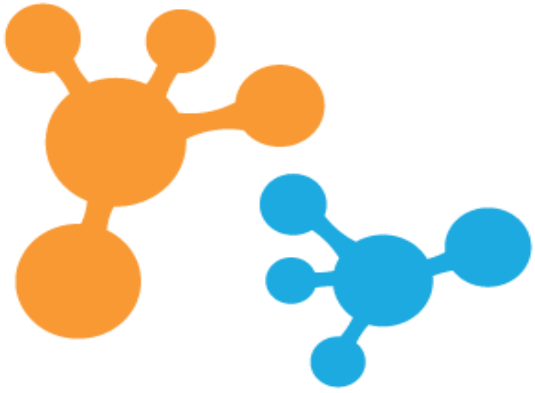
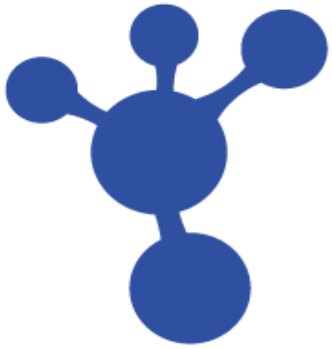
PM4NGOs

Program DPro

Program Management for Development Professionals Guide





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Trevor K. Nelson

on behalf of the Board of PM4NGOs

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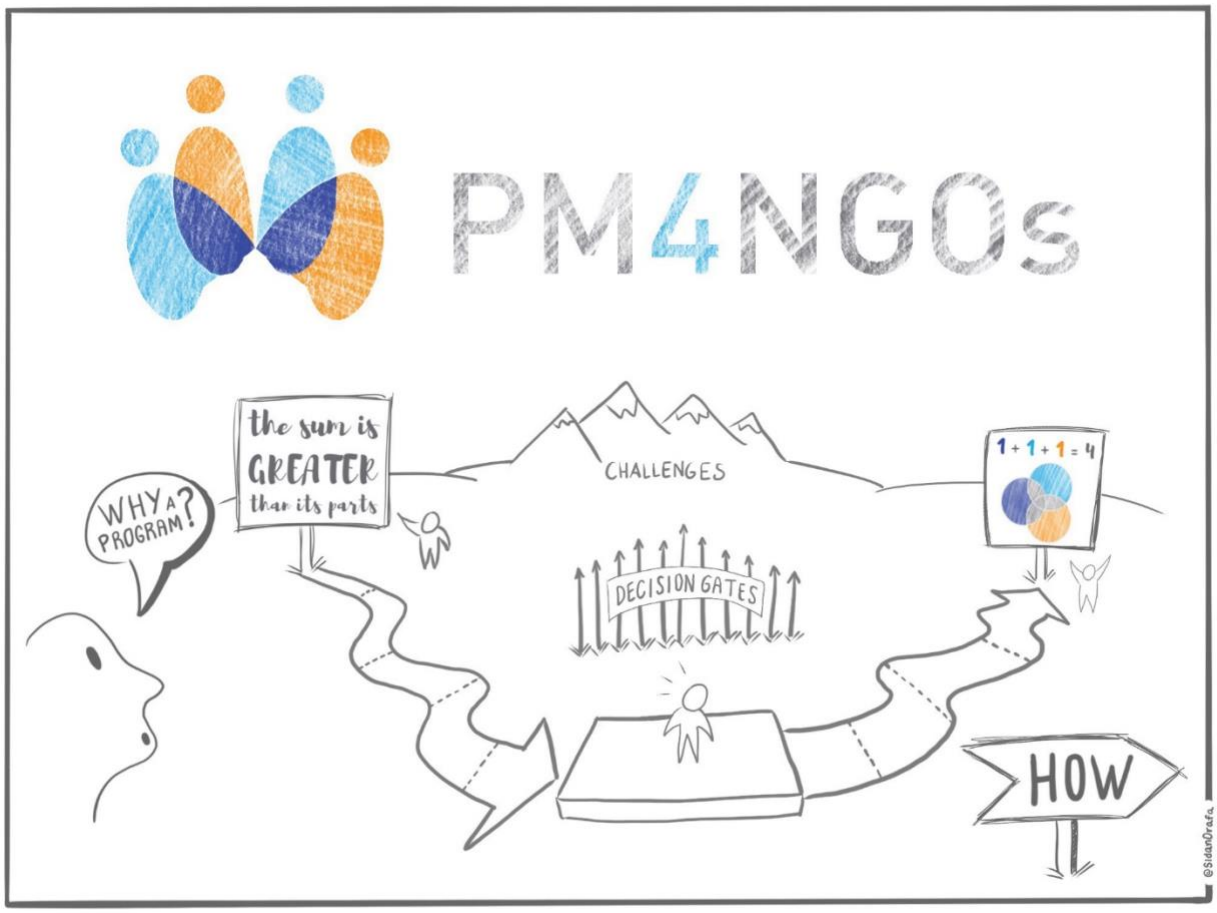


"A small group of thoughtful people could change the world.
Indeed, it is the only thing that ever has."

-Margaret Mead

Changing the World Through Programs

A Program Manager has a vital role in the success of an organization. If we think about the purpose of a Program Manager, it is to link the strategic management team with the Project Managers through an intentional set of activities and objectives.

PM4NGO's Guide to Program Management in Development (Program DPro Guide) was created to provide Program Managers with advice, tools, and guidance to assist Program Managers in more effectively fulfilling their role, whether that is at a local, regional, or international level. Successful programs are delivered by groups of people, inside and outside an organization, working together toward achieving the same goal. This Guide is not limited in who can benefit from it and it is our intention to reach a wide range of individuals and organizations in the development, humanitarian, or environmental sectors. The objective of this Guide is to outline responsibilities inherent in the role of the person or people responsible for managing programs and their project components. The advice and tools in the Guide are not static and can be adapted and applied to suit a wide range of programs and organizational structures.

It is our hope that experienced Program Managers will find the Program DPro a valuable source of ideas, tools, and frameworks for understanding the work they already do. We want aspiring Program Managers to gain the insight that they need to make informed decisions about whether or not to pursue roles at this level. Country and Regional Directors will find the Guide a useful resource in shaping the types of roles needed in their teams. Recruiters will benefit from insight into the skills and competencies outlined for these roles; and advisory and support teams will find it a helpful guide to working effectively with their Program Manager.

Managing Complexity

Development professionals everywhere work to address the most complex global and local problems, ranging from extreme poverty and armed conflict, to outbreaks of infectious disease and gender-based violence. The root causes of the problems that development and non-governmental organizations (NGOs) seek to overcome often require multiple strategies and interventions to address the complex causes of poverty, violence, disease, social injustice, environmental degradation, and humanitarian disaster.

Working in a dynamic sector requires multi-dimensional solutions to bring about change and an approach that equips country and regional teams to be responsive and capable of delivering excellent programs in a continuously changing environment. To do this successfully, a Program Manager must have a good understanding of the external context and make sound judgments regarding the implementation of programs, projects and activities.

The Program Manager's role is to keep a close eye on local, national and global dynamics, to work closely with senior management, and to offer leadership for Project Managers and their teams. This can involve providing insight into how the outputs of separate interventions can be leveraged to achieve a greater impact for communities, or ensuring that a group of projects are integrated into a single program to achieve economies of scale and secure funds from an institutional donor. While project staff focus on the implementation of activities that contribute directly to agreed outputs and outcomes, the Program Manager must focus on the challenge of coordinating, creating synergies and finding ways to increase the impact of the overall program.

An important difference between program and project management is the ability to manage uncertainties that are inherent in the life of programs. Programs frequently take place over a period of several years. There will always be unforeseen opportunities and potential risks to overcome as changes in social, political, economic, or geographic events impact program deliverables.

Changes in funding priorities, commitments, policies, laws and beneficiary needs can all affect program resources, tactics and objectives. The Program Manager must identify, assess, manage and control risks created by these uncertainties and harness newly available opportunities, while also taking into account potential impacts (positive and negative) for beneficiaries.

Even when highly experienced Project Managers are accountable for large, complex projects, it is important that their work aligns with the goals and overarching strategy of their organization. They need the support and guidance of their manager (often the Program Manager) who provides the overview and leadership needed to enable them to deliver efficient and effective projects. The intention of *Program DPro* is to clarify the differences between the roles of the Program Manager and Project Manager, and in so doing provide the guidance that organizations need to shape the way that they work.

PMD Pro and Program DPro

Project Managers around the world will be familiar with PM4NGOs' Guide to Project Management in Development (PMD Pro Guide). The PMD Pro approach has already achieved widespread success with over 17,000 people achieving certification (PMD Pro 1 and PMD Pro 2) by the end of 2017, and numerous international NGOs applying PMD Pro standards to organizational systems and structures. This new guide for Program Managers (Program DPro Guide) complements the PMD Pro approach, bringing fresh ideas and comprehensive tools and advice for Program Managers to achieve the standards necessary to deliver high quality development, humanitarian and environmental programs.

The PMD Pro introduces the six-phase lifecycle of a project and provides a framework for project managers to create a formal, structured approach to their work. It outlines key principles and disciplines, and provides tools, techniques and terminology for them to develop the skills necessary to

complete a project on time, on budget and within scope. Within five years, it has also resulted in standardized ways of working that are helping to raise standards across the development sector.

Building on the PMD Pro approach, Program DPro integrates the concepts and tools recommended for Program Managers into a framework to improve the management of multiple interrelated projects as part of a coordinated program

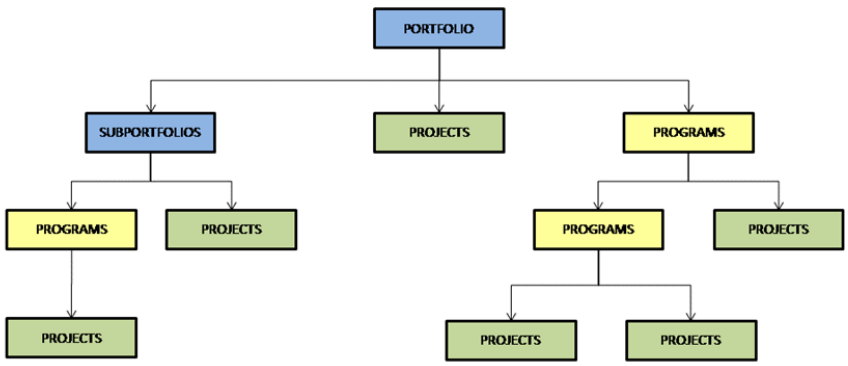
This Guide describes the key distinctions between program management and project management, and provides guidance on the application of program management tools to support the work of leaders and managers in the development sector. It also includes focus on vision and strategy, the integration of leadership skills, maintaining a 'big picture' approach, the importance of integrating learning and change throughout the life of a program, and understanding of the increased complexity of managing multiple outcomes.

Program DPro fits logically alongside PMD Pro as many of the principles, disciplines, and tools remain relevant in the context of managing programs. The difference lies in how the Program Manager makes use of these tools, and the extent to which they are adapted to reflect the higher-level requirements of a more strategic role. While familiarity with PMD Pro is not a prerequisite for learning from Program DPro, it is assumed that anyone using this guide already has a good understanding of project management practices. Therefore, Program DPro does not cover (in detail) the principles and tools outlined in *PMD Pro*, although they are often reiterated in summary to help explain how they are specifically relevant to the program environment.

Projects, Programs, and Portfolio Management

In the development sector the terms 'project', 'program', and 'portfolio' are used frequently but not always with rigor or precision. Sometimes the terms are even used interchangeably. In the absence of a consistent and precise definition for these terms, the roles and responsibilities of the Program Manager as they relate to each of these levels of management can be unclear and subject to misinterpretation. Here, we outline the definitions of the terms project, program and portfolio as they are largely agreed across the management literature.

Figure 1: Projects, Programs, and Portfolios



Project Management

According the Project Management Institute (PMI) and PMD Pro, a project is defined as "*a temporary endeavor undertaken to create a unique product, service, or result.*" Projects deliver integrated outputs (deliverables), which then result in better outcomes (results) for communities and other stakeholders (such as donors). Projects are time-bound and focus on a requirement to deliver specific benefits for communities in ways that are cost-effective and measurable.

Project Management is the discipline of planning, organizing and managing resources to bring about the successful delivery of specific project goals, outcomes and outputs. The primary challenge of project management is to achieve each of these, while managing project constraints related to scope, budget, schedule and quality. Projects may operate with varying levels of control and governance, with high-level Project Managers often having responsibility for managing sizeable budgets.

Program Management

Programs are groups of related projects and activities (sometimes referred to as 'component parts of a program') that are managed in a coordinated way to achieve an impact that is greater than if they were managed individually. In other words, the whole (the benefit of the program) is greater than the sum of its parts (the projects, activities and tasks). Development organizations often organize projects into programs to deliver outcomes that address a broad range of needs and achieve exponential benefits for the communities in which they work.

Most programs are managed at a country level under the supervision of a Program Manager and the leadership of a Country Director, Head of Programs or similar role (aka Program Owner). Some programs are devised to deliver global goals and these are more likely to managed at a regional or headquarter level. Not all development organizations have clearly defined hierarchies, opting instead for a flatter structure with shared responsibilities, in which case program management responsibilities are defined and shared as a team.

Programs, unlike projects, are generally implemented through a centralized management system in which groups of projects are coordinated to achieve a program's overall strategic objectives and benefits. This approach is particularly important in the development sector because it enables NGOs to achieve economies of scale and realize incremental change that would not be possible if projects were managed separately.

ProgramManagement Example 1

- An organization constructs a health facility as one project within a broader program of complimentary activities. This includes training for health workers, outreach work with local communities, and improving the water and sanitation infrastructure around the new building. By bringing these projects together under the umbrella of one comprehensive program, the organization can achieve the individual benefits of each project, as well as the collective benefit of a more functional and efficient local health service for the entire community.

Program Management Example 2

- An NGO has managed food security projects in rural areas for several years. These projects are delivering tangible benefits for communities but they do not go far enough in addressing the root causes of rural poverty, and especially the issue of cheap food imports being dumped on local markets by Europe and the USA. As a result, the NGO decides to develop a program. It will continue to implement food security projects (after all, these are helping) but they will also use this work as a focus for research on the impact of food dumping. The next stage could be to develop an advocacy project to lobby the government to modify its policies on food imports, as well as a project designed to enhance the advocacy and campaigning potential of local partners who can then take up a leadership role in this regard.

Portfolio Management

In most organizations, there will always be competition for limited resources. The portfolio management process helps to harmonize programs and projects so that they are aligned and can best meet overall strategies and goals. This involves prioritizing and balancing opportunities and risks against the supply and demand of resources in order to meet the overall objectives of an organization. Because of their complexity and strategic focus, portfolios are typically managed by a Country Director, or at a regional or global level by a high level executive team.

While not the responsibility of Program Managers, it is still important to be aware of issues related to portfolio management. Given competition for limited resources, Program Managers and their teams should be able to articulate how their programs and projects:

- Contribute to the achievement of the organization's vision
- Support the strategy of their organization
- Contribute value to the organization's programs and/or portfolio

Portfolio management oversees the performance of multiple projects and programs. It is not concerned with day-to-day project tasks but focuses instead on selecting, initiating and managing an overview of all efforts in a way that addresses the strategic objectives of an organization. Portfolio management involves making high-level decisions about whether to stop or re-direct a project or program so as to optimize the strategic fit of the efforts being undertaken to fulfill an organization's mission.

Table 1: Projects, Programs, and Portfolios

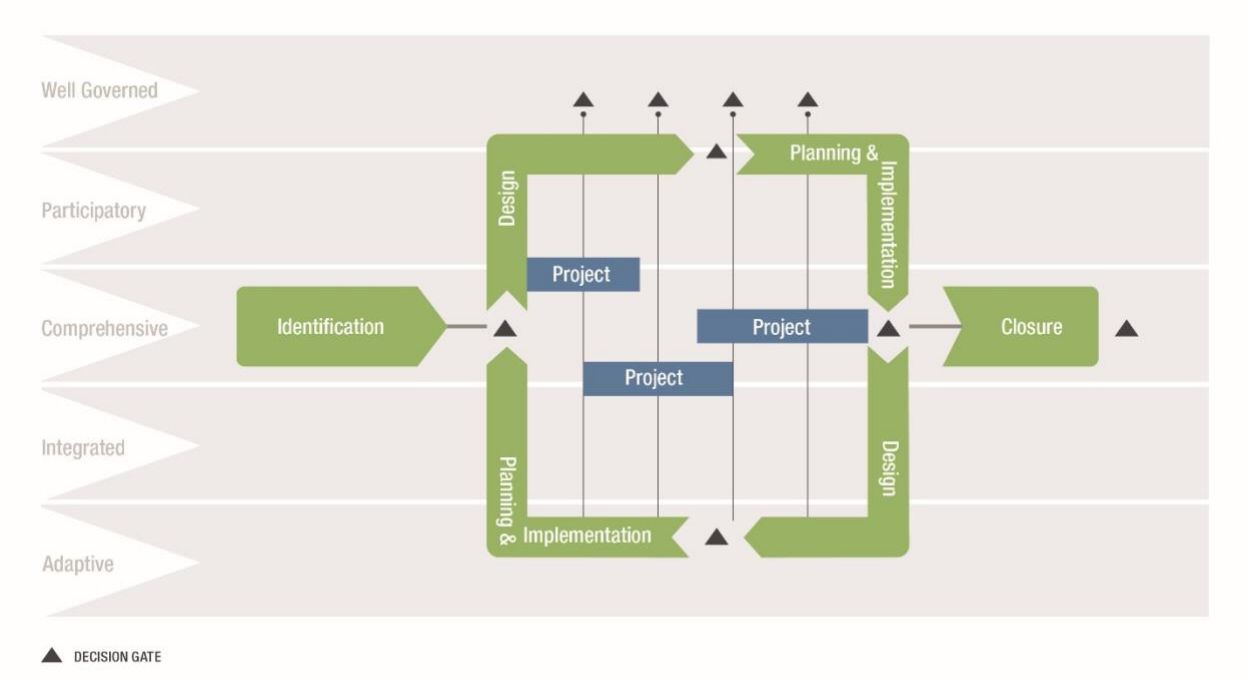
Portfolio	Program	Project
The Portfolio Manager is a high-level leader who is accountable for the totality (or part) of an organization's investment in the changes required to achieve its strategic aims and objectives. Characteristics: • Establishes long-term vision for entire organization • Provides overview and organizational insight • Sets policies, standards, priorities and plans • Understands cross-organizational issues • Manages high-level strategic risk • Takes tough decisions • Well-rounded knowledge of context (internal and external) • Ability to oversee a mix of programs, projects and other activities	The Program Manager coordinates, directs and oversees the implementation of a set of related projects and activities (usually over several years) in order to deliver outcomes related to an organization's strategic objectives. Characteristics: • Establishes and clarifies strategy and vision within program boundaries • Engages with stakeholders at all levels (internal and external) • Directs and oversees the implementation of project activities • Manages strategic and operational risk • Understands and resolves inter-project issues • Focuses on quality and outcomes • Ensures the delivery of measurable benefit and impact	The Project Manager is responsible for coordinating temporary structures that have been created for the purpose of delivering one or more outputs. Characteristics: • Manages and coordinates • Delivers outputs • Time, cost, and scope • Focuses on fit-for-purpose outputs that meet requirements and enable benefits realization • Business case is budget based • Focuses on project risks • Manages issues related to deliverables • Plans for the successful execution of deliverables and activities

How the Guide is Organized

The Program DPro Guide is organized into two clear sections. The first identifies four critical phases of program management throughout its lifecycle: ***1) Identification, 2) Design, 3) Planning and Implementation, and 4) Closure.*** These are explained below. The second identifies five essential principles that are common to all phases of the program lifecycle: ***Well-governed, Participatory, Comprehensive, Integrated, and Adaptive.***

These two elements – the phases and principles – are visually represented in the Program Lifecycle Model below. It is a helpful tool to understand the essential content covered in this Guide.

Figure 2: Program Management Cycle



Let us take a closer look. The **Identification** and **Closure** phases are shown as clear starting and ending phases that are connected to, but sit outside, the central square. Located within the square are the two critical program phases of **Design and Planning** and **Implementation** that are represented as a continuous and iterative process.

On the left-hand side of the diagram you will see the **five essential principles**. These are represented on the left-hand side because the principles form a firm foundation for the management of the program enabling high quality management and decision-making throughout its entire lifecycle.

Note: *This model departs from the six-phase approach to project management in the PMD Pro. This is because it more accurately represents the strategic responsibilities of the Program Manager.*

You also may notice the small triangles that are present between each of the phases. These *are **Decision Gates***, which represent the iterative nature of the program lifecycle and are built into management plans so that a program, and its component projects, can be adapted and changed to suit a dynamic environment. These Decision Gates are essential for learning and proactive change as they serve to enable the control and performance assessment of individual projects at each stage in a program's lifecycle, and the means by which corrective actions to projects and the overall program can be taken.

The component projects related to the program are represented within the square. You may notice that each project is set at a different level in the diagram. This illustrates that there may be a number of diverse projects that could be included within a program. Each project outcome, deliverable and timeline sits within the overall program square – representing the dynamic nature of these two critical program phases.

Because the Program Manager is bound by a timeline, she or he must modify, adjust, adapt, and make important decisions to ensure that all of the program components – projects and activities – are aligned with the overall program vision and plan and orientated towards achieving successful Closure. The process of modification and adjustment in the **Design and Planning** and **Implementation** phases reflects a wider organization requirement to embed high quality monitoring and evaluation processes. Commonly referred to as MEL (Monitoring, Evaluation and Learning), or MEAL (including the crucial process of Accountability), this approach also impacts on all phases of the program lifecycle. It is the Program Manager's job to ensure that iterative review processes are built in to all projects and programs so that teams can monitor output standards and gather feedback about performance.

Working in this way is essential for highlighting potential problems and making course corrections. If done regularly throughout the lifecycle of a program, this approach will provide the insight needed to deliver high quality evaluations that inform future programs and meet the requirements of donors. This is why the tools and disciplines of monitoring and evaluation have been included as an essential part of each of the principals of program management, rather than as a separate annex or additional phase.

The best approach is to work through the Guide chapter-by-chapter – firstly exploring the advice, tools, and guidance in the **Phases**, and then moving onto the overarching **Principles** that set standards and important competencies required in a high performing Program Manager. Once you have done this, you can put what you have learned into practice by trying new approaches and making use of some of the valuable tools-whether you are at the start or mid-way through a program.

The guide concludes with a Summary that provides a 'minimum standards' checklist for easy reference as well as advice on how to build an action plan, and further reading and resources. A Glossary and Appendices can be found at the back of the Guide containing information to supplement its core content.

Program Phases

Identification

This phase is crucial in developing ideas and identifying the needs, gaps, and opportunities for targeted communities. This process is done collaboratively with key stakeholders in order to identify high-level goals and outcomes that can be turned into tangible concepts. Obtaining funding and "buy in" from stakeholders will be sought for the concepts developed in this phase.

Design

After the program concept is identified, it's time to set the foundations of the program by showing how each of its diverse elements will fit together. This is sometimes called a roadmap or a blueprint. It is the framework through which Program Managers can control, monitor, and execute all of the components associated with implementation. Once the program is underway, its design is regularly reviewed and adapted as part of the learning and improvement process (see Fig, 3).

Planning and Implementation

Assuming that the program is funded and the Identification and Design phases are complete, it is now time to start developing plans and scheduling activities. These will continue to be modified and adjusted throughout the life of the program. Program Managers invest time in managing and leading different teams, engaging key stakeholders, responding to the challenges and risks (known and unknown) of multiple projects, and overseeing internal controls.

Closure

Programs should always come to a natural end, closing when each of their constituent projects are completed, with their benefits realized and accepted by all stakeholders. This should also involve a transition period through which an NGO transfers responsibility and accountability for sustaining the program outcomes and benefits to another agency or means.

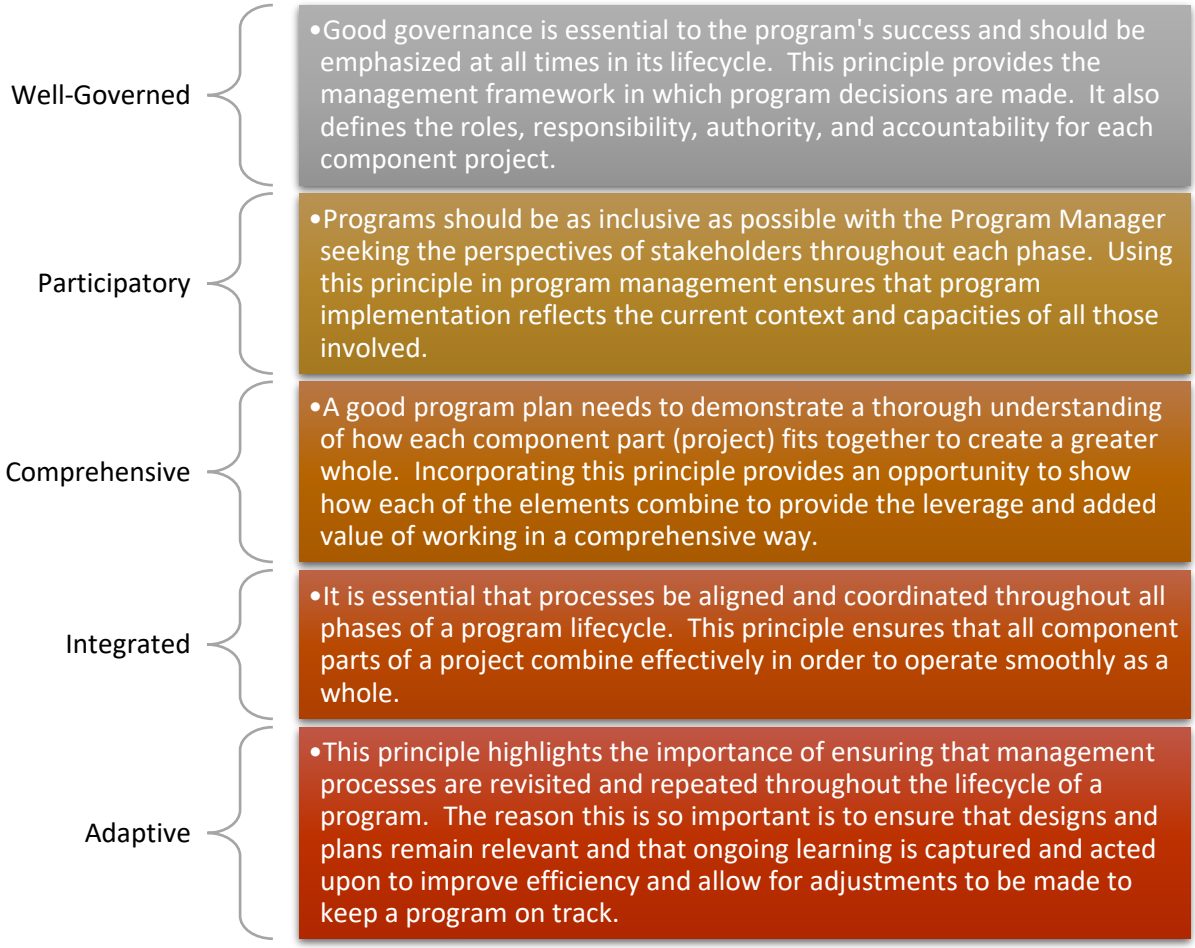
As you work through each of the next four modules, keep in mind that each phase follows the same structure.

Table 2: Program Module Contents

Introduction	An overview of what each phase means and how it relates to the program lifecycle (Fig 2).
Key Output	This the primary deliverable – written paper, summary, or proposal – that is required to complete each phase. All of the tools and processes that are worked through during each phase will contribute to the final output that in turn, will often help answer the question posed at each Decision Gate. For example: the output of the Program Identification phase is a Concept Document (or proposal) for a potential program. This is shared with key stakeholders, with their feedback informing a decision on whether to develop the design further or to stop.
Decision Gate	These are essential checkpoints in the program cycle in which team members pause, reflect, learn, and modify the course of a program if needed. The Guide presents Decision Gates in the form of a question that can be asked formally or informally. For example: at the end of the Program Identification phase, the Program Manager should ask "*Are we ready to design?*" This prompts the team to check that all of the activities in this phase have been completed in order to move onto the next phase: Design.
Who to involve	Different stakeholders are involved at different points in the lifecycle of a program. This section prompts the Program Manager to think about which stakeholder to involve and when to ensure that the process is consultative and participatory.
What it means in practice	At the start of each phase, the Program Manager will have a range of inputs that provide insight into discussions and decisions that need to be taken as their program progresses. This section recommends inputs, tools, and processes that enable the program team to gather the information needed to complete each phase. This information is then used to inform future phases.

Program Principles

There are five essential principles that cut across the program phases. The purpose of these principles is to provide guidelines, or standards, on the way in which programs are managed. Though the phases are described individually, they are inter-related and the Program Manager and program team should aim to apply these principles consistently throughout the entire lifecycle of the program.



Program Essentials

Along with the phases and disciplines, we have incorporated several Program Essentials that will be fundamental to the Program's success. These essentials include:

Plan, Do, Review: This process is a way of working that enables the Program Manager and the team to be flexible and adaptive in the approach.

Monitoring, Evaluation, and Learning: Achieving goals and being accountable are essential program management concepts. The MEAL process enables Program Managers to refine approaches and be accountable to multiple stakeholders in achieving their program goals.

Theory of Change (ToC): This concept is increasingly being used in the NGO sector and is a tool that outlines the strategic intent of an organization by illustrating how an organization's desired change will take place (or flow) from projects and activities, all the way up to the portfolio level of the organization. In essence, a ToC describes how an organization will realize the change it would like to see in the world.

Six Disciplines: These disciplines are central to the role of the Program Manager. Together, they provide a framework for, and understanding of, the higher-level skills and competencies that a Program Manager will need to be successful.

Plan, Do, Review

When a program is underway and teams are focused on the implementation of activities, it's easy to lose track of the big picture. The Program Manager needs to set aside time with their team(s) to step back and view progress objectively. This process involves checking operational activities against project and program plans, reporting on progress, and making sure that all outputs continue to align with the overall vision and plan.

This iterative approach is often referred to as 'Plan, Do, Review' or 'rolling wave' planning – and enables program teams to tailor and deliver work that is responsive to a dynamic environment. Plans should always be considered as 'live' documents that are tailored and adapted to maximize cost-effectiveness and impact.

This way of working is invaluable for identifying potential problems. If done regularly throughout the lifecycle of a program, it enables teams to make course corrections, avoid hazards, and minimize the risk of a program not achieving its overall objectives. It also provides the documentation and analysis needed for the teams to make confident decisions at each important milestone or 'Decision Gate'.

Figure 3: Plan, Do, Review Cycle

The **Plan, Do, Review** cycle is a means by which the Program Manager and team ensure that decision-making is based on evidence and continuous program learning. This iterative process is supported by ongoing monitoring and evaluation within the program.

Monitoring, Evaluation, Accountability, and Learning

Taking time to regularly monitor, evaluate, be accountable, and learn is an approach that needs to be applied across all phases of program management. It is a skill that Program Managers must develop to refine their programs and ensure that all components are integrated and orientated towards achieving their goal. Without robust MEAL processes, an organization will not be able to account to multiple stakeholders for the overall impact of their program.

- **Program Monitoring:** The purpose of program monitoring is to check the progress of a program and its component projects against changes in the context and circumstances of their implementation. This approach is set in a context of a program's overall goals and timelines. It provides the Program Manager with a snapshot of progress against time, quality, financial, and other considerations and serves as a barometer of whether a carefully constructed plan is unfolding as anticipated.
- **Program Evaluation:** Evaluation is concerned primarily with measuring outcomes and impact. Program evaluations explore the extent to which a program has achieved its outcomes and objectives. Evaluations at a program level tend to be large and complex, often requiring input from technical specialists or outside consultants. A mid-term evaluation can be extremely helpful to validate the program approach and to establish priorities for the second half of a program.

Monitoring, Evaluation, Accountability and Learning (MEAL)

Monitoring – These processes should be ongoing with systems put in place to enable teams to assess progress, learn from mistakes, and adapt approaches as necessary.

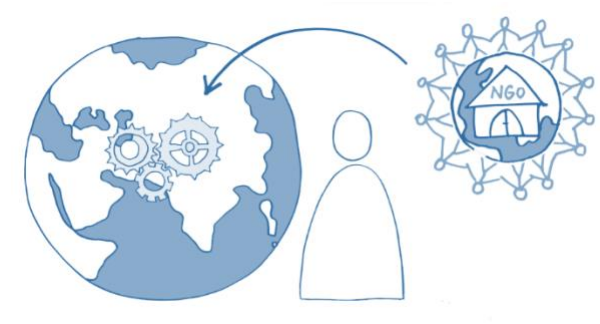
Evaluation – Evaluations can take place mid-way through a program, after it has closed, or at a specific point after the program has completed. The '*Plan, Do, Review'* cycle *(Fig 3)* provides documentation and valuable insight for program evaluations. They are often delivered by an external party, or commissioned by a donor. Being able to gather ongoing information about progress against objectives allows for professional and timely communication with donors, especially if plans need to change and additional resources are sought.

Accountability – There should be policies and mechanisms in place that provide a "culture" of accountability between stakeholders. Think about it as upward and downward accountability. You need to be upwardly accountable to program governance, HQ, donors, etc. You also need to ensure that there is downward accountability to beneficiaries and project staff.

Learning – No one has all the answers and the best solutions are often found in breakthrough discussions with others. The ability to seek advice, listen, learn, and adapt is a critical program management skill. Documenting learning identified during regularly scheduled Decision Gates, team meetings, and informal discussions in a Learning Log is the best way to capture insight and actions as programs are implemented. And once a program has closed, lessons should be shared with others to influence future programing.

Theory of Change

The Guide will make frequent reference to Theory of Change (ToC). This term describes the overall strategic intent of an organization and defines the building blocks that are needed to bring about its desire for planned social change. ToC defines the big picture and long-term goals under which all of an organization's programs and projects are aligned. Each organization should have its own ToC, describing its unique process for planned social change, from assumptions that guide a program's design to the long-term goals it seeks to achieve.



A growing number of organizations are defining their aims and objectives in this way, even if they don't specifically refer to it as a ToC. The building blocks needed to deliver a ToC are interchangeably referred to as outcomes, results, accomplishments, or pre-conditions, and depicted on a diagram known as a 'pathway of change' or 'change framework', which is a graphic representation of the change process.

A Program Manager needs to look upwards, outwards, and across an organization to develop programs that add the value and benefit needed to bring about strategic ambitions. This requires developing pathways (or objectives) that flow from an organization's ToC, integrating projects to achieve greater results and scale-up of work in a particular area. These pathways demonstrate what needs to happen in a program in order for organizational goals to be achieved.

If an organization has a ToC, the Program Manager or whoever is assigned to lead the Design phase, should adapt it to make it specific and relevant for the outcomes and the goals of the program. If no ToC exists, it is advisable to develop one for a program that clearly demonstrates the link to its organization's strategic intent. It should also include the logical and causal relationships between multiple program components, also indicating how these contribute to achieving the program goal.

Optimally, this is best achieved during the Design phase because it is at this point that the design team builds a picture of a program's intended outcomes and identifies the measures that will be put in place to achieve expected results. These include the program's logical model or framework, monitoring and evaluation processes, required resources, assessment criteria, and governance structure.

It is important to differentiate between an organization's ToC and its Logic Model, as the two terms are often used interchangeable but serve very different purposes.

- **A Theory of Change:** takes a high-level and wide view of a desired change, carefully probing the assumptions behind each step, in what may be a long and complex process. Articulating a ToC often entails thinking through all of the steps that need to be taken along a path towards achieving desired change by identifying the preconditions that will enable (and possibly inhibit) each step, listing the activities that will produce those conditions, and explaining why those activities are likely to work. It is often, but not always, presented as a flow chart.
- **A Logic Model:** takes a more narrow and practical look at the relationship between inputs and results in a program. It is often presented as a table listing the steps taken - from inputs or

resources through to the achievement of a desired program goal. Some grant makers use separate logic models to chart the implementation of each of the components of a ToC.

A Theory of Change is both a Framework and a Process:

- **It is a Framework:** A ToC enables organizations to visualize how to focus their energy on achieving their overall outcomes, goals, and vision. This to allows you to build a clearer picture of future program realities based on realistic analysis of the current context, accurate self-assessment of capability, and a critical and explicit review of assumptions.
- **It is a Process:** It allows organizations to identify milestones and conditions that must occur if a program is to achieve its pathway to change. It also enables the program team to develop the flexible logic needed to analyze and respond to complex social change, and to critically monitor their individual and collective way of thinking and acting.

A Theory of Change is not:

- An absolute truth about how change will or must happen.
- A definitive approach intended to eliminate the uncertainty that will always exist in complex and emerging social processes.
- A substitute for a logical framework as a rigid planning tool.

Organizations don't always have to start a new program to deliver the program pathways required by its ToC. It is sometime more appropriate to focus on developing and improving existing programs so that they can better achieve an organization's strategic intent. The Program Manager should explore different options with internal and external stakeholders, a process that also reinforces the case for a developing a new program in its Program Charter.

Disciplines of Program Management

The disciplines of Program Management are essential skills can all be developed and practiced. The most important element is to be able to combine them in a strategic context. They are not included as a separate section in the Guide but rather are embedded as essential competencies within each phase and covered in greater detail within the sections detailing the Comprehensive and Integrated principles of program management. The six disciplines are:

Justification

Throughout each program phase, it is important step back and assess whether approaches are still relevant and justifiable. There may be contextual changes that require activities to be delayed, delivered in a different way, or stopped altogether. A funding stream may need to be re-allocated, resulting in a delay to your program. The context within which a program operates may change, for example as a result of a drought or heightened conflict, requiring all program activities to stop immediately.

In addition to ensuring that a program remains relevant, it is the job of the Program Manager to maintain a high level of support from internal (e.g. senior leaders within an organization, support teams such as finance and logistics) and external (e.g. donors, government officials, local community members) stakeholders. This requires a well-designed and executed communication and engagement plan.

Time

Figure 4: Triple Constraint Triangle

A program must be delivered to scope, on time, and on budget. If each of these is delivered successfully, a program can be regarded as closed. Taken together, the relationship between these three ingredients is often referred to as the 'Project Management Triangle', or 'Triple Constraint'. 'Time' refers to the actual length of time that is needed to produce a deliverable, and from a program perspective, this often means multiple deliverables related to each of its project components within its scope. The amount of resources needed to deliver each of the program and project activities is, of course, the program cost.

REALITY CHECK: Triple Constraint Triangle

The '*Triple Constraint Triangle*' is a visual expression of how each of these disciplines inter-connect - the relationship between program scope, time and cost determining how a program is implemented.

If the cost of a program increases, then the scope of activities and/or timeline will also need to adjust in response. It will then be important to justify why program parameters are changing, to assess the risk of doing so, and to then make sure all key stakeholders are informed. And last but not least, it is essential to regularly apply strong, monitoring, evaluation and learning processes, to ensure that all of these disciplines are applied and used to maintain program focus.

Scope

It is important to understand and describe all of the work, activities, and resources needed to achieve the overall goals and aims of a program. At a project level, this information is captured in Project Implementation Plans that are regularly updated (and draw on data gathered through the use of tools such as the Work Breakdown Structure, Network Diagram and Gantt Chart). The Program Manager may

need to consider a number of Project Implementation Plans in order to develop a comprehensive Program Implementation Plan, which provides a live overview of all aspects of the program.

Financial

The Program Manager doesn't need to be an accountant but does need to understand and formulate budgets, forecast financial needs, and complete spreadsheets that can be rolled up or down for different purposes and audiences. Larger international organizations will have finance departments to advise, provide templates, and deliver accounting activities, but in smaller organizations more responsibility may fall to the Program Manager. The difference in the skills level between a Project and a Program Manager lies in the ability to analyze and interpret different data sources that relate to the complexity and overview of multiple program activities, and projects.

Risk

Being able to manage and control risks that could impact program deliverables involves a mix of being able to interpret complex data arising from a wide range of activities, to identify risks, to put a risk plan in place, to judge when a risk has become an issue, and to take appropriate action when required. Program Managers work alongside their teams, regularly assessing progress and ensuring that reporting mechanisms are in place to capture potential issues, ensuring that staff regularly complete Risk Registers and Issue Logs, and that these are acted upon and resolved.

Stakeholder

All programs will involve a wide range of stakeholders, including program and project team members; support staff (in Finance, HR or Communications Departments); internal and external advisors and specialist teams; partners and civil society organizations; rights holders and beneficiaries; and allies and consortiums, especially when delivering programs with global impact.

The program team will identify stakeholders critical to the program during the Identification phase and determine how they will be involved over the lifecycle of a program. RACI diagrams are the most commonly used tool for identifying the roles and responsibilities of different stakeholders – determining who are Responsible, Accountable, Consulted, and Informed during each of the program phases. In the context of a dynamic environment, stakeholders may change over the lifecycle of a program and the most critical part of stakeholder management is to ensure that expectations are managed and lines of communication conducted in an open and transparent way.

Your Case Study: The Delta River

As you work through each of the program Phases and Principles, this case study is will help you to engage with and apply the recommended tools and processes both in the context of the Delta River Municipality and your day-to-day reality.

This Guide builds on the fictional *PMD Pro* case study of a project to build latrines with communities in Delta River. This project is only one component of the wider Delta River Municipality program. In reality, the program is implementing a number of projects to reduce the impact of water-borne disease in the area.

An analysis of the living standards of the poorest families in the Delta River Municipality revealed worrying results. The social support systems that families rely on for the care and education of their

children had substantially weakened. The local health center was struggling to cope with an increase in the number of patients requiring care. The expendable income of families in the municipality had also decreased substantially.

All of these factors could be traced back to a high incidence of water-borne disease among poor families and children under five years old. A number of contributing factors were also identified:

- **Deteriorating river water quality** – samples showed that it was contaminated by high levels of fecal waste and the dumping of household and business refuse.
- The **health of families** in the area had deteriorated because their small health clinic was over stretched. Other reasons for this included a lack of local education about how to prevent the spread of water-borne disease and reluctance in communities to go and seek help.

The program was established in the municipality to ensure that all of its component projects were focused on achieving the same goal - to reduce the impact of water-borne disease in Delta River. The Program Manger has an overview of all activities and looks out for areas where additional impact can be achieved by joining up and creating complementary activities.

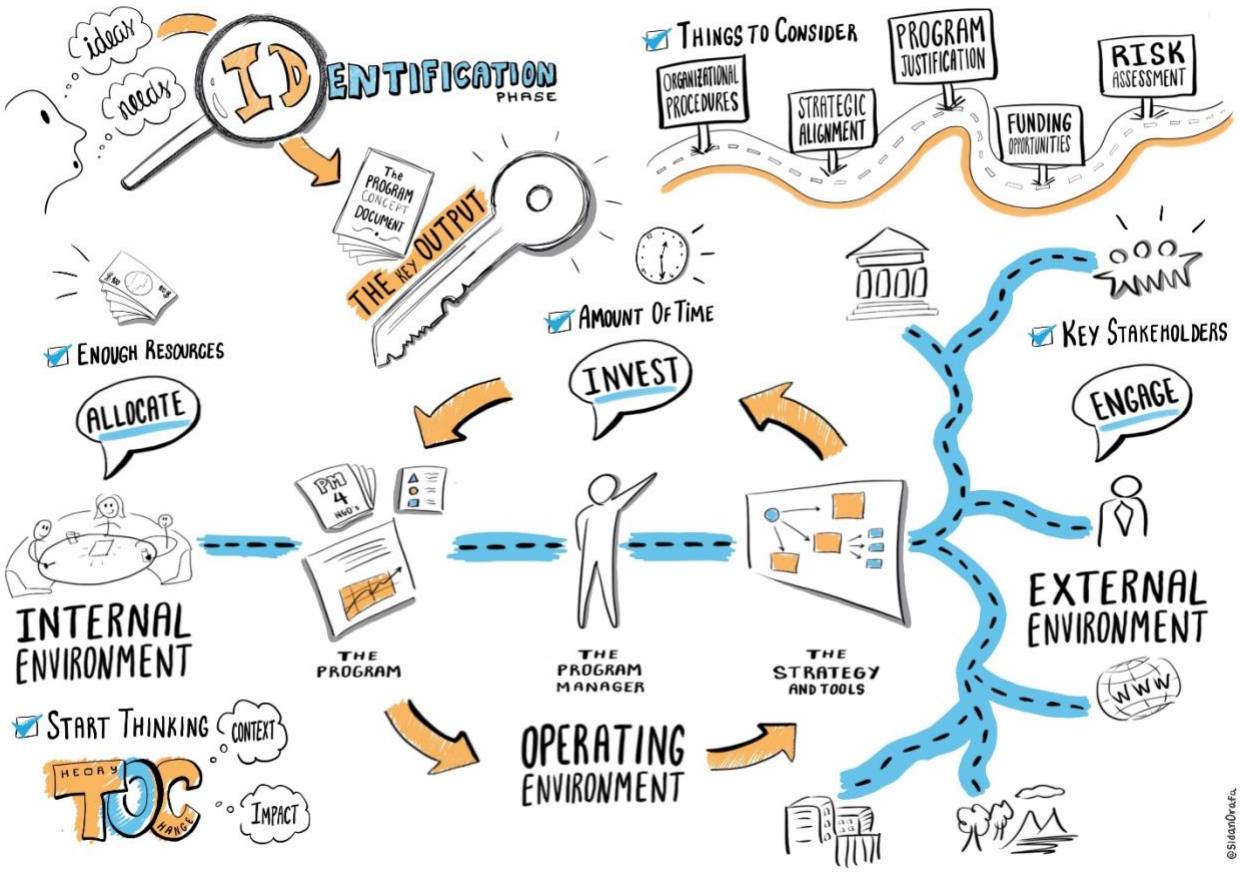
It's time to learn

We have set the context and fundamentals of the Program DPro approach to program management and are ready to dig into the Guide. Remember to work through each module systematically to build your understanding of each of the **Phases**, **Principles** and **Essentials**.

Remember, all programs should be set up to adapt to a changing context. The implementation of regular **Plan, Do, Review** cycles and formal **Decision Gates** during the Design and Planning and Implementation phases is the means by which the quality of your program can be checked and monitored - allowing you to learn and improve the quality of your work.

It is the ongoing process of clarifying and adapting that will ultimately result in the success of your program, and the achievement of your organization's Theory of Change.

Welcome to Phase 1: Program Identification



"Every improvement or innovation begins with an idea. But an idea is only a possibility - a small beginning that must be nurtured, developed, engineered, tinkered with, championed, tested, implemented, and checked. Ideas have no value until they are implemented."

-Adam Robinson

Introduction

Programs, like projects, begin as an idea or need, which evolve into more tangible concepts or reality as it moves through the first phase of the program lifecycle. As we begin to dig further into the Identification Phase of program management, it is important to understand the similarities and differences between projects and programs. Let's take a look:

Similarities

- Both projects and programs begin with an idea that is assessed and analyzed.
- Both projects and programs develop these ideas through a set of tools within a project or program lifecycle.

Differences

- Program management requires a higher level of strategic thinking and consultation than project management.
- Programs have an essential focus on determining which activities and projects will be needed to implement the program successfully.

In an ideal situation, a Program Manager will be appointed before or during the Identification phase. During this phase, the Program Manager, Owner, and Board will engage with a variety of internal and external stakeholders to start formulating the foundations of the program. It is at this point where several key questions must be asked:

- Is the proposed program in line with an organization's strategy and vision?
- Will this program fulfill a need?
- Is there sufficient time and resource to invest in developing a program at this time?
- Will the formulation of a program enable an organization to achieve outputs that are "greater than the sum of their parts"?

This is also the time to start to consider the intended program's Theory of Change (ToC). Development, humanitarian, and environmental programs tend to be large and complex, which is why it is essential to begin to think about its ToC components.

A program will likely consist of multiple projects, activities, stakeholder interests, risks, and challenges that need to be managed and balanced in a way that addresses the wide-ranging needs of communities (and sometimes countries), yet at the same time moves toward achieving the overall goals of an organization.

The ToC will be further developed and solidified during the Design Phase but beginning the process of thinking about a program's ToC early on, will help you to create the necessary linkages later.

Theory of Change

A Theory of Change (ToC) is a detailed map of the work ahead that provides a path (or paths) for organizations and programs. This path will include a variety of components that will assist the Program Manager and other stakeholders in linking program activities to overall objectives.

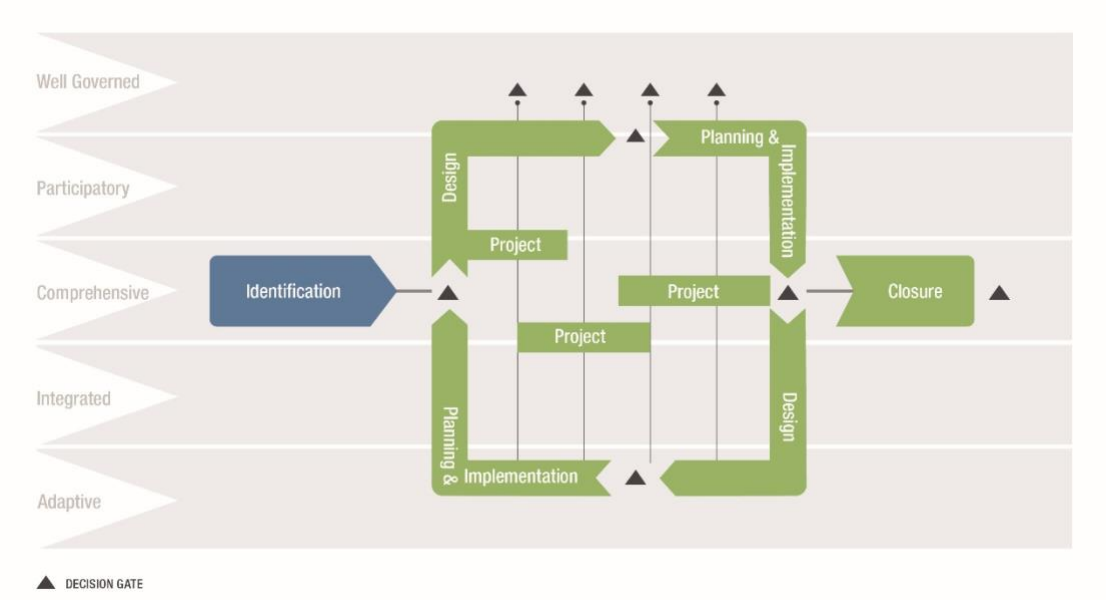
Developing a ToC can seem complicated and intimidating, but once you understand the components and logic, you will be able to construct your own ToC.

See the ToC Reference Guide for more details on the ToC.

What can be done to increase the likelihood of success in this phase?

1. **Invest:** Make sure that you set aside sufficient time for the Program Identification phase. It may take several weeks. The amount of time that you invest here will pay off in later program phases. You will need to communicate with a variety of stakeholders, analyze both internal and external contexts, and start to determine potential risks and challenges – all of which (you guessed it!) – takes time.
2. **Allocate:**– Ensure that you have sufficient resources - monetary and personnel – to invest in the program identification phase. It is critical for building your understanding of the external and internal context within which a program will operate, and for deepening your knowledge about primary user needs (beneficiary requirements), as well as the risks and challenges that a program may encounter.
3. **Engage:** It is important to identify and engage with key stakeholders early on - to seek advice and determine who should be involved in the future governance of the program. Remember, the governance structure authorizes and champions program activities, so engaging with potential program governance members will be advantageous.

Key Ouput: The Program Concept Document



The Program Concept Document

The Program Concept document will describe the changes that a program will achieve, based on its objectives and overall context. This document is usually put together quickly and distributed to key internal and external stakeholders for the purpose of refining and testing the initial ideas.

REALITY CHECK: Refining and Testing

Identification processes will vary by organization. There will be different approval policies and structures in place to support the evolution of ideas into a tangible concept. Once the concept has been agreed on and authorized, the Concept Document can then be used to achieve support and backing from others.

Decision Gates

How do we know when we are ready to move to the Design Phase? Decision Gates are checkpoints within the Program Lifecycle that assist the program team in determining whether or not to move forward. The information in your Program Concept Document will help you to determine whether you should spend additional resources, like time and money, to take the program to the next level of design.

What does it involve?

A Decision Gate in the Identification phase can take several forms, depending on the existing governance structure of an organization, for example:

- A group or individual may be responsible for guiding and assisting the Program Manager in making such "go or no-go" decisions. This could be a program review committee or senior leadership team that meets regularly to provide formal advice, review or give support to major decisions.
- The Program Manager could then use the committee to discuss and justify the relevance of a program and, if successful, result in support for a decision to take the program concept to the next stage. This could be a verbal agreement at one of the meetings, or a more formal agreement, signing off on a budget to be allocated to fully develop the program.

What do we need to consider?

Remember that we are in the first phase of program development and there will be a lot of factors to consider when identifying your program structure and purpose. Let's explore this more and take a look at some of the factors for consideration:

Organizational Procedures	Strategic Alignment	Program Justification	Funding Opportunities	Risk Assessment

Organizational Procedures: Every organization will have specific procedures for decision-making and the approval of programs. When identifying your program, be sure that this information is readily available and that your team is aware of these processes. Some questions to ask are:

- How do you achieve support for your Concept Document?
- How far in advance do you need to share the Concept Document with stakeholders so they have enough time to sign off?
- Do you need to attend and present at a decision-making meeting (face-to -face or remotely)?

Strategic Alignment: A program can only move forward if it aligns with an organization's overall strategic plan. Does your program fit with your organization's overall strategy? You may want to

consider referencing your organization's strategic goals or Theory of Change in your Concept Document so that stakeholders can see how your program aligns with its overall organizational strategy.

Program Justification: During this phase, and throughout a program's lifecycle, it is important to be able to demonstrate that a program is, and continues to be relevant – and justifiable.

- **Concept Document Scope** – Do you need to refine your document to address specific issues or concerns of influential stakeholders?
- **Duplication and Competition** – Part of ensuring the program is relevant is to verify that it complements both internal and external efforts.

Funding Opportunities: The development of a comprehensive program is reliant on the amount of funding that is available. Funding opportunities must be considered as a program is being identified, alongside any specific donor criteria and requirements.

Risk Assessment: Has a risk assessment been started? It is a good idea to consult with internal and external program stakeholders to begin the risk assessment process.

Who is involved in this phase?

In an ideal situation, the Program Manager is involved from the earliest stages of program development and takes part in strategic decision-making during the Identification phase. This means that the Program Manager is involved in determining which projects and activities can be combined together to produce added benefit for the program. However, in some cases organizations prefer to recruit program managers after a program has been approved. In this case, consultants or experts from the organization's headquarters take the lead in the Identification Phase.

Keep in Mind…

When you are conducting your internal, external, and environmental operating analyses, it will be beneficial to examine the organization's assets and try to build upon them.

Regardless of who is responsible, the Identification Phase must produce a comprehensive analysis of both the internal and external environment, including a program's operating environment. Part of this analysis should include the identification of stakeholders.

Why are stakeholders so important?

Effective stakeholder management and engagement is crucial to the success of any project or program. One of the primary purposes of developing a program is to be able to link projects and activities based on shared interests in a broad operating environment. Identifying who needs to be involved (and when) in the Identification phase is the responsibility of the Program Manager. When selecting which stakeholders to involve there will be a variety of factors to take into consideration:

Duplication of Effort	You will want to ensure that your program's component projects are not duplicating their activities and efforts. It could be that similar projects are active within the same geographic area, with the same beneficiaries, or covering the same area of work.

Partnerships and Alliances	It may be essential for an organization to form partnerships and alliances with other NGOs and civil society organizations to achieve better results.
Timelines	In humanitarian aid and emergency relief situations programs will need to be implemented quickly and it may be necessary to consider a shorter timeline for the Identification Phase.

The Program Manager needs to have a comprehensive overview and perspective to be able to build the foundation for a strong, well integrated, and cohesive program. In most cases, stakeholder involvement in the Identification Phase should include at a minimum the:

- Organization Leadership Team
- Program Team
- Consortium Representatives/Partners (if appropriate)

The Program Manager should also consider that valuable knowledge and lessons could be obtained from stakeholders with previous experience of developing programs, or who have worked on similar programs in the past, and with other organizations.

REALITY CHECK: Program Manager and the Identification Phase

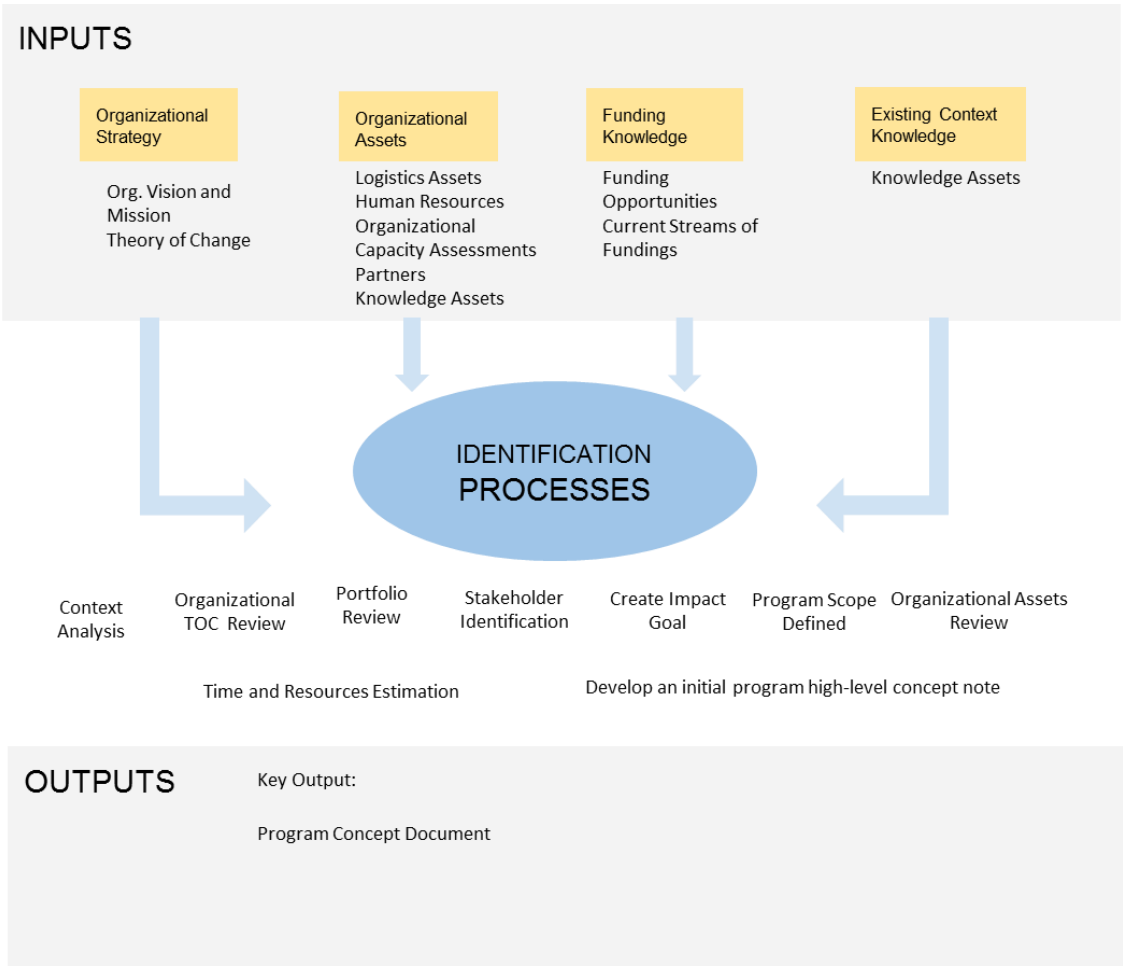
It may be that you are recruited as a Program Manager after the Identification Phase has taken place. If this is the case, it is essential that you to take time to understand the justification for your program and its alignment with your organization's strategy and ToC. Review all documentation, talk to relevant stakeholders, and assess any gaps that might indicate that shortcuts were taken during the Identification phase.

What does this mean in practice?

The Program Identification Process Diagram illustrates how to link the inputs, processes, and outputs needed for the Identification phase. To build the knowledge that you need to complete this (and other) phases, it is helpful to work through these three steps:

Inputs enable processes that produce outputs

Figure 5: Identification Phase Process



Inputs

Several key inputs are important for the program identification process. We have touched on some of them already in this phase, summarized here for clarification:

Organizational Strategy	To position the program in the best way possible, the Program Manager needs to have a high level of institutional knowledge. All activities, projects, and programs should also contribute to their organization's ToC.
Organizational Assets	Existing assets – whether they are related to infrastructure, staff or key partners – should be considered during program identification, and may add value when it comes to program design. One form of organizational asset that often gets overlooked is historical experience. Ask the question: *"What have we done that's similar in the past?"* Evaluation reports often contain valuable perspectives and lessons that will enable the program team to learn from mistakes and build on past successes.

Funding Knowledge	Funding opportunities and trends should be explored thoroughly to identify and target donor proposals effectively. At some point you may want to bring in a specialist fundraising team for guidance and advice. Larger organizations usually have specialist teams dedicated to grant management and fundraising, and they should be consulted at this point.
Existing Context Knowledge	We have already mentioned the importance of analyzing internal, external, and operating environments. Very few identification phases start with no pre-existing knowledge of the context within which a program will operate.

REALITY CHECK: Program Tolerances

As you work through the inputs, including beginning the estimation process, it's a good time to start thinking about what kind of tolerance levels will be established. The tolerances for a program will be split between the person responsible for program governance (e.g. the Country Director or senior staff member at headquarters, or board), the Program Manager, and the Project Managers to whom the Program Manager will agree a variety of tolerance levels.

Processes

Once you have gathered the documents and analysis inputs needed for the identification of your program, you will want to start to provide some structure to your discussions. These structured discussions will generate the context analysis and knowledge that will provide the foundation for the program. The processes include:

- Context Analysis
- Portfolio Review
- Program Impact Goal Creation
- Time and Resource Estimation
- Organizational ToC Review
- Stakeholder Identification
- Organizational Assets Review
- Program Concept Document Development

Delta River Case Study

As you work through each of the phases and principles, this case study will help you to engage with and apply a range of tools and processes in the context of both the Delta River Municipality and your day-to-day reality.

If you are familiar with the PMD Pro 1, you will recognize the fictional *PMD Pro* case study of a project to build latrines with communities in Delta River . We build on this example in the Program Guide, with the latrine project featuring as one of several components of the wider Delta River Municipality program. Throughout this Guide, you will explore the other projects and components that make up the whole Delta River Program. For example:

- An analysis of living standards of the poorest families in the area reveal troubling results.
- The social support systems that families rely on for the care and education of their children has substantially weakened.
- The local health center is struggling to cope with an increase in the number of patients requiring care.
- The expendable income of families in the municipality has decreased substantially.

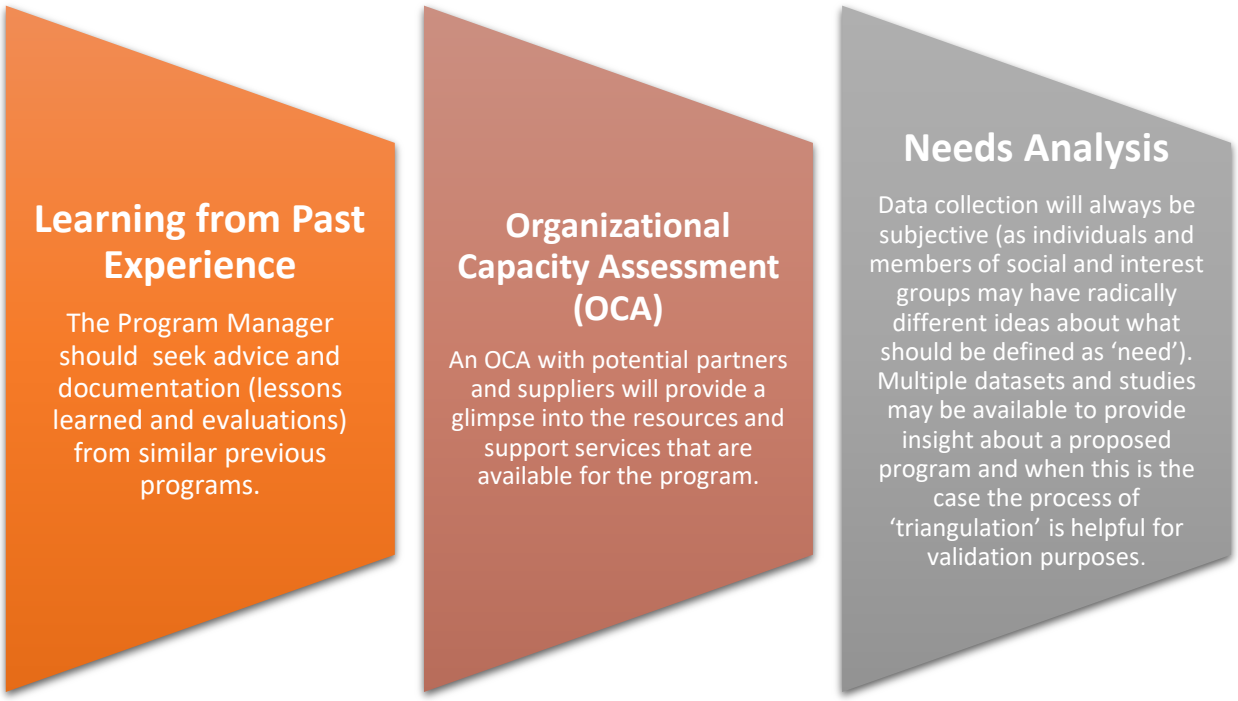
Each of these factors were traced back to a high incidence of water-borne disease among poor families and children under five. A number of contributing factors were also identified:

- The Delta River was contaminated by high levels of fecal waste as well as by the dumping of household and business refuse.
- The health clinic was overstrained because of staffing levels and an increase in patients.
- Community residents were putting themselves at risk because they didn't know how to prevent the spread of disease and were reluctant to seek help.

The reason a program is established is to ensure that all the component projects are focused on achieving the same goal – in this case, to reduce the impact of water-borne disease in Delta River. The Program Manger has an overview of all activities and looks for areas where additional impact can be achieved by joining and creating complementary activities.

Context Analysis

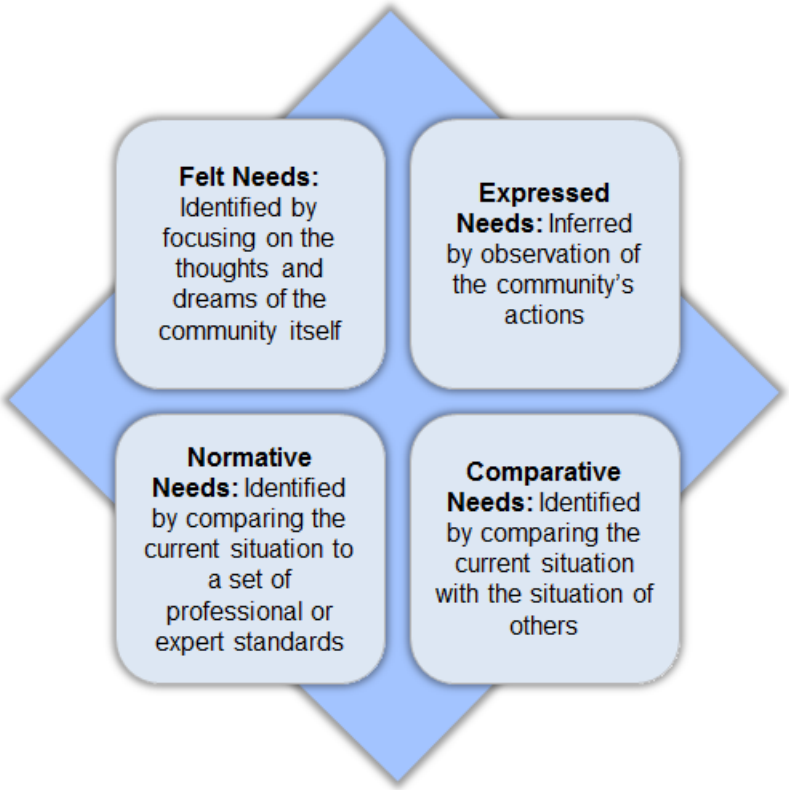
Conducting a context analysis is crucial for understanding the internal and external environment for a program. You will want to hold discussions with a wide range of stakeholders to gain a thorough understanding of the root causes and symptoms of the problem that needs to be addressed. During this process, your target and impact (beneficiary) groups are identified. The context analysis process will also help you to relate the problem that you intend to tackle to specific pathways in your organization's Theory of Change, and provide the information that you need to define the goals of your program. Some of the analyses could include the following:



Needs Analysis

The American sociologist, Jonathan Bradshaw, believed that needs identification should involve the investigation of *four* types of need. Bradshaw's *Four Categories of Social Needs* is a great tool for understanding the operating environment of a potential program. The tool was first introduced in the PMD Guide as a tool for project managers and is just as useful for the Program Manager. Bradshaw's model helps to incorporate a variety of perspectives and methods that assist in increasing the validity and credibility of the context analysis. Programs may need a team from multiple organizations or countries and incorporate multiple technical areas to complete this needs assessment. This model that focuses on four categories of social need (Felt, Expressed, Normative, and Comprehensive) is especially helpful to generate a common understanding of overall program needs.

Figure 6: Bradshaw's 4 Categories of Social Needs



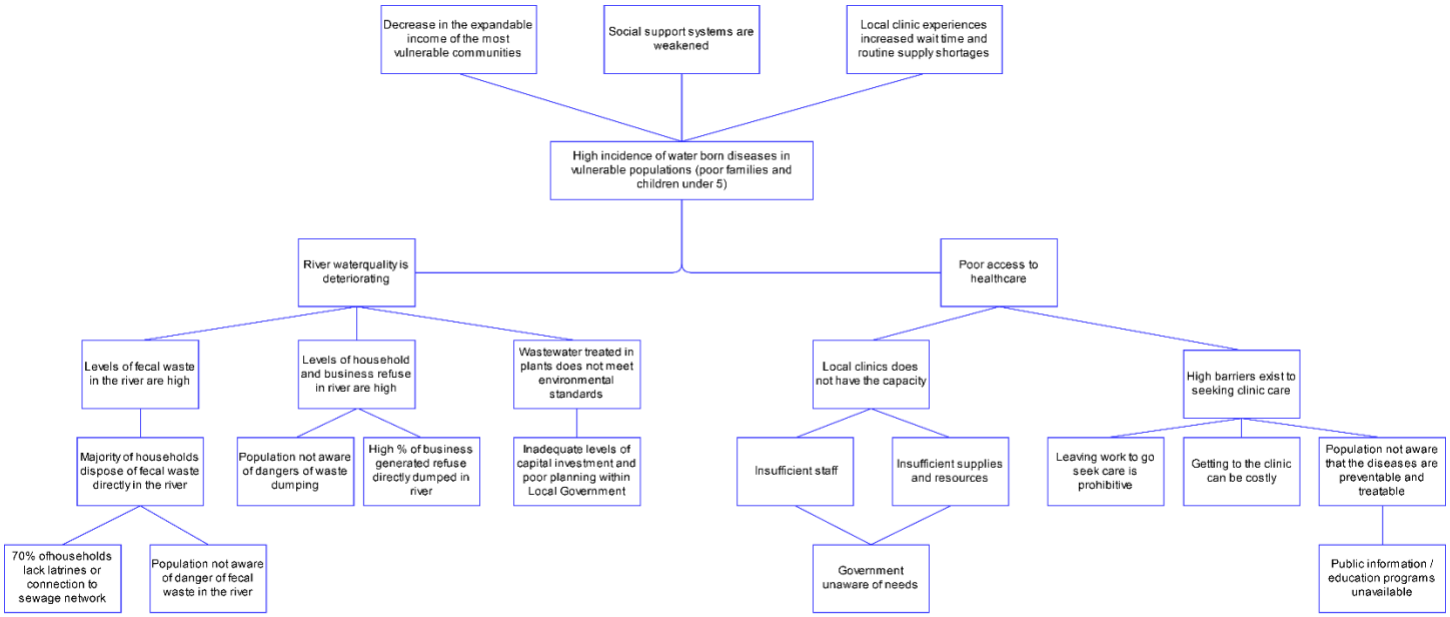
Problem Tree

Once you have collected information about program needs, you can use a Problem Tree to break the problems down and start the process of determining your program interventions. Problem trees will help you to visually map and analyze complex problems so that you can step back and gain overview and insight. It is particularly effective when completed in a participatory manner with a team and variety of stakeholders. This collaborative process compels users to differentiate between cause and an effect. A Problem Tree developed for a program will be much more complex in scope than one for a project, and may result in several potential projects, as is evident in the example in Fig. 7.

REALITY CHECK: Cause and Effect

A *cause* is usually something that makes an event happen and an *effect* is the outcome and impact of this event. A problem in a community can be both cause and effect and it is important to have these conversations early on so there is a shared understanding of these terms. Misunderstanding at this stage could have a serious impact on the next phases of program design, planning and implementation.

Figure 7: Problem Tree

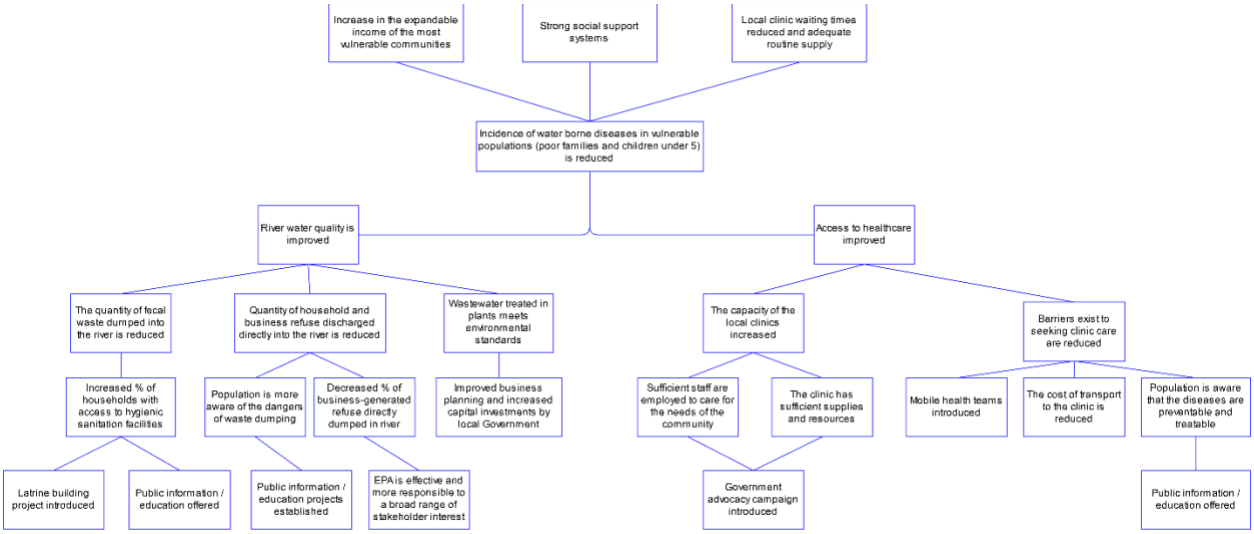


Objectives Tree

Objectives Trees, also known as Solutions Trees, can be used at a program level to turn problems into solutions, and therefore a way forward. To do this problem statements are turned into positive objective statements. Start with your "Starter" or "Core" problem and replace this with your program objective, then build out the rest of the tree accordingly. When using both the Problem and Objectives Tree tools, it is important to set the analysis within the framework of your organization's Theory of Change. The example below converts the core problem facing the Delta River Municipality into a positive objectives statement.

High incidence of water born diseases in vulnerable populations (poor families and children under 5)	→ Incidence of water born diseases in vulnerable populations (poor families and children under 5) is reduced.

Figure 8:Objectives Tree



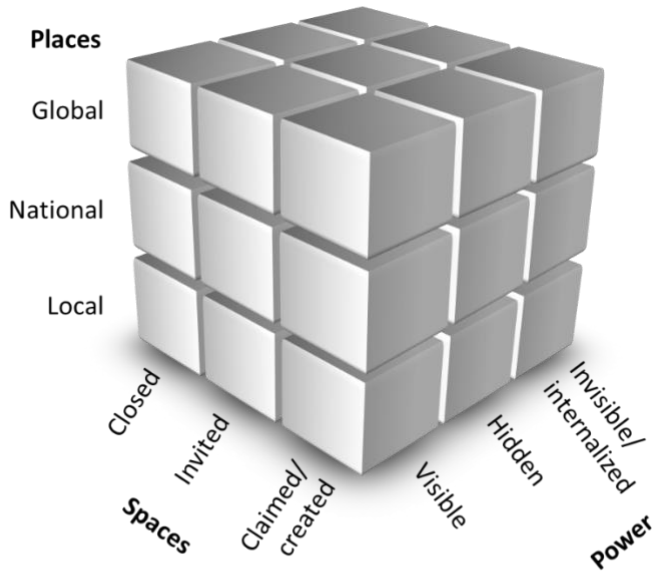
Power Mapping

As already mentioned, effective stakeholder management is the key to a successful program. The Power Mapping tool is used to map all internal and external stakeholders within the operating environment of a program. This mapping process will enable the Program Manager to make decisions about how to manage the various stakeholder relationships. It is also valuable to conduct this process in a participatory way, as it will allow you to comprehensively identify all of the groups and individuals that will be instrumental to the program.

Once the mapping process is complete, place each of these stakeholders into thematic groups in order to understand how they interact with each other. As a Program Manager, you should pay particular attention to the program's target or impact groups.

Powercubes provide a useful framework for analyzing the different dimensions of power dynamics (places, spaces, and forms of power) and how they interact with each other. Using this process to map the current operating environment can be helpful in understanding how to craft a program agenda and define how to work with multiple stakeholders.

Figure 9: Powercube



High Level Risk Identification

At this point, you should start to formulate a general understanding of risks that may prevent your program from achieving its desired outcomes. To do this, you should look critically at the internal (organizational/consortium) and external (funding/community/political/etc.) environments that a program will operate in. Your initial risk assessment should highlight the *big picture*, or overall risks, that may compromise the mandate of a program and the pathway of change as outlined in your organization's Theory of Change. More detailed risk assessments will follow in later phases.

Start by assessing potential risks to your organization in relation to the program and focus on the overall program outcomes. Keep in mind that risks are often interrelated and may influence one another. The purpose of this initial risk analysis process is primarily to ensure that multiple perspectives are included and understood by your governance authority, Program Owner, or Board.

Some of the risk categories could include:

- ✓ Strategic
- ✓ Commercial
- ✓ Economic
- ✓ Legal/regulatory
- ✓ Organizational
- ✓ Political
- ✓ Environmental
- ✓ Technical
- ✓ Program/Project Management Related

SWOT

The SWOT tool is used to gain insight into the **Strengths** and **Weaknesses** of an operating environment, as well as for identifying potential **Opportunities** and uncovering **Threats** that could jeopardize program activities.

Figure 10: SWOT Analysis

Organizational Theory of Change Review

As outlined in the Introduction, a Theory of Change (ToC) is a description of how and why a desired change will happen in a given context. This is usually done at a high level to inform an organization's strategic aims and objectives, and guide the work done in the Identification Phase.

Figure 11 illustrates the relationship and links between an organization's ToC, its programs, and projects. The integration of these three levels of management (portfolio, program, and project management) will focus on core outcomes and ensure organizational alignment. The links between each of the three columns is a visual mapping of how work at a project level should be aligned with program goals and ToC pathways. The ToC will provide key inputs for the program identification process such as:

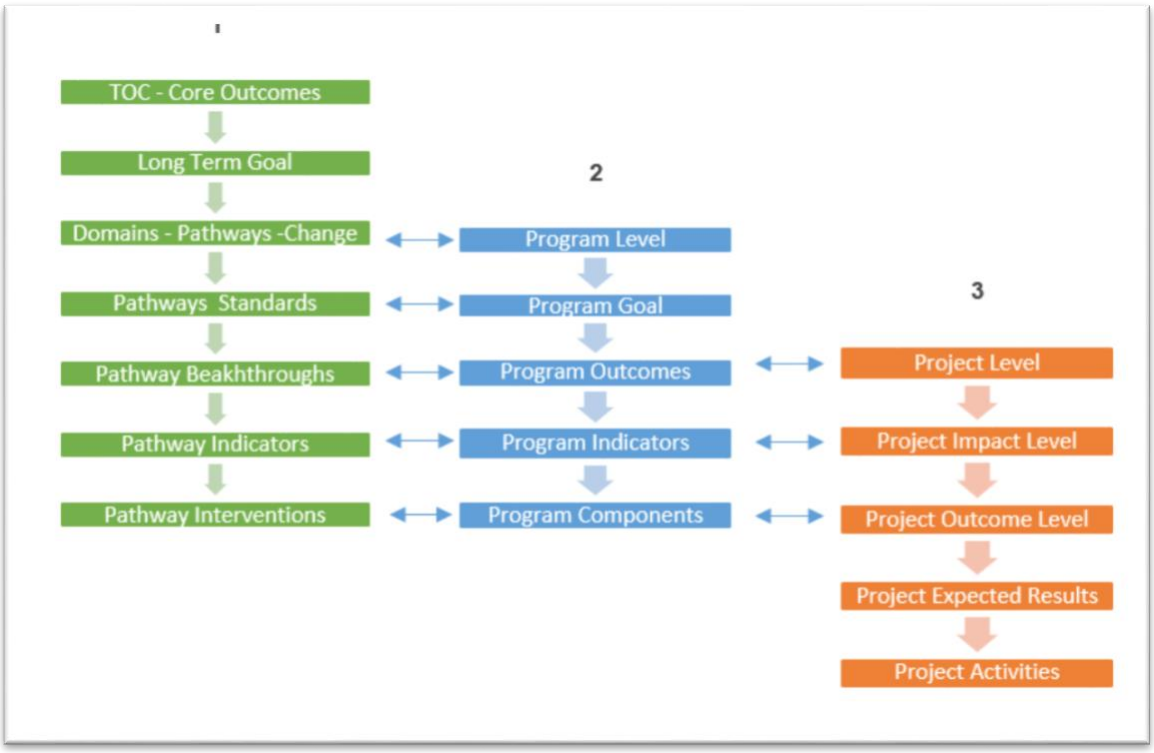
- The long-term goal(s) that an organization is committed to achieving.
- The pathways, or objectives, needed to deliver the ToC.
- The preconditions required to achieve long-term goal(s).
- The pathways of change, pathway standards, breakthroughs, and indicators.

ToC Breakthroughs

Think of a breakthrough as a change on your ToC pathway that, in some way, moves your program forward in a substantial way.

Source: CARE® Theory of Change Guidance

Figure 11: Organization Theory of Change



Portfolio Review

Portfolios are typically managed at a Country Director, regional, or global level and ensure that programs and projects are in line with overall strategic goals. Therefore, taking the time to understand how a program fits with the overall portfolio is important. This review should involve:

1) Creating a matrix of current and recent projects and activities that contribute to an organization's strategic intent.
2) Identifying areas within the matrix that strengthen the case for a program.

The portfolio review process is helpful for organizations to assess the quality of their current programs and their contribution to the ToC. This review could involve looking at activities that are implemented directly by an organization or those that it supports through local partners, coalitions, or other advocacy efforts.

The results of a portfolio review should then be consolidated and presented to staff and local partners in a format that is accessible and appropriate for these stakeholders. Even though a program has not yet been authorized, it is important to demonstrate that potential programs must fulfil a gap, build on strengths, and be aligned with the strategic use of an organization's resources.

REALITY CHECK-Portfolio Reviews

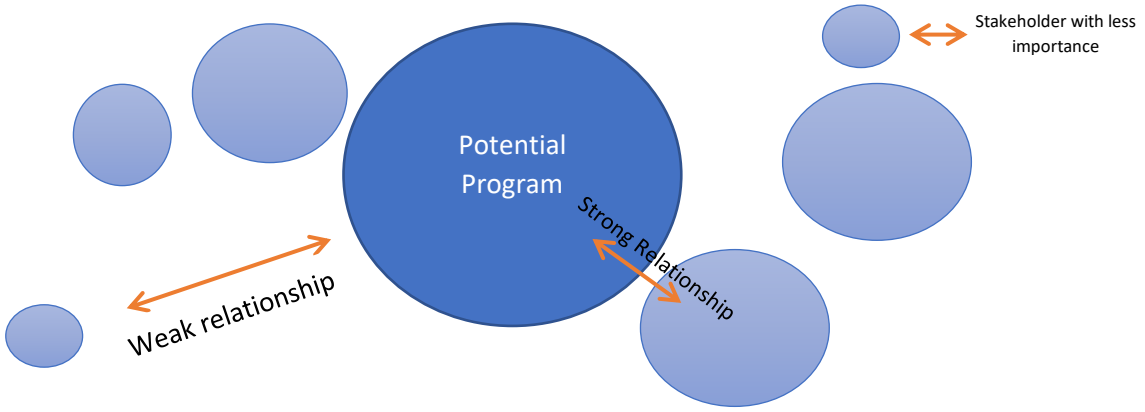
A Portfolio Review should never involve a revision and redesign of portfolio priorities or a TOC. The purpose of this exercise is about ensuring that a potential program fits well with the organizational strategy.

Stakeholder Identification

You probably know from experience that undesirable and unexpected outcomes occur when stakeholders are overlooked or misunderstood in the design of a program, or their interests are poorly engaged or excluded during the Planning and Implementation process. As a Program Manager, you need make sure that the right stakeholders are informed and involved, at the right time.

The Identification Phase is the time for consulting with others, using focus group discussions or other brainstorming techniques, to identify and map all stakeholders who will be directly or indirectly affected by a program. In the PMD Pro, Venn Diagrams were introduced as a way to map the power and influence of stakeholders in relation to a project's operating environment. Venn Diagrams can also be a useful tool for visualizing the relationship of internal and external stakeholders with a program.

When mapping stakeholders, it is advisable to do so in a participatory manner. Start by placing your potential program in a central circle on a flip chart. Next, add circles to the diagram that represent individuals and stakeholder groups. The size of each circle represents how important the stakeholder is (small = less important; large = most important). The strength of the relationship to the program is demonstrated by how close or far the circle is from the potential program (close to the program = strong relationship; far away = weak relationship). Teams can then start building a picture of the relationship between your program and its internal and external stakeholders.



Internal Stakeholders	The Country Director, senior leaders, and representatives of specialist teams who will be involved in program governance and can influence and contribute to shaping the program. Project teams are also a critical stakeholder group who will benefit from the Program Manager's clear direction and leadership.
External Stakeholders	Individuals, groups, and institutions that bring valuable insight about the context within which a program will operate and may have capacity to champion and support the program. They can provide an external perspective on the needs and aspirations of community and beneficiary groups benefitting from different program activities.

Development of the Program Impact Goal

If an organization already has a ToC, the vision and goal for achieving long-term social change over a five to 10-year period will be defined. This provides the direction that the Program Manager needs to then create an **impact goal** for the proposed program. The impact goal will be informed by insight already gained through context and stakeholder analyses, and an enhanced understanding of the needs and aspirations of a program's primary stakeholders (the beneficiaries).

Reality Check: The Impact Goal

When creating your Impact Goal be realistic and make sure that your aspirations are grounded in what can reasonably be expected within the lifecycle of a program.

Defining Program Scope and Identifying Projects

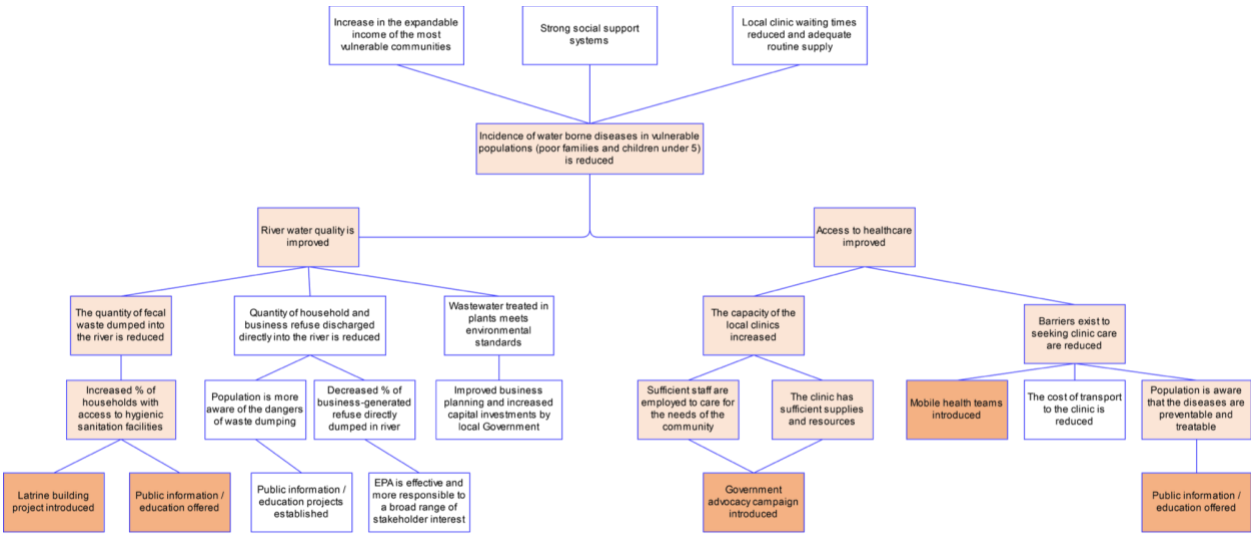
With a good understanding of what you want your program to achieve, it is now time to identify potential projects which, when implemented together, combine to meet your stated program outcomes. This process will enable you to define what projects are within the scope of the program and what is not. The feasibility criteria introduced in *PMD Pro* is just as applicable when defining program scope, but are not the only items that must be considered. The primary benefit of a program is that the 'sum is greater than its parts' - which means that the projects, together, will work toward the program goal. Keep this in mind when you are selecting and clarifying projects and activities.

The Alternatives Tree below (Fig. 12) illustrates several projects that have been identified for the Delta River Municipality program. If you take a look at the central objective (starter problem), you will see that it affects a common constituency-low-income families living near the river. While it would be possible to implement a series of individual projects and still provide benefit, coordinating the design and delivery of the projects into a cohesive program will produce added benefits such as:

- Coordinated communication with the beneficiary population.
- More effective training programs.
- A better-informed advocacy campaign.

At this early phase, it would be realistic to predict that a potential program would include a latrine-building project with a training component, mobile health team, water borne disease prevention and treatment training project, and government advocacy campaign for the under-resourced clinic.

Figure 12: Alternatives Tree



Organizational Assets Review

Most organizations will already have a variety of tried-and-tested planning tools, templates, policies, procedures, or guidelines that provide direction on how to perform different areas of work. These are also organizational assets that can enhance the delivery of programs, often providing invaluable shortcuts for processes, such as developing initial estimates for time and resources. The use of assets can be formal or informal; some may be required for compliance with regulatory bodies and others recommended as useful tools for adapting and focusing programs. Internal program specialists and peers should also be treated as assets and consulted for their expertise and advice.

You will want to take time to find and review organizational assets at the start of a program and assess how they could be used over the program lifecycle. After checking out good practice recommendations with colleagues, it's also worth consulting a knowledge management team or other communities of practice for advice. Organizations that have delivered and closed excellent programs will have captured documentation, lessons learned, and evaluation reports in program files. You could also explore organizational repositories, such as intranet or shared filing systems.

As the Program Manager, you should also be aware of physical assets that may impact decisions related to the location or scope of the program. For example, the support services that a regional office might be able to provide may increase the viability of one geographic location over another. Similarly, the existence of a warehouse or fleet of vehicles may make it possible to include an activity (e.g. storage and distribution of key medical items for clinics) that would otherwise not be feasible.

Time and Resource Estimation

Estimating the time and the resources needed to deliver a program is an essential part of the Identification phase. At this point, you will be providing a '*best-guess*' assessment of what will be required to deliver the scope of the program. There will always be some element of risk associated with estimating because of variables that are outside the control of an organization or Program Manager. The goal is to be as accurate as possible in order to guide and facilitate good program decisions. In the process of setting up a program you may, on occasions, need to include some existing project activities for which a budget has been already allocated. This could enhance the budget estimating process because, in this case, *actual* figures will already exist!

Relatively accurate budget estimates can be achieved through a combination of techniques:

- **Specialist Point-of-View:** This involves consulting with a small number of people with expertise in budgeting for programs of a similar scope, with a focus on either 'top-down' or 'bottom up' estimating processes. Top-down starts with an overall assessment of the expected cost of a program, after which percentage costs are allocated to different program areas. Bottom-up starts with the costs of individual program areas that are then 'rolled up' into an estimate of overall cost. Bottom-up estimating tends to involve a larger number of people and requires more effort to manage, but their costs are more likely to be accurate.
- **Analogue Estimating:** This approach uses the performance and costs of similar past programs as a guide for assessing the approximate time and budget needed to develop a new program. This method can be used when there is little very little detail available about the program.
- **Parametric Estimating:** This technique is similar to analogue estimating in that it draws on information from programs of a similar scope, however, this approach makes more use of statistical data related to past programs (for example the cost of building a road per kilometer). While this technique can produce higher levels of accuracy than analogue estimating, it will always be dependent on the quality of the underlying data.
- **Phased Estimating:** This approach takes into account that costs will vary from month to month over the duration of a program. Being mindful about phasing at this stage is advantageous and good preparation framing a program budget within a timeline before having to write a donor proposal. This strategy also enables the program's governance body to check that it 'makes sense' and justified before authorising additional funds.

REALITY CHECK: Time and Resource Estimation

As you work through the estimating process, it's also a good time to start thinking about who in an organization will be accountable for authorizing different levels of budget spend. These 'tolerance levels' will be split between the person responsible for program governance (e.g. the Country Director or senior staff member at headquarters), the Program Manager, and Project Manager (whose tolerances will be set by the Program Manager).

Program Concept Document Development

The final stage in this process involves developing a **Program Concept Document** that concisely summarizes the insights and analysis gained during the Identification Phase. It is an essential document for achieving support for the program and is a core reference documents for the program Design Phase.

The Concept Document should include the following:

Initial Component Projects Identification – This is a brief description about how each of the component projects are interdependent and an illustration of how they contribute to the high-level program outcomes.

Initial Risk Identification – This is just an initial assessment of risk but it will provide essential information for the program Design phase. You will be able to more accurately calculate risks in the Design phase along with strategies for managing different levels of risk.

Initial Opportunity Identification – Using information from the SWOT analysis, the Concept Document should also refer to potential opportunities that could be used to improve program success. For example, a champion in an important governmental position, a high level meeting, or another organization implementing complementary work in the same area.

REALITY CHECK: The Concept Document

Program Concept Documents (or notes) should always follow the needs and pathways outlined in an organization's Theory of Change and should not be written with a funding opportunity or donor in mind. This information will certainly be helpful for compiling donor proposals but the audience and need for each document are different, so beware of cutting corners and assuming that they are one in the same. They are not!!

Outputs

The Program Concept Document (2-5 pages) is a concise summary of all of the work completed in the Identification phase, which is why this phase is such an important first-step in the lifecycle of a program. At this early stage, the Program Concept Document is the Program Manager's best communication tool to raise awareness and support for the program, both within and outside an organization.

Typically, these documents are put together quickly, and are helpful for testing and refining initial ideas. Once approved, they are used to communicate information about a potential program in order to:

- Gain support from leaders inside an organization.
- Initiate discussion with potential donors to gain funding.
- Collaborate and communicate with partners and other external stakeholders.

The Concept Document will continue to be useful throughout the lifecycle of the program and be an important point of reference for a Program Manager to check and justify that a program remains consistent with its organization's ToC and strategic intent.

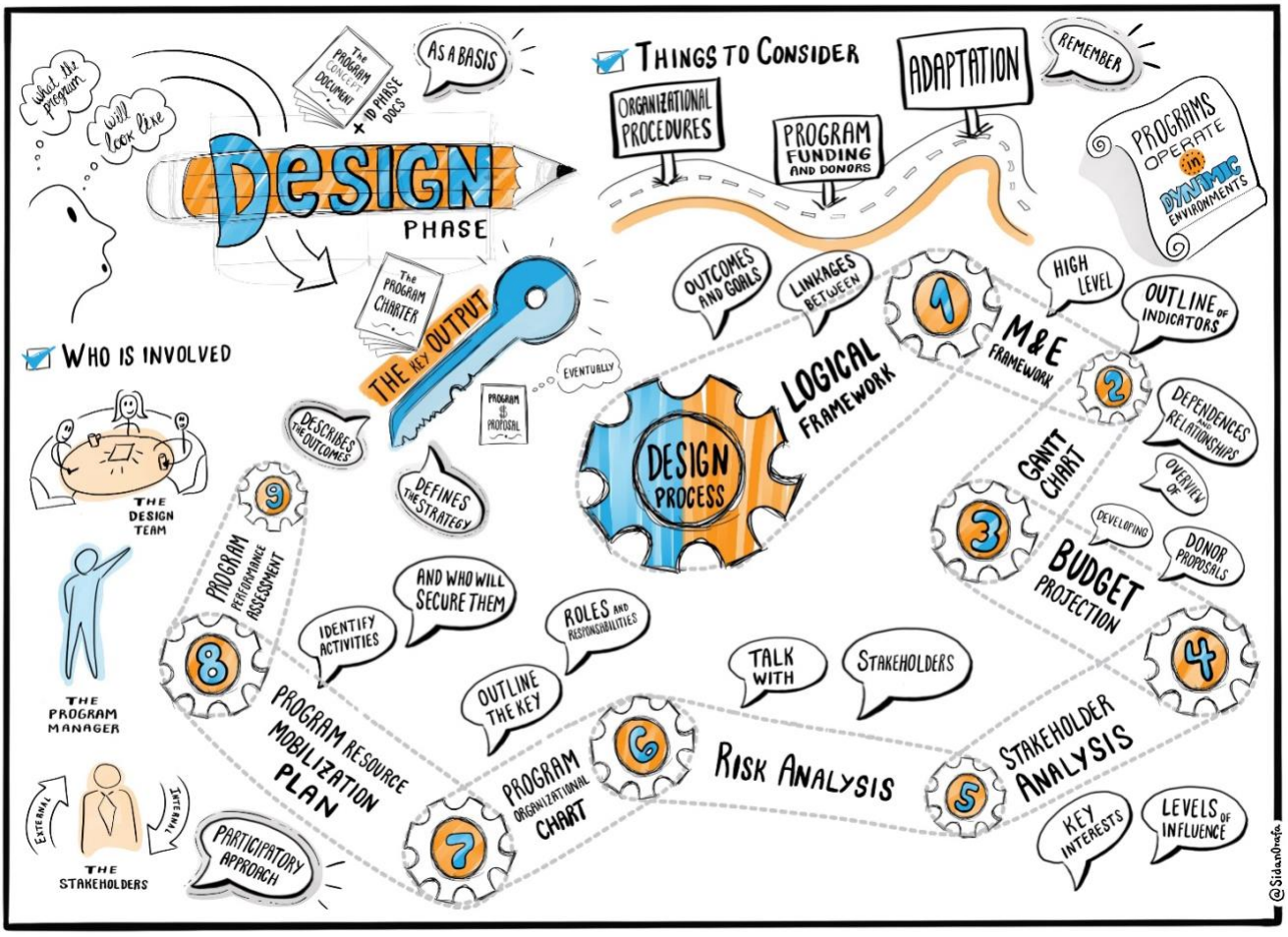
When sharing this document, it is important to stress that once authorization has been given to move into the Design phase, this is the point at which more work will be done to create a detailed and accurate picture of the program.

The format of a Concept Document (or concept note) will vary from organization to organization, but it is typically short and succinct (2-5 pages). Often, they include the following:

Sample Program Concept Document:

- ✓ Name of organization and any key partners
- ✓ Organization's goals and Theory of Change
- ✓ Title of proposed project
- ✓ Program description – and fit with an organization's strategic intent
- ✓ Expected outcomes – summary of what will be achieved
- ✓ Indicators of achievement – how success will be measured
- ✓ Main activities
- ✓ Key target beneficiary population
- ✓ Summary budget

Welcome to Phase 2: Program Design



"The whole is greater than the sum of its parts."

Aristotle

Introduction

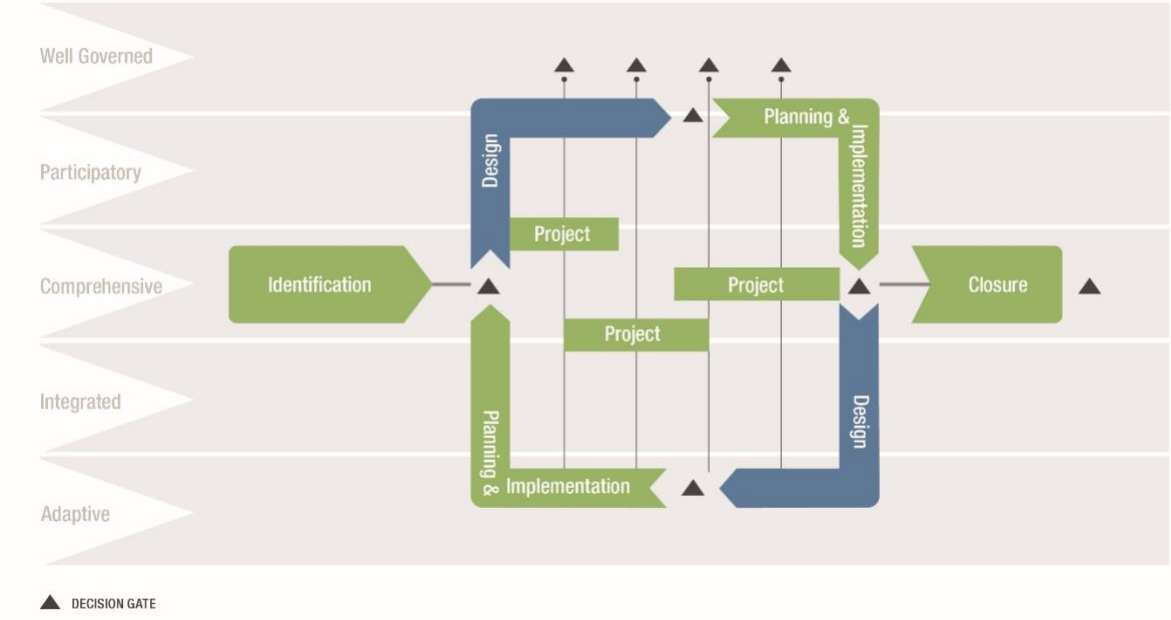
The Design phase is similar to developing a prototype for a car or an architectural drawing for a building. All of the different pieces are put in place to provide an outline or 'blueprint' that shows exactly what the program will look like. The intention of a program is to achieve an overall outcome that is 'greater than the sum of its parts'. Therefore, the focus of team discussions in this phase should be to use a variety of tools and processes to develop a program design that achieves this aim.

During this phase, the program team will build upon the analyses conducted in the Identification phase, using the Concept Document as a basis for defining how the program will deliver their organization's strategic intent (vision, mission, and values) and Theory of Change (if this is in place), in greater detail. This process can take several weeks and when completed the Program Manager will have created a logical design for the program and produced a Program Charter that will be revisited over the lifecycle of a program. In some cases, much of the same work will also be used to develop a Program Proposal document, which is essential for obtaining funding.

REALITY CHECK: Phase Terminology

If we compare this to a business context, the Identification phase is the equivalent of developing a 'business case' and the Design phase focuses on building the 'business model'.

In this Guide, we are assuming that the Program Manager has been identified or recruited to lead the Design phase. However, in reality, this may not always be the case. Therefore, the responsibility for the program design will usually be with the Program Owner (Country Director or another senior leader), with the governance authority or Board, or shared between different organizations working as an alliance or consortium (*see Well Governed*). In 'flatter' organizational structures (e.g. cooperatives) the responsibility for leadership will be shared. Whatever your structure may be, to achieve an excellent program outcome, it is essential that the Design and other phases be worked through systematically.



Key Output: The Program Charter

At the completion of the Design phase, you will have a **Program Charter** that describes what the expected outcomes of the program will be and clearly defines the strategies that you will use to achieve your overall vision and goals. The Charter is a planning document that summarizes the intentions of a program to internal and external stakeholders to achieve their buy-in and support of the program.

The Program Charter is prepared by the program design team and builds on the evidence and analyses from the Identification phase. It should be clear and concise, and written as a high-level overview document. Once complete, it is submitted to the program governing body for approval, and can then be used as a formal document for internal and external communications purposes.

Documents that are likely to be included as appendices are the:

- Logical Framework
- M&E Framework
- Resource Mobilization Strategy
- Program Performance Assessment Components
- Governance Structure

REALITY CHECK: The Program Proposal

While all programs need to be funded, the path to full funding can vary from program to program and from organization to organization. For this reason, this Guide does not explore fundraising proposals in detail, however it is important to make brief reference to Program Proposals because, like the Program Charter, they are also likely to be developed during the Design phase.

Program Proposals are therefore included as a key output of the Design phase. It is important to note that while the Charter and Proposal often contain a similar level of detail, they perform different functions and are not inter-changeable!

All of the documents, frameworks, and reports developed during the Design phase will provide the foundation for the content of the Program Charter and are usually included as appendices. They are also used, alongside the Program Charter, to inform and communicate the intention of a program with multiple internal and external stakeholders.

The Program Proposal

To achieve funding for a program and its projects, organizations usually consider one of two funding scenarios:

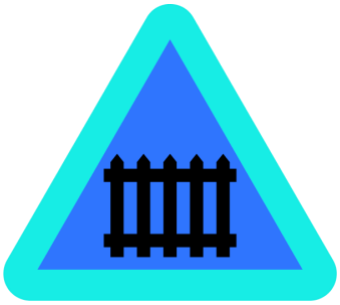
1. Funds are sought from multiple donors, often with different timelines and sets of requirements. You may need to write and submit several proposals, with each proposal reflecting the specific resource mobilization plans that are developed during the Design phase for the program and its projects. The information in the Program Charter will certainly be useful for funding bids, however, submissions will each need to be customized to fit each donor's funding criteria. Sometimes, funding for specific projects may take place while the program is being planned and implemented.

2. Donors issue a '*call for funding proposals*' - a Request for Funding Application (RFA, RFP, RFQ) or equivalent – inviting organizations to submit bids that fit with the donor's funding criteria. Often the scope of the request will be for the entire program. In these cases, the completion of the Design phase will also result in a Program Proposal.

The purpose of a program proposal is to get funding for a program. However, proposals can also be used to get commitment for a program from external audiences. For example, you can send the proposal to an external consortium or alliance in order to engage their support.

The Program Charter will provide an overview – or framework - of how the program and its projects will fit together to achieve an impact that is 'greater than the sum of its parts'. The main factor that differentiates the Proposal from the Charter is that the proposal's focus is to meet the mutual requirements of both the funder and the organization submitting the proposal.

Decision Gate



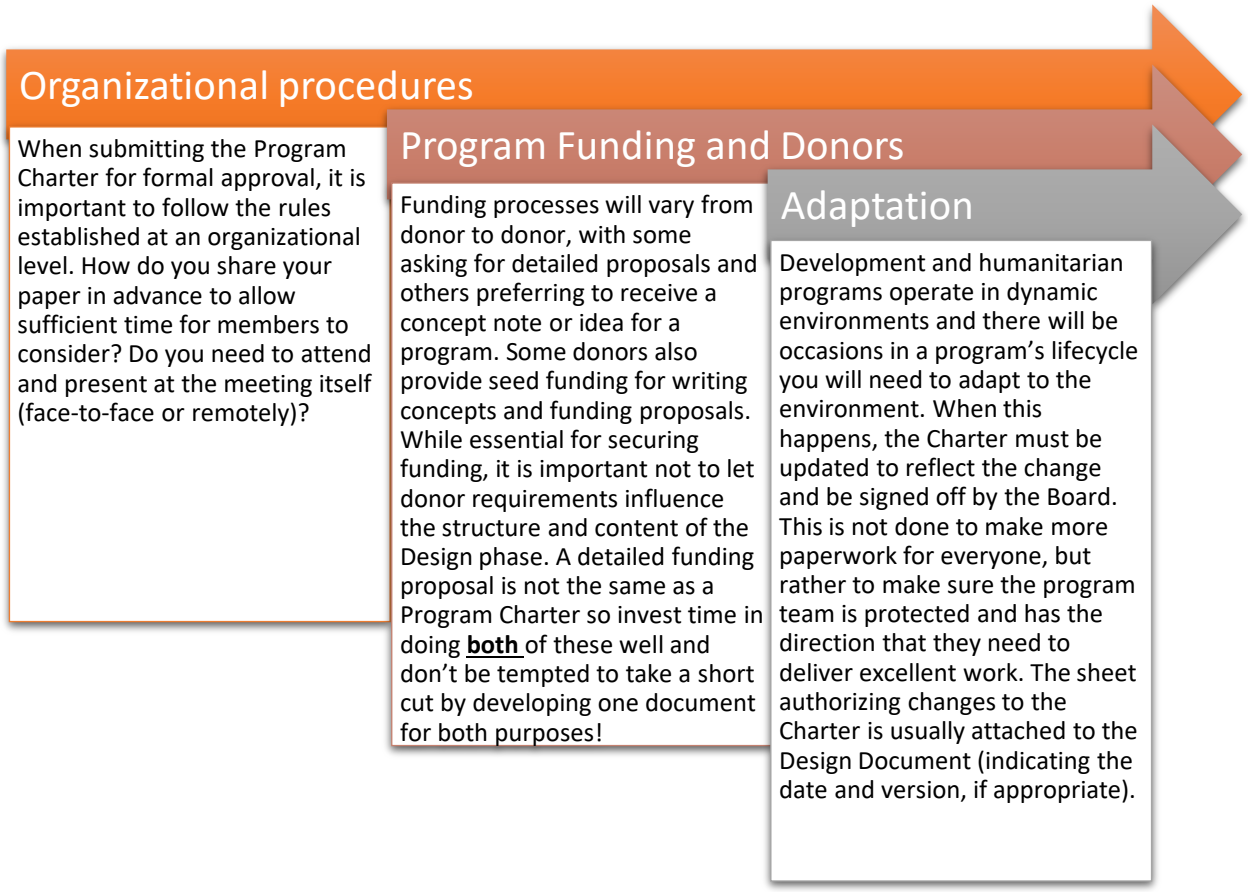
The main question that a Program Manager needs to ask at the end of the Design phase is, '*Do we proceed?*' This critical 'go or no-go' decision uses information presented in the Program Charter to decide whether or not to move into the Planning and Implementation phase.

What does it involve?

The Program Charter is signed-off by the Program Governance authority, which is a Board in many cases, and is likely to follow this process:

1. The Program Charter is submitted to a governance body and relevant stakeholders for consideration at a formal meeting at a set time in the future.
2. The Charter is discussed by the governance body and relevant stakeholders. Achieving sign-off on the Charter is critical for the program to progress to the Planning and Implementation phase, so it is essential that those responsible for authorization are available and prepared to set aside time to read the Charter in advance of the decision-making meeting.
3. On some occasions, the governance body may come back with questions, in which case the Charter may need to be re-presented at another meeting.
4. When the Program Charter is approved (usually with a signature), the Program Manager can proceed knowing that the governance structure is in place, that tolerances have been agreed (*see Adaptive Section*), and that budget has been made available to the program.

What factors should be considered?



Who is involved in this phase?

When the Program Concept Document was developed during the Identification phase as a tool to seek advice, achieve consensus and support, and build out the 'blueprint' of the program – it was important that the process was participatory, involving as many relevant stakeholders as appropriate. Stakeholder participation and engagement is also critical for the Design phase. The Program Manager or design team consults with a variety of stakeholders to listen to different perspectives and ensure that all program elements have been considered in its overall design. The stakeholders included will vary and depend on the context of the program, governance structure, and organization.

Internal Stakeholders

- Board, Program Owner, Program Managers, Project Managers (if identified)
- Technical Specialists, Logistician, Finance Manager, Human Resources Manager, or other Program and Policy leads

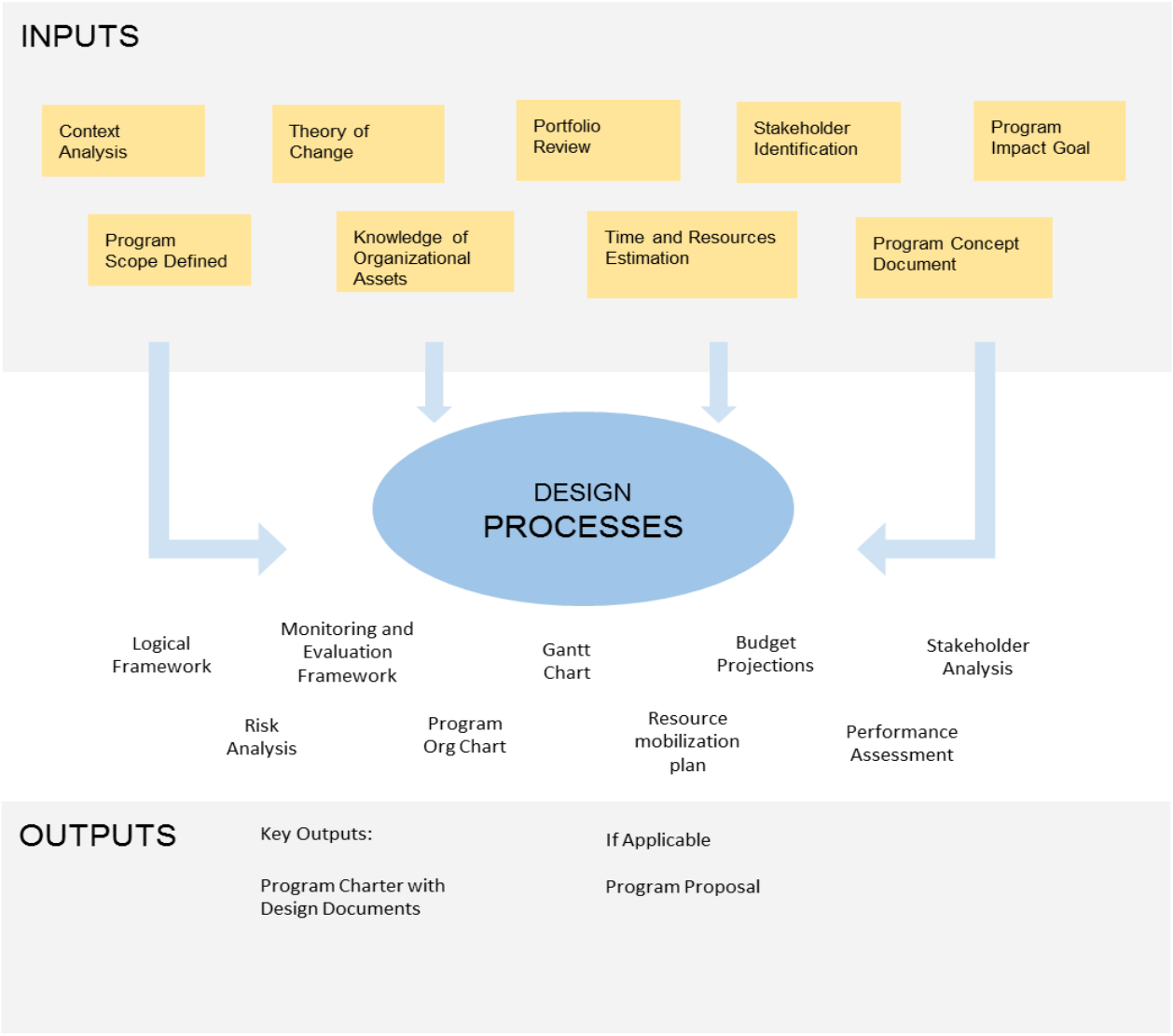
External Stakeholders:

- Counterparts from partner organizations or local government agencies
- Program beneficiaries
- Technical Specialists and consultants
- Other as applicable

What does this mean in practice?

To build the body of knowledge needed for the Design phase, we will repeat the same three steps that were used in the Identification phase: Inputs, Processes, and Outputs. Remember: inputs enable processes, which produce outputs!

Figure 13: Design Phase Processes



Inputs

Several documents (inputs) are needed for the Design phase – most of which were introduced and developed in the Identification phase. These inputs are essential for completing the tools, frameworks and plans necessary for program design. Other input documents, if available, are also helpful references for this phase.

Inputs from the Identification Phase

- Context Analysis
- Theory of Change Review
- Portfolio Review
- Stakeholder Identification

Other Inputs-If Available

- Program Scope
- Program Schedule
- Budget information (from time/cost estimates)

- Program Impact Goal
- Program Scope Defined
- Knowledge of organizational assets
- Time and Resource Estimation
- Program Concept Document
- Organizational charts for your and other organizations (e.g. partners)
- Governance structure for your and other organizations
- Tolerance levels for your and other organizations

Processes

As you move through the Design phase, you will need to use several additional processes to better structure the discussions that take place. These tools and processes should be worked through in the order that they appear below. This is done to ensure increasing levels of detail needed to build out the 'blueprint' of the program.

1. Logical Framework (logframe)
2. Monitoring and Evaluation Framework
3. Gantt Chart
4. Budget Projections
5. Stakeholder Analysis
6. Risk Analysis
7. Program Organizational Chart
8. Program Resource Mobilization Plan
9. Program Performance Assessment

The Logical Framework (Logframe)

A log frame is a tool used to communicate the program logic, facilitate planning, and act as the foundation for the monitoring and evaluation processes. It is also a visual representation of how a program aligns to an organization's strategy or program Theory of Change. The way it works is by creating clear linkages between the successful implementation of program activities (projects) and the realization of programmatic outcomes and goals.

While the structure of the logframe remains the same at project and program levels, the information described in a program log frame is more strategic in nature. Projects that were pre-identified during the Design phase are further refined prior to developing a log frame. While the scope of the projects may be adjusted as activities, outputs, and outcomes are formed, the intended goal of the program and the benefits that project integration offer must always remain in place.

The development of a clear, logical, and realistic log frame will set a program up for success. The process of development is also a good time to identify risks, manage expectations, and achieve buy-in for a program. Program Managers should therefore invite participation, seeking the input of the design team as well as key external stakeholders.

Table 3: Program Logical Frame-Delta River

	Program Summary	Indicators	Means of Verification	Assumptions
Program Goal	Improved health of children under-five among low-income families living by the Delta river.	Incidence of water-borne diseases among children under 5 reduced by 20% by 2018.	Municipal hospital and clinic records collected by mobile health teams.	
Program Outcome	1. Reduced incidence of water-born diseases that result from waste being discharged into the river. 2. Increased capacity of local clinics to serve the needs of the community in the Delta river region.	1.1 30% decrease in reported water-born diseases for Delta River residents that are a result of fecal waste dumping. 1.2 60% of household fecal waste is disposed of via latrines or sewage system. 2. 25% increase in patients who receive care per day.	1.1 Records from clinics and epidemiological reports. 1.2.1 Monthly water quality surveys conducted by the EPA and River Authority. 1.2.2 Annual sample survey conducted by the municipality between 2016 and 2018. 2. Clinic patient logs.	River water quality upstream remains unchanged.
Outputs	1. High quality latrines constructed and used by community members. 2.1 Additional staff and resources allocated to the local clinic. 2.2 Clinic staff trained on best practices in public health	1.1 XX number of latrines completed by XX date. 1.2 XX number of women, men, girls & boys use latrines regularly. 2.1.1 XX number of clinic staff hired and retained. 2.1.2 XX number of diagnostic tests and supplies in stock. 2.2 XX number of staff attend and finish their training.	1.1 Inventory data used by community sanitation volunteers. 1.2.Survey of Delta river residents. 2.1.1 Standardized observation. 2.1.2 Inventory stock levels and Clinic records. 2.2 Attendance records, pre and post results.	Raised awareness will ensure latrine adoption and continued usage. Use of latrines will adequately reduce volume of waste discharge into river. Increased number of clinic staff. Training is adequate for the rising population of the community.
Projects	1. Latrine building project. 2. Government advocacy campaign for under-resourced local clinic project.	At this level, there will be different inputs and activities for each of the component projects.		

Figure 14: Project Outcomes and Program Outputs

REALITY CHECK: Log frames – Program vs. Project

The Log frame structure is similar in both Programs and Projects. However, the strategic nature of programs takes the log frame to a higher level. Since a program is made up of component projects, their log frames interconnect on different levels. Let us explore further:

Program Goal:
If you remember from the PMD, projects goals will contribute to a higher-level objective (the program). Program's goals are different in that they are designed to be achieved upon the completion of the program.

Program Outcomes:
The goals stated in your project log frames correspond to the outcome level in the program log frame. Your project goal will contribute to achieving the program outcome. Keep in mind that it usually takes several projects to achieve a program outcome.

Program Outputs and Projects:
Project outcomes and activities directly correspond with program outputs.

Note: Although the bottom level in the program log frame is named "Projects", (not Activities) programs will have exclusive activities, such as: program level supply chain work, ex-post activities, and program reporting. These activities must be included in the program budget and schedule, and detailed in the planning phase.

Monitoring and Evaluation Framework

The M&E Framework outlines the indicators that the program team will use to measure performance against a program's stated objectives and outcomes. It is the first step in developing a plan for how the progress of a program will be quantified, monitored, and evaluated during scheduled intervals throughout its lifecycle. Establishing this framework during the Design phase is the best way to ensure that monitoring and evaluation processes are embedded within the Planning and Implementation phase, allowing for regular and iterative reviews of performance and the refinement and adjustment of program activities. During the Planning and Implementation phase, the M&E Framework becomes part of the Monitoring and Evaluation Plan.

Program indicators can be straightforward (e.g. infant mortality will be reduced by 2% by the end of a program) or more complex (e.g. the incidence of water-borne diseases in children under 5 will be reduced by 20%). One of the most important things to keep in mind is that if the goal of a program is more complex, the indictors need to reflect this. For example, access to healthcare by low-income families could be measured by quantifiable improvements in:

1. Local clinic staffing
2. Local clinic supplies and resources
3. Methods available to access healthcare
4. Cost of transport to the local clinic

Indicators

One of the most challenging parts of developing indicators is ensuring that they directly measure the objective, are cost-effective, and relevant. Follow the SMART standard to help you determine whether all of the necessary elements have been included in your indicators.

During the Design phase, performance indicators are identified and a high-level outline is created that documents when monitoring activities will take place and who will be responsible for them. The M&E Framework lists each of the program outcomes, breaking them down into outputs and activities. The design team makes decisions about which indicators can be best used as a measure of progress in each area. These indicators must allow for accurate quantitative or qualitative measurement of program outcomes, outputs, and activities. Baselines refer to the state of a program when it starts and act as a point of comparison for measuring performance at a later date.

REALITY CHECK: Monitoring and Evaluation at a Program Level

It is important to note that monitoring and evaluation at a program level is more complex than at a project level because of the quantity and variety of information that needs to be collected.

Table 4: M&E Framework

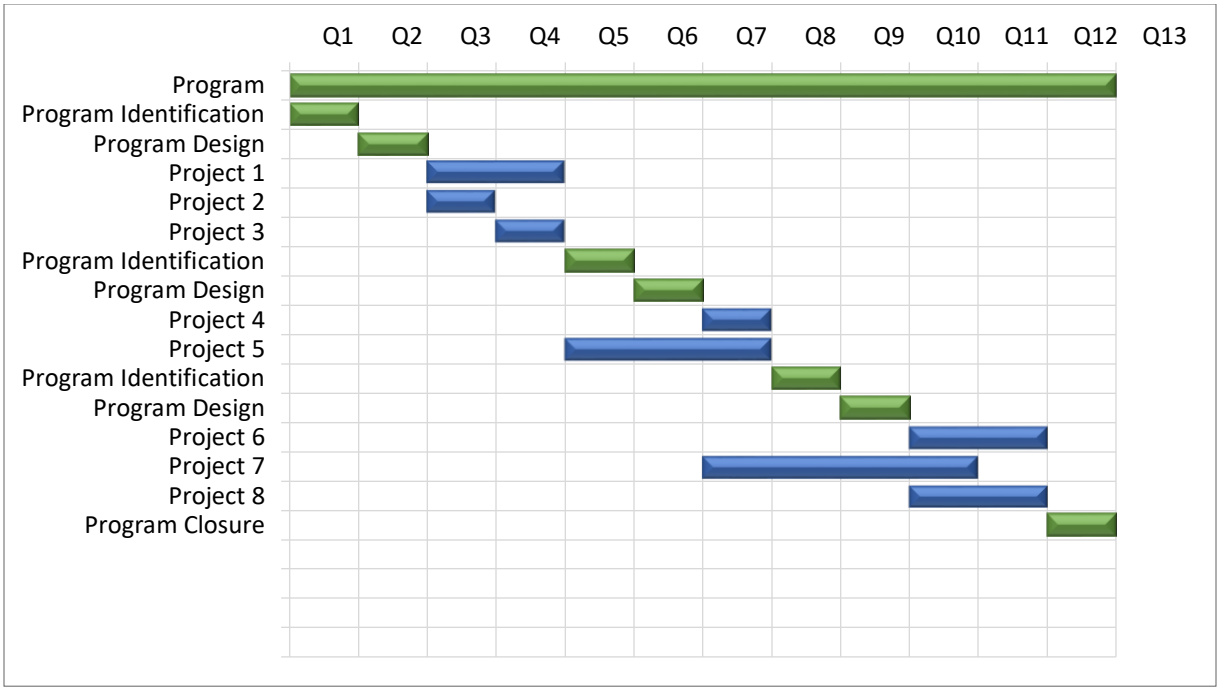
SN	Indicator(s)	Baseline	Target	Data Source	Frequency	Person(s) Responsible	Reporting
Program Outcome 1: Reduced volume of fecal waste discharged into river							
1	60% of household fecal waste is disposed of via latrines or sewage connections	20%	60%	Monthly water quality surveys conducted by the EPA and River Authority Annual sample survey conducted by the municipality between 2009 and 2012	Monthly Annually	M&E Coordinator M&E Officer	Monthly Annually
Program Outcome 2: Increased capacity at the local clinic to serve community needs							
2	25% increase in patients receiving care per day (by XX date)	20	25	Clinic intake records	Weekly	M&E Officer	Monthly

This template is adapted from a similar one produced by tools4dev.org

The Gantt Chart

Gantt Charts are scheduling tools commonly used at a project level. In this more strategic version, program elements are recorded in blocks, or stages, according to the program's timeline from start to end date. The Program Gantt Chart provides a useful overview of the dependences and relationships between different elements. Once each element has been logged, these can be put together to reflect the timeline for the whole project. The deliverable that takes the longest time to complete – or has the longest sequence of activities – is the program's critical path.

Figure 15: Program Gantt Chart



Budget Projections

We discussed estimation techniques for program costs in the Identification phase. Estimates for the amount of time and resources needed to deliver the proposed program were also identified and included in the Program Charter. Now, you will develop more concrete projections based on your analysis of the various program activities and components.

You will also be developing donor proposals to achieve funding for your program during this phase, for which budget projections will be an important part. The format and level of detail required will vary depending on the funder and funding mechanism. More detailed budgets will be established in the Planning and Implementation phase once the program has been authorized and funding is available.

Stakeholder Analysis

It is now time to review the list of stakeholders that was identified and mapped in the Identification phase to deepen knowledge and build a more comprehensive (but not exhaustive) view of the key interests and levels of influence. The knowledge gained through the influence and interest stakeholder analysis exercises will provide you with vital information that will be used for the Stakeholder Engagement Plan that will be developed and refined during the Planning and Implementation phase. It might be helpful to begin by asking some questions that help to provide more detail on the level of influence and interests of your stakeholders.

Mapping Influence

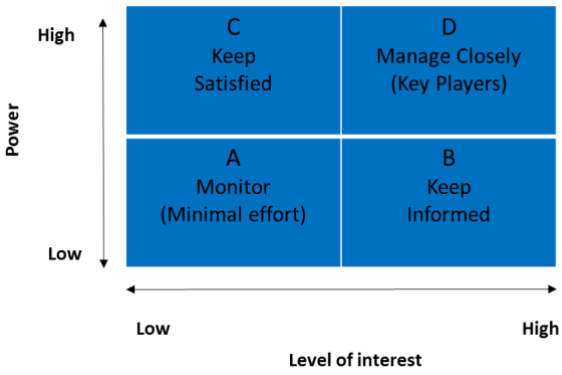
- Do they have decision-making authority?
- Who has the power to make change happen for immediate problems, underlying issues, or root causes?
- Do all of your influential stakeholders get on or are there potential areas of conflict?

Exploring Interests

- What might they gain or lose if a program is implemented?
- What are their expectations (both positive and negative)?
- Can they commit resources to the program? Are there potential roles in the program for stakeholders to take on?
- Are they supporters or blockers?

A **Stakeholder Power/Interest Grid** is another useful tool for capturing more detailed information about stakeholder interests and their ability to influence the development of a program. During your stakeholder analysis, you will also want to assess the levels of interaction that each is likely to have with the program. Some stakeholders may be critical for program implementation, some might be in a position to advance or block activities, and others may just need to be kept informed.

Figure 16: Stakeholder Power and Interest



- **High Power:** A Country Director and those with direct authority over a program are likely to be categorized as a Key Players (Quadrant D). The Program Board, influential external stakeholders, and donors will need timely and relevant program updates to maintain their confidence in a program (Quadrant C).
- **Low Power:** Some stakeholders are supportive and could be influential and should be kept informed but not overwhelmed with information (Quadrant B). Less investment is put in communicating with people with a general interest (Quadrant A) but they should receive updates and be monitored in case they have the potential to become more involved.

While is important to understand the general level of power and interest stakeholders might have in a program, it does not completely reflect the complexity of a program, which is often made up of a number of diverse projects. **Spider Diagrams** can be a great tool for understanding the role that stakeholders might play in each of a program's component projects. Once you have completed the

diagram, you will achieve more clarity about which stakeholders will play a strong leadership role, or have a high level of influence, in each project.

It should come as no surprise that Spider Diagrams should be done as a participatory exercise. The more perspectives you include, the more accurate the analysis. If local stakeholders are involved, the design team will gain insight into the perceptions of the local population. This is how it works:

1. Start by creating one spider diagram for each project within a program. The name of the project is placed in the center of the diagram.
2. Identify a list of stakeholders relevant to each project and include each written on a line coming out of the center of the diagram.
3. Then ask participants to rate each stakeholder in terms of their influence or power in relation to the project, using a number (1-5) or placing a sticker on the line. Stickers placed far away from the center represent high power or influence, while stickers placed close to the center represent weaker power or influence.

Figure 17: Stakeholder Spider Diagram Example

The Spider Diagram offers a visual picture of the actual or perceived stakeholder landscape, whereas the Stakeholder Power/Interest Grid describes stakeholders at a high level in relation to the program (e.g. local government officials are powerful and will have a high level of interest in reducing water borne

disease within the community). Spider Diagrams can provide a contextual analysis for which stakeholders may become leaders or influencers for specific projects within the program.

For example, local government officials are unlikely to have a high level of influence in getting low-income families to use newly built latrines. So, they should not be called upon to actively participate in the latrine-building program. However, they may perform a valuable leadership role in the advocacy campaign for the under-resourced local clinic. Having this knowledge will help the Program Manager to encourage stakeholder participation in the program through the creation of a targeted and relevant Stakeholder Engagement Strategy that makes the best use of the resources available.

Risk Analysis

The Program Manager and design team should consult with a variety of stakeholders to analyze risk. These stakeholders should bring experience of different aspects of the program and be in the best position to identify areas of risk. Once you have consulted these stakeholders, the design team can make decisions about how to categorize each risk and develop appropriate solutions.

If you remember, a number of high-level risks were identified during the Identification phase. These were often secondary outputs of participatory activities such as stakeholder identification or logframe design. It is now time to revisit these risks, to refine them and provide a more detailed analysis of potential threats to the program. All risks should be recorded in a **Risk Register**, which is a living document that is constantly assessed and updated. The Risk Register (below) uses a numerical calculation (1-5) to assess the probability and impact of risk to different elements of a program.

Table 5:Program Risk Register

Risk Description	Status	Probability	Impact	Risk Score	Response	Responsible	When
Latrine and disease prevention training is not coordinated, resulting in a reduction in effectiveness and damage to the program's reputation	Active – risk is being actively monitored	2/5	3/5	5	Mitigate – coordinate regular meetings between project training teams	Program Manager	Q4
Local demand for clinic services increases before the advocacy project is able to secure increased staff and resources for the local clinic, resulting in even longer wait lines and reputational damage	Active – risk is being actively monitored	3/5	4/5	7	Avoid – begin implementation of the disease prevention training project after the advocacy campaign has been successfully implemented	Program Manager	Y2

REALITY CHECK: Risk Analysis and Management

Risk Management involves identifying, analyzing, prioritizing, and managing risks to eliminate or minimize their impact on a program's objectives and probability of success. While the process looks similar to project risk management, the type of risks that a Program Manager must focus on are different in nature, often involving project coordination, reputational concerns, or program strategy.

It is important to remember that there may be occasions when a risk identified at a project level requires a program level approach. An increase in the rate of inflation could result in a substantial hike in the cost of materials and supplies. Rather than mitigating this financial risk on a project-by-project basis, a more effective approach could be to negotiate purchase and supply at a program level to achieve economies of scale.

DELTA RIVER - RISK ANALYSIS

The Delta River Municipality program seeks to improve healthcare in the local community through a government advocacy campaign to increase resources (staff and supplies) for the local clinic.

A training project to provide low-income families with information about water-borne disease prevention and treatment is also planned to try to increase the number of families seeking care at the clinic.

The training must take place after a successful advocacy campaign has resulted in more staff and resources being allocated to the clinic, or else the burden on the clinic will increase beyond its capacity to cope. This could result in even longer wait times, reducing the likelihood that families will visit the clinic in the future, and damaging the reputation of the program.

There is therefore a clear interdependency between project-based work and the overall program goals. All project-related risks will need to be captured and shared with the Program Manager who can then assess the impact of these risks in relation on the whole program.

Program Organizational Chart

The Program Organizational Chart outlines the key roles and responsibilities of various members of the program team. While this is not a detailed governance framework, it does need to be 'good enough' for authorization as part of the Program Charter. The completed Chart is a visual depiction of a program's governance structure, component projects, and non-project related functional teams (e.g. support services such as finance, HR, compliance) and needs to provide sufficient information without being overly complex (and thus difficult to use).

When creating the Chart, it is important to remember that a good organization chart will help to:

- Inform the make-up of a program's governance structure.
- Clarify decision-making boundaries so that Program Managers can decide what levels of responsibility to delegate to a project level.
- Inform alliance or consortium members in order to plan and maintain accurate expectations for involvement.
- Explain the structure of a program to external stakeholders so that they can visualize how different components fit together.

Program Resource Mobilization Plan

This process involves making sure that all the activities needed to fund a program are identified and that decisions are made about who will be responsible for securing them. You will need to focus on organizational resourcing and the need to secure funding for all of the components of the program.

As a Program Manager, it is important to make use of multiple inputs and organizational know-how to map and determine the internal resources that you will need to implement program activities. This is also the time at which the funding priorities of different donors are considered in relation to the proposed program.

Organizational resourcing includes identifying and funding your requirement for use of support services (e.g. finance, logistics, or human resource teams) and subject matter experts (e.g. health, education, water, sanitation experts) to deliver a program, for which a cost is usually applied - and must therefore be scoped and built into the program budget. Planning for financial stability starts with the top-level budget information gathered during the Identification phase, which is then built out to define how funding for the running costs of all program components will be secured. The Checklist (below) is a helpful guide for designing your Resource Mobilization Plan.

REALITY CHECK: Funding Mobilization

The process for mobilizing funds varies considerably for each organization. It is sometimes a centralized function, with a Fundraising or Business Development team taking the lead on identifying and responding to opportunities. And in other cases, program staff and leadership teams in operating countries or organizational HQ are primarily responsible. It is common for organizations to rely on a combination of both approaches. In any instance, the Program Manager should be as informed as possible about the process and seek to provide input at every opportunity.

Resource Mobilization Plan Checklist

The Resource Mobilization Plan informs the Program Charter and must contain the following elements:

- ✓ An overview of an organization's strategic priorities (or Theory of Change), and how this relates to a program.
- ✓ A description of the program's resource development objectives - i.e. what roles, specialist services, and training needs are required.
- ✓ The timeframe within which the plan needs to be implemented.
- ✓ A list of priority donors (with information about how they will help achieve program objectives).
- ✓ A list of who will be involved in the resource mobilization effort and what specific role they will play.
- ✓ An account of existing funding proposals, including those that need to be developed to support the RM plan.

Outputs

The Program Charter

The main output of the Design Phase is the **Program Charter**. This formal document is shared with the program governance authority or Board for authorization, and after 'sign off', gives the go-ahead to proceed to the Planning and Implementation Phase.

The Charter indicates how the program aligns with its organization's Theory of Change, or its approach in specialist, thematic, or geographic areas. The focus of the Program Charter is to highlight the outcomes of the program and to clearly define the strategies that will be put in place to achieve its overall vision and goals. It provides the direction and clarity that program and project teams need to deliver high quality work and understand how their work is helping to achieve an organization's strategic intent. It is also a document that is used externally, with partners, alliances, and other organizations to provide an overview of program ambition and intended results.

If refinements need to be made to a program during Planning and Implementation, it is important to reflect these in the Program Charter. Some decisions may be within the tolerance level of the Program Manager but there may be times when it is necessary to update and amend the Charter. If this is the case, it will need to be authorized and signed off, again, by key decision-makers.

The Program Charter should specify which donors and funding organizations are likely to be involved, and reference program partners (and allies and other civil society organizations if working within a consortium).

The Program Charter will typically cover the following areas:

- **Justification** – The case for initiating a program and description of why and how its pathways contribute to a Theory of Change.
- **Components** – An explanation of how constituent projects and activities are configured together to achieve the desired results.
- **Estimates** – Estimates of the time, cost, and scope of a program.
  - ✓ **Program Schedule** – Rough timeline (months/years).
  - ✓ **Program Budget** – Cost estimates (for e.g. labor, contracts, supplies, capital costs) rolled up into an overall program budget.
  - ✓ **Program Scope:** Overview of which high-level interventions are required.
- **Risks and Assumptions** – Risks and response strategies related to program implementation are logged in a Risk Register – a live document that is continuously monitored and updated.
- **Tolerance Levels** – Clarification of the levels of hierarchy (Program Owner, Program Manager, program teams) required to authorize program deliverables (e.g. schedules, costs, and risks).
- **Competencies** – Overview of the skills and key responsibilities needed to fulfill different roles, providing clarity for team members and for recruitment purposes.

- **Governance Structure** – Determines who is responsible for decision-making at key program milestones, including the authority to approve changes to program design (if required at any stage of its lifecycle).
- **Stakeholder Register** – List of primary and secondary stakeholders, ranked in order of importance, together with associated actions.
- **Change Control** – Clarifies the process for escalating issues for decision-making beyond the Program Manager's given tolerance level.

A number of **Design Documents** can also be included as appendices. These documents provide additional information for reference and help to inform decision-makers and key stakeholders.

- ✓ Logical Framework
- ✓ M&E Framework
- ✓ Resource Mobilization Strategy
- ✓ Components for Program Performance Assessment
- ✓ Governance Structure

Program Charter Checklist

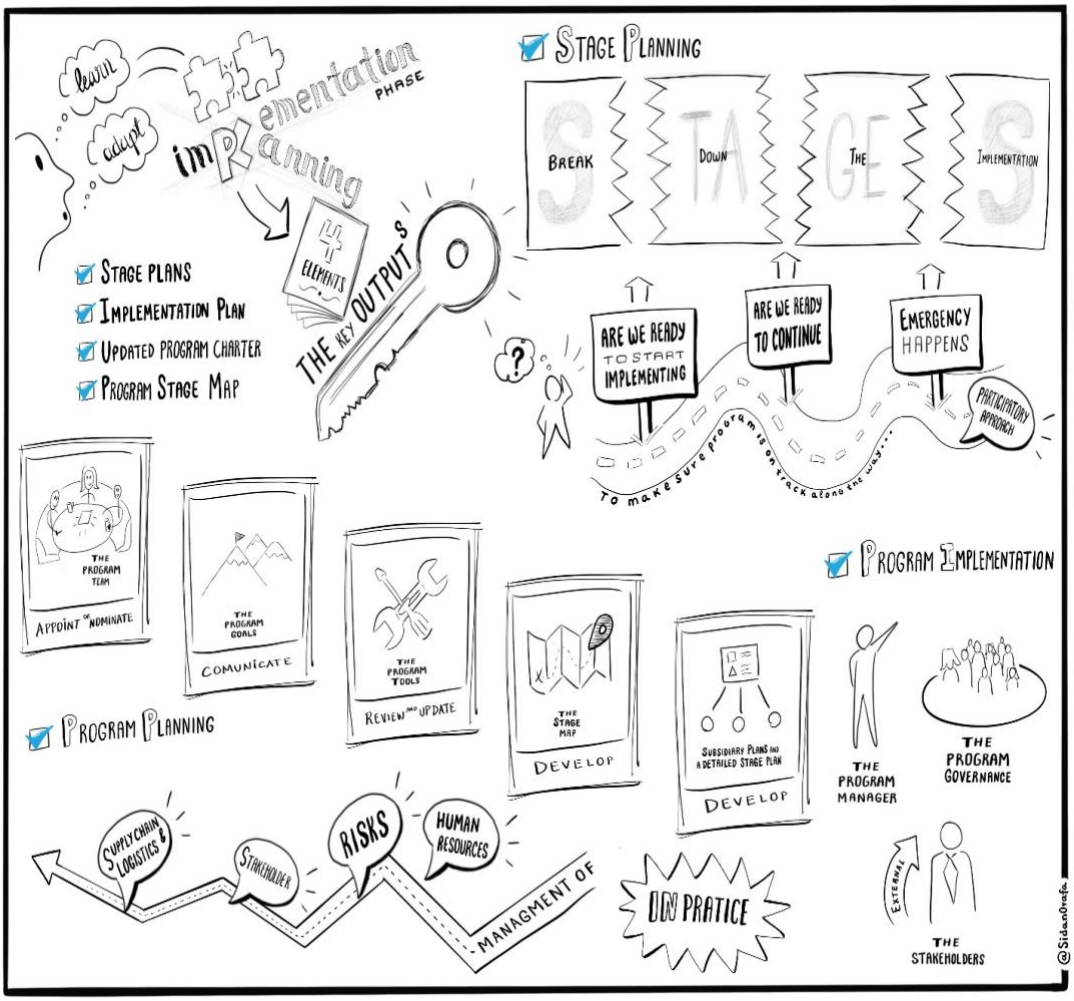
- ✓ Make it as concise and short as possible.
- ✓ Ensure that it communicates pathways that align with Theory of Change.
- ✓ Attach relevant tools and Design phase outputs as appendices, such as the logframe.
- ✓ Share it with internal and external stakeholders, including donors, partners, and alliance members (if applicable).
- ✓ If shared for comment, make sure that these are controlled so that the Charter can be updated and approved as needed.
- ✓ If organizational processes do not require a Program Charter, don't be put off. Use your influence and see if you can enhance or improve ways of working.
- ✓ Treat the Charter as a 'live' document, evaluating it regularly to check that your program continues to fit your organizational strategy and Theory of Change.
- ✓ Encourage project teams to develop Project Charters as a means of raising standards across your organization!

The Program Proposal

Depending on the source of funding, one other key output of the Design Phase may be a **Program Proposal**. The structure, length, and key components of a proposal document will vary to suit donor requirements and individual funding opportunities. In addition, the makeup of the team responsible for developing Proposals will vary according to organizational preferences, with program teams sometimes taking the lead and at other times contributing as needed. Regardless of who is developing the Proposal, all of the work done in the Design Phase will enhance its content and strengthen the case for a successful award.

Whether funding is sought through a single proposal during the Design Phase, or through a combination of multiple proposals during both the Design and Planning and Implementation phases, the purpose and value of these key outputs should not be confused with that of the Program Charter.

Welcome to Phase 3: Planning and Implementation



"Failing to plan is planning to fail."

Alan Lakein

Introduction

Program Planning and Implementation are integrally linked. As a Program Managers, you and your team will work to plan ahead to determine what is needed to implement program and project activities. However, it is likely that the external environment of your program will be constantly shifting and that your plans will need to be adapted. After establishing a high-level Program Implementation Plan, the implementation process allows for ongoing fine-tuning and adjusting to ensure that activities continue to reflect the dynamic environment. This iterative process – of planning, implementing and re-planning – is often referred to as *'rolling wave'* planning.

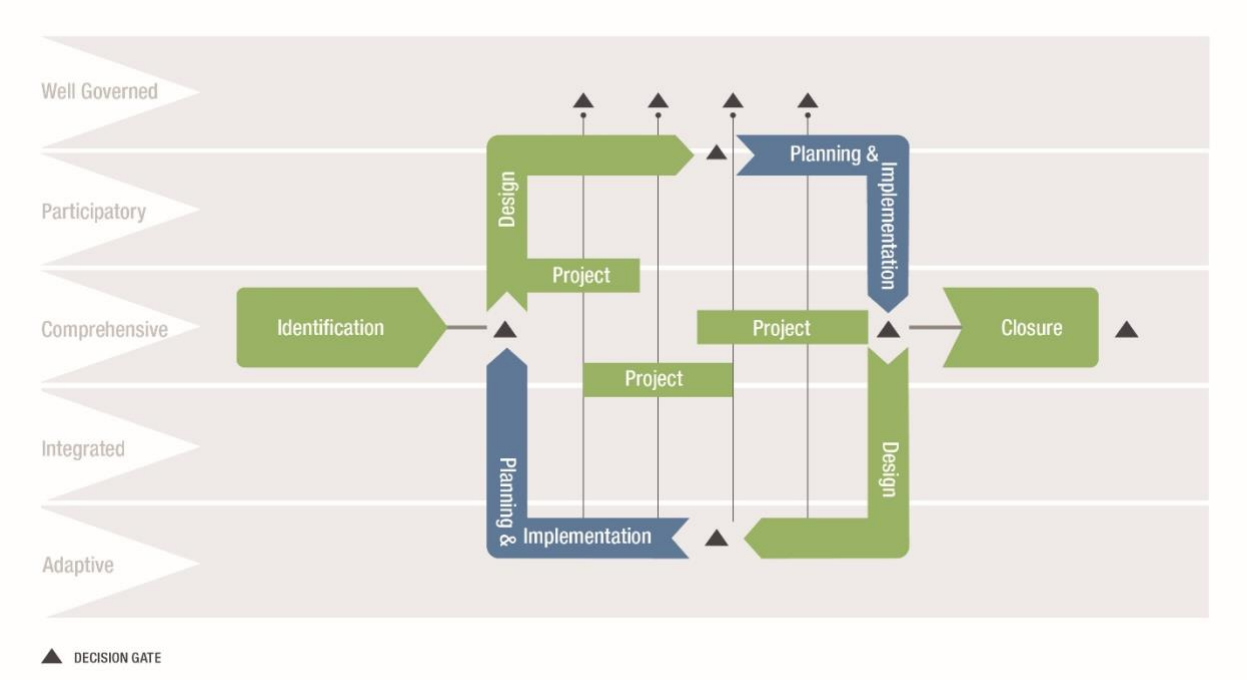
There are a lot of moving elements in the Planning and Implementation phase, which can involve multiple projects taking place over several years. Therefore, it is essential to establish clear processes that will enable the program team to manage and maintain control of their adapting and changing program.

To maintain control and ensure that the process is comprehensive and iterative, it is helpful to break the Planning and Implementation phase into different stages. Creating stages involves breaking your program into manageable chunks to make it easier to plan and manage. A stage can be related to a period of time (e.g. by quarter) or a set of deliverables. At the end of each stage is a Decision Gate that enables the program team to evaluate progress, decide what adjustments to make, and engage its governance structure and stakeholders in keeping the program on track. The Program Manager is responsible for deciding the timeline and focus of each stage – and for communicating this clearly. It is possible for stages to 'flex', in response to circumstances and the needs to the program. If projects are being implemented in a stable environment, then each stage is likely to take longer, whereas in an emergency, they will probably be very short, especially, the initial stages.

The high-level Program Implementation Plan is supported by detailed plans for each stage to allow for a comprehensive response to internal and external changes. This approach ensures that the **Principle of Adaptation** remains central to the way that the program is delivered. The Decision Gates at the end of each stage enable the program team to stop, reflect, and take control of adjustments that need to be made - making sure that the right voices are involved, in the right decisions, at the right time.

REALITY CHECK: Rolling-Wave Planning

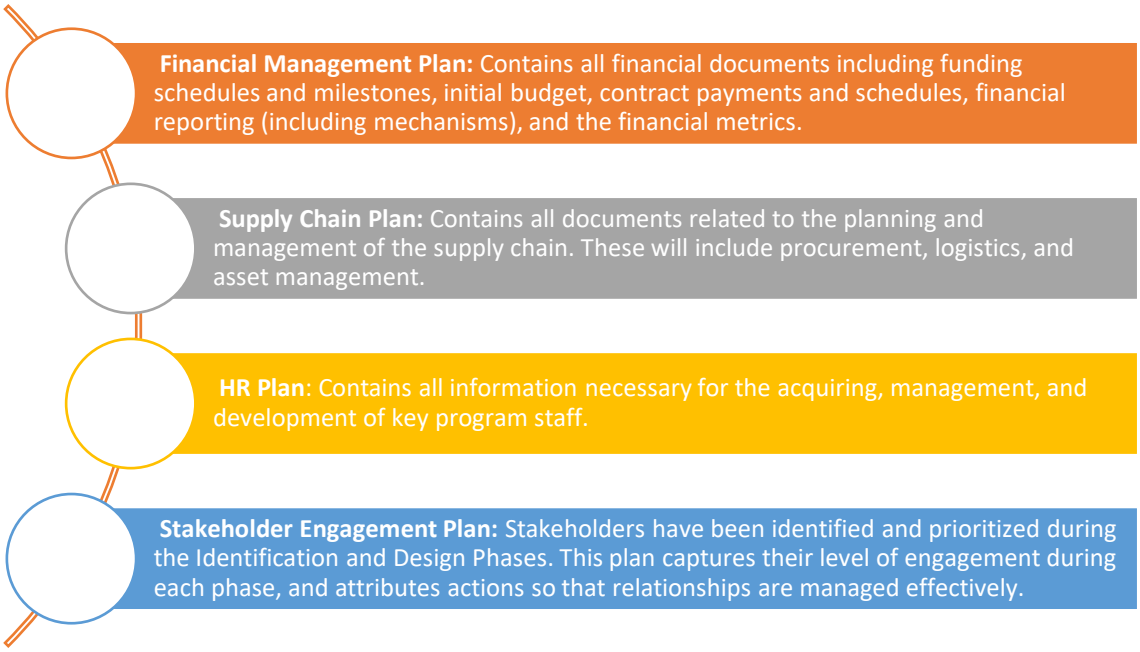
This iterative approach is often referred to as 'Plan, Do, Review' or '*rolling wave'* planning – and enables program teams to tailor and deliver work that is responsive to a dynamic environment (*Introduction, Fig. 3*). Plans should always be considered as 'live' documents that are tailored and adapted to maximize cost-effectiveness and impact.



Key Outputs

This integrated and fluid phase of rolling wave planning (implementation and re-planning) will require that you develop and adjust several key plans. These include:

Program Implementation Plan: This comprehensive, integrated, and high-level plan incorporates all of the elements that are essential for the lifecycle of a program. While including finance, supply chain, HR, and stakeholder engagement elements in the Program Implementation Plan may be enough for many programs, large or complex programs may require a level of detail that requires the creation of separate stand-alone plans. When this is the case, detailed plans may include:



These are examples of some additional plans that may be needed but not an exhaustive list. If the program requires more detailed planning in another aspect of the program, the Program Manager is responsible for making sure this is done. The Program Manager is responsible for ensuring that the program is a) appropriately planned and b) that the plans are updated and remain relevant and useful.

Stage Plans and Reports: Detailed plans for each stage are integrated with, and link to, the next and previous stages, providing a comprehensive picture of an entire program. Stage plans are aligned with the overall Program Implementation Plan and include a Stage Map – a visual representation of how each stage flows and interacts with projects, resources, and Decision Gates.

Stage Reports provide a short overview of the performance of the previous stage. They are useful for planning the next stage and can also serve as a program update for stakeholders. A good way to engage stakeholders throughout the process is to provide a timely overview that summarizes 1) the Decision Gate, 2) the report from the previous stage, and 3) the plan for the next stage.

Updated Program Charter: The Program Charter may need to be adapted to reflect planned changes to a program, and its governing body must authorize any change.

Decision Gates

Once implementation has started, you will use the information presented in the various plans (outlined above) to decide whether a program can move on to the next stage of implementation. The Planning and Implementation phase requires the operation of a control framework that builds in time for program and project teams to reflect, evaluate, and make important decisions that are in the best interest of the program, the organization, and program beneficiaries.

What does a Decision Gate look like?

One of the most effective ways to maintain control of the Program is to divide the Planning and Implementation phase into stages, with a Decision Gate at the end of each stage. This process allows for

program and project teams to stop, reflect, and make decisions that influence how the next stages of a program will proceed. Questions you might ask at these Decision Gates are: *"Are we ready?"* and *"Do we continue?"*

Are we ready?

- At the end of the initial planning period, a decision needs to be made whether to move into program implementation. You, as the Program Manager, need to check that all elements of the program and its constituent projects have been comprehensively and appropriately planned. This usually involves having a clear overall plan for the program, and a more detailed plan for the first stage. Key stakeholders (the program team and governance structure) will need to authorize the plan, which will then allow you to move into implementation. You will also want to make sure that all relevant stakeholders are informed of the plan and aware of the implementation start date.

Do we continue?

- Once a program is being implemented, there may be times when it is important to assess whether activities should continue as planned. These are sometimes called **Progression Decision Gates**. Is the program being delivered in the right way? Are changes to the program and projects being managed effectively? Is the program still valid given changes to the external environment? Answering these questions at key milestones during Planning and Implementation will keep program activities focused and in tune with the reality of the operating environment.

Example: There has been a change in government in a country that is critical to a campaign. They are much more responsive to your lobbying message. It's time to adapt your approach to achieve significantly more impact than you had expected.

Emergency Decision Gates

The operating environment of a program or its constituent projects can change dramatically in a short period of time and there may be instances when an **Emergency Decision Gate** is required. Stakeholders critical to the program – senior managers, governance authority, internal and external specialists – will then need to make quick decisions about whether to change plans, or in some cases, even stop a program.

Example: Community stakeholders in several of the projects are not as engaged as before but others remain enthusiastic participants. It's important to meet with project management team(s) to discuss options and check whether the overall program goals can still be achieved.

If program goals are compromised, what are the implications? Should the program continue? Should it be stopped? Can sufficient changes be made for it to continue? You may not want to wait for a planned Progression Decision Gate to decide, and instead the Program Manager would seek agreement from program governance to implement an Emergency Decision Gate.

REALITY CHECK: Stakeholder Engagement in Decision Gates

Does your organization involve external stakeholders in the Decision Gate process? Involving the participation of external stakeholders in key decisions related to the direction of the program can provide valuable perspectives and ensure continued program support.

Example: A donor agency funding a program instructs the Program Manager to change a key aspect to the program. Some communities where the projects are being implemented do not agree with this decision and withdraw their cooperation. The Program Manager must then act to resolve these differences.

What happens if a change needs to be made to a program?

Programs can be highly complex, with multiple projects aligned to deliver the overall program goals. Maintaining control of the wide range of activities taking place is crucial. The program's control framework should have already been authorized in the Program Charter. Now, the primary responsibility of the Program Manager is to make sure that these rules are followed in the planning and implementing program and project activities. Tolerances for decision-making have also been set, which provides the clarity that program and project teams need to manage their control frameworks effectively.

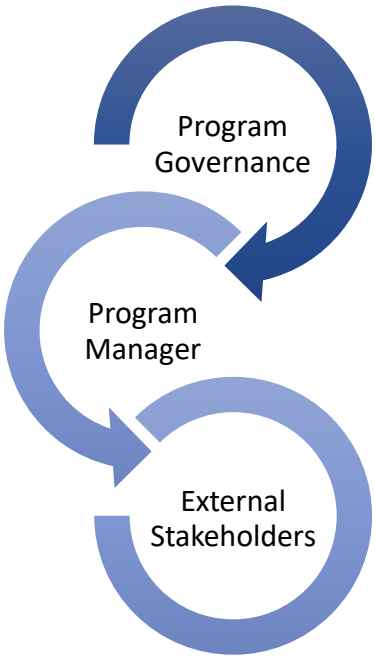
The program's control framework provides the consistency that a Program Manager needs to maintain a comprehensive overview of all aspects of the program. It is your responsibility, as Program Manager, to make sure that project teams understand and adapt to working within the prescribed control framework.

If issues arise at a project level that require changes to a Project Plan, the Program Manager should either be asked to make a decision about the proposed change, or informed (depending on the tolerance level set for the Project Manager). In each case, changes at a project level need to feed into the overall Program Implementation Plan. The program team must be mindful of the potential impact that a change in one project may have on another. Keep in mind that a Program Manager works at a higher level and may be able to spot dependencies that cannot be so easily seen at a project level.

Maintaining control at the planning stage is relatively straight-forward and based on working effectively with teams to make sure that everyone understands how program and projects will be managed during Implementation. As work begins, program and project timelines embed the need for change controls through formal Decision Gates.

Who is involved in this phase?

Ideally, the Program Manager should already be in place for the start of the Planning and Implementation phase. The Program Charter should have been authorized and the Program Manager and team will have all that they need to get into the process of detailed planning. However, there may be occasions when program leadership needs to temporarily taken on by another senior manager, such as a Country Director or other Program Manager. In 'flatter' organizational structures, program management functions may be shared more widely, but a mechanism must be put in place to ensure that the program is planned and controlled effectively.



Program Governance (Board or Sponsor)

- The program's governance authority will validate any changes made to the program above the tolerances of the Program Manager.
- The governance also provides guidance and approval on stage plans and Program Charters.
- Works with the Program Manager to help coordinate 'go/no-go' Decision Gates.

Program Manager

- Develops the Program Implementation Plan with the program team, and in close consultation with Project Managers, specialists, beneficiary groups, and external stakeholders (such as suppliers).
- Other plans, outlined above, are usually developed by the program team as 'live' documents to drive implementation.
- Ensures that stage plans are continuously monitored and updated.

- Monitors and validates project activities to ensure optimum efficiency.
- Ensures that a standardized set of tools is being used to improve performance across all projects.
- Asks the right questions at Decision Gates: *Are we delivering this program in the right way? Could we do better? Should we amend plans and implement changes?*
- Ensures that support services (supply chain, logistics, and procurement activities) are in place and operating with efficiency.
- Engages with stakeholders in a way that enables the program to be planned and implemented in a participatory manner.
- Leads by example: advising and supporting program and project staff, often in a formal line management structure.
- Ensures that everyone involved with the program understands why and how all component activities are aligned with its overall vision, organizational goals, and strategic intent.

External Stakeholders (Varies/When Applicable)

- Ideally, selected external stakeholders will be part of the project governance structure, however this may not always be the case.
- Implementing stakeholders (partners, contractors) should be part of the planning process to ensure an accurate scope, schedule, and budget. They should also be part of stage planning to ensure logical sequencing of the stages.

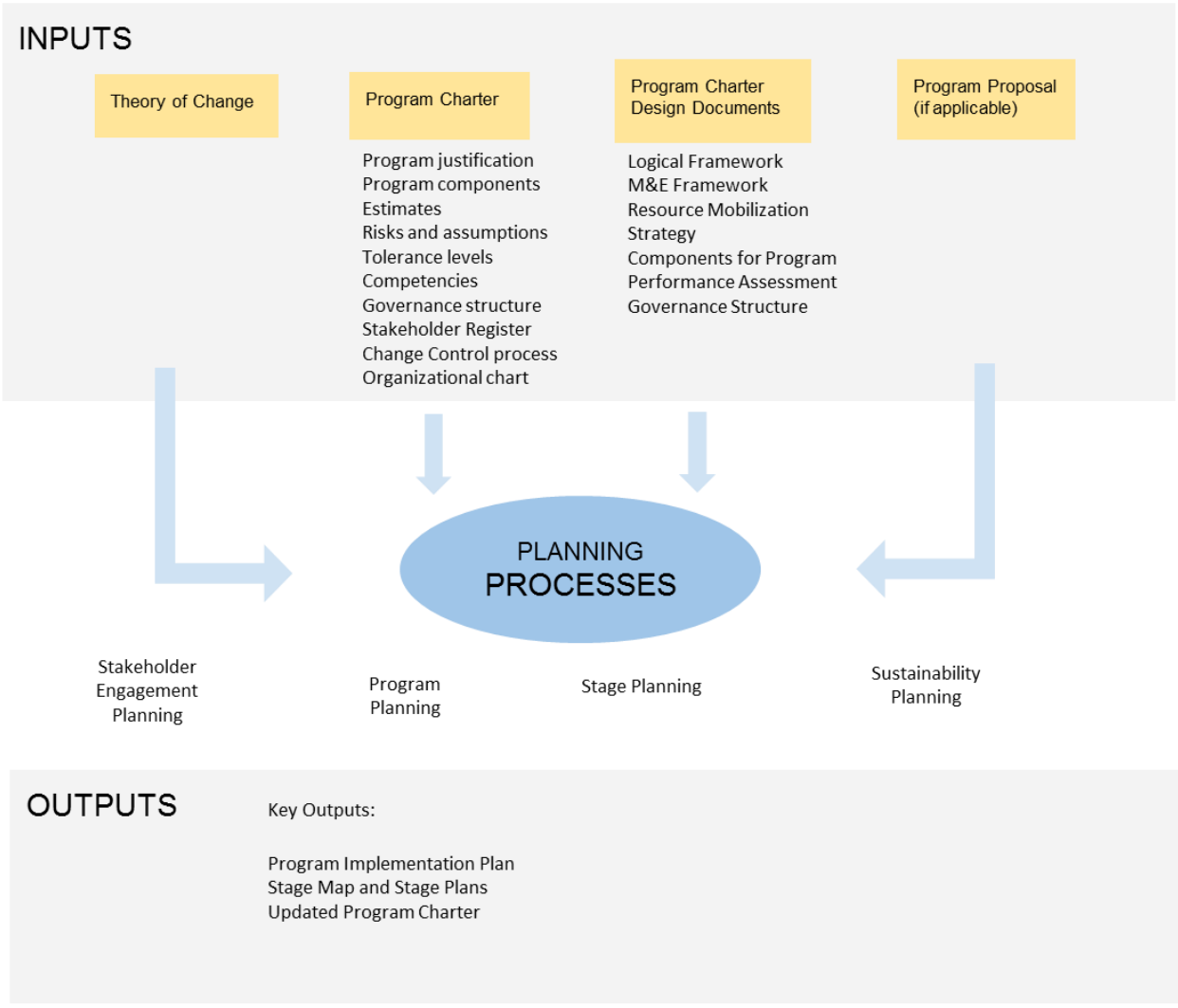
Program Planning

"Planning is an unnatural process; it is much more fun to do something. The nicest thing about not planning is that failure comes as a complete surprise, rather than being preceded by a period of worry and depression."

-Sir John Harvey-Jones

Assuming that a program gets funded, and the Identification and Design Phases are complete, it is now time to start developing plans. Remember that your plans will continue to be modified and adjusted throughout the lifecycle of the program. We will continue to use methodology from the previous two phases, which is: Inputs enable processes, which produce outputs.

Figure 18: Planning Processes



Inputs

The following documents list should have already been developed and authorized in the Design phase. These documents are essential for completing the planning processes and they should be shared with all relevant planning team members.

Documents and Information for Planning

Organizational Theory of Change

- ✓ All planning documents flow from an organization's Theory of Change (if available), or other strategic documents, such the Annual Plan, Strategic Plan, Vision, and Mission.

Program Charter

- ✓ Program justification
- ✓ Program components
- ✓ Estimates (schedule, budget, scope)
- ✓ Risks and assumptions (including a Risk Register)
- ✓ Tolerance levels
- ✓ Competencies (required for key roles)
- ✓ Governance structure
- ✓ Stakeholder Register
- ✓ Change Control process
- ✓ Organizational chart

Design Documents

- ✓ Logical Framework
- ✓ M&E Framework
- ✓ Resource Mobilization Strategy
- ✓ Components for Program Performance Assessment
- ✓ Governance Structure

Processes

The following processes are recommended to help structure discussions that take place during planning. This process should be worked through in the order that they appear (below) to ensure that all aspects are covered.

Stakeholder Engagement Planning

Stakeholder engagement is a vital part of successful program management and must be supported by a **Stakeholder Engagement Strategy**. Having this strategy in place will ensure:

- Buy-in and ownership of the program
- That program and project plans include stakeholder management activities in their stage plans
- Cooperation and participation throughout the life of the program
- Vertical and horizontal accountability to stakeholders
- Stakeholder voices are heard when appropriate in decision-making processes

Utilization of stakeholder engagement tools, such as the Commitment Curve *(see Participatory, Fig 21)*, will help the program team to develop, maintain, and manage stakeholders at optimal points within the program lifecycle. It is a useful tool for identifying which activities need to be undertaken to ensure that stakeholder commitment moves 'up' the curve and stays there. Decision Gates can then be used as checkpoints to ensure that the stakeholder engagement strategy and plan is up-to-date and involves the right stakeholders, at the right time.

Program Planning

Program planning can seem like a daunting task – it is like putting together a complicated puzzle. However, this process is essential and will help you to set a clear direction for the program. Remember that the intention is to develop a plan that informs others about what needs to be done. You will have used various tools in the Identification and Design Phases to prepare information that you need for this phase. Now it is time to add more detail and build out your plans. There is no point in replicating or duplicating work – so working as a program team, – ask Project Managers to develop detailed plans, which can then feed into an overall Program Plan.

The first step is to understand the overarching planning framework, the details of which are outlined below:

Appoint/Nominate the Program Team

This is the core team with the experience and perspectives to further the program goals. If some people are unavailable, or there are some gaps in representation, you should make an effort to ensure that all

areas of expertise are covered. If, for example, a Communications Unit is unable to provide dedicated resources for the team, it may be possible to negotiate an arrangement with the Unit to ensure that communications perspectives are covered.

Communicate Program Goals

Your Program Goals need to be clear and shared with all internal and external stakeholders. It is also essential that you clarify who key program staff are, and that their roles and responsibilities are understood.

Review Tools, Processes, and Templates

At this point, information gathered using tools in the Identification and Design Phases is reviewed, updated, and expanded to include resource needs and specific timelines. If a Risk Register has already been started, now is the time to complete it with more concrete information.

Next, decisions should be made around which tools, processes, and templates will be most useful for the program team and project staff to use in their day-to-day work. The goal is to ensure that everyone involved in a program uses an appropriate set of standardized tools and processes. These tools will need to provide all of the information needed to build and maintain a good overview of progress for monitoring and reporting purposes.

As the Program Manager, you should also work with the governance structure to define and decide how risks will be managed and issues escalated from projects, to program, to the governance structure. In other words, when is a project-related risk or issue serious enough to be entered in the Program Risk Register or Issue Log? What can trigger this?

Develop a Program Stage Map

What is the right combination of projects to achieve the program goal? What other non-project activities (such as program reports, recruitment, or communication) will need to be undertaken? It is important to develop a good conceptual understanding of what the overall program architecture will look like. This work started in the Design phase and now needs to be developed into a Stage Map. Engaging internal and external stakeholders will help the program team to build a picture of the expectations and constraints a program will need to operate within. When there is a shared understanding of these, the team builds in the project timelines (start and end dates), dependencies (between projects), and the non-project deliverables.

Develop Subsidiary Plans and Detailed Plan for the First Stage

Using information derived from subsidiary plans, the Program Manager must complete a detailed plan for the first stage. Subsidiary plans are prepared by program and project staff and include: finance, communications, human resources, supply chain, monitoring and evaluation, and learning plans.

The Program Manager is responsible for ensuring that all subsidiary plans are prepared. If, for example, a program is comprised of multiple projects, each with a range of supply chain activities, there may be a need to develop an overarching Supply Chain Plan to manage efficiencies and economies of scale at a program level.

Economies of Scales

This term is used to describe the concept that as an entity increases in size, it can become more efficient.

It will also be important to develop formal Monitoring and Evaluation plans that include the timelines for review of activities and collection of quantitative and qualitative data. This is then used to highlight potential problems, prioritize areas of work, and make important and timely course corrections to different program and project areas.

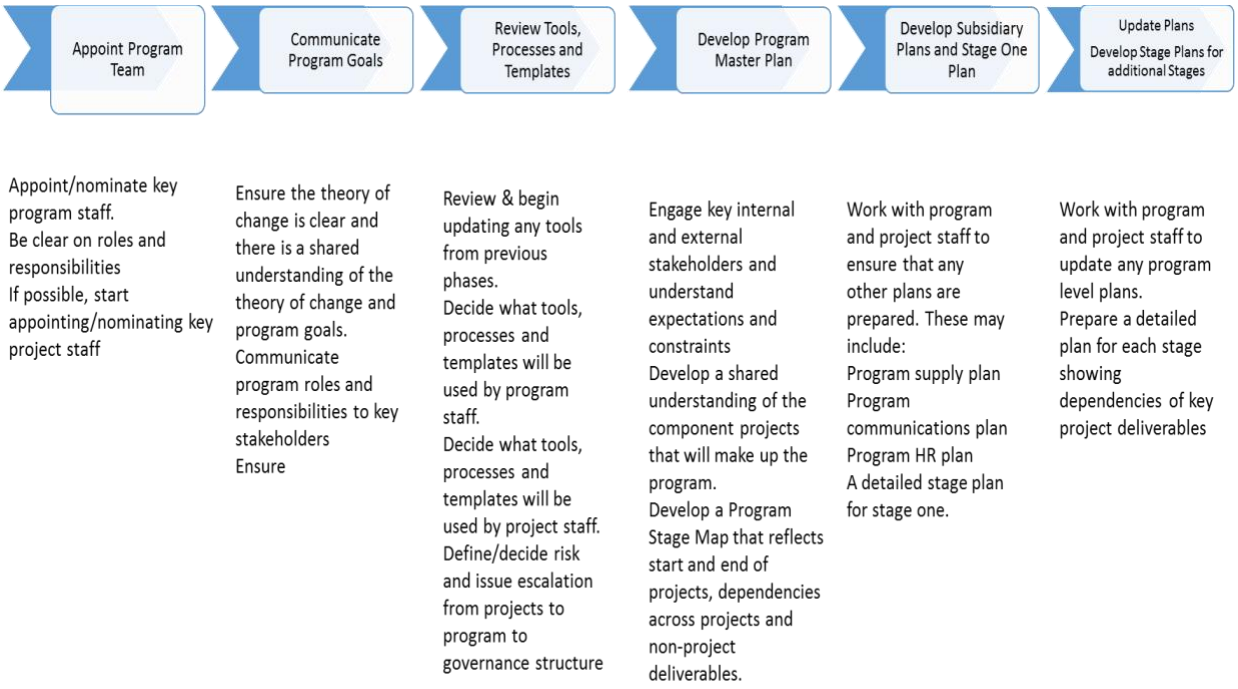
There will almost certainly be a need to update and refine any fundraising plans developed in the Design phase (Resource Mobilization Plan Checklist). There will also need to be detailed plans for achieving any non-project deliverables. For example, Decision Gate meetings need to be scheduled and planned.

It is essential that within the program team, and across all projects, there is a shared understanding of the key deliverables and interdependencies between each of the projects during the first (and subsequent) stage(s).

Keep Plans Up-to-Date

Remember that your plans are 'live' documents and should be kept up-to-date, with an overview developed for each new stage.

Figure 19: Planning Process Summary



Stage Planning

Since the timeline for a program can last several years, breaking the work down into multiple time-bound stages is a good way to develop comprehensive and detailed plans. The **Program Stage Map (PSM)** is a visual illustration of how different areas of a program – its overall tasks, project activities, resource requirements, and funding processes - interact. The PSM combines timeframe estimates (from the Gantt chart) with a breakdown of deliverables (from the Work Breakdown Structure), and includes

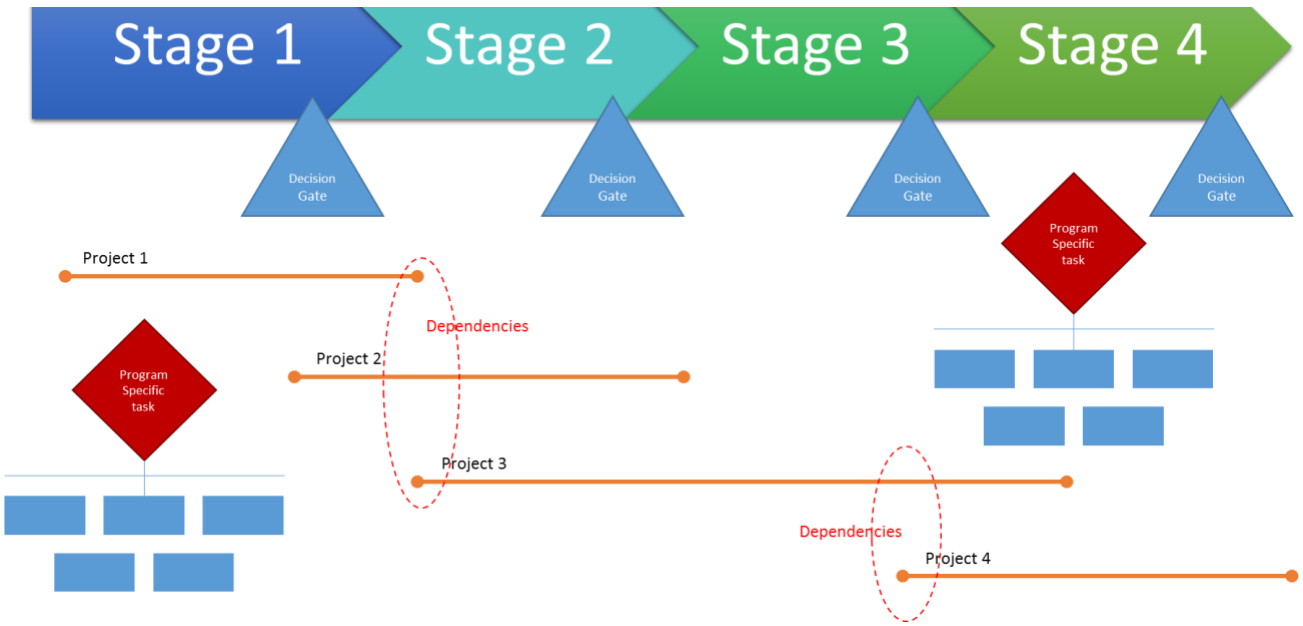
Decision Gates and program specific tasks in the overall timeframe. When the timeline of one activity overlaps with another, it is an indication of a dependency between one area of the program and another.

It is important to develop the PSM with team members and stakeholders in a participatory way. Senior program staff should be involved and Project Managers can strengthen this process because of their knowledge and practical experience. The process itself helps to build a shared understanding of program goals and the implications of these for the projects and their interdependencies.

As the program progresses, the PSM should be updated to reflect changes at a project level. For example, a delay in achieving deliverables in one project may have consequences for another. If both projects are delayed, this may result in further delays in other projects. Updated and realistic PSMs are a great tool for monitoring progress during implementation because they allow teams to visualize the impact of issues and delays. They also help the team to establish whether the progress of some projects or components will need to be accelerated to meet the overall goals of the program.

If the estimates for the duration of each of the projects are accurate, it is possible to use the PSM to calculate a critical path for the whole program.

Figure 20: Program Stage Diagram



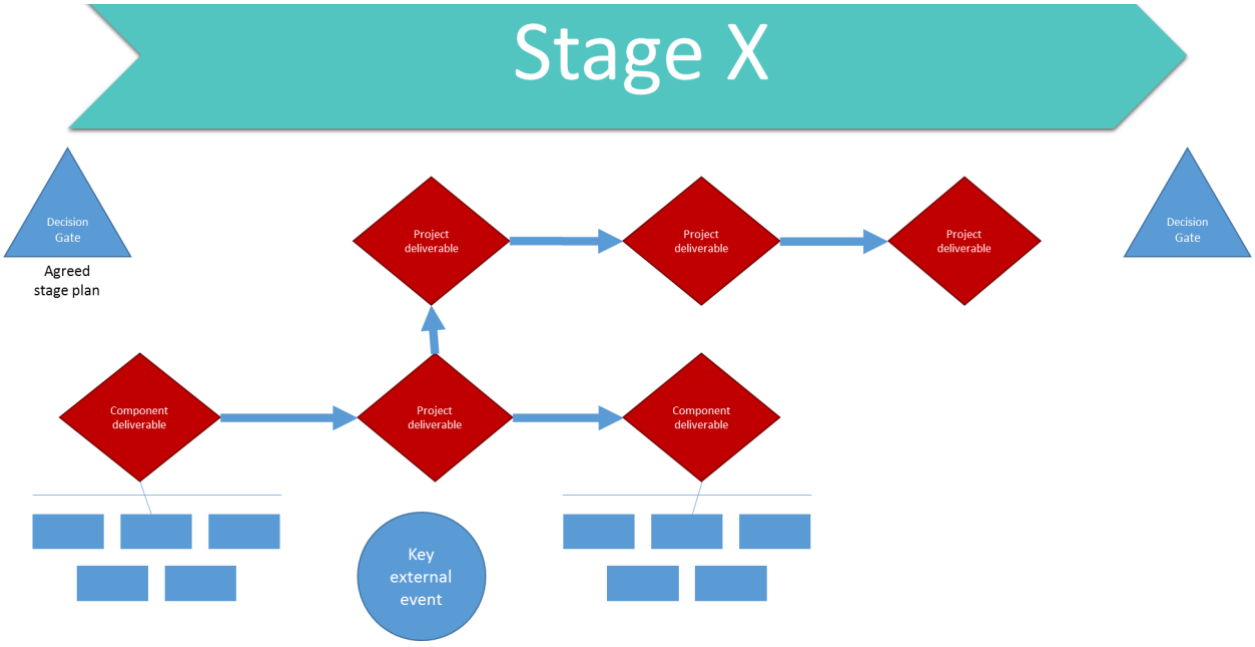
One of the disadvantages of the PSM is that it may not always be possible to provide accurate estimates for program and project activities this early in the lifecycle of a program. The timelines for programs can continue over several years, making it difficult to plan so far ahead. The solution is to develop a more detailed plan for each stage, as this diagram of a Stage Plan shows.

The Transition Planning Matrix (below) is a helpful tool to define and plan for ongoing sustainability.

Table 6: Transition Planning Matrix

Component	Key Questions	Guiding Principles	Challenges
Plan for transition from earliest program phases	What type of transition is envisioned? What is the timeline? What are benchmarks?	Ongoing project review and revision Transparency; especially funding.	Balancing firm commitments with flexibility Allowing adequate time to develop capacity.
Develop partnerships and local linkages	Are we selecting the right partners? What assets do the partners bring?	Diversity: may need other project inputs Clear and common goals.	Aligning needs and objectives of diverse stakeholders Supporting local partners.
Build local organizational and human capacity	What capacities are needed? What capacities exist?	Build on existing capacity if possible Create environments to support capacities.	Designing monitoring to track capacity building Providing incentives and retaining experienced staff.
Mobilize local and external resources	What inputs are needed to maintain services? Can benefits be sustained without ongoing inputs?	Procure resources locally where possible Increasingly bring external resources under local control.	Difficulty finding adequate or available local resources Other funders not 'buying-in' to original objectives.
Stagger phase out of various projects and activities	What are key elements? Which elements are dependent on others?	Flexibility; staggering sequence may change upon implementation.	Sufficient time allowed in the program to start seeing the intended impact and outcomes.
Allow roles and relationships to evolve after transition	What types of ongoing support are needed (advice, mentoring, Technical Assistance, etc.)? How will ongoing support be funded?	Prevent slippage of a programs intended results by including in extended, expanded, or redesigned projects.	Availability of funding for ongoing support Availability of staff who can focus sufficient time and energy on ongoing support.

Figure 21: Stage Plan Example



Sustainability Planning

One of the key measurements of a program's success is the extent to which outputs can be sustained after a program has closed. For example, one of the main outputs of a program is to achieve lobbying success that results in an important change in governmental social policy. But this is often not the end of the process. Governments then need to be held to account for their promises and the tangible impact of new social policies tracked over time. While these follow up activities may be taken up by another organization, alliance, or consortium in order to achieve a smooth transition, the Program Manager will need to work with stakeholders to plan how this happens.

Comprehensive Program Plans should always include an end of program Transition Plan that documents how the program will evolve. This could include various scenarios or contingencies that address potential risks, and may also allocate additional resources should an organization want to retain some involvement in the future.

Outputs

At the end of the initial planning period, all of the documents needed to start the actual work of the program should be in place. By coordinating the development of a high-level Program Implementation Plan, ideally through the involvement of a number of stakeholders, the Program Manager has taken a proactive first step towards implementation and created a functional management tool. As necessary, more detailed and specific plans have been drafted as well. The creation of a Stage Map and initial Stage Plans will ensure that detailed work can begin.

At this time, assumptions and potential challenges will have been identified and staff should be able to begin work with a shared understanding of the program and their respective roles and responsibilities. The program is off to a good start. As implementation progresses the plans created above will continue to be updated and refined.

Program Implementation

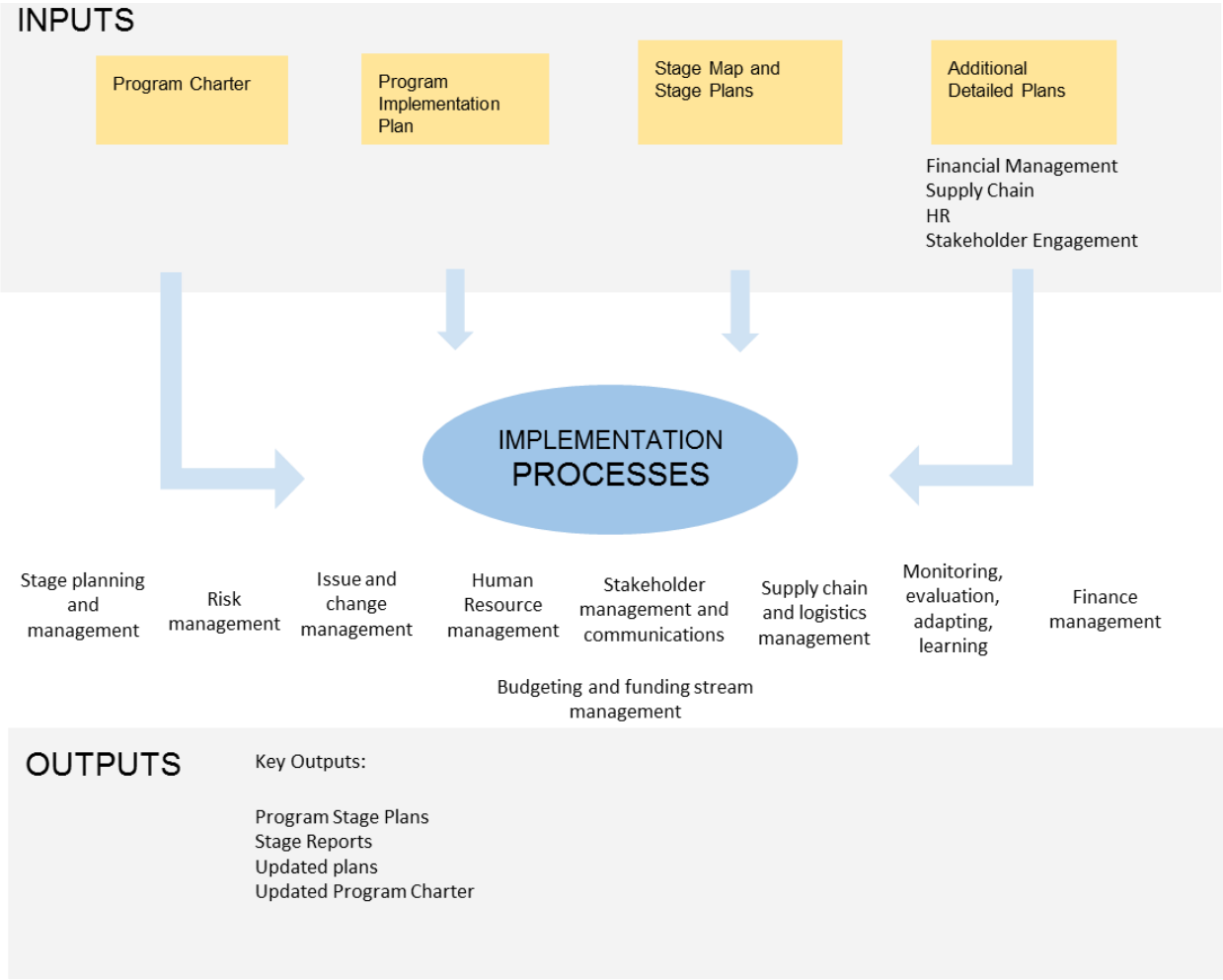
> "Plans are only good intentions unless they immediately degenerate into hard work."
>
> -Peter Drucker

The Program Charter has been authorized and the Program Stage Map and first phase Stage Plans are complete. Donor proposals have been submitted and awarded so funds are available to proceed. All of the stakeholders critical to the program are informed. It's now time to start implementing program and project activities.

The vast majority of time will be spent on implementation – moving fluidly and iteratively to plan, implement, and re-plan at different stages, fine-tuning the program and projects to achieve their overall goals. Being able to step back and make strategic decisions about critical program areas, guiding and advising teams, and keeping important stakeholders informed are the essential and defining skills of the Program Manager.

To build the knowledge needed for the implementation it is helpful to work through three steps. Inputs enable processes, which produce outputs.

Figure 22: Implementation Processes



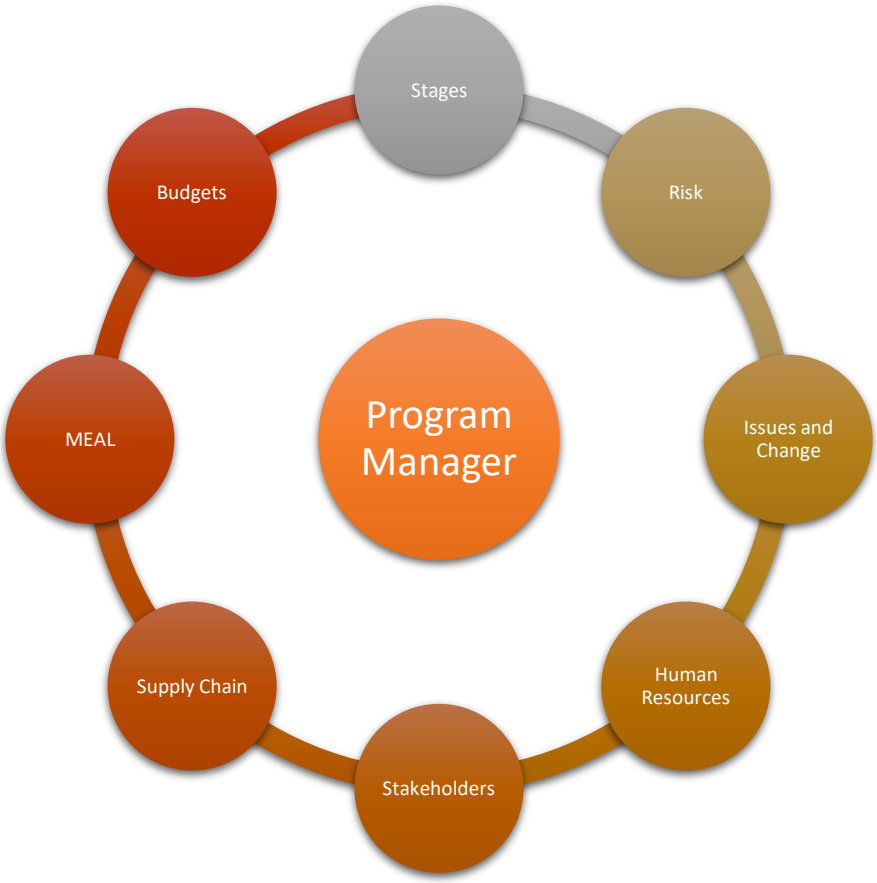
Inputs

The following documents and plans are instrumental to the successful implementation of a program. In fact, when a program is underway, the primary work of the Program Manager (described below under Processes) will inevitably result in their regular review and upkeep.

- Program Charter
- Program Implementation Plan
- Stage Map and Stage Plans
- Financial Management Plan
- Supply Chain Plan
- HR Plan
- Stakeholder Engagement Plan

Processes

As a Program Manager you will be managing a variety of different processes during the implementation phase. Some of these processes include:



Stage Planning and Management

Stage Planning

Stage planning uses the *rolling wave* planning framework to ensure that learning from one stage can influence the next. As each stage concludes, a detailed plan is created for the next. Adjustments can be made to continually improve performance and ensure that operations are responsive to external or internal change. Just remember, when a significant change needs to be made, this must be authorized by the governance structure.

Stage Management

Stage planning takes place at program and project levels. As the Program Manager, you must ensure that project teams have the training and skills needed to deliver detailed and comprehensive stage

planning. This critical information is essential for overview stage program plans. The management of this process also involves effective risk and issue management, with the **Risk Registers** and **Issue Logs** being updated regularly by project teams, and issues and changes escalated appropriately for decision-making and action (with tolerances for different levels of decision-making set during the Design Phase).

Risk Management

At a program level, risk management involves a high level of coordination with projects. It is the job of the Program Manager to know what is happening in each component project, to maintain strong relationships with Project Managers, and to ensure that there is a constant flow of information going back and forth. This ensures that Risk Registers are be kept up-to-date, giving the Program Manager a comprehensive view of the program so that risks in one project can be managed in a way that doesn't impact on the activities of another.

Keep in mind that risk management requires a participatory approach and the ability to be creative and adaptive in identifying response strategies.

Issue and Change Management

While risk management focuses on anticipating and mitigating future problems, issue management focuses on dealing with immediate problems quickly and effectively. As issues occur at a project level, they are captured in an Issue Log and either dealt with by the project team if tolerances allow, or escalated to the next level.

As the Program Manager, you should be aware of issues that arise at a project level and feel confident that the right processes are in place for these to be managed effectively. The program level Issue Log is a useful tool for capturing problems that arise in multiple projects, enabling the Program Manager to see if a delay or problem in one project could have an impact on another, and then communicating with relevant teams to ensure a prompt response.

Human Resources Management

Effective leadership and performance management are, of course, essential program management requirements. However, this is not a topic for in-depth consideration in this Guide. International organizations will have well-established HR processes for developing staff. Other than stressing the importance of developing the capacity of individuals, the focus of this Guide addresses the practicalities of managing the right staffing levels and approaches for the effective delivery of a program, which requires looking at staffing requirements from a holistic perspective.

Manage across multiple levels

Program Managers need to be able to manage '*upwards*' to influence and keep senior managers, board members, policy makers, government officials, and donors informed. They must also manage *'across'*, establishing lateral relationships with beneficiary communities, department leads, external specialists, and other program managers. They are also accountable for ensuring the effective leadership of project managers, officers, and program staff, often referred to as '*downwards'* management.

Involve the right people at the right time

Closely linked to the governance process outlined in the Identification Phase, it is important that the Program Manager brings people into the program with the right level of skills, and at the right time. This could be an external stakeholder who is critical for defining the context within which a program will operate. It could also be the timely involvement of a communications expert, or commissioning a specialist to conduct a mid-term evaluation of the program.

Staff planning at the highest level

Program Managers are accountable for the delivery of all aspects of their program and this includes ensuring that Project Managers with the right skills are recruited and primed for implementation. It also necessitates making sure that internal support services are available and appropriately staffed, such as finance, logistics, procurement, and monitoring and evaluation specialists. Their line management responsibilities include ensuring that Project Managers receive the support that they need to develop effective staffing plans for their projects. There will be occasions when more flexible management frameworks need to be implemented. For example, during rapid response emergencies, reporting lines may not fall within a strict hierarchy.

Mentor and oversee staff development

Program Managers are accountable for ensuring that individuals in their teams have the skills and capacity to meet their day-to-day objectives. They should know what is expected of them and understand how their performance will be measured. Mentoring and coaching are excellent ways to develop the capacity of individuals so that they can excel and develop in their roles (and take on future challenges). It is important to set the expectation that staff should be open to change and adaptation because of the dynamic context within which they operate. They must also understand how their project aligns with the overall program goals.

Stakeholder Management and Communications

Individuals, groups, and organizations critical to a program's success have already been identified in previous phases. During the Design phase, the Stakeholder Analysis outlined and prioritized the roles and relationships that each stakeholder would have with the program. Plans for managing different stakeholders should already in place and defined in the Stakeholder Engagement Plan. These plans are put into action during implementation.

Some stakeholders will be incredibly supportive, and others potential blockers. Each relationship needs to be managed carefully to reinforce their commitment (Commitment Curve) or to change their negative attitudes. The following principles are a useful guide to effective stakeholder management:

Communicate

At all stages of a program it is essential to maintain strong and appropriate communications with all stakeholders. Before aiming to engage and influence, it is essential to understand the background and motivation of each stakeholder. Once known, targeted messages can be developed to get the desired response.

Table 7: Stakeholder Communication Principles - Implementation Phase

Principle	Explanation
Consult early and often	Bring stakeholders in at the right time and make sure that they are given sufficient notice. Ask for their advice and listen to their perspectives.
Listen and learn	People communicate in different ways so be prepared to adjust your way of listening to accommodate different perspectives, approaches, and ways of delivering. Be alert to stakeholders who may have a different agenda and ensure that the overall goals of the program are the priority.
Plan, plan, plan	Make clear decisions about where and how to invest time with stakeholders. This should be driven by their potential to further a program's outcomes. There's no point in spending a huge amount of time with those with little power to influence, when an update or brief report would do just as well!
You may be missing something!	The RACI (*Responsible, Accountable, Consulted, Informed*) diagram should be used and updated during all stages to ensure that the status of stakeholders has not changed.
Relationships are key	Focus your energies on developing productive working relationships with high-priority stakeholders to build trust and commitment.
Simple but not easy	Your stakeholders are busy people. They need to be consulted and informed but not overwhelmed! Understand their communications preferences and respond intuitively. Be brief, concise, and empathetic where appropriate. Engage, interact, and listen.
Tune into risk	There may be times when a potential ally turns into a liability. If this is the case, it's important to assess the extent of the risk, and whatever the outcome, to manage the relationship in a way that maintains the integrity of the program.
Stakeholder expectations	What is the value of the program to the stakeholders that you involve? What is their idea of success? It's important to clarify perceptions from the outset so that expectations are realistic and managed effectively.
Good governance	Stakeholder management is not just the responsibility of the Program Manager. Everyone has a role to play, from staff that have every-day contact with beneficiaries, to those with direct contact with donors. The program's governance structure or Board may also be able to help, so make sure these individuals are involved and primed to influence when asked.
Don't forget your team	Internal stakeholder management is crucial at a program level. Building strong personal relationships, maintaining regular communication, ensuring that all team members understand their overall goals and objectives, and that Project Managers are submitting reports and escalating issues appropriately are all essential for the smooth running of any program.

Supply Chain and Logistics Management

Implementing a program necessitates the purchase and supply of numerous resources (supply chain) and the management of supporting infrastructure (e.g. warehouses, vehicles), financial, and human resources. These activities are usually conducted at a project level, with the Program Manager accountable for making sure that purchasing processes are followed correctly and maintaining an overview of inter-project and program dependencies so that the overall supply chain is managed cost-effectively.

Some of your supplies may include:

- Vehicles
- Raw materials
- Facilities
- Equipment

As you probably remember from the PMD Guide, the management of these resources incorporates three main categories: procurement management, logistics management, and assets management. The role of the Program Manager is to make sure that these processes work effectively, developing overview plans as necessary.

Procurement Management

Includes the identification of materials and services for purchase, when they are needed, how they will be acquired, and by whom. Procurement plans need to be integrated with other elements of the Program Implementation Plan to ensure that all purchase and supply activities are aligned with program and project budgets, calendars, quality requirements, and risk parameters.

Logistics Management

Includes planning, implementing, and controlling the efficient, cost-effective flow and storage of raw materials, in-process inventory, finished goods and related information, from point of origin to point of consumption for the purpose of conforming to customer requirements.

Asset Management

Includes the systems whereby items that are of value to a project are monitored, maintained and disposed of appropriately.

REALITY CHECK: Supply Chain Management

Program Managers are not only responsible for program level supply chain management, but also for ensuring that correct systems and processes are followed at project levels. Maintaining an overview of these activities will enable you to spot inter-project and program dependencies, and to plan ahead, achieve economies of scale, and effectively manage the supply chain.

Monitoring, Evaluation, Accountability, and Learning

Taking time to regularly monitor, evaluate, be accountable, and learn is something that must be applied throughout all phases of program management. This is particularly true during implementation when you are doing '*rolling wave*' stage planning. This provides an opportunity for multiple projects and the overall program to be adjusted to ensure that all projects and components are integrated and are working towards achieving the overall goal.

Advice and processes for effective monitoring, evaluation, accountability, and learning (MEAL) are covered within the principle of Adapting. As the Program Manager, you are accountable for making sure that these processes are followed and that the right people and teams are consulted so that you gain the level of insight needed to make appropriate decisions about the program. Keep in mind that this may mean that you have to make difficult decisions, such as whether or not to stop implementation activities altogether.

Ongoing learning from your monitoring and evaluation processes provides valuable knowledge for other programs and is an important organizational asset. The Program Manager might commission a mid-term internal or external evaluation to assess overall progress and adapt the program accordingly. Final evaluations often take place after programs have closed. The learning derived from all evaluations should be used for future organizational planning, and to meet donor requirements.

Finance Management

The financial management of programs is a process that brings together a lot of different, but related, elements for the purpose of managing resources properly in order to achieve the program objectives.

At its core, effective financial management is a continuous process of planning, organizing, directing, and controlling the financial activities of the program and its component projects. It involves establishing high quality systems and processes that ensure that program funds are used in a consistent and responsible manner. A coherent set of accounting procedures and standards are a must, with all transactions recorded accurately and a complete audit trail facilitating transparent reviews of expenditure.

REALITY CHECK: Financial Management

The Program Manager needs to ensure that the same standard financial processes are used by all projects. This provides the information that you need to spot inter-project dependencies. If there is overspend in one project, you may be able to compensate for this using the finances of another. Similarly, underspend in one project could allow another to increase its rate of implementation.

Budget and Funding Stream Management

Consideration of resource mobilization during the Design phase must now also be turned into a plan. Unlike projects, programs are more complex and often operate with funds from multiple donors, with different funding streams often having their own set of timelines, requirements, and stakeholders. When a program or project has more than one source of income, it can present a number of planning challenges, including:

- Funders have different budget formats and templates, and pay grants in different currencies
- Budget line items and descriptions can vary, so it is not always clear what each category includes or excludes, e.g. transportation, travel, vehicles, etc.
- It is not always clear which funder is paying for what within a multiple-donor funded project
- Funders have different policies on financing overhead expenses and it is not always clear if a project's obligation to indirect costs is met
- Within the same project or program, there could be a risk of some budget lines being either 'double-funded' (i.e. money for the same item from two or more funders) or 'under-funded', and this may not necessarily be obvious

The **Funding Grid** is an internal planning tool that can help to overcome most of the challenges presented above. It provides an overview of who is funding what at a project, program or organizational level, and each of these can be monitored. It is presented in table format, with each source of income aligning with a specific area of budgeted expenditure – also revealing where there are gaps in funding, or areas of 'double funding', by budget line.

Take a look at the sample Funding Grid (below). In reality, this table would include many more columns indicating each source of income, and detailed rows with donor codes mapped to an organization's internal Chart of Accounts.

Figure 23: Funding Grid Example

All figuresin USD			CONFIRMED / EXPECTED INCOME					
			RESTRICTED FUNDS			*UNRESTRICTED FUINDS*		
A	B	C	D	E	F	G	H	I
Code	**Budget group**	**Total budget**	**DFID**	**Smile Trust**	**Vanguard trust**	**Fees & donations**	**Total anticipated income**	**Balance Surplus/ (deficit)**
3,000	Admin	32,100	6,750	6,750	0	18,600	32,100	0
4,000	Personnel	93,772	21,750	21,750	6,000	44,272	93,772	0
5,000	Vehicle running	30,600	9,500	9,500	1,000	10,600	30,600	0
6,000	Project inputs	109,280	52,000	52,000	7,000	0	111,000	1,720
	TOTAL	**265,752**	**90,000**	**90,000**	**14,000**	**73,472**	**267,472**	**1,720**

Columns A, B, C: This is the summary budget with internal account codes and a short description.

Columns D, E, F: These include confirmed sources of funding. The funds are restricted and must be used according to the funder's contracts and agreed budgets. The funds are allocated to the budget lines according to the donor agreement.

Column G These are general unrestricted funds that can be used for any mission-related purpose. Unrestricted funds are used here to fill any gaps not covered by donor funds, based on priorities set by Program Managers.

Column H This is the total income expected at the time of completing the funding grid, for comparison with the total budget in Column C.

Column I The difference between columns C and H. Any gaps in funding shows as a negative figure while 'double funding' – i.e. a surplus on that line – shows as a positive figure.

Tips on using the funding grid

When building the funding grid table, there are some practical considerations and adjustments to make, especially for large and complex programs:

- **Using exchange rates at a specified date** – The budget does not have to present the local currency, and it is common to select the currency of the major source of income.

- **Make sure budgeted expenditure and anticipated income cover the same time period** – As funder agreements can start at different times of the year (and will rarely coincide with your own planning year), it is important to match the income to the time frame covered by the Funding Grid. For example, if your Funding Grid covers annual expenditure from January to December, and a donor grant runs for 12 months from March, then 10 months should be included on the current grid (with the remaining 2 months' grant allocated to next years' funding grid).
- **Map expenditure to internal account codes** – Include the donor codes as well as your internal *Chart of Accounts* codes so that you can see which line items are under or over-funded.
- **Regularly update the funding grid** – As the fundraising situation changes.

Outputs

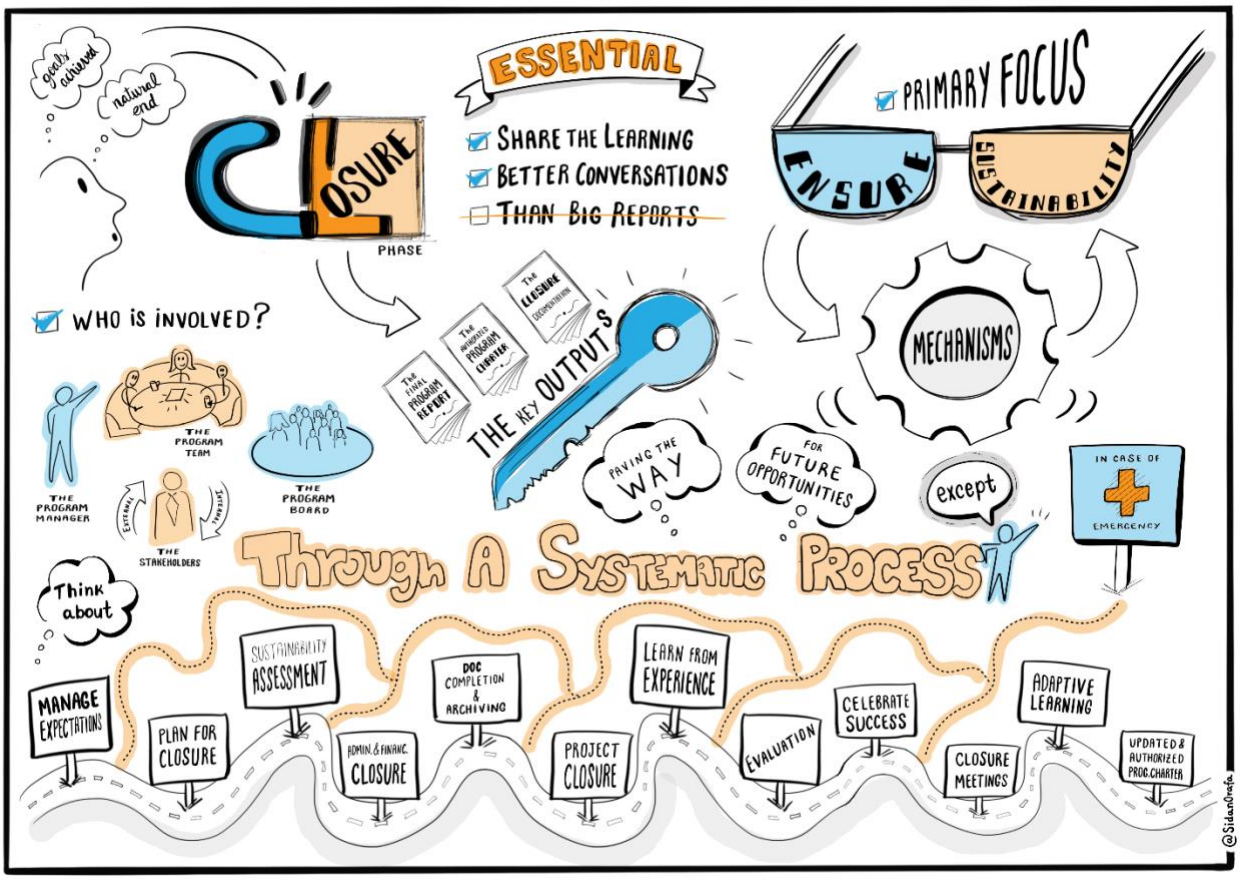
The most important outputs of the Implementation Phase are the program and project deliverables. You, as the Program Manager need to ensure that this happens by monitoring, checking, and amending plans while maintaining excellent communication with project teams and other stakeholders.

The documents that are continually assessed and revised (also known as "living documents") during implementation are:

- **Program Stage Plans:** New or updated stage plans are developed as the program and projects move through the implementation process.
- **Stage Reports:** A short report on the performance of the previous stage is useful for planning the next stage and serves as a program update for stakeholders. A good way to engage stakeholders throughout the process is to provide a timely overview that summarizes 1) the Decision Gate, 2) the report from the previous stage, and 3) the plan for the next stage.
- **Updated plans:** Finance, Supply Chain, HR, and Stakeholder Engagement Plans should be reviewed and updated at each stage to reflect the progress of the program and the dynamic and changing operating environment.
- **Updated Program Charter:** As adaptations are made to program plans; the Program Charter should be updated and shared with the governance authority or Board. Depending on the level of changes made, the governance authority or Board will either ask to be kept informed of developments or approve changes through formal reauthorization of the Charter.

The Planning and Implementation phase of a program can last for many months, or even years. You will have planned, implemented, reviewed, re-planned, and implemented in an ongoing process until, finally, your program is ready to close and your Theory of Change pathway has been achieved. You have had useful conversations with stakeholders about how your valuable work will be sustained in the future. As we move into this last final phase, your plans for Closure are already clearly defined. Your team members are starting to move on but you are confident that you have the right team in place to close down all activities in a professional way.

Welcome to Phase 4: Program Closure



"It is always important to know when something has reached its end. Closing circles, shutting doors, finishing chapters, it doesn't matter what we call it; what matters is to leave in the past those moments in life that are over."

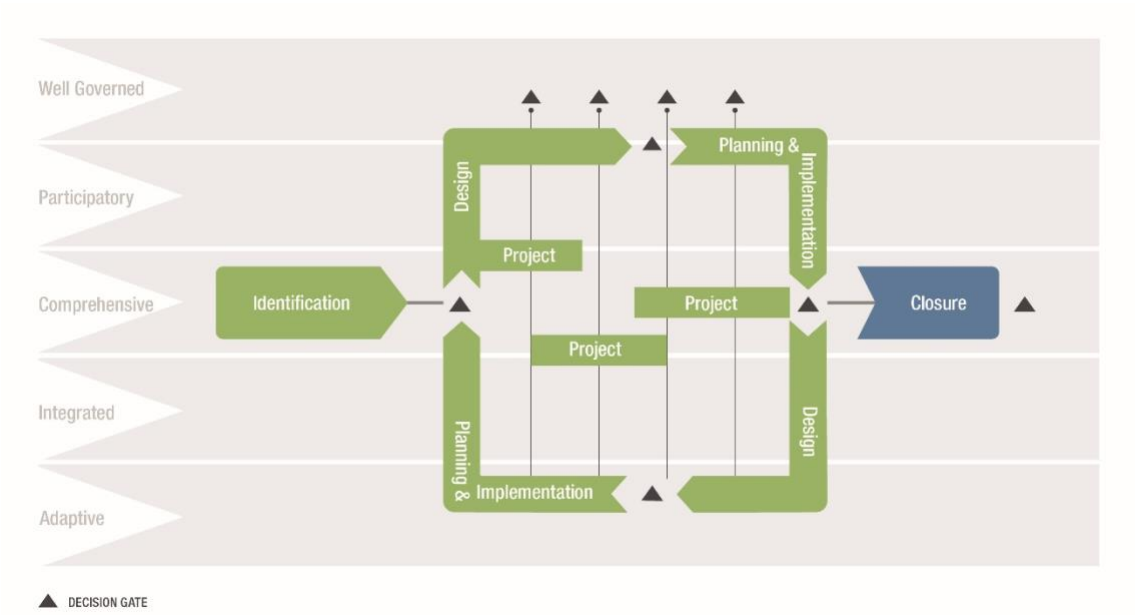
Paulo Coelho

Introduction

Programs should come to a natural end when its goals and objectives have been achieved. As mentioned previously, when a Theory of Change is developed for a program, it represents its 'pathway'. Through this pathway, the designated outcome(s) have been achieved and all the constituent projects and components concluded and accepted by stakeholders.

A primary focus of this phase is to ensure that the program's overall mechanisms for sustainability are in place in order to guarantee that change outcomes are maintained after it has closed. To successfully close a program, a number of processes and activities must be worked through systematically, involving everything from completing forms, to ensuring that all program and project documentation is up-to-date and filed appropriately. Once these tasks and processes are completed, internal and external stakeholders are officially informed that the program is closing. If stakeholder expectations have been managed effectively in previous program phases, this will not come as a surprise to anyone.

Many of the documents used throughout the program, can also be used as learning tools for future program design, or for other plans related to the long-term sustainability of the program.



Key Output:

The completion of the Closure phase usually results in the following:

Final Program Report: This document is an assessment of the effectiveness of the program and whether or not it has achieved its objectives. These reports are often evaluations delivered by an external specialist during, or after, the program has closed. The format of an evaluation is often driven by donor requirements.

Authorized Program Charter: Developed and authorized during the Design Phase, the Program Charter may have been amended and signed off by the program's governance authority several times during implementation. As the program reaches conclusion, you need to ensure that it is, once again, signed and authorized, indicating formal acceptance of closure.

Closure Documentation: All relevant documentation for the program and its constituent projects needs to be completed and archived correctly. One of the roles of the Program Manager during this phase is to ensure that each project team follows systematic processes to close contracts, financial, and administrative functions. As projects close, the Program Manager (and team) must ensure that all non-project activities are also formally concluded (see below). There also needs to be a clear archiving process for all program and project documentation. It's a bit like tying a ribbon around everything once it is finished!

REALITY CHECK: Program Closure

If your program were to be audited two years after closure, the auditors should find an archive system that makes it easy to locate relevant documents. But the organizational knowledge contained in these files is extremely valuable and shouldn't be filed away. It's important to share the learning from your program with others and to make sure that it becomes part of your organization's DNA. Rather than sending out a big report, it's better to have conversations with your peers, sharing your results and ensure that your governance authority does the same!

Decision Gate

You should be quite familiar with the decision gate process at this point in the Guide. For the Closure Phase, we use information represented in the final program report, Project Charter, and closure documentation to decide whether to close the program. It is important to note that the question to ask is whether the program is ready to begin implementing formal closure processes.

What might this decision look like?

Readiness to close will depend on many different factors and the timing of this decision will vary depending on the nature of program.

If, for example, the main program outcome is to achieve lobbying success at an important global meeting after several research projects have been concluded, this doesn't mean that the program is ready for closure. It will continue at another level until either the meeting is over or the lobbying campaign achieves success. Then it is ready to close.

If, on the other hand, the main focus of a program is to deliver multiple projects to reduce food insecurity in a badly affected district, it is likely that a variety of different projects will close at different times, and the decision to close the program will be when interventions are no longer necessary.

Ideally, the decision to close a program will be very well planned, allowing for a smooth transition into closure. In this case, the decision to close should be based on whether the program's overall outcomes or Theory of Change pathway has been achieved.

However, program closure could involve a sudden decision in response to a critical internal or external factor (due to funding constraints, political instability, or circumstantial reasons).

What factors should be considered?

The questions (below) are a guide to help determine whether or not you are ready to close a program.

- ✓ Have all of the program components been delivered? If not, how will this happen, and who will who will be responsible?
- ✓ Have all of the projects been satisfactorily transitioned to another program or organization, to the community, or into a process of closure?
- ✓ If the program is closing prematurely, do any projects need to continue under another governance structure?
- ✓ Are all stakeholders aware that the program is ending?
- ✓ How well have the expected outcomes for different stakeholders been achieved?
- ✓ Are beneficiaries satisfied with the outcomes?
- ✓ Are project level outcomes being sustained?
- ✓ Are there any outstanding outcomes? If so, how long will it take for them to be completed?
- ✓ Are there any risks that still need to be addressed? If so, who will manage them?
- ✓ What lessons learned during the program lifecycle need to be passed on to relevant stakeholders or future programs?
- ✓ What is the best way to incorporate lessons into organizational project and program management learning systems?
- ✓ Does the Program Owner agree that the program is ready to close?

REALITY CHECK: Emergency Closure

If a decision is made to close a program unexpectedly or suddenly, there may be no time to adhere to established procedures. If this is the case, and with the agreement of the governance authority or Board, mechanisms need to be put in place to ensure that this process runs smoothly, in a condensed timeframe.

It will be important to work with and support project managers, as the decision to close a program could seriously impact their work and relationships with communities.

You will need to plan appropriately and ensure that all stakeholders are informed at all times. While some will only need to be informed, others may need to participate in closure activities. All decisions must be recorded.

Much will depend on why the decision has been made. It may be that your discussions will involve deciding how to transition some or all of the component projects into another program or organization.

Who is involved in the phase?

The Program Owner or Board will have discussions with the Program Manger to address the Phase 4 Decision Gate. Once agreed, the program team then systematically works through all of the program closure processes, collecting documentation, and updating the Program Charter. The Charter and other documentation are then presented to the Program Owner or Board. The Charter will be amended as necessary, and then verified for formal sign off. There may also be involvement from governance stakeholders at this point. Once the program's closure activities are completed, the Program Owner or Board is responsible for confirming formal program closure to high-level stakeholders and other relevant parties.

All stakeholders must be communicated with effectively. Senior external stakeholders, such as donors, ministries, allies, and consortia must be managed carefully to safeguard an organization's reputation and potential for developing programs in the future. It is equally important to communicate well with community leaders and beneficiaries, partners, and suppliers – those who have been involved in delivering projects and contributed to the overall achievement of the program.

Program Manager	Program Owner or Board	Project Manager(s)	Other Stakeholders
• Leads, manages, and is accountable for closure processes	• Advises and authorizes the formal program closure	• Manages project closure processes, keeping the Program Manager informed	• Involved at different levels depending on their relationship with the Program (RACI)

What does this mean in practice?

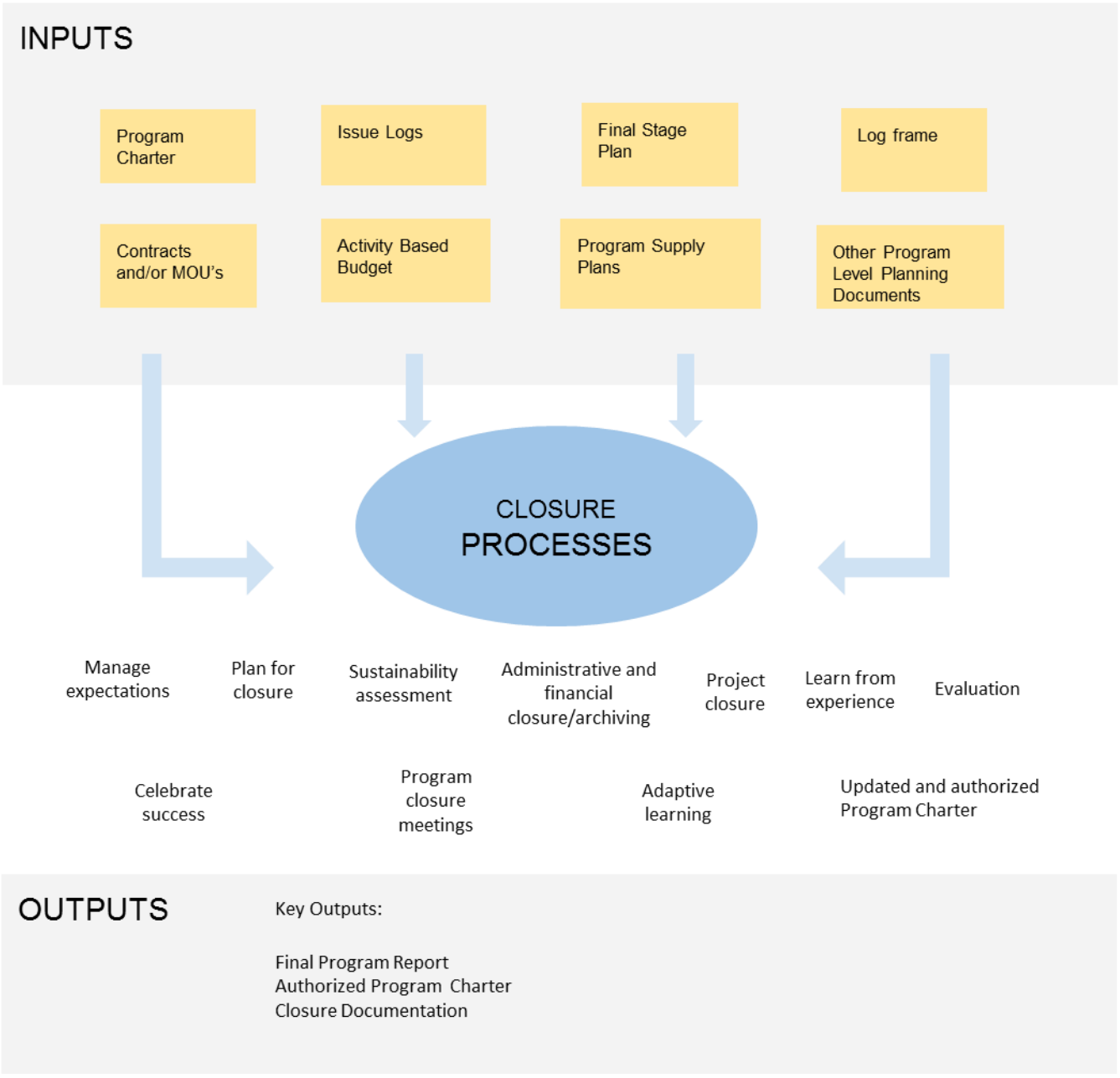
As a general rule, it is better to anticipate that program closure processes will take longer than expected – and certainly longer than it takes for a project to transition into its next phase. This is because a greater variety and number of stakeholders need to be involved, so it is essential to build in sufficient time to engage, plan in advance, and secure the commitment of everyone concerned.

All programs operate with different constraints and there may be occasions when you, the Program Manager, decide to stagger closure-related activities (with different elements closing in more of a phased plan). If this is the case, it is important to ensure that all elements are coordinated and do not present a risk of cost or time overruns.

All projects related to the program must also be concluded within the timeframe of program closure. The Program Manager makes sure that standard processes are followed, that stakeholder relationships are maintained, and all documentation is completed and archived.

To build the knowledge needed for the Closure Phase we will continue to work through three steps used in the other phases. Inputs enable processes, which produce outputs.

Figure 24: Closure Processes



Inputs

The following documents are essential for the closure process:

- Program Charter
- Issue Logs
- Final Stage Plan
- Log frame
- Program level contracts and Memoranda of Understanding (MOU), with e.g. donors, suppliers, government departments
- Program and project budgets
- Program Supply Plans
- Other program level planning documents (e.g. Human Resource, Finance, Communications, Monitoring and Evaluation)

Processes

Using the following processes are recommended to ensure that program activities are closed down systematically and thoroughly.

- ✓ Manage expectations
- ✓ Plan for closure
- ✓ Sustainability assessment
- ✓ Administrative and financial closure and archiving
- ✓ Documentation completion and archiving
- ✓ Project closure
- ✓ Learn from experience
- ✓ Evaluation
- ✓ Celebrate success
- ✓ Program closure meetings
- ✓ Adaptive learning
- ✓ Updated and authorized Program Charter

Processes may differ depending on the organization; the key point is to be sure that you are being as thorough as possible in your closing procedures.

Manage expectations

The expectation that a program will close at some point should be set from the outset and communicated effectively throughout the Planning and Implementation Phase. Relationships with all stakeholders will have been carefully managed through all program stages and when it's time to move into the Closure Phase, this should never come as a surprise.

REALITY CHECK: Managing Expectations

Programs, by definition, are bigger and can sometimes last longer than their component projects. There is a risk that some communities and beneficiaries may have come to see the program as a more permanent and on-going structure. Program Managers must ensure that the expectations of all stakeholders are managed appropriately. For primary beneficiaries, this involves making it clear that a program is closing and that sustainability actions are assured.

Plan for Closure

Planning the closure process is critical to a smooth and successful program exit. During this last phase, program staff will be looking for other jobs or programs to manage, so think ahead and make sure that there are sufficient resources – and staff in place - to manage this process. Be realistic and establish a workable timeframe for closure activities so that they can be delivered while resources are still available, including use of a computer or an office to work in!

Some of the tools we have used throughout the program will continue to be helpful in the Closure phase.

Risk Register	This tool will enable you to think ahead to anticipate and mitigate problems that may occur, e.g. making sure that all suppliers are paid in full while there is still budget available
Issue Log	Issue Logs help capture and ensure that issues are dealt with promptly as they arise. It much more difficult to go back and deal with an issue after a program has closed, during which time it could have escalated into a reputational risk
Work Breakdown Structure	The WBS will be helpful to ensure shared understanding and ownership of all activities
Critical Path	You can establish the timeline for closure on a Gantt chart so that everyone is clear what needs to be done and by when

Program team members often leave before program closure to start a new job. This can sometimes result in a program team being overwhelmed with work. Experienced Program Managers will have already thought about this - planning ahead for this scenario in Risk Registers and having early conversations with the program team about this circumstance. The Program Manager may offer assistance to team members in transitioning to other positions in an effort to get them to fully complete the program.

REALITY CHECK: Human Resource Planning

Plan ahead and don't assume that your full team will be available to complete activities during the Closure phase. Be sure that you are prepared should team members plan to leave before the end of program closure.

Sustainability Assessment

If the program team waits until closure to think about long-term sustainability, it is already too late. This is a process that should have started at the Identification Phase and been built out as an important deliverable in the program design blueprint. As tangible plans are translated into implementation, the longevity and future sustainability of program deliverables are integral to the program approach.

The Closure phase is the point at which the Program Manager makes sure that sustainability activities at project and program levels have been completed and are effective. If one or more sustainability activities have not been completed or are not working, this issue needs to be escalated to the Program Owner immediately so that the governance structure can determine what action to take. It may be that the program is not ready to close and additional work needs to be undertaken.

Program closure often involves the handover and transition of program and project activities to another organization. The activities of one or several projects could be sustained by a local organization or partner, or by another development or humanitarian organization. Similarly, a large global program and all (or some) of its project components could transition to an alliance or consortium to continue the work. Whatever the context, the Program Manager will have worked through a lot of these processes prior to closure and should be ready to transfer initiatives to those who will be developing the program in the future.

Administrative and Financial Closure and Archiving

All administrative, financial, and contractual elements of a program must be completed and closed. The following processes are critical because they reduce the risk of disputes with suppliers, employees, and donors regarding the status of accounts. Almost all programs will be audited at some point and working through each of the following processes, step-by-step, will make it easier for the auditing team to find what they need in the program documentation. As with other processes, it is a case of checking, collating, and summarizing existing documentation gathered from processes that have taken place over the lifecycle of the program.

Contract Closure All of the contracts are closed out – for suppliers, sub-contractors, donors, and implementing organizations. Donors will need to review and accept the program and project deliverables before agreeing contract closure .	• Are all component and project contracts closed out with suppliers, contractors, partners, etc.? • Have the remaining program assets been delivered or transferred to another program, project, or department? • Has the donor and any other presiding stakeholder reviewed and accepted the program benefits?
Financial Closure All payments to external suppliers are paid; all receivables - project advances, travel advances, and advances to suppliers – must be liquidated or transferred to another program/project or accounting code.	• Has all of the permitted funding been received from the donor? • Have all receivables been liquidated, transferred to another accounting code/fund, or returned to the donor? • Is there a significant over/under-spend on the budget? Why? If so, have arrangements been made? • Was program spending in line with donor line-item stipulations? • Have all projects carried out a successful financial closure? Have all project over/underspends been reconciled?
Administrative Closure Program and project personnel are released or reassigned; project equipment, vehicles, or office space is reallocated, sold or transferred; and all program and project reports and closure documents completed.	• Have all program team members received a performance review and have they been released or reassigned to other areas of work? • Have remaining assets, equipment, or vehicles been reallocated, transferred or sold? • Have all program reports and related paperwork been completed and submitted to the relevant parties? • Has the program been audited (if required)?
Archiving All program files are up-to-date and relevant paperwork is stored in a location that is accessible for future needs.	• Have you included relevant emails? Where will the program files be stored? • Is the location safe? If in a filing cabinet, where will it be? • If electronic files, what repository will be used? How will files be named – what are the protocols? • Who will the documents be shared with? How will they be shared – email, intranet, etc.?

Documentation Completion Archiving

Closure is the time when all documentation related to the program and component projects is completed and archived. It is a systematic process that results in a Final Report and other documents related to closure, including insight from the program Owner/Board. This process also lays the groundwork for further post-program activities, and will ensure that all documentation is already in place for program audits (organizational or external donor-related) and other impact evaluations.

Project Closure

- Have all of the projects been closed?
- Have all project documents been archived?
- Are there any outstanding risks or issues that need to be dealt with at a project level?

REALITY CHECK: Documentation

If the program were to be audited two years later, or if someone wishes to learn about the program activities, would the team be able to find all the documentation that they need to assess the impact of the program? If the answer to this is 'yes', and program files are stored in an accessible place, then this side of program closure has been completed to a high standard.

Learn from Experience

The lessons learned over the lifecycle of a program are important and should be available to future programs. Ideally, the program team has developed a **Lessons Learned Log** and tracked issues as they arose, or at major evaluation points or milestones throughout the program. The same lessons learned process should also have been in place at the project level. It is important to capture learning about processes and how things really happened. For example, maybe there is a key lesson for procurement that could save an organization time and money in the future.

The lessons and the insight from the program and project logs can then be combined and shared with the program team in an **After Action Review**. This type of review is a great participatory exercise that can be a way to gather useful information relatively quickly and inexpensively. Participants include internal and external stakeholders who are asked a series of questions to assess a program's outcomes against what was planned and actually happened. Some of those questions may include:

- What did we set out to do?
- What did we achieve (facts rather than opinions)?
- What went well? Why did it go well? How did the Program Plan compare to reality?
- What could have gone better? Compare the plan to reality. What prevented us from doing more?
- What can we learn from this?

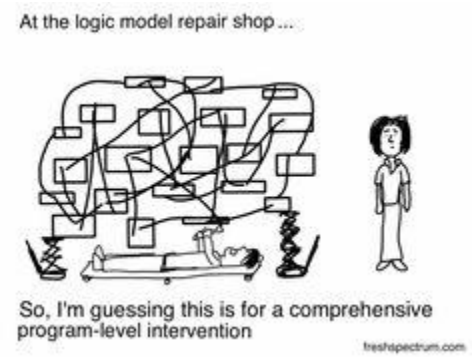
The Review is intended to be a quick and open discussion, not for deep thinking and lengthy dialogue. The primary purpose is to inform decisions on operations, policy, or strategy related to on-going or future program interventions. Also keep in mind that it is important to capture information from key program staff and stakeholders before they leave the program or start new jobs.

You will also want to separate lessons learned activities from those of integrating the lessons learned into organizational practice. Lessons learned need to be documented in a way that is helpful to other development professionals. Does it have to be a long, written document? Could a video be used? The

Program Manager needs to ensure that all responsibilities for learning are clear and that organizational requirements have been met. It is not the Program Manager's responsibility to make sure that the lessons from her/his program are being used, however, finding user-friendly ways of presenting the lessons will help. The Program Owner may be able to promote and share lessons learned within their organization.

Evaluation

The Program Manager works with monitoring and evaluation colleagues (and follows donor and any other rules) to appoint evaluators. The role of the evaluator is to analyze to what extent the program achieved its outcomes. Evaluators will often explore additional components related to the program. These components for evaluation need to be developed by the program team at the early phases of the program.



After the evaluation is delivered, draft findings are usually discussed with the program leadership team and maybe the Board. There is an opportunity to then go back to the evaluators for points of clarification before the final report is submitted. Once accepted by the Board, it is then sent to the donor and other relevant stakeholders.

Organizations should choose their evaluation approaches based on their learning objectives. Three evaluation approaches extensively used in the development sector are: final evaluations, mid-term evaluations, and ex-post evaluations.

Mid-Term Evaluation

Did the program succeed in accomplishing its outcomes, goals, and desired impact?

Was the program relevant, effective, and efficient?

Does the program have potential to be sustainable in its operations and impact?

Is the theory expressed in the program's log frame upheld?

Final Evaluation

These are often mandated by a donor or required by an organization's own policy, and are conducted towards the end of a program. Common questions might include:

Did the program succeed in accomplishing its outcomes, goals and desired impact?

Was the program relevant, effective and efficient?

Does the program have potential to be sustainable in its operations and impact?

Is the theory expressed in the program's log frame upheld?

Ex-Post Evaluation

Examines program impact at a defined time after completion. Sometimes called 'Sustainable impact Evaluations', they measure the extent to which program outcomes and impact have been realized through participant ownership. Program-level ex-post evaluation and/or other associated impact evaluations are completed up to a year or more after a project has closed (or scheduled and planned for if the impact of the program will be measured as an activity of a future program).

Celebrate Success!

Just as it is important to acknowledge the beginning of a program through launch activities, a Program Manager should also formally acknowledge the closure of a program. This involves thanking and recognizing the efforts of team members and key program stakeholders, and expressing appreciation to individuals and groups who were critical for program success.

It may also be beneficial to raise awareness of the program's accomplishments both within an organization and with outside world. External opportunities could involve sharing success with other civil society groups, generating positive media coverage and public interest, and enhanced awareness from donors or governments, paving the way for future opportunities.

Program Closure Meetings

Conducting face-to-face meetings with stakeholders is a good way to formally close a program. It helps to strengthen the future sustainability of program activities and to gauge the extent to which stakeholders are satisfied with the program outcomes. It is also important to celebrate the completion of program deliverables with those who have been involved all the way through. These can be formal, public, or semi-public declarations of handover to another agency. Closure meetings could also serve as a final step in releasing all program-related staff from their responsibilities.

Adaptive Learning

Being able to adapt and shift the orientation of programs as a result of learning is an essential program management skill and the best way to ensure that a program realizes its outcomes and achieves full potential. The end of the program should be no exception. As the program prepares to close, the program team should ask the question: "*How will the lessons learned here impact on future program designs, proposals, implementation processes, and other sustainability plans?*"

Updated and Authorized Program Charter

Ensuring that the Program Charter is fully updated and signed off by the by the Program Manager and Program Owner/Board formally confirms that all program deliverables have been completed. This is essential for reference for future work and sustainability plans. This typically includes the acceptance of:

- **Program vision**
- **Program strategic alignment**
- **Program governance, during and after closure**
- **Assumptions and constraints of program needs**
- **Risks and actions taken**
- **Issues and lessons learned**
- **Recommendations for future interventions**
- **Benefits achieved**
- **Handover or program activity continuance after closure**
- **Recordkeeping in compliance with regulations**
- **The Charter being accessible to future generations of technical, management, and support staff**

Program Closure Checklist

The following checklist is a reminder of processes that must be worked through during the Closure phase, and provides an example of what this looks like (Outputs):

Table 8: Program Closure Checklist

Processes / Tools	Outputs
Stakeholder Awareness	Stakeholder meetings are completed and documented, with emails, minutes, and photographs (if appropriate). Some of these meetings may be official and documented; others will be more of a celebration of achievements to thank stakeholders for their participation.
Issues log	All issues have been resolved or justified. The Issues Log is used as a valuable learning document about challenges encountered – and how they were solved.
RACI	Responsibilities are assigned and acted upon, and closeout activities are accounted for and completed. These include: Project components and other non-project work Finances Contracts Administration
Project documentation	All associated projects have been fully transitioned and plans made for any necessary outstanding project work outside this program governance structure.

Sustainability plan	If the program is transitioning to another group or project, detailed discussions will have already taken place about how program and project work will be handed over. Information about the program's future sustainability is included in documents such as the Final Report and Program Charter, and a Sustainability Plan that is completed by stakeholders who will be delivering future activities.
HR documentation	The program team is released from all program-related responsibilities and has formally disbanded.
Lessons Learned	An After Action Review has been held, and reference given to how lessons learned will be communicated to relevant stakeholders.
Program Charter and authorization to close	Once the Program Owner or Board agrees that a program is ready to close, the program team systematically works through all of the program closure processes, collating documentation, and updating the Program Charter. The Charter will be amended as necessary, and then verified for formal sign off. There may also be involvement from governance stakeholders at this point. Once the program's closure activities are completed, the Program Owner/Board is responsible for confirming formal program closure to high-level stakeholders and other relevant parties.
Final report	This document summarizes the delivery and outputs of the program, capturing the learning in a Final Report from the Program Manager's perspective. It is then submitted and accepted by the Program Owner/Board
Evaluation report	After the evaluation is delivered, draft findings are usually discussed with the program leadership team and maybe the Board. They can then go back to the evaluators for points of clarification, after which the Final Report is submitted. Once accepted by the Board, it is then sent to the donor. Program-level ex-post evaluation and/or other associated impact evaluations are completed up to a year or more after the project has closed (or scheduled and planned for if the impact of the program will be measured as an activity of a future program).

Outputs

The final output of program closure is not a single document but rather a few key documents that communicate the effectiveness of the program (Final Program Report) as well as demonstrate that all appropriate steps have been taken to formally close the program (authorized Program Charter and relevant closure documentation).

After working through the closure processes it is important to file and store the Program Charter (signed off giving formal approval of closure) and related documentation safely. It should be easily accessible in case it is needed at a later date, for example for a future audit. The content that is documented during closure is valuable and extremely useful for other program managers who may want to shape similar programs. So, make sure that this organizational learning is shared with the right people, especially the Program Charter, final evaluation, and less formal After Action Reviews.

REALITY CHECK: Program Closure

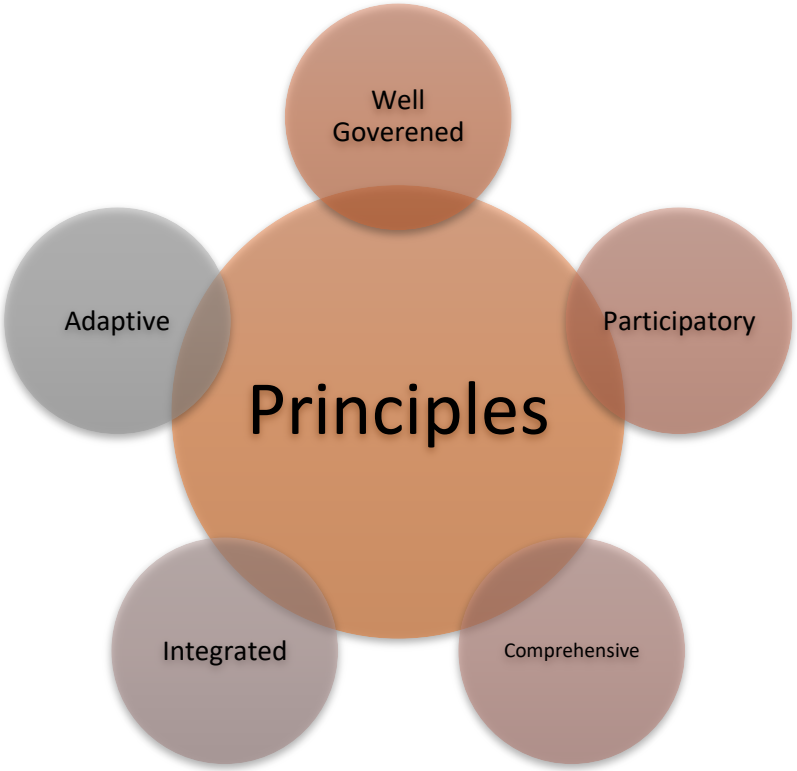
The closure of a successful program is good news. Think about other audiences that could tell the story of your program's success.

- Communications and fundraising teams may already be connected to your program, but if not, get in touch! They will respond well to success stories that demonstrate impact and help to raise future funds.
- Country, regional, or international media outlets may also want to tell your story of impact and change. It helps to position your organization externally. Press, radio or TV teams may want to visit your program and/or partners.
- Success and sustainability are great public relations (PR) tools so don't forget to promote your program internally and externally with other agencies and international NGOs.

The Program Manager: Skills and Competencies

Program Managers are accountable for the performance of their programs and each of their constituent projects. They assess and address all of the tactical components of program implementation, such as project schedules and deliverables, budgets, or compliance with donor policies and regulations. They have the skills and insight needed to configure and build teams, communicate with different audiences, and leverage social capital to gain trust and motivate key stakeholders. They understand and apply principles of transparency, integrity, accountability, and business ethics.

To achieve success, all programs should model the five essential principles of good program management. It is the Program Manager's role to ensure that this happens and that these approaches shape all program and project activities.



Well-Governed: The governance structure of a program defines the management framework within which program decisions are made. This is usually established during the Identification Phase and formalized in its Program Charter, during the Design Phase. When taking ownership of a program it's important to fully understand the role of the governing body and also the expectations that it has of the Program Manager role. If this is unclear, then the likelihood of a program being well-governed – with the right decisions, made by the right people, at the right time throughout its lifecycle – is significantly reduced.

Participatory: The Program Manager is responsible for ensuring that program activities are conducted in an inclusive and participatory way. The Program Manager is also responsible for ensuring that everyone connected to a program models this approach.

Comprehensive: The Program Manager needs to intuitively understand how each of a program's components fit together to achieve an impact that is *greater than the sum of its parts*. It is partly about being able to step back to gain an overview of all activities, and also about being able to adapt and change approaches to achieve leverage and added value for an organization.

Integrated: The Program Manager takes a step back and maintains an elevated view of all of the components that make up a program, managing these as an integrated whole, not as individual parts. It is important to have a holistic understanding of the environment in which it will operate (organizational, cultural, and geographical), an ability to use and apply management tools appropriately, and the interpersonal skills needed to build relationships with all of the stakeholders involved.

Adaptive: The Program Manager is the person responsible for ensuring that all integrated activities within a program are harmonized and focused on achieving its objectives and overall goals. Working in a complex and changing environment, it is important to be able to make adjustments to program and project activities when required. This could be a radical change, in response to conflict or natural disaster, or involve fine-tuning program activities to ensure that the program remains on track.

Principle: Well-Governed

"A lack of clear governance is a recipe for chaos. You will have no idea where control lies."

John Cropper, LINGOs

Introduction

Good governance is essential to a program's success and should be emphasized and re-emphasized through each phase of the lifecycle. Successful governance serves a variety of purposes, such as clarifying management roles, accountabilities, processes, and structures to prevent overlap or confusion (, as well as decision-making authority, which can slow or even halt a program), as well as defining decision-making authority.

Programs come in all sizes and levels of complexity and, no matter how straight forward, it is important to establish a governance structure at an early stage of program development. If a program sits mainly within one organization, the governing body is likely to be made up of internal stakeholders. Multi-country and global programs are more likely to be delivered through partnerships, within consortiums or other strategic alliances. In these cases, the governance body may be more complex to organize, but should still include clearly divisible responsibilities.

In other words, program governance is the process by which managers and organizations define the specific roles, responsibilities, and levels of authority and accountability (i.e. ownership) for the program. The governance structure is included and authorized in the Program Charter as part of the Design phase.

Why it is Important

Effective program governance provides a clear framework for control, accountability, tolerance, support, and decision-making at all levels. When a program is well governed, it provides a lot of benefits. Some of these benefits include ensuring that:

1. There is ongoing clarity about the links between the overarching strategy, portfolios, programs, and projects of an organization, consortium or strategic alliance. This ensures that programs maintain their alignment with strategic direction and helps to illustrate how the dependencies that link projects can be better understood.
2. Programs have clear levels of authority and accountability, including agreed tolerance levels and processes for decision-making so that the Program Manager and project teams understand when and how issues should be escalated 'up the line', to the higher authority to whom the Program Manager is accountable. Defining these processes ensures that issues are dealt with quickly and not left to become a risk to the program.
3. The program maintains a focus on responding to primary stakeholder needs and does not get side-tracked by other issues. An important part of this process is to ensure that the voices of primary stakeholders are heard at a governance level and that they are included as participants in decision-making processes.
4. The program has well designed processes, systems, and tools for effective communication between all key stakeholders, for both upward and downward accountability.
5. Risk management strategies are owned by the governance structure, which then holds the Program Manager and project teams responsible for adhering to policies, processes, systems, and procedures. This provides essential support for the Program Manager who can escalate issues as appropriate and must account for effective risk management throughout the program and its projects.
6. A productive work environment is created in which teams have the clarity of purpose that they need to feel motivated and deliver great work. They know that decisions will be taken quickly and that, where necessary, the governance structure can help to clear 'roadblocks' and/or pull in additional resources that will help the program be successful. This in turn enhances commitment, improves retention rates, and reduces the negative impact of changes within a program.
7. Program and project teams perceive the Program Charter as a critical and relevant document that is used for reference. It also outlines the processes and tools that will keep internal and external stakeholders informed.
8. Governance structure members often serve as internal and external ambassadors for a program, and contribute to building an environment that allows the program to flourish.

To align with the principle of Well-Governed, the Program Manager needs to:

- Balance tactical management of all aspects of the program and project activities with strategic vision and leadership.
- Ensure that everyone in the program and project team(s) understands what they are accountable for, how decisions are made, and how their role impacts the overall goals of the program and their organization's strategic objectives.
- Create synergies and find ways to increase the impact of the overall program
- Provide a clear framework for reporting and accounting so that Project Managers can control and deliver great work.
- Be the main point of liaison between the program, its project teams, and the governance structure. They must manage '*upwards*' (to supervisors and senior managers), '*laterally*' (with department heads and other program managers), and '*downward*' (to provide the overview and guidance that projects need to deliver great work).
- Work effectively with the program's governance authority to ensure that their program is championed internally and externally, and that leverage can be exerted on its behalf (to generate support, raise profile, or funding).
- Ensure that program outputs are translated into strategic outcomes, providing reassurance to senior management that the program remains aligned with the goals and strategy of an organization, consortium, or strategic alliance.
- Delegate tasks and areas of work effectively so that program and project staff take ownership, accountability, and pride in delivering high standards of work.

What it Looks Like in Practice

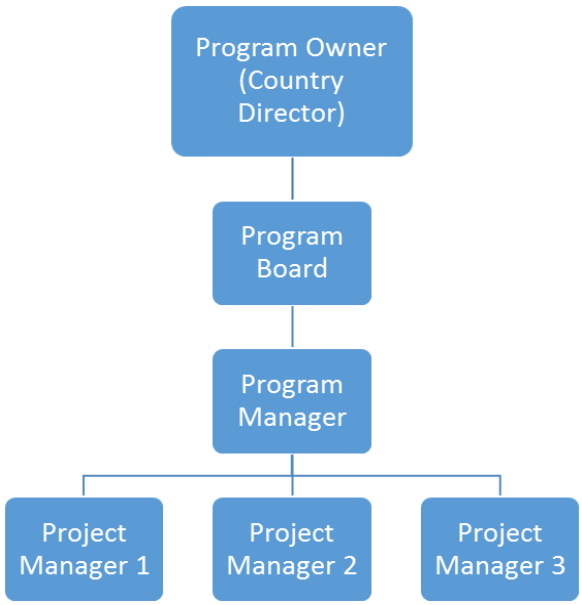
The governance structures of international organizations, consortia, and strategic alliances will differ in their approach, size, and composition. Some organizations have well-defined hierarchical structures and processes for program governance. This usually includes a Senior Program Owner (Program Sponsor) and Program Board with overall authority and accountability for achieving all outcomes (Governance Structure 1). When organizations work in alliances or as part of an external consortium, a higher-level body to which the Program Board is accountable is required (Structure 2). Other organizations may have flatter, less-hierarchical management structures, in which case programs are likely to define and select their own ways to govern and be accountable for program outcomes. We have included two examples of potential governance structures in the following diagrams.

Governance Structure 1

In this example, the Senior Responsible Owner is a Country Director who is guided by their Program Board. The Country Director will want to select a Board that is made up of individuals with the experience and influence necessary to help shape the direction and success of the program. The Country Director and Board are accountable for bringing in a Program Manager with the leadership skills and

experience to be responsible for all program deliverables, regularly reporting into the Board so that they are confident that the program is performing well. The Country Director is accountable for line managing the Program Manager, setting and assessing performance standards and objectives, and guiding and advising to facilitate decision-making. The Program Manager, in turn, line manages and sets the performance standards and objectives of Project Managers and their teams. Programs flourish when there is smooth line management and decision-making up and down the line management structure.

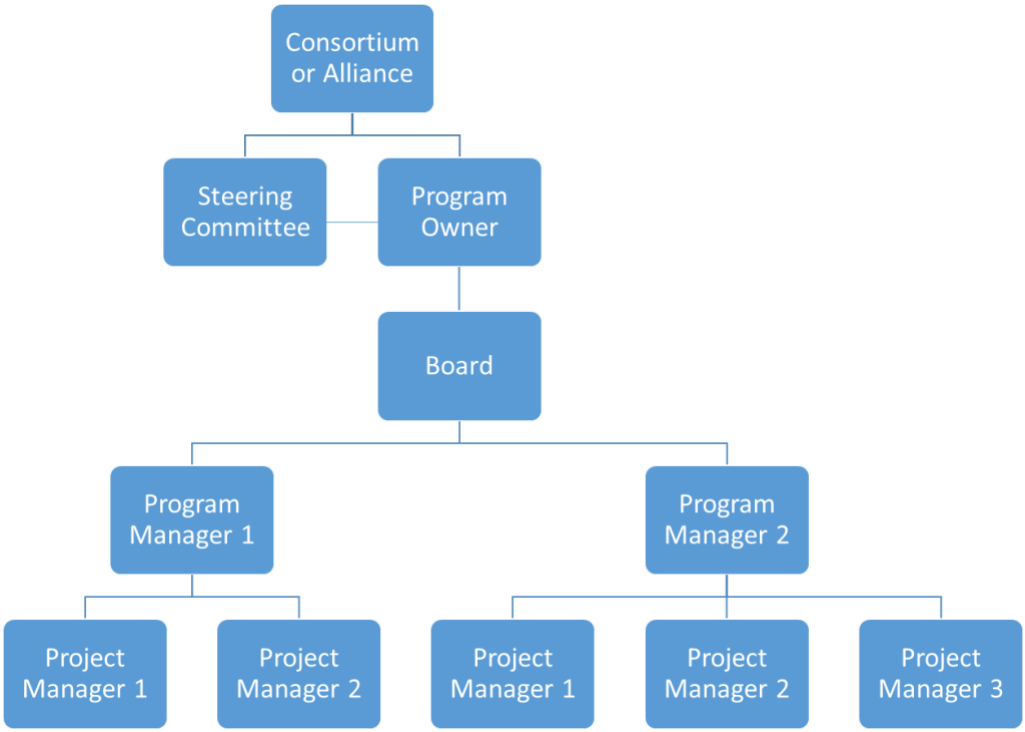
Figure 25: Governance Structure 1



Governance Structure 2

Programs with an ambitious national, regional, or global scope often necessitate multiple organizations working together to achieve far-reaching outcomes. In these cases, international and local NGOs and civil society organizations join together in an alliance or as a consortium to achieve large-scale social change that would not be possible if delivered by an individual organization or program. Because multiple organizations need to work together to influence policy and collaborate on work, a Steering Committee (or Group) is usually established to guide the Program Board. This Committee usually nominates the Program Owner and identifies the make-up of the Program Board, however, there may be occasions when Program Owner and Board identify the need for a Steering Group, setting this up retrospectively if, for example, a decision is made to extend the reach of a program.

Figure 26: Governance Structure 2



Well-Governed and the Program Phases

To confidently manage complex programs in dynamic environments, it is essential to have the backing of an experienced line manager (Program Owner) and active Board. These individuals are accountable for setting the framework and boundaries within which the Program Manager can lead, inspire, and maintain standards within which all program and project activities are delivered.

The Program Owner and Board will lead the initial phases of a program until its Program Manager takes up their role and responsibilities. Once recruited, they are accountable for ensuring that the Program Manager has the information and support needed to address the challenges of their leadership role. The following processes should be covered as a minimum in each of the four phases:

Phase	Processes
Phase 1: Identification The Program Owner or Board forms a design team, ensuring that the right internal and external stakeholders are involved. This phase may or may not yet include the Program Manager.	✓ The design team builds a picture of the context within which a program will operate, defining a program's strategic objectives, resulting in the Program Concept Document. ✓ If the program governance structure or Board has not yet been established, the Program Owner (e.g. the Country Director) is accountable for the governance function. Whatever the governance mechanism, the critical question at this Decision Gate needs to be answered – should we design? ✓ The Program Owner or Board ensures that all emerging ideas about the proposed program align with the organization's strategic intent and overarching Theory of Change and those of prospective partners.
Phase 2: Design The design team – including the Program Manager, if appointed and if not, the Program Owner, defines the program's blueprint, establishing its different stages and decision gates, and also establishing tolerance levels.	✓ The design team ensures that the right level of information is included in the Program Charter, the official document that is presented to the Program Owner or Board for authorization. ✓ If the governance structure already exists, the Program Owner or Board insists that the program Design Phase includes different stakeholder perspectives and makes sure that the right conversations are taking place. ✓ At this stage, the Program Owner or Board must be willing to accept the anticipated level of risk. ✓ The Program Manager has the authority to make sure that program activities and projects are not started prematurely. ✓ Whatever the governance mechanism at this stage, the critical question at this Decision Gate needs to be answered – should we plan and implement the program?

Phase 3: Planning and Implementation The Program Owner and Board are accountable for setting aside sufficient time to govern the program effectively. They make decisions where appropriate and support the Program Manager in doing so. They also act as champions of the program, troubleshooting and influencing where they can (e.g. initiating a meeting with a Minister or helping to find additional resources)	✓ Governance decisions are made in the best interests of the program, always ensuring alignment with the Theory of Change or overarching strategic intent of an organization, consortium, or strategic alliance. ✓ As the program moves into this iterative and fluid phase, the Program Manager ensures that the Program Owner and Board are kept informed and/or involved as appropriate in decision-making about changes in approach and deliverables. ✓ The Program Owner and Board enable quick and skillful changes of direction if needed (including a decision to STOP a program) in response to changing contexts (internal/external) if warranted. ✓ The Program Manager ensures that right decisions are made, at the right time, with the right level of information flowing into each Decision Gate. Multiple decisions may need to be made during this phase (and each of its stages) and it is important that these are taken at the right level through clearly defined tolerances. All issues need to be resolved quickly and efficiently. ✓ The Program Manager takes responsibility for modeling good practice and shaping good governance for each of the projects. ✓ The Program Manager, Program Owner, and Board have mutual confidence in each other's capacity to deliver results. **Stopping a Program** The decision to stop a program is serious and must be made at the highest level of program governance. The Program Manager is obliged to inform the program governance body immediately when changes in context (political, social, economic) or opposition to a program by key national and local stakeholders make it necessary to consider program closure.

Phase 4: Closure The Program Manager is responsible for ensuring that the program and all related projects use common processes, systems, and procedures for closure, reporting into the Program Owner and Board for formal authorization that all activities have ceased.	✓ This usually involves sign off on an updated Program Charter and related documentation. ✓ The Program Owner and Board take ownership of any steps following program closure, such as sharing learning and knowledge within the wider organization. The Program Manager also does this where appropriate. ✓ The governance structure is disbanded, often at a formal event involving internal and external stakeholders that contributed to the program's success. ✓ The Program Owner and Board celebrate the success with the team and thanking all of the people who contributed to the success of the Program.

REALITY CHECK: Well-Governed Programs

High quality program governance brings many benefits including clear management roles, accountabilities, processes and structures and effective, efficient decision-making. When done badly, it can increase bureaucracy, confuse accountabilities, roles and responsibilities, and result in micro-management and a lack of effective oversight. It's important to clearly define how the governance benefits for each program can best be achieved. If the governance structure isn't working, this should be raised with the Program Owner and adaptations made according to the context of the program and its stakeholders.

Common Challenges

Default Governance

Development organizations typically operate under centralized management systems. This is especially true for some international NGOs whose operations may be governed (at the highest level) from a headquarters or regional office that is not located in the country or countries where programs are implemented. In this case program governance usually defaults to a senior line manager closer to the program – often the Country Director or Head of Programs. They may not have time to fulfill all of their governance responsibilities – and as a result, the program may not see the benefits of effective governance. Alternatively, the Country Director or Head of Programs may not be delegated sufficient decision-making authority to effectively oversee the program; with important decision-making remaining at headquarter or regional level, far from where the program is situated.

Poorly Thought-Out Structures

In some cases, country-based operations are managed under the umbrella of a single program. Or a situation may arise in which donor funding drives the programmatic approach rather than an appropriate design process. This often leads to the responsibility of program governance falling to senior line managers. Another approach is for a country-based program Board; made up of representatives from member organizations and the NGO network, to meet periodically to govern a program. The models used by international NGOs vary widely and it's impossible to say which are typical. However, it is very easy for approaches such as this to become a dumping ground for tackling multiple program and operations issues. Without well-thought out and intentional program governance design, programs are unlikely to see the benefits of effective governance.

Lack of Understanding of Roles

It is also easy to assume that people sitting in a governance structure are aware of their roles and responsibilities. It may be necessary to inform and conduct sessions for a program Board to make sure that everyone understands their role and for what they are accountable.

Decision-Effectiveness

One area of confusion that can arise is an assumption that members of a governance structure or Board all have an equal voice in decision-making. It is therefore important to ensure that there is clarity from the outset about how major decisions will be made. If decision-making is by consensus, then it is important to understand how a lack of consensus is resolved.

An inability to make key decisions could cause major problems for a program and its component projects. It can be helpful to recognize that not all voices within a governance structure hold equal authority for decision-making. If, for example, there is a need to request a budget increase or a calendar extension for a project, it could be that all members are consulted but ultimate authority for the decision resides with a single board member or a small group of board members. The key point to note is that there needs to be clarity about how a governance structure will operate, and agreement to ensure that governance processes are monitored and managed.

Program Consistency

The governance structure needs to reflect the priorities of the whole program and must be consistent. If an international NGO has one governance structure and local implementing partners work to another, the program could be difficult to manage. This is likely to cost time and effort to clarify. Clarity of

governance is becoming increasingly important as national NGOs and community-based organizations (CBOs) increasingly become active participants in the delivery of programs, especially as project stakeholders. As a result, they are also expected to pay greater attention to governance and management structures that comply with donor requirements, government regulations, and partner expectations.

The governance structures of some programs only meet when there is a problem to solve. While this sounds very time efficient, it makes it hard for members of the governance structure to function as a team if this is the only time that they meet and work together. It is preferable for a governing body to meet at regular intervals - and an excellent way to achieve this is to structure governance meetings around Decision Gates during lifecycle of the program.

TOP TIPS

- ✓ Get to know your Program Board, understanding its overall role and accountabilities, as well as the motivation of individuals in the group.
- ✓ Establish a regular cycle of meetings that are aligned with Stage and Decision Gates.
- ✓ Understand what information is required to enable your Program Owner and Board to make decisions - and how this should be presented. Make sure that Board members receive paperwork early and in advance of meetings.
- ✓ Manage upwards – be confident and clear about what you need and by when. Don't overload individuals with information.
- ✓ Don't expect governance to take care of itself – get your board to work as a team.
- ✓ Don't be afraid to ask for help or to raise difficult issues.
- ✓ Model good governance across your projects – ensuring timely report back from board meetings and effective communications.
- ✓ Ensure that Project Managers also get the right levels of support.
- ✓ Give credit where credit is due - acknowledge the contribution of other stakeholders (government/partners/etc.) in any relevant closure documents.

Principle: Participatory

"It would have been impossible to deliver the program on time, on scope, and on budget if we had not brought together the project and support staff from the beginning. It was hard work bringing together people from different disciplines, but absolutely worth it."

Deepak Mehta, Program Manager, South Asia

Introduction

An effective Program Manager is someone who is good at judging when and how to use participatory management techniques. As a leader and manager, it is important to encourage the contribution and participation of individuals in meetings, workshops, or focus groups to ensure that opinions are heard and considered and channels of communication are open and transparent.

The Program Manager needs to model good behavior and set standards within an organization and at a project level. Participatory techniques include a demonstrable ability to listen and take account of diverse perspectives, and to be able to employ culturally relevant situational leadership that is appropriate to the context of a program. Working in this manner is the best way to build a sense of ownership at project and program levels, and to maintain a program's value and ongoing relevance.

Programs have a higher chance of succeeding if everyone's contribution is valued and if everyone works together.

Why it is Important

Participative program management provides clear benefits through all phases of the program lifecycle. It ensures that:

Expectations are Managed: By gaining a comprehensive understanding of who the key stakeholders are, their interests and their responsibilities, the Program Manager makes sure that everyone is clear about what is in scope (and what is not) and is aligned toward achieving program goals and aspirations. It is advisable to have potentially difficult conversations early on so that issues can be resolved before they become a distraction, or worse, disrupt the program when it is operational.

Design, Implementation and Planning Phases are Comprehensive: Estimations of program scope, cost, and time are discussed, verified, and included in the Program Plan. Decisions take into account diverse perspectives, which increases accuracy and reduces the risk of major delays, cost overruns, and inefficiencies. Program Managers provide clarity and guidance to Project Managers and maintain overall accountability for each project achieving success within their triple constraint (see Fig. 4).

Communication is Clear: Communication is well managed. There are no surprises and issues are identified and dealt with, or escalated and resolved, at the right time and level of authority. This builds a sense of trust, shared understanding, and transparency throughout the program.

Sustainability is Promoted: Involving partners, beneficiaries, and other associated stakeholders in discussions about the long-term goals, outcomes, and impact of the program sets the expectation that it will come to an end and paves the way for future success.

Stakeholders are Engaged: Involving key stakeholders in discussions to define and agree on the quality standards of a program are a good way to ensure their ongoing support and effective contribution. The Program Manager should take full advantage of the skills and capacities of everyone involved, whether they are project staff, support staff, or from a partner, agency, or beneficiary group.

To align with the principle of Participatory, the Program Manager needs to:

- Seek different perspectives, particularly during the Identification Phase, to learn and make decisions that are grounded in the reality of the environment in which a program will operate.
- Make wise judgments about how to apply different perspectives in the overall design of a program and its projects.
- Ensure that people understand the boundaries within which they are being consulted. Remember that working in an inclusive and participatory way doesn't mean that all decisions are made cooperatively or by committee.
- Respect the input of others, making sure that people feel as if their views have been heard, and managing their expectations about decision-making processes.
- Provide feedback when decisions are made, thanking people for their contribution, and advising them of the next steps.

What it Means in Practice

Stakeholders have different levels of involvement in a program – some need to be updated and informed while others are intimately connected to its delivery and performance. Those who are most

involved should be included and consulted in a way that cultivates trust and strengthens their buy-in to the overall program.

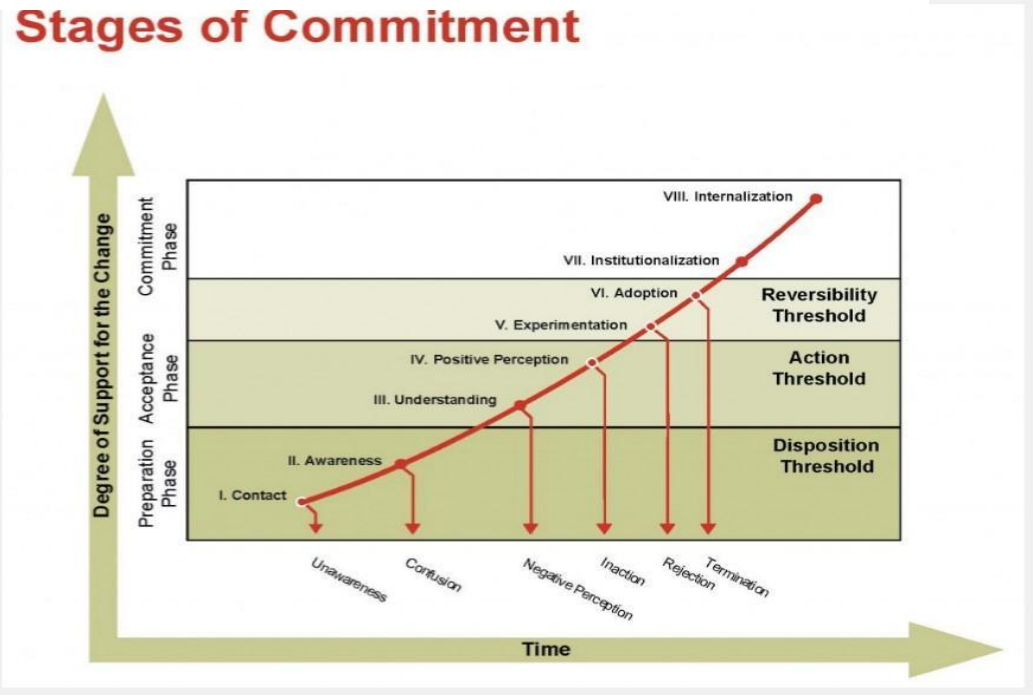
The Program Manager needs to ensure that the right voices are heard, at the right time. And this means ensuring that stakeholders are encouraged to participate and engage. It doesn't mean that all stakeholders should be consulted every time a decision needs to be made or that decisions must be achieved by consensus or by committee. The Program Manager instead needs to identify and involve multiple stakeholders at different times over the lifecycle of the program, managing their expectations and making it clear how their contribution will enhance decision-making processes.

Stakeholder Engagement

New programs, by nature, necessitate change. Change can be a hard thing to accept and support. It is important, as the Program Manager, that you understand this when engaging with internal and external stakeholders. The Commitment Curve (Fig. 27) model describes the process that people go through when introduced to a new organizational initiative and change process.

The vertical axis represents the degree of support for new mindsets and behaviors, and the horizontal axis is used to measure the passage of time. The 'commitment curve' that cuts across the model illustrates how people and organizations respond when confronted with a new idea. These stages start with initial contact and awareness of an issue, and move into understanding, positive perception, experimentation, adoption, institutionalization, and internalization. The graph helpfully contrasts these with negative emotions that others may feel when moving through the curve: from initially unaware, to confusion, negative perception, rejection, and termination. It is a good reminder to acknowledge that people respond to change differently and, once recognized, is an opportunity to change attitudes and beliefs.

Figure 27: The Eight Stages of Building Commitment (Daryl Connor/Connerpartners)



The diagram serves as a good reminder that change processes take time and that it is important to involve and include stakeholders in ongoing discussions to move them up the curve. It is also a good tool to use with some, but not all, stakeholders to illustrate this process and the actions being made to make a decision related to the program. A good example of this is setting the expectation from the outset that a program will eventually come to an end. There may be occasions when people who are most affected cease to be positive about the decision to close, and move back down the curve. The Program Manager would then need to respond by meeting with these stakeholders (contact) and moving them up the curve again (awareness).

Stakeholder Management

RACI charts are commonly used at a project level to specify the roles and responsibilities of different stakeholders and should be adapted for use at a program level as a guide for participatory stakeholder management. It is especially helpful for use in the Planning and Implementation phases.

The example below (Fig. 28) illustrates what levels of participatory engagement are required from the Program Owner, Program Manager, HQ office, and village leaders to ensure commitment to a program. Having a clear and transparent understanding of roles and responsibilities at the start will serve to manage expectations, avoid potential miscommunication, and increase engagement, since everyone will know what is expected of them.

REALITY CHECK: RACI

Based on the chart below, it is clear that village leaders should not expect to be consulted on every program detail. The Program Owner (A) and Program Manager (R) are each accountable and responsible for issues that arise, consulting with village leaders (C), and keeping their office or headquarters informed of progress (I).

As programs progress, internal and external stakeholders may ask to be more involved in decision-making. When this happens, it is the role of the Program Manager to reset and manage expectations. Doing so, especially with stakeholders who hold positions of seniority and authority, may require a strong set of interpersonal and communication skills, and sometimes may need to be escalated to the Program Owner.

Figure 28: Example RACI Chart

Program Tasks	Program Owner	Program Manager	HQ Office	Village Leaders
Troubleshooting and Governance	A	R	I	C
Learning and Accountability	A/R	I	C	I
Participatory engagement levels	A	I	R	I
Integrated Change Management	A	R	I	C
R: Responsible / A: Accountable / C: Consulted / I: Informed				

Phases

To enable high quality design, planning, and implementation of programs it is important to gain multiple perspectives. This is particularly true of the Identification Phase when a broad range of stakeholders are involved in initial discussions about the context of the program's operational environment. As the program moves into the Design Phase, the team is usually led by the Program Manager (if they have been assigned) and Program Owner, together with other members who bring specific expertise (including Project Managers, logisticians, and advisers).

Planning and Implementation is the phase that will require ongoing involvement and participation of stakeholders who are critical to program delivery, such as partners and direct beneficiaries. They need to feel their views are heard and that they are consulted about how the program is delivered. The Closure phase also requires extensive stakeholder involvement for advice, authorization of activities, and to ensure that all aspects of the program are finalized in a way that ensures everyone's expectations have been met.

To ensure that a program is effectively governed, the following processes should be covered as a minimum in each of the four phases:

Phases	Process
Phase 1: Identification: The Program Manager should use this phase as an opportunity to build relationships that pave the way for future insight and collaboration. It may be that one or several of these stakeholders are invited to become part of a program's governance structure, and if this is the case, they will take on a more formal role in relation to the program.	✓ A full and rounded contextual analysis is performed, bringing real and representative voices to the table. Often, this means including government and civil society structures. ✓ High-level estimates are developed in close collaboration with the Program Owner, Board and senior support staff. ✓ Stakeholders and their potential relationship with the program are identified. ✓ Feasibility of the program is tested with a variety of internal and external stakeholders and then validated against organizational strategy, local/regional context, and current/future fundraising opportunities.
Phase 2: Design: As the program moves into the Design phase, the time when the Program Board is often established, this is time to discuss and agree the most suitable governance structure for the program.	✓ Stakeholders are mapped and categorized according to their level of influence and interest in a program. ✓ The design team works with internal and external stakeholders to build and develop a blueprint of the program. Partners and direct project beneficiaries should feel consulted, developing a sense of ownership with their part of the program. While this takes time, it is worthwhile, since the process results in a program being seen as such, and not simply as a collection of related projects. ✓ Consulting widely and ensuring a high level of participation at the Design phase will result in a shared sense of program value. As project plans move into implementation, this groundwork will set the expectation that efficiencies and greater impact can be achieved through collaboration and ongoing review and reflection. ✓ Logframes are informed by realistic assumptions that are based on the active involvement of stakeholders who are critical to the program. The inclusion of local stakeholders is essential since it is important that general assumptions are not made based on experiences in a different part of a country. Relying on organizational knowledge about one region of a country, for example, doesn't mean that power dynamics and cultural sensitivities will necessarily be the same in another region. ✓ Advice is sought from people with previous experience of similar programs. They may have valuable lessons to share during the Design phase.

Phase 3: Planning and Implementation: The iterative process of planning and implementing is the time when Program Managers must ensure full and complete participation by all stakeholders. When teams follow established processes and communicate consistently, a Program Manager is better equipped to allocate resources, prioritize activities, and manage risks.	✓ Project Managers and associated stakeholders are recruited and brought into the program. Ensuring their involvement and commitment to working in inclusive and participatory ways takes time, but it's worth it. The program will be much better for it. ✓ Difficult conversations should be held early on so that expectations are managed and potential problems resolved before they turn into issues. ✓ Ensure that everyone understands the overall goals of the program by developing strong and ongoing communications, using a variety of channels to ensure that stakeholders are empowered and continue to believe in the program design. ✓ Set aside time and resources for regular reflection and planning, usually in advance of Decision Gates during each program stage and phase. Listening to a range of views will facilitate improved decision-making at these critical times. ✓ Develop a culture within the program in which working together, listening, and learning is the norm. Embedding this approach will result in productive and supportive conversations taking place at all levels of a program as a matter of course.
Phase 4: Closure: It's time to move into Program Closure. If stakeholders have been consulted and informed throughout the lifecycle of the program, this phase should come as no surprise and the transition should be smooth.	✓ Program and project teams understand and comply with standard 'closeout' processes and activities, providing the Program Manager with the information and overview needed to achieve formal acceptance of closure by the Program Owner and Board. ✓ Relationships with all key stakeholders are managed effectively, each understanding the value of their contribution to achieving the program goals. The Program Charter is authorized and the entire program team celebrates its formal closure. ✓ The future sustainability of the program is ensured and its legacy is enshrined in documentation, stories, data, and other formats that can be used for internal and external promotion. If local partners take over the program, lessons learned are passed on to new stakeholders who will develop future interventions.

Common Problems

Micro Management

Tolerance and control levels should always be defined during the Identification and Design Phases and outlined in the Program Charter. However, there may be occasions when organizational headquarters want more control over program management than is expected or agreed. If this is the case, the issue needs to be discussed and a decision made, which may `an update of the Program Charter.

Poor Communication

A common theme throughout this Guide is the importance of communication. If clear processes for sharing information are not understood by program and project teams, it can be a recipe for disaster. Poor communication between the Program Manager and project teams shows a lack of clarity and leadership. Specialists, program staff, and project managers may be too focused on the work directly in front of them and fail to notify their Program Manager about issues and/or the need for resources. These assumptions, as well as badly timed reports and information updates, are likely to result in project and program delays.

High quality communication is essential with all stakeholders, and especially so with local partners, communities, and beneficiaries of project activities. Getting the language, tone, and content of the communication right is important if people are to trust and actively participate in achieving program and project outcomes. When done poorly, it will lead to misunderstanding, disengagement, and even potential conflict. If done well, not only will the program succeed, but also the future sustainability of the program is far more likely.

TOP TIPS

- ✓ Establishing participatory ways of working takes time and can be frustrating at first, but if this doesn't happen, the program is likely to fail.
- ✓ The voices of partners and direct program beneficiaries are critical - remember to make sure that they are effectively and continuously heard.
- ✓ Seek out a mentor to advise and help you to build a picture of the context of the program early on.
- ✓ Once you have identified relevant stakeholders, take time to understand their perspectives and plan how to build and maintain a relationship with each of them.
- ✓ Set clear mutual expectations with all stakeholders and check in frequently to make sure yours and theirs are being met.
- ✓ Make sure that under represented voices and viewpoints are actively sought. A program may appear to be running smoothly but looking at progress through a different lens may reveal areas of dissent and potential problems.
- ✓ As a leader, it is important to be open to learning and changes of opinion. The best leaders listen to the advice of others and are capable of showing humility. Working in this way helps to cement a culture of active listening – and a program that is adaptive and in tune with its overall context and environment.
- ✓ Help your teams to develop and grow by initiating open, honest, and productive conversations and meetings in which staff participate fully and understand and account for their work. These behaviors are then more likely to be modeled at a project level.

Principle: Comprehensive

"Of all the things I have done, the most important is coordinating the talents of those who work for us and pointing them towards a certain goal".

Walt Disney

Introduction

As the Program Manager, you are responsible for the overall management of the program and its component parts. This requires that you combine strategic skills with intuition, have an eye for detail, and are responsible for shaping, guiding, and supporting all of the projects within the scope of your program.

The ability to define, plan, and sequence the resourcing of a wide range of program and project deliverables is a skill that should be applied at all phases of the program lifecycle. Programs rarely include operational work but the Program Manager needs to ensure that everyone on the program team, including personnel working at a project level, have the technical and non-technical skills needed to deliver great work.

As a program moves through its lifecycle, the Program Manager ensures that learning from one stage is transferred to the next, building and re-enforcing the program in a way that is responsive to its internal and external environment. As a program closes, the body of knowledge and experience gained during its lifecycle should be shared with others and embedded within future organizational plans.

In essence, comprehensive program management involves applying equal rigor and attention to each phase of the program, ensuring that all program components (direct and indirect) are delivered and documented effectively.

Why it is Important

All projects within a program are related, the work of one complementing the other and contributing to achieving the wider program goals as defined in its Theory of Change. The Program Manager, like an orchestra conductor, is the person who ensures that all of the musicians have the skills and training to work together as an ensemble – delivering results that are harmonious and '*greater than the sum of their parts*'.

The Program Manager is responsible for overseeing and managing multiple tasks, projects and processes in an environment that is dynamic and constantly changing. If teams are not engaged and documentation is incomplete, there will be an increased likelihood of important elements being missed, exposing the program to risk and failure.

Comprehensive program management requires an essential set of skills that enables organizations to administer all of the direct and indirect work of the program and its component projects in a holistic

way. It is also an essential approach for navigating uncertainties and being able to balance stakeholder expectations, interests, and engagement.

To align with the Principle of Comprehensive, the Program Manager needs to:

- Understand how an organization works in order to 'get things done' on behalf of a program.
- Look at issues through a variety of lenses – balancing the detail and the bigger picture vision – and making decisions based on both of these.
- Be a good leader, using strong interpersonal and communication skills to build a strong team and sense of ownership among project teams.
- Build effective teams, recruiting people with the right level of skills and competency to deliver great work.
- Understand the role and remit of an organization's support services, building relationships with teams in Human Resources, Logistics and Supply Chain services, and others such as Finance, Communications and Media. These teams need to have a clear explanation of the goals and needs of a program so that they can identify how best to participate and support.
- Identify and influence senior managers who can add value and help to solve problems quickly.
- Be realistic and ensure that scope, time, and cost estimates are firmly based on a comprehensive understanding of all aspects of the program. This includes direct and indirect work.
- Streamline external requests for goods and services by combining orders to local suppliers, reducing time and complexity, and presenting a professional face.
- Be aware of their own personal strengths, exercising judgment about when to involve another to complement areas of weakness. This could be someone from another team with more experience in a given area or an external consultant and will result in better and more adaptable situational leadership. The balance of skills needed to manage a program will develop and change as it moves through its lifecycle – the skills needed at the Identification phase are not necessarily the same as those needed for Implementation and Closure.

What it Looks Like in Practice

The Program Manager is responsible for overseeing and directing all of the work needed to ensure a program's success. This requires that the Program Manager takes strategic direction from the governance authority (Board or Program Owner) and ensures that this is interpreted and communicated effectively throughout the lifecycle of a program.

To do this, you must ensure that a breadth of knowledge and experience is captured during the Identification Phase; that the program blueprint is designed to include all aspects of program delivery; that everyone involved in Planning and Implementation understands how to move iteratively through an ongoing cycle of reflection and change; and that all documentation and program learning is complete as the program comes to an end.

To achieve a comprehensive approach to program management, it is important to reflect back on and employ each of the six disciplines (Justification, Scope, Time, Resource, Stakeholder, and Risk Management) outlined in the Introduction. While the disciplines are relevant to all phases of program management, they are especially relevant in the context of a comprehensive approach.

Program Justification Management

The Program Manager must always be able to justify the need and value of a program to a wide range of internal and external stakeholders. This starts with a well-developed understanding of how the program goals align with its organization's strategic intent (or Theory of Change) and requires a comprehensive and up-to-date overview of the status of a program at any given time. Justification management could involve any of the following:

Introducing the program at a public event to launch a new activity.

Meeting with the Program Owner/Board to seek agreement on a change process that must be ratified in an update to the Program Charter.

Conversations need to be had with partners and beneficiaries to provide a 'big picture' overview of how a program will add value to their project work.

It is also essential to provide the leadership and direction that project teams need to understand how their work contributes to the achievement of the program as a whole.

Scope Management

The scope of a program can be very broad, with multiple projects set up to deliver wide-ranging activities and outputs. The Program Manager needs to understand how all of these diverse activities fit together and be able to steer the program in the direction needed to achieve everything within its scope. It will also be important to explain this overview in an accessible way to a variety of internal and external audiences.

The Program Charter is the formal document that defines the scope of a program and is updated and authorized if significant changes need to be made. Other documents and tools for managing program scope include:

- Log frame
- Issue Reports
- Impact Goal Statement
- Work Breakdown Structure (WBS)
- Progress Reports
- Component mapping
- Communications Plan
- Risk Management Plan

Time Management

A program will only succeed if all activities are delivered on time. The timeline for a program is estimated during the Design Phase and then the detail is built out with more accurate schedules in the Planning and Implementation Phase. As well as being accountable for the overall timeline of a program, the Program Manager also needs to ensure that time estimates of each of the component projects are in line with the program's critical path.

Developing a program Gantt chart, comprised of all of the project time estimates, is a good way to monitor and check progress, and is a tool that can easily be shared with stakeholders.

The dynamic nature of programs requires an approach in which projects can adapt to a changing context and adjust timelines to suit shifting demands. Programs and projects should be delivered to scope, on budget, and on time (triple constraint) and there will be occasions when a shift in one side of this triangle dictates a change process in another. An increase in the price of concrete, for example, may result in project activities needing to be delivered within a tighter timeframe. If this is the case, the Program Manager needs to ensure that a change in one project doesn't have a negative impact on deliverables in another. It may also be possible to move resources around, reducing the need to buy expensive concrete and retaining the original timeline for the project.

Resource Management

While a lot of purchase and supply activities are managed at a project level, it is important for the Program Manager to take a step back and look for synergies in the overall management of this process. A wide range of resources and equipment will need to be purchased for multiple projects, but some of the goods and services can also be shared between projects to achieve cost savings and economies of scale.

Resource management starts with developing a Program Resource Plan that is built with information from multiple project plans and schedules, including those for equipment, materials, or vehicles, as well as human resources (staff), finances, and other services (e.g. communications). Other helpful documents to collect information include:

- Work Breakdown Structure (WBS)
- Program Requirements
- Program Budget
- Procurement policy
- Capacity assessments
- Staff assessments

The Program Manager is also accountable for authorizing the purchase of resources (using Resource Requisition Forms) and contracts with suppliers of goods and services at a project level. When these systems and processes work well, this information enables the Program Manger to make decisions about the use of resources across the program.

Stakeholder Management

After asking individuals, groups, and institutions to become involved with a program, you must then concentrate on building professional working relationships with all stakeholders. Some may be more influential than others, however it is important to note that all stakeholders are critical to a program's success. It is important to communicate proactively with all stakeholders and manage their expectations with respect to the program. For example, there may be stakeholders whose interests are not served by a program in which case they should be seen as a potential risk and must be managed carefully. Others may be strong allies who are likely to become willing ambassadors for the program.

Managing communications with a broad range of stakeholders at program and project levels can be complex, so it's important to have a Stakeholder Engagement Strategy in place, and to monitor and adapt it to suit a changing context. Maintaining ongoing dialogue with Project Managers is important, providing the means for stakeholder communications to be tracked and shared between projects and the program. Other useful tools and documents are:

- Stakeholder Identification
- RACI chart
- Communications Plans
- Organizational Chart and Program Governance Structure

Risk Management

As a Program Manager, you will need to develop comprehensive systems and processes to identify, analyze, monitor, and manage all risks associated with the program and its component projects. The tolerance levels for managing risk should have been determined in the Design Phase and included in the Program Charter. While some risk management will be controlled at a project level, the Program Manager manages higher-level risks, with decision-making escalated as appropriate.

The Program Manager defines how each of these critical areas will be addressed in the Program Charter. A more detailed assessment of program and project plans, timelines, and operational requirements will be included in an overall Program Plan. Useful tools and documents for risk analysis and management include:

Comprehensive Risk Management

REALITY CHECK: Staying Up to Date

To retain an up-to-date overview of program activities and provide direction and support for project teams, it is important to set aside time to review important decisions and make sure that tools are being used and principles followed, as an essential requirement for the program. Not only does this set and maintain standards, it also helps set an expectation that all of the team contribute to achieving the overall objectives of the program.

Phases

It is important to apply equal rigor and attention to each phase of the program lifecycle, understanding that the output of each phase impacts the next in the overall journey of a program. Working in this way enables the Program Manager to lead and manage each important phase in a way that achieves a comprehensive overview, insight and results.

To manage a program in a comprehensive way, the following processes should be covered as a minimum in each of the four phases:

Phase	Process
Phase 1: Identification The Identification phase is the time for consulting, listening to others, and building an overview of the context within which a potential program will operate. The Program Manager may not yet be in post, so the Program Owner (e.g. Country Director) needs to ensure that all relevant internal and external considerations are discussed and included within the overall context analysis. The program team will then need to use the Program Concept Document to instill a shared understanding among stakeholders as to the need for a program.	✓ Involve the right people from the outset. ✓ Learn from previous programs and portfolios. ✓ Understand the external environment and constraints within which the program and projects will operate (political, cultural, etc.). ✓ Gain an overview of the needs and gaps in a given context. ✓ Build a picture of the support services that will be required. ✓ Create an Impact Goal – summarizing what the program will achieve. ✓ Establish initial estimates of cost, timeline and budget. ✓ Break the program down into different components or stages.
Phase 2: Design The Design phase utilizes the learning from the Identification phase to develop a blueprint for the program. The design needs to take into consideration all of the aspects required to plan and implement the program. If a critical aspect is omitted during this phase, the impact of this could be catastrophic for the program further down the line. Since the Program Manager may not yet be assigned, the responsibility for the work completed during this phase falls to the Program Owner. The key output of this phase is the Program Charter (and aligned Program Proposals and	✓ Bring together a program design team that is made up of individuals with the right skills and level of experience. ✓ Ensure that the design team is briefed about discussions coming out of the Identification phase, and understands their organization's Theory of Change. ✓ Identify (existing and new) projects that can be organized within a program to increase impact and achieve program outcomes. ✓ Set an expectation that knowledge and learning will be shared between projects, and within an organization (upward, downward, and horizontally). ✓ Understand the level of technical and non-technical skills required to implement program and project activities (direct and indirect, and including those that can be provided through partnerships).

funding bids as appropriate). The Charter is a logical and comprehensive summary of the Design phase that will be understood and authorized by relevant high-level stakeholders. Some funding proposals may be more nuanced (for specific funding streams) but should still also reflect the overall scope of the program.	✓ Establish mechanisms for accountability and the need for robust monitoring and evaluation processes. ✓ Use a network of contacts to mobilize resources (internal and external experience and expertise).
Phase 3 - Part 1: Planning The fluid and iterative Planning and Implementation phase benefits substantially from a comprehensive approach in which systems and processes are incorporated to enable the program team to manage complexity with confidence. By this time, the Program Manager should be appointed, but if not, responsibility falls to the Program Owner. The outputs of the Planning and Implementation phase are multiple, with tools and documents regularly reviewed and amended as part of a continuous cycle of rolling wave planning.	✓ Incorporate all of the Principles outlined in this Guide into the overall Program Implementation Plan approach. ✓ Share lessons learned from previous experiences and past projects to build program design on strong foundations. ✓ Ensure that all *direct* activities are included in program plans (e.g. risk management, governance, tolerance for projects, supply chain management, HR management, control, and financial management). ✓ *Indirect* work (program and project activities that are supportive but not specifically part of the direct work of the program) should be planned for as well (e.g. baseline surveys, a negotiation process with a local authority, or a general capacity training program).

Phase	Process
Phase 3 - Part 2: Implementation; As the program and its multiple projects are implemented, it is essential that the Program Manager maintain a comprehensive overview of all activities: monitoring, adjusting, and amending approaches to ensure that all components work together to meet its overall objectives.	✓ Good communication channels exist between program and project teams. ✓ Schedules are monitored, controlled and adapted as necessary. ✓ The program's budget and finances are monitored and controlled. ✓ The program's scope is monitored and controlled. ✓ Program and project teams understand the dependencies between different project timelines, schedules and budgets; and are able to adapt and make changes to ensure that overall program deliverables are met. ✓ Stakeholder participation is honored and relationships maintained. ✓ Stakeholders at different levels feel involved with the program thanks to well-developed strategies and plans to maintain ongoing relationships. ✓ Change control processes are well managed within the tolerances set for the program and projects, and issues are escalated appropriately at project and program level.
Phase 4: Closure The Program Manager is accountable for ensuring that all activities are officially and comprehensively closed. The Program Closure Checklist (*Table 8*) is a useful tool for making sure that all documentation is collated and filed in a way that easily accessible by others. Ensuring that all aspects of a program are comprehensively closed is the best way to safeguard the reputation of an organization.	✓ All internal and external stakeholders understand why a program is closing and how the long-term benefits of the program will be sustained. ✓ The program team is confident that all of the expected outcomes have been achieved. ✓ All program components have been delivered or transitioned to another program, organization, or community. ✓ All issues and risks have been addressed satisfactorily.

	✓ All relevant paperwork (files, invoices, logs) has been collated and filed. ✓ Lessons learned over the lifecycle of the program are recorded, filed, and disseminated to relevant stakeholders.

REALITY CHECK: Incorporating Gender, Disability, and Culture

A comprehensive approach to program management will incorporate other key issues into design, planning, and implementation. These might include:

Gender: There may be very specific gender elements that need to be incorporated into the design of a program, and specific indicators that need to be achieved over the lifecycle of a program.

Disability: If the focus of a program is on working with people with disabilities, issues will have been clearly represented at the Identification phase, and it will be important to include and consult with partners, specialists, and technical experts in all phases of the program lifecycle.

Culture: The design of a program must be a good fit with the cultural context within which it will operate, a factor that is essential if a program is to be sustainable beyond the end of its lifecycle.

REALITY CHECK: Managing Supply Chains

If the logistical and supply chain plans of one project are deficient, this can disrupt the distribution schedules of other projects. If a program is to achieve economies of scale in the procurement of goods and services, then clearly the failure of one project to plan will delay the plans and activities of others.

Risks can impact any area of a program, including schedules, budgets, personnel, and program delivery. When assessing and mitigating potential threats to a program, it's a good idea to consult with people with experience and exposure to risk management, such as other Program or Project Managers.

Common Challenges

Program Documentation

Despite the best of intentions, there will be occasions when critical documents go missing, are hard-to-find, or out of date, as a program nears closure. This can occur for a number of reasons, including:

- Staff are unaware of reporting and documentation procedures
- Reporting and documentation procedures are not enforced
- Staff turnover at the end of a program means that documents are missing

It is the Program Manager's role to ensure that the right information flows to the right location, at the right time. Establishing clear and easy documentation policies, and a culture in which procedures are followed, is the best way to ensure that this doesn't happen. Anticipate that the end of a program phase will pose a risk to knowledge management and take steps to mitigate where at all possible.

REALITY CHECK: Issues Management

The Program Manager needs to predict, identify, and resolve issues as they arise during program implementation, making the right decisions within their tolerance level and escalating important issues for resolution. Knowing who to involve, and when and how decisions should be made, is critical, as well as having a comprehensive understanding of internal and external risk.

For example, if a member of staff leaves unexpectedly, a simple solution could be to hire a replacement so as not to disrupt or delay program activities. If an external event – a drought or a flood – threatens the overall timeline and delivery of the program, clearly the Program Owner (and possibly the donor) will need to be consulted.

Staff Skills

It is common in programs to experience high staff turnover and positions may stay vacant for some time. This can sometimes result in low staff capacity, which puts additional pressure on other team members. Adopting a comprehensive approach and being aware of all of the issues that might arise in relation to staff retention and recruitment, is the best way to ensure that positions are filled with skilled, capable staff.

Principle: Integrated

> "Business and human endeavors are systems… we tend to focus on snapshots of isolated parts of the system. And wonder why our deepest problems never get solved."
>
> Peter M Senge

Introduction

Working in an integrated way is essential in an environment in which multiple projects often operate with different timelines, budgets, partners, and stakeholders. It is the role of the Program Manager to take an objective view of all program components, making connections and developing the overview needed to streamline activities and enhance performance.

Integration is the process by which a number of separate elements are combined and coordinated to achieve a harmonious whole.

Why it is Important

Applying an integrated approach ensures that all aspects of a program are aligned and coordinated so that, taken together, they achieve results that are greater than the sum of their parts. When this is done well, everyone involved in a program understands how projects relate to each other and contribute to its overall success.

Economies of Scale

Developing an overview of the resource needs of all projects can reduce program costs and improve efficiency. This is achieved when the purchase of goods and services is applied across several projects, integrating these into bulk orders and deliveries. Negotiating an agreement with one supplier to buy materials in bulk could reduce the purchasing costs of several projects, or an operational break-through in one project could then be implemented in another.

Managing Risks

Establishing a program team that meets regularly to share information is a good way to embed the principle of integration into project management processes. It makes it easier to see how different project elements intersect and impact on each other and enables the team to manage these dependencies more effectively. This in turn helps to highlight issues that could have a negative impact on several projects and the program, and once identified, it is then possible to find a solution.

To align with the Principle of Integrated, the Program Manager needs to:

- Coordinate the allocation and deployment of resources between projects, saving time and resources, and reducing the risk of delays. This is sometimes called 'achieving economies of scale', a process through which wise purchasing and resource management (including staff time) results in programs being delivered in more timely and cost-effective ways.
- Understand how to use and interpret different forms of data and reporting, dealing with issues as they arise in a in a timely way.
- Ensure that deadlines and major program milestones are met, communicating and reporting on progress - upward, sideways and downward as required.
- Set clear priorities for project staff so that they understand how their work and deliverables fit with other projects, and the overall program.
- Identify and manage dependencies between projects. If an element of one project is critical for the implementation of another, it will be important to ensure that timelines cohere so that all aspects are delivered smoothly.
- Be accountable for maintaining a high level of quality in all program deliverables, meeting standards that are defined during the Identification and Planning phases.
- Be able to work with and manage a diverse range of stakeholders with different viewpoints - some of whom will be engaged with program activities and others who may have competing interests.
- Be aware that the implementation of one project may impact on elements of another – taking steps to manage processes, deal with issues, and readjust schedules if needed.
- Communicate well, ensuring that there are clear lines of reporting between projects, and upwards and downwards within the program. This involves having strong verbal communications and leadership skills.
- Ensure that program and project staff and managers are supported with high quality performance management processes, setting objectives that reflect the need to work collaboratively, and providing open and honest feedback.
- Manage and share knowledge that arises during all phases of program and project(s) activities – taking time to learn from situations as they arise and making adjustments to joint activities to ensure that the overall program remains on track. Documentation should be created, collated and stored for future learning and evaluations.

What it Looks Like in Practice

For integration to be effective, a Program Manager ensures that six critical disciplines are understood and adhered to throughout a program's lifecycle. As well as being able to always justify the existence of program, it is essential to manage its scope, timeline, resources, associated risks and relationships with stakeholders effectively. Applying consistent attention to each of these areas will ensure that the program and all component projects are managed in an intentional and balanced way.

Similarly, taking time to monitor and evaluate program activities, learning lessons from this process, and adapting approaches as necessary should be an on-going and indispensable part of program management. All too often program learning is seen as an added extra – a process that is delivered at set times during a program rather than integrated throughout its lifespan. The Program Manager needs to make sure that learning happens, working with the program team to foster adaptive and flexible approaches.

Finally, effective integration plays a key role in knowledge management. The Program Manager is in the unique position of being able to bring everything together so that lessons that transcend individual projects are not lost. It is important to ensure that lessons learned are documented, safeguarded, and communicated effectively with internal and external audiences.

The table below (Table 9) is a high-level example of what this might look like in practice. Note that this is not a complete list of all program management activities, but rather a reminder to Program Managers to integrate key disciplines in practice.

Table 9: Program Management Integration

	Phases			
	Identification	**Design**	**Planning & Implementation**	**Closure**
Monitoring & Evaluation		Develop baseline	Monitor program risks and manage change control - this will mean receiving project risk updates from Project Managers, managing project issues that have been escalated, and escalating issues to the governance structure as determined by your program tolerance Mid-term evaluation	Ex-post evaluation
Justification Management	Ensure program alignment with organizational strategy Develop program Theory of Change	Develop Program Charter and Proposal which can be used as tools to justify the program	Stakeholder management (continually communicate the value and relevance of the program to senior management, funders, and beneficiaries)	Communicate program impact to funder using the program evaluation Communicate program impact to senior leaders so the program

				maintains strategic relevance in the future
Scope Management	High level outputs are created through context analysis (needs assessment/problem tree) Identify geographic areas Pre-identification of projects	Identify projects Develop log frame	Develop a sustainability plan Manage program scope creep and project scope creep as necessary Manage dependencies between projects	Lessons learned for final report Ensure program sustainability occurs
Time Management	Generate high level estimates	Develop program schedule (estimate)	Plan program schedule Monitor and control - this will mean receiving schedule updates from Project Managers Manage dependencies between projects	Lessons learned for final report Program extension as necessary
Resource Management	Generate high level estimates	Develop resource mobilization plan (identify potential and actual revenue streams) Submit proposals for funding as appropriate	Develop budget, then monitor and control - this will mean receiving budget updates from project managers Allocate resources Submit proposals for specific project funding as appropriate	Ensure projects have been correctly closed
Risk Management	Initial risks are identified through the context analysis (needs assessment, stakeholder identification) Create risk register	Risks are identified through the creation of the log frame and by communicating with Project Managers who are designing their projects about any risks that may impact at the program level Modify design based on relevant risks identified Add to the risk register	Design risk response strategy Monitor risks and modify strategy as necessary Manage issues or escalate as appropriate	Lessons learned for final report
Stakeholder Management	Initial stakeholder identification through	Stakeholder analysis, including power	Manage engagement curve for both internal and external	Communicate closure to

	context analysis	dynamics Develop governance structure	stakeholders Report to governance structure Develop and implement stakeholder engagement strategy and communication plan Clear and consistent communication with Project Managers Project Manager performance management	stakeholders Celebrate! Lessons learned for final report

Phases

A number of key processes support the principle of integration throughout the lifecycle of a program. The diagram below identifies these processes, which, when applied, ensure that the various elements of a program are aligned, coordinated, and applied in a balanced manner so that the results achieved are greater than the sum of their parts.

To ensure that a program is integrated, the following processes should be covered as a minimum in each of the four phases:

Phase	Process
Phase 1: Identification **This initial exploratory phase is a good time to embed the principle of integration with internal and external stakeholders.**	✓ Any program identified will need to reflect the complexities of the dynamic external environment within which it will operate, with a wide range of activities developed and honed to achieve overall success. ✓ Stakeholders will have different perspectives and the role of the person leading this phase – the Program Manager, and if not, the Program Owner or Board – must take into account different viewpoints to build an initial picture of what the program will look like (the high level Program Concept Document).
Phase 2: Design **This is the phase during which all of the components needed to set up a program are discussed and built into an initial blueprint. Connections will need to be made between each of the program elements, resulting in a design that is integrated from the outset.**	✓ As the team adds detail and builds out the design, this is the time to ensure that the principle of integration is firmly built into the Program Charter. ✓ The Program Charter is submitted to the Program Owner or Board for authorization, setting the expectation that the principle of integration is at the heart of program design.
Phase 3: Planning and Implementation **As the program moves into detailed planning and implementation, it is time to create infrastructure, formalize plans, and set stages set for review, re-planning and adaptation.**	✓ The Program Implementation Plan illustrates how each of the different elements will fit together to achieve the overall goals of the program. ✓ Stage plans provide detail for each stage but also integrate with and link to the next and previous stages, reflecting both the overall plan and where there is connectivity with other projects. ✓ The Program Manager directs and manages the program and its components, monitoring outputs and guiding project staff to ensure that resources are spent wisely and economies of scale achieved. ✓ The Program Manager understands how and when to make adaptations to a program, often involving the implementation of change across a series of integrated projects.

	✓ An issue in one project could present a risk for another. The Program Manager monitors and controls activities and outputs, spotting areas of concern and ensuring that day-to-day issues are dealt with promptly so as not to pose a risk to the program.
Phase 4: Closure **To ensure that all program activities are closed out successfully, it is essential to work through and integrate a number of standard procedures.**	✓ All relevant information and documentation is pulled together into a Final Program Report and updated Program Charter for submission to the Program Owner and Board. ✓ All stakeholders are informed that the program has officially closed, with a series of formal and informal meetings held to bring people together and acknowledge their contribution. ✓ Lessons will have been learned at each phase and stage of the program lifecycle, and the body of knowledge cohered as a valuable future organizational asset.

Common Challenges

If the Triple Constraint Triangle (*see Fig. 5*) is poorly used or not applied it can have a devastating impact on a program. An integrated analysis of these three interdependencies will enable the Program Manager to maintain balance and keep a program on track.

If the process of integration is not managed well, projects can quickly start to operate as independent entities and will compromise the scope of the program making it difficult to achieve its overall strategic goals.

On the other hand, processes may be well integrated at a strategic level but not applied sufficiently at a project level. This reduces the potential for achieving greater impact through combined ways of working. Clear communication lines and high-performance management standards are the best way to prevent this happening.

TOP TIPS

- ✓ No management decision, however minor, can be made in isolation!
- ✓ Never forget that a change in one part of a program could have an unforeseen impact on an entirely different area.
- ✓ The Triple Constraint Triangle (*see Fig. 5*) is a great tool for ensuring that all aspects of program are integrated and aligned during all of the program phases.
- ✓ Any change to one of the three main program constraints -- scope, time, and money -- will necessarily influence the others, and impact on other areas of work.

Principle: Adaptive

> "Change is the only constant in life."
>
> Heraclitus, Greek Philosopher

Introduction

To achieve results, programs should be designed and planned to suit a dynamic environment and must be managed in a way that is responsive to change. The ability to analyze, address, and modify program approaches is a skill that is useful in all phases of a program's lifecycle, and particularly during the Planning and Implementation phase.

The adaptive Program Manager is someone who can step back, learn from outcomes, identify critical issues and make adjustments to a program so that it is in the best possible place to achieve its objectives and goals. This approach is often described as working *iteratively*, a skill that program teams adopt to deftly move between each of its different stages and phases, fine tuning activities and keeping everything on track.

Adaptive program management is a structured and systematic process that enables program teams to analyze, address, and modify approaches to improve program outcomes.

Why it is Important

Adaptive program management is integral to high quality program performance. If programs are not modified and adapted to suit a dynamic and changing environment, they are more likely to fail. Program plans should always be seen as 'live' documents and the means by which adjustments can be made to ensure that activities are always responsive and relevant.

The overall benefit of an adaptive and agile program is that it is the pathway to success. Maintaining consistent focus on the responsiveness of the program to its internal and external environment helps to build a program team that is confident that their work can be justified.

In an adaptive environment, the scope of the program can be adjusted to suit changing contexts, and timeline and resource requirements modified for cost and efficiency savings. Program teams need to be able to spot problems and deal with issues and potential risks quickly and efficiently. Adaptive ways of working reinforce good practice because the staff making decisions will have a deeper and more intuitive knowledge about the internal and external context of their program and projects.

Stakeholders can be instrumental in embedding agility into a program. Some may open doors to external change processes that increase opportunities for a program to achieve results. Others, such as partners and direct beneficiaries, are best placed to recommend where modifications need to be made to increase community involvement, impact or greater efficiency.

What it looks like in practice

The program team will need to develop a structured approach to build agility into each of the program phases. This starts at the Design phase by ensuring that adaptation shapes the program's overall

blueprint and extends into Planning and Implementation, during which '*learning by doing*' shapes its overall approach.

This could either be done by scheduling a regular review of the Program Implementation Plan, adjusting it as necessary, or by using an '*as-needed'* approach (though the former is recommended). If adjustments need to be made, the Program Manager may need to implement change management processes, modifying program controls and tolerances in line with its overall objectives and Theory of Change.

Adjustments to a program can take many forms. It could be that the assessment of risks related to program changes and activities need to be sequenced in a different way, or that some projects need to be added or closed to ensure that a program continues to achieve its overall objectives. The identity and status of program stakeholders may also need to change in response to issues that have arisen during implementation or to take advantage of newly available opportunities.

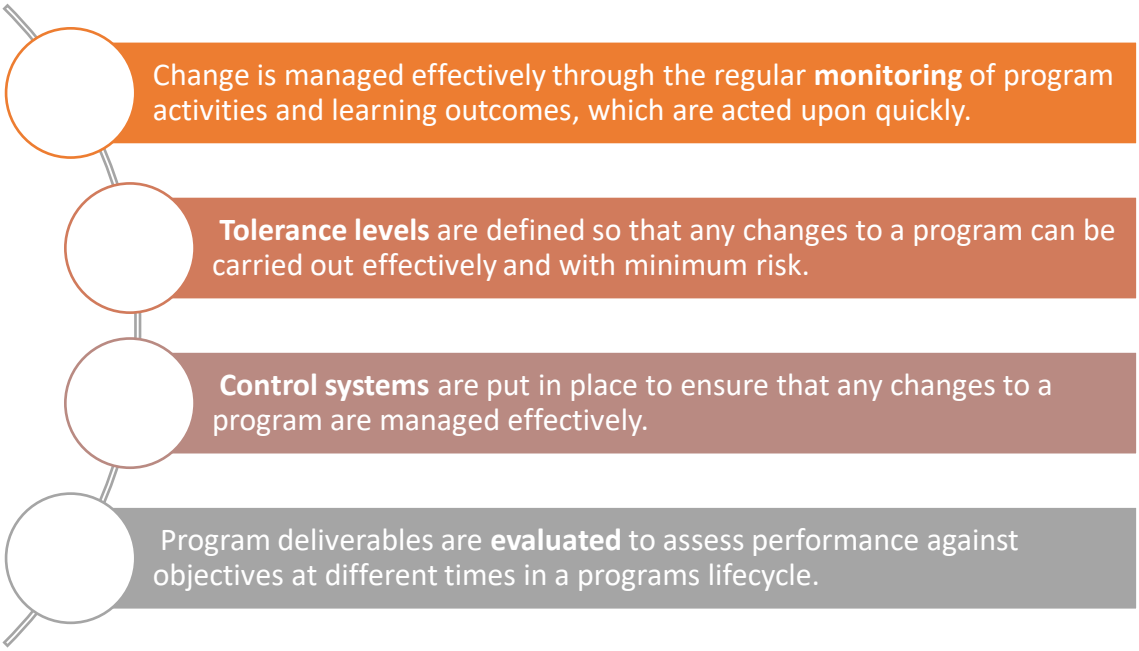
Some organizations will already have systems and processes in place to ensure a focus on continuous improvement. Where this is not the case, the Program Manager is in a good position to promote good practice and help to set standards within an organization. Setting the expectation that self-assessment, reflection, and continuous improvement is an essential part of program and project management from the outset is the best way of ensuring that change processes happen smoothly.

During the Design phase, tolerance levels will have been agreed between the Program Manager and the Program Owner or governance Board. These set levels of autonomy for decision-making and the Program Manager will already have a good sense of when decisions need to be escalated to a higher level. As a rule, the Program Owner and governance body will need to authorize any changes to a Program Implementation Plan, after which all stakeholders should be kept informed so that they understand the reasons why modifications need to be made.

REALITY CHECK: Ensuring Adaptability in Programs

Program Managers are responsible for making sure that their programs are adaptive but, of course, ideas and solutions will also come from others. It's important to recognize the value of different contributions and have the humility to embrace ideas other than your own!

To ensure that program adjustments are made throughout its lifecycle, the Program Manager needs to ensure that:



The systems and processes of monitoring, evaluation, and control are broader and more complex at the program level. This is chiefly because of the quantity and variety of data and information that needs to be gathered by the Program Manager before being able to make judgments about when and how to initiate changes to a program and its constituent projects.

To align with the Adaptive Principle, the program manager should:

- Fully understand the overall objectives and goals of their organization; the Theory of Change that it aspires to in all of its work.
- Develop strong sectorial knowledge (development, humanitarian, environmental), drawing on external thinking and expertise.
- Understand the dependencies that exist between projects and judge when to make adjustments to activities.
- Interpret information and data in a critical and logical way, reflecting and finding solutions to complex issues.
- Be systematic and planned, so that all stakeholders understand the logic for making adjustments to program activities.
- Facilitate adaptive processes that don't disrupt the overall flow of program and project activities, embedding an expectation of adjustment and change as the desired approach from the outset.
- Be an observer – talking to and listening to others, stepping back to reflect and think through options, and working through solutions with teams.
- Work with humility and empathy, acknowledging other areas of expertise, and seeking advice as necessary.
- Make decisions, sometimes ones that require radical thinking and a courageous approach, e.g. making a decision to stop a program.
- Bring new ideas and fresh approaches, an ability to challenge established processes (up/down, change management, internal and external), and embed a culture of listening and learning.
- Possess an innate understanding of the importance of developing strong frameworks for monitoring and evaluation through all phases of a program.
- Build a peer network to liaise with, learn from, and support other program and portfolio managers, and help others to understand the role of the Program Manager.

Managing Change through Monitoring and Evaluation

All programs must be responsive to change. An effective Program Manager knows this and is prepared to adapt plans, schedules, resources, and even deliverables to keep their program on track. They must also ensure that their teams are receptive and capable of adjusting their plans to suit changing circumstances.

> ***"It is a capital mistake to theorize before one has data."***
> Arthur Conan Doyle

This is best achieved by developing a Monitoring and Evaluation Framework that formalizes the processes by which adaptations are made and allows for strategic realignment with a program's overarching Theory of Change. Key stakeholders usually agree this framework during the initial planning phase. They establish what aspects of the program should be monitored and evaluated, determine when assessment activities will take place, and identify who is responsible for making sure that they happen.

REALITY CHECK: Developing the M&E Framework

Make sure that you devote sufficient time and resources to developing a formal Monitoring and Evaluation Framework at the Design phase. This is best done as a team with the involvement of Project Managers or others with specific knowledge of context. Working in this way affirms your role as shaping and adjusting the program and also reinforces the accountability of project staff for ongoing evaluation and iterative planning processes.

Once the framework is established, it is time to develop a comprehensive Monitoring and Evaluation Plan. It is tempting to view program adaptation as a necessary reaction to issues that arise and/or something that is implemented to monitor a program's results. However, when regular Decision Gates are built into the lifecycle of a program as opportunities to gather information, reflect, course correct and move forward, programs become more resilient, relevant, and impactful.

- The **Monitoring and Evaluation Framework** is created during a program's Design Phase, outlining the systems and processes that need to take place to ensure that information on key indicators is gathered routinely and regularly during program implementation. These indicators are the basis on which performance is measured and adjustments to a program can be made.
- The **Monitoring and Evaluation Plan** is developed during the initial Planning phase during which the components of the Framework are built out and into formal plans and timelines. Some components of a program may lend themselves to the collection of quantitative data while other parts may be limited to qualitative data. It is this data that the Program Manager uses to highlight potential problems, prioritize areas of work, and make important and timely course corrections to different program and project areas. The lessons drawn from this information are also invaluable for informing the design and planning of future programs.

Programs are often made up of multiple projects, each of which has different types of activities and methods of data collection to measure performance against key indicators. The amount and variety of data that program teams need to consider has the potential to become very complex. Developing and making use of a formal Monitoring and Evaluation Plan is the best way to track performance and manage a large volume of data and information. This is typically developed after the program is

approved for funding but before the start-up of its projects' activities. A good Monitoring and Evaluation Plan should answer the following questions:

- ✓ What indicators are being monitored and evaluated?
- ✓ How are key terms within indicators defined?
- ✓ What information is needed to track the indicator?
- ✓ What are the sources of the information?
- ✓ What data collection methods are appropriate?
- ✓ Who will collect the information?
- ✓ How often will it be collected?
- ✓ Who will receive and use the results?

Some larger organizations will have dedicated teams who are assigned to gathering and processing monitoring and evaluation data. While this can reduce the workload for program staff, it will always fall to the Program Manager and senor program staff to analyze and draw conclusions from the evaluation data.

REALITY CHECK: Checking in with the Logical Frame

When developing your Monitoring and Evaluation Framework it's worth taking a second look at your log frame (also completed at the Design phase). You may be able to add new progress indicators that you had not considered before. For example, you may have been asked to incorporate specific learning objectives by your donor, and the indicators could help to track progress and measure impact more effectively. If you intend to include these in the log frame, remember that each new indicator will require additional resources and may create an extra burden on beneficiaries. A good log frame will already include a number of indicators, so refrain from adding new ones just because they are interesting; limit them to those that are useful and actionable.

Program Control

Development and humanitarian organizations work in dynamic environments and no matter how much effort is put into program planning there will always be a need to manage change. Indeed, it is an inevitable and healthy part of a proactive and externally facing program. So, while the Program Manager needs to plan ahead and estimate the time, cost, and resources requirements for a program, it is always in the knowledge that there will be a need to adapt to changing parameters.

Change control is the formal process by which any proposed change to a program or project is documented, evaluated, and approved (or rejected) by the person or group with authority to make the decision (see Tolerance Levels below). Ongoing monitoring at regular Stage Decision Gates will highlight when program realities stray too far from program plans. It is the Program Manager's role to rectify the situation using pre-defined controls for how to respond. It maybe that the Program Manager has authority to

"To improve is to change, so to be perfect is to have changed often."
Winston Churchill, British Prime Minister

implement change processes, otherwise, a request needs to be made of a higher authority (the Program Owner or Board).

The change control process must document exactly how decisions are made within the tolerances ascribed to a program. As Project Managers make changes within the scope of their roles, these need to be logged and reported to the Program Manager. Program Managers are then equally accountable for either informing or escalating change decisions to the Program Owner, governance board, or donor. Program Managers must also ensure that approval for changes outside of tolerances is properly documented and filed.

Whatever the scenario, it is important to be aware that changing one part of a program can impact another, so that the desire for change can be measured against its effect on overall program efficiency.

The following program control processes must be followed to formalize and define how and when change can be incorporated into a program. They must be:

- **Managed** through a formal change management process.
- **Analyzed** to ensure that implications of those changes are thoroughly considered.
- **Documented** to illustrate their complete impact on all the integrated elements of the program.
- **Communicated** to key program stakeholders.

REALITY CHECK: Programs and the Theory of Change

Delivering a program that aligns with an organization's Theory of Change and contributes to the program's impact goals must remain the driving force behind any potential change decision, but it is also the Program Managers role to minimize the impact of changes made to the program as a whole.

Program Tolerances

High quality program control is dependent on establishing clear decision-making processes – or tolerances – that define the performance limits within which managers can retain authority within a program. These are established in the Program Charter and authorized by the Program Owner and governance board (see Design phase).

Tolerance levels provide clarity about agreed levels of decision-making. Some issues and proposed responses are within the Program Manager's remit, while others can be delegated (e.g. to project teams) or must be escalated to a higher authority. A higher tolerance means that changes can be made to a program without having to escalate decision-making to the next level. This can prevent undue bureaucracy and result in changes being made quickly and efficiently. However, tolerances are there for a reason and should also be seen as protection for the Program Manager, reducing organizational risk by limiting the size and scope of authority for decision-making at this level.

Tolerances are usually negotiated and authorized during the Design phase but in practice they are often already established within the policies of an implementing organization or external donor. In this case,

making changes beyond established tolerances will require specific approval from senior management or an outside agency, such as a donor or other authorizing body. Additional tolerances that are specific to a program may also be defined at the start of a program.

The types of tolerances might include:

Table 10: Types of Tolerances in Program Management

Cost Tolerance	The cash amount or percentage by which a program or project can exceed or be less than the planned budget.
Time Tolerance	The amount of time by which program or project completion can be later or earlier than the planned date.
Scope Tolerance	Ann agreed acceptable variation from the program or project scope of work, as documented in the program's Work Breakdown Structure.
Risk Tolerance	The threshold for which new risks, or change to existing risks, should be escalated to the Program Board, the Program Owner, or higher.
Quality Tolerance	Ranges that define acceptable performance for a product, documented in the product descriptions.
Benefits Tolerance	Ranges of acceptable performance of the program/project at the outcomes level.

Program Managers usually set the tolerance levels for their project teams. While most Project Managers are likely to have some freedom within cost and time tolerances, the Program Manager usually retains overall authority for wider changes to projects or components of the program. When several members of an implementation team have authority over different components of a program, communication about tolerance levels becomes especially important.

REALITY CHECK: Monitoring and Changes

An astute Program Manager is someone who thinks 'big picture' and has the ability to listen, analyze, and interpret information. This could be insight gained from monitoring data or from exchanges with beneficiaries. By maintaining a strong connection and understanding of what is going on at a project level, the Program Manager can intuitively make small adjustments to the Program Plan. It is often better to implement a series of minor changes well before a challenge becomes a crisis and radical steps need to be taken. It will also allow you to test different approaches to assess whether one is more successful than another, without committing to a major change all at once!

Performance Evaluation and Learning

Mid-term evaluations are a useful means of verifying that changes to a program and associated projects are still in line with its Theory of Change. And because these evaluations take place during the Implementation phase, there is also time to learn and take action to hone program activities to improve performance.

Program closure offers an opportunity plan for a final program evaluation that focuses on how well a program has achieved its desired outcomes and goals, and may involve quantitative and qualitative data collection, as well as operational issues, such as whether a program was well or poorly managed. It also provides an assessment of whether the program's deliverables and benefits will be sustainable. The nature of a final evaluation will depend on the size and scope of a program and the requirements of the implementing agency or donor. These evaluations are often delivered by an external evaluator or consultant, which transfers some of the potentially significant logistical and analytical work away from the program team at a busy time. An external evaluator also has the benefit of impartiality, lending further validity to the findings.

Ex-post evaluations are less common and usually take place at a certain period after the end of a program. They are a great way to look closely at the mid-term or long-term sustainability of a program's interventions. Because of the time that has expired between program closure and this type of evaluation, they are usually not considered to be part of the program that they are evaluating, and therefore not part of the Program Closure phase. They are usually conducted as separate projects in service of another program, and funding for ex-post evaluations can be difficult to find.

The greatest utility of performance evaluations is their ability to generate lessons learned. A Program Manager should ensure that recommendations from an evaluation are clear and that they are shared and received by the wider organization so that they can be incorporated into future programming. Some organizations choose to create separate Lessons Learned documents, which distill the final evaluation and other information into accessible future-thinking findings.

Phases

Phase	Process
Phase 1: Identification Making use of historical data and lessons learned from past programs is extremely useful during this early phase. Not only does it provide critical background knowledge for the Program Manager, it also helps to perpetuate an ongoing cycle through which organizations continue to learn, develop, adapt and improve. There is no need to start every process at the very beginning. Rather, existing organizational assets and processes should be reviewed and adapted. These might include:	✓ Similar past programs, paying particular attention to lessons learned and successful justification rationale. ✓ Lessons learnt and organizational knowledge regarding resource allocation (financial instruments or sources), M&E design, processes, and tools to be used during the Design phase. ✓ Best practices related to donor specific proposal requirements. ✓ Organizational processes to capture and document any new lessons learned during the Identification phase.
Phase 2: Design It is during the Design phase that the structures and processes that will facilitate adaptive program management are embedded in the program design. These include:	✓ A Gantt Chart that highlights the dependencies and relationships between different elements of the program. It is these dependencies that Program Managers will later need to be aware of so that they can accurately assess the impact of any potential changes. ✓ A well thought-out Monitoring and Evaluation Framework.
Phase 3: Planning and Implementation It is during the actual planning and implementation of a program, which can take place over many years, that Program Managers must demonstrate their willingness and ability to adapt. Programs that adopt a "Plan, Do, Review" or '*rolling wave*' approach are better able to respond to constantly changing environments. During this phase:	✓ A Stage Map is developed and followed, and time for Decision Gates is built into the program schedule so that learning and redesign can occur if necessary. ✓ Planning provides a program roadmap but program team must be ready to make changes when monitoring shows the necessity of these. ✓ Changes made during this phase must be timely and with a minimum of disruption. ✓ Communicating changes to those involved in program implementation is critical.

Phase 4: Closure: Program Closure is an opportunity to capture important lessons and to recommend changes that can be implemented in future programs.	✓ This learning process should include what went well and what could have gone better in respect of direct and indirect program and project work (e.g. internal communications, decision-making, organizational tools and processes). The results should then be communicated and stored in an easily accessible place, so future programs can reference them in their Identification phase

Common Challenges

Program Managers, like Project Managers, can sometimes feel that they spend most of their time in 'reactive' mode, constantly having to troubleshoot problems and 'put our fires'. This usually happens when decision gates have not been scheduled and open and honest discussions are not taking place with teams. If this doesn't happen, a culture is created in which difficult conversations and problems are buried, and the program itself becomes backward facing, rather than where it should be – focused on learning and adapting. Building in the time to make small changes before problems occur mitigate some issues from happening in the first place.

TOP TIPS

- ✓ Adaptive ways of working help to validate changes to the Program Implementation Plan through a process of continuous improvement.
- ✓ When program changes are made, the Program Charter also needs to be amended and authorized.
- ✓ Clearly communicate any changes to the program to all stakeholders, including primary stakeholders (Board, senior managers, donors), Project Managers, and secondary stakeholders.
- ✓ Make sure that everyone understands and operates within agreed tolerance levels for the program – that way when changes do need to be made, they can be made quickly, allowing work to proceed.
- ✓ Change is inevitable. Setting this as an expectation from the outset enables organizations to learn, develop and flourish.

APPENDICES

Appendix 1: Glossary of Terms

After Action Review	Participatory exercise that can be a way to gather useful information relatively quickly and inexpensively. Participants include internal and external stakeholders who are asked a series of questions to assess a program's outcomes against what was planned and actually happened (page 110).
Assets Management	One of the Supply Chain categories. Includes the systems whereby things that are of value to a project are monitored, maintained, and disposed (page 95).
Assumptions	Hypotheses about necessary conditions, both internal and external, identified in a design to ensure that the presumed cause-effect relationships function as expected and that planned activities will produce expected results (page 24 and 59).
Baseline	A factual point of reference about the conditions or performance prior to the commencement of an intervention – necessary to serve as the basis for program or project monitoring, evaluation, and control (page 61).
Capacities	Abilities, skills, understanding, attitudes, values, relationships, behaviors, motivations, resources, and conditions that enable individuals, organizations, networks/sectors and broader social systems to carry out functions and achieve objectives over time.
Commitment Curve	Model that describes the process that people go through when introduced to a new organizational initiative and change process (page 129).
Competencies	Integrated sets of skills, knowledge, attitudes, and behaviors required to perform effectively in a given job, role or situation.
Critical Path	The sequence of activities that represents the longest path between the start of the project and the project's end. If the estimates for the duration of each of the projects are accurate, it is possible to calculate a critical path for the whole program (page 86).
Decision Gates	Checkpoints in a Program Lifecycle that assist the program team in determining whether or not to move forward (page 32).

Development Organization	A spectrum of organizations that fall within a wide continuum of relief and development in their projects and practices: one end of the continuum facilitates long-term, participatory development programs in areas such as environment, health, education and agriculture; and the other involves more direct implementation of quick and temporary relief projects for people facing starvation, homelessness, or destitution because of sudden natural disasters or conflict (page 125).
Economies of Scale	Process through which wise purchasing and resource management (including staff time) results in programs being delivered in more timely and cost-effective ways (pages 84 and 149).
Emergency Decision Gate	Instances when the operating environment of a program, or its constituent projects, can change dramatically in a short period of time, requiring quick decisions about whether to change plans, or in some cases, even stop a program (page 77).
Funding Grid	Internal planning tool that can help to overcome most of the challenges presented when a program or project has more than one source of income (page 97).
Gantt Chart	Scheduling tools commonly used at a project level. At a program level, the Gantt Chart provides an useful overview of the dependences and relationships between different elements, reflecting the timeline for the whole program (page 62).
Issue	A risk to a program or project has occurred. It can take the form of an unresolved decision, situation, or problem that will significantly impact program or project deliverables.
Issues Log	Tool for capturing problems that arise in multiple projects, enabling the Program Manager to see if a delay or problem in one project could have an impact on another, and then communicating with relevant teams to ensure a prompt response (page 92).
Lessons Learned Log	Tool or series of documents in which lessons learned over the lifecycle of the program are recorded, filed, and disseminated to relevant stakeholders. It is present at all phases of the program lifecycle (pages 34, 103, 110, 114, and 164).

Logical Framework, Logical Frame, Log frame	Tool used to communicate the program logic, facilitate planning, and act as the foundation for the monitoring and evaluation processes. It is also a visual representation of how a program aligns to an organization's strategy or program Theory of Change.
Logistics Management	One of the Supply Chain categories. Includes planning, implementing, and controlling the efficient, cost-effective flow and storage of raw materials, in-process inventory, finished goods, and related information from point of origin to point of consumption for the purpose of conforming to customer requirements (page 95).
Monitoring and Evaluation Framework	Tool that outlines the indicators that a program team will use to measure a program's performance against its stated objectives and outcomes. The M&E Framework is the first stage in developing the plan for how the progress of a program will be quantified, monitored, and evaluated during scheduled intervals throughout the program lifecycle (page 61).
Monitoring, Evaluation, Accountability, and Learning (MEAL)	Approach that needs to be applied across all phases of program management. It is a skill that Program Managers must develop to refine their programs and ensure that all components are integrated and orientated towards achieving the overall goal.
PMD Pro	The PMD Guide provides a contextualized, balanced, comprehensive, and adaptable resource to help increase the efficiency and effectiveness of projects in the development sector. The purpose of the Guide is to improve the project management capacity of development professionals.
Portfolio	A mix of active programs/projects, staffing, and budget allocated to each.
Procurement Management	One of the Supply Chain categories. Includes the identification of materials and services for purchase, when they are needed, how they will be acquired and by whom. Procurement plans need to be integrated with other elements of the Program Implementation Plan to ensure that all purchase and supply activities are aligned with the program and project budgets, calendars, quality requirements, and risk parameters (page 95).
Program	Group of related projects managed in a coordinated way to obtain benefits and control that are not available when managed individually.

Program Charter	Planning document that summarizes the intentions of a program to internal and external stakeholders to achieve their buy-in and support (page 53).
Program Closure Checklist	Reminder of processes that must be worked through during the Closure phase, and provides an example of what this looks like (Outputs) (page 113).
Program Implementation Plan (PIP)	A comprehensive, integrated, and high-level plan incorporates all of the elements that are essential for the lifecycle of a program (page 75 and 153).
Program Manager	A professional who has the responsibility to achieve the standards necessary to deliver high quality development, humanitarian, and environmental programs. The Program Manager focuses on the challenge of coordinating, creating synergies, and finding ways to increase the impact of the overall program (page 12).
Program Organizational Chart	Outlines the key roles and responsibilities of the various members of the program team. This does not need to be a detailed governance framework but it needs to be 'good enough' for authorization as part of the Program Charter (page 68).
Program Proposal	Document which objective is to get funding for the program. The structure, length, and key components of a proposal document will vary widely based on the donor and individual funding opportunity (page 54 and 72).
Program Stage Map (PSM)	Visual illustration of how different areas of a program – its overall tasks, project activities, resource requirements, and funding processes – interact (page 85).
Progression Decision Gate	Decision gates that arise at times when it is important to assess whether activities should continue as planned (page 77).
Project	A set of activities meeting agreed objectives in a specific period of time with an agreed set of resources.
Project Manager	A professional in the field of project management, with responsibility for planning, implementing, and closing projects to bring about the successful completion of specific goals, outcomes, and outputs (page 12).

Resource Mobilization Plan	Document that summarizes all the activities needed to fund a program and decisions made about who will be responsible for securing them (page 68).
Risk	The potential effect of uncertainty on program and project objectives.
Risk Register	A 'living' document that identifies and categorizes program level risks and is used to develop appropriate solutions. This Risk Register is constantly being assessed and updated (page 66).
Rolling Wave Planning	Continuous cycle of planning, implementation, and re-planning, regularly reviewing and amending the Program Planning documents and tools (pages 75 and 143).
Spider Diagram	Offers a visual picture of the actual or perceived stakeholder landscape (page 65).
Stakeholder Engagement Plan	Documents and tools that help the program team to develop, maintain, and manage stakeholders at optimal points within the program lifecycle (page 83).
Stakeholder Power/Interest Grid	Tool for capturing more detailed information about stakeholder interests and their ability to influence the development of a program (page 64).
Theory of Change	Tool that outlines the strategic intent of an organization by illustrating how expected change would take place (or flow) from projects and activities all the way up to the portfolio level of the organization (page 22 and 24).
Transition Planning Matrix	Tool to define and plan for ongoing sustainability (page 86).
Work Breakdown Structure	A hierarchical task list created by breaking a program or project into components, and processes into increasingly detailed tasks (page 26).

Appendix 2: Program DPro Learning Outcomes (Syllabus)

The objective Appendix 2 is to identify the learning outcomes associated to the Program DPro Guide. These learning outcomes, in turn, provide Program DPro examination candidates (and training organizations) a detailed breakdown of what the Program DPro Foundation and Practitioner exams will assess.

Syllabus Area Code **PR**		Syllabus Area: Program Management in the International Development Sector	Foundation	Practitioner	Page Reference
Level	Topic				
Know key terms and concepts that are related to programs in the development sector.					
01	01	Define program management in the international development sector, including the differences between projects, programs, and portfolios.	X		13-16
01	02	Identify the role of the Program Manager in international development programs.	X		12
01	03	Identify the components that contribute to complexity in program management in the international development sector.	X		11-12
Understanding programs in the international development sector.					
02	01	Demonstrate understanding of how complexity affects programs in the international development sector.		X	11-12
02	02	Explain the difference between the roles of the project and program managers in the international development sector.		X	11-12

Syllabus Area Code **PM**		Syllabus Area The Program DPro Lifecycle Model	Foundation	Practitioner	Page Reference
Level	Topic				
Know key terms and concepts related to the Program DPro Lifecycle Model					
01	01	Identify the 4 Phases of the Program DPro Management cycle.	X		17
01	02	Identify the structure of each program phase.	X		20
01	03	Define the program essentials of: plan, do, review; monitoring, evaluation, and learning, Theory of Change; triple constraint triangle.	X		21-23
01	04	Identify the 6 disciplines of program management.	X		25-27
Apply the Program DPro Model concepts to real-world programs.					

02	01	Explain how the 6 disciplines of program management should be managed within the program lifecycle.		X	26-27
02	02	Understand the role and benefits of decision gates in the program management lifecycle.		X	20

Syllabus Area Code **ID**		Syllabus Area Phase 1: Program Identification	Foundation	Practitioner	Page Reference
Level	Topic				
Know key terms and concepts related to Program Identification.					
01	01	Identify the components that will increase the likelihood of program success.	X		31
01	02	Identify the key output(s) of the Identification phase.	X		31
01	03	Define the Program Concept Document	X		49
01	04	Identify what a decision gate looks like in the Identification phase.	X		32
01	05	Identify the minimum inputs required for the Identification phase.	X		35-36
01	06	Define the components of a context analysis in the Identification phase.	X		38
01	07	Define Bradshaw's 4 Categories of Social Needs	X		38-39
01	08	Identify and define the problem tree	X		39
01	09	Identify and define the objectives tree.	X		40
01	10	Identify and define Powercubes within the stakeholder management process.	X		40
01	11	Explain the stakeholder identification tool.	X		45
01	12	Understand the process of program scope and project identification.	X		46-47
01	13	Define the various techniques used to estimate time and resources in a program.	X		48
Apply Program Identification to real-world programs.					
02	01	Be able to describe how the decision gate process works in the Identification phase.		X	
02	02	Explain the considerations that need to be taken in identifying a program.		X	
02	03	Demonstrate the role that stakeholders play in the Identification phase of program management.		X	
02	04	Explain the process for developing structured discussions for identifying the program.		X	

Syllabus Area Code **PD**		Syllabus Area Phase 2: Program Design	Foundation	Practitioner	Page Reference
Level	Topic				
Know key terms and concepts related to Program Design					
01	01	Identify the key outputs of the Program Design phase.	X		57
01	02	Identify the inputs needed to successfully complete the Program Design phase.	X		57
01	03	Identify the process used to assist in the design of programs.	X		58
01	04	Define and identify all of the components of a Program logical frame.	X		58-59
01	05	Define a monitoring and evaluation framework.	X		61
01	06	Identify a Stakeholder Power/Interest grid.	X		64
01	07	Identify a Gantt Chart and its purpose in the Design phase.	X		62
01	08	Define Risk Analysis within program management context.	X		66
01	09	Identify the Spider Diagram and its uses.	X		65
01	10	Define the purpose of a Program Organizational Chart	X		68
Apply Program Design to real-world programs.					
02	01	Explain the concept of utilizing a participatory approach to Program Design.		X	55-56
02	02	Describe the factors that should be considered when designing a program.		X	55
02	03	Be able to differentiate between a program and project logical frame.		X	60
02	04	Describe the components of the Program Charter		X	70

Syllabus Area Code **PI**		Syllabus Area Phase 3: Program Planning and Implementation	Foundation	Practitioner	Page Reference
Level	Topic				
Know key terms and concepts related to Program Planning					
01	01	Identify the key outputs of program planning: program implementation plan, stage plan, updated program charter.	X		74-75
01	02	Identify the inputs required to achieve the outputs for planning.	X		81
01	03	Recall the process suggested for program planning.	X		82-83
01	04	Define the stakeholder engagement plan	X		83

01	05	Identify the components that go into program planning.	X		83-85
01	06	Define a program stage plan.	X		85
01	07	Identify the components of a transition planning matrix	X		87
Know key terms and concepts related to Program Implementation					
01	01	Identify the inputs necessary for program implementation.	X		90
01	02	Identify the outputs of the implementation phase.	X		99
01	03	Recall the processes a program manager will use during the implementation phase.	X		91
01	04	Define rolling-wave planning in the context of the planning and implementation of programs.	X		91
01	05	Recall the components that need to managed during the implementation phase.	X		90-95
01	06	Identify the stakeholder communication principles.	X		94
01	07	Distinguish between and define procurement, logistics, and assets management in implementation.	X		95
01	08	Recall the role of MEAL during implementation	X		96
01	09	Identify and define the purpose of the funding grid.	X		97-98

Syllabus Area Code **PC**		Syllabus Area Phase 4: Program Closure	Foundation	Practitioner	Page Reference
Level	Topic				
Know key terms and concepts related to Program Closure.					
01	01	Identify the key output(s) of the Closure phase.	X		101
01	02	Identify the inputs required at the Closure phase.	X		105
01	03	Recall the processes the program manager will use during the Closure phase.	X		106
01	04	Identify and define a Lessons Learned Log	X		110
01	05	Define the three types of evaluations that can be used in program management	X		112
01	06	Define the concept of adaptive learning	X		113
01	07	Identify the project components that should be part of the Program Closure checklist.	X		113-114

Syllabus Area Code **WG**		Syllabus Area Principle: Well-Governed	Foundation	Practitioner	Page Reference
Level	Topic				
Know key terms and concepts related to the principle of Well-Governed					
01	01	Define what well-governed means in the program management context.	X		117
01	02	Identify why the principle of well-governed is important in program management	X		118
01	03	Recall how the principle of well-governed is applied through the program phases.	X		122-124
01	04	Recall the challenges faced in the application of the principle of well-governed in program management.	X		125-126

Syllabus Area Code **PA**		Syllabus Area Principle: Participatory	Foundation	Practitioner	Page Reference
Level	Topic				
Know key terms and concepts related to the principle of Participatory					
01	01	Define what participatory means in the program management context.	X		127
01	02	Identify why the principle of participatory is important in program management	X		127-128
01	03	Identify and define the purpose of the Commitment Curve	X		129-130
01	04	Identify and define the purpose of the RACI Chart	X		130-131
01	05	Recall how the principle of participatory is applied through the program phases.	X		131-132
01	06	Recall the challenges faced in the application of the principle of participatory in program management.	X		133

Syllabus Area Code **CO**		Syllabus Area Principle: Comprehensive	Foundation	Practitioner	Page Reference
Level	Topic				
Know key terms and concepts related to the principle of Comprehensive					
01	01	Define what comprehensive means in the program management context.	X		136
01	02	Identify why the principle of comprehensive is important in program management	X		136-137
01	03	Recall how the principle of comprehensive is applied through the disciplines of program management.	X		137-140

01	04	Recall how the principle of comprehensive is applied through the program phases.	X		141-145
01	05	Recall the challenges faced in the application of the principle of comprehensive in program management.	X		146-147

Syllabus Area Code **IN**		Syllabus Area Principle: Integrated	Foundation	Practitioner	Page Reference
Level	Topic				
Know key terms and concepts related to the principle of Integrated.					
01	01	Define what integrated means in the program management context.	X		148
01	02	Identify why the principle of integrated is important in program management	X		148
01	03	Recall how the principle of integrated is applied through the disciplines of program management.	X		150-152
01	04	Recall how the principle of integrated is applied to the program phases.	X		153-154
01	05	Recall the challenges faced in the application of the principle of integrated in program management.	X		155

Syllabus Area Code **AD**		Syllabus Area Principle: Adaptive	Foundation	Practitioner	Page Reference
Level	Topic				
Know key terms and concepts related to the principle of Adaptive.					
01	01	Define what adaptive means in the program management context.	X		156
01	02	Identify why the principle of adaptive is important in program management	X		156
01	03	Identify how the principle of adaptive relates to monitoring and evaluation.	X		160
01	04	Recall how the principle of adaptive facilitates the development of the M&E framework and plan.	X		160-161
01	05	Recall how the principle of adaptive relates to program tolerances.	X		162-163
01	06	Recall how the principle of adaptive is applied to the program phases.	X		165-166
01	07	Recall the challenges faced in the application of the principle of adaptive in program management.	X		167