
- The project team uses 'DANS' for storing scientific data, which will also be used for monitoring progress on research (see D6.3, Data Management Plan).
- Internal reporting mechanisms as mentioned above, will also be used to monitor progress. A mid-term progress report (from all partners) will be produced in December 2016 and submitted as the "1st Periodic Review" to the EU.

### 4.3 Adjustments

Work Package Leaders and the Project Coordinator can adjust the running of this phase to ensure completion within the set limits and deadlines.

### 4.4 Reporting exceptions to the Executive Board

Whenever exceptions take place, each project team member is responsible to report and discuss them immediately with the Work Package Leader and/or Scientific Coordinator (as applicable). Work Package Leaders and the Scientific Coordinator will immediately consult with the Project Coordinator on those exceptions that cannot be addressed or solved within a reasonable time span, and discuss and decide how to proceed. They will follow the agreed procedures from the Consortium Agreement and DoA.

### 4.5 Look at any inbound Project Issues and decide action

Serious and problematic exceptions or deviations from agreed planning or agreed quality standards, that cannot be solved bilaterally, will be brought to the attention to the directly responsible project staff for swift solutions or decisions. As agreed with the Consortium Members, the Scientific Coordinator, UU, can mediate in the case of disputes between partners.<sup>13</sup>

## 5. Exception Plans with PRINCE2 Project Management (on-going)

Exceptions to plans need rapid investigation and management of underlying reasons.

### Consequences in case of disagreement

- In the case of abolished tasks as a result of a decision of the Steering Group, the Executive Board shall propose the Steering Group on ways to rearrange tasks and budgets of the Parties concerned. Such rearrangement shall take into consideration the legitimate commitments taken prior to the decisions, which cannot be cancelled.<sup>14</sup>
- UU, as a Scientific Coordinator and GPPAC, as a Project Coordinator will prepare a draft proposal for disagreement/compliance issues which needs to be approved by the Steering Group.

<sup>13</sup> See 'Settlement of disputes', para. 11.8 of the Consortium Agreement, p. 20

<sup>14</sup> See 'The Executive Board', para. 6.3.2.3.7 of the Consortium Agreement, p. 11

- GPPAC will check if the exceptional situation requires an addendum to the Grant Agreement.
- GPPAC will communicate about the situation with the EU Project Officer, discuss options and justify alternatives. Any changes require formal approval of the EU Project Officer.

## 6. End Stage in PRINCE2 Project Management (on-going)

In PRINCE2 projects, 'End Stage' work is done by the Project Coordinator towards the end of each 'stage' or phase, followed by a project meeting to decide whether the project can move to the next phase. In the case of our WOSCAP project, the Steering Group meets at the end of each phase, reviewing the work package(s) that are to be finalised and decided on, and checks the milestones.

The Project Coordinator assures the following tasks:

- Complete the work of the current phase
- Plan the next phase in detail
- Update the overview of activities and Risks table to reflect the latest information
- Report on the current phase at the Steering Group meeting
- Organise the final meeting of the Steering Group

## 7. PRINCE2 Project Management Project Closure (Phase 5: Wrap up and sustainability; November 2017)

The work at this point in a PRINCE2 project is done by the Project Coordinator to check whether everything is done and prepare for the last Steering Group meeting.

### 7.1 Closure

The project closure of WOSCAP will be marked by Phase 5, "Wrap up and sustainability". This includes:

- Final narrative and financial report to the EU (Final Review), GPPAC will submit to the EU the second periodic report and the final report for the reporting period II that covers period from month 19 until the last month (30) of the WOSCAP project.<sup>15</sup> It will provide final cost, time, and quality information and comments on the achievement of objectives.
- Last Steering Group meeting
- Evaluation; reviewing the lessons learned from this project

### 7.2 Sustainability and continuation

Provisions will be made for continuation of communication channels beyond the project period (community of interest, dissemination as part of consortium partner channels, linkages with relevant

---

<sup>15</sup> See Article 20.4 of the GA, p. 31



other projects and initiatives). It will look for ways in which the project partners can continue their collaboration after the project for promotion of the project results.

## 8. Final aspects of the PME Framework – Reflection, evaluation, learning, adapting, strategizing

The mid-term evaluation and the final evaluation will be conducted as interactive discussions among the Steering Group members and other involved people in the project. By reflecting on the developments in the project and collaboration, as well as by reviewing the documentation the project team will create a working environment for learning throughout the project. The discussions can lead to necessary adaptations of the project.

GPPAC will establish relevant contacts with the European Commission and EU External Action Service (EEAS) during the first year of the project, and communicate about the outputs of the project as part of work package 6 (Communication & Dissemination). The EEAS expressed interest to monitor the WOSCAP project. GPPAC will pass on experiences and relevant contacts to Work Package Leader IRENE (WP 5; Policy Engagement & Impact) in advance of the start of work package 5. Where necessary GPPAC will advise IRENE in facilitating strategic discussions with the consortium partners and the GPPAC members that will be involved in the work package 5. GPPAC will monitor that the strategic impact of the project<sup>16</sup> towards the identified actors will be reached.

Throughout work package 6, the implementation of the dissemination and communication strategy (see deliverable D6.1) will be measured and monitored.<sup>17</sup> Responsibility for monitoring progress will be with the GPPAC Communication & Online Partnerships team, monitored by the project Steering Group. The following monitoring and evaluation tools will be used:

- Ongoing report with publications released.
- Website, digital workspaces, newsletter and social media analytics report.
- Feedback loop via the website and evaluation forms of events.
- Final conference report.
- Reporting: Describes any reports on the communication process that are to be produced, including their purpose, timing and recipients (for example, performance indicators).

---

<sup>16</sup> See 'Strategic impact', para. 2.1.2 of the DoA of the GA, p. 22

<sup>17</sup> See 'Measures to maximise impact', para. 2.2 of the DoA of the GA, p. 27

## ANNEX 1

Figure Governance and decision-making

