Facts for Projects

Practical guidelines how to plan, start, manage, monitor and evaluate projects

- DRAFT VERSION OCTOBER 2003 -

Content

Part I - Context

The project and its environment

The project cycle and its environment

Tools for working within the project cycle

Part II – Project cycle stages

Assessment

Analysis

Project planning

  - Logical Framework

Implementation

Monitoring (*incomplete, Oct '03*)

Evaluation (*incomplete, Oct. '03*)

Part III - Beyond the Project cycle

Reporting

  - Concept Note

  - Interim / Final report

  - Annual reporting / Project Completion Report

How to write a Project Proposal

How to draft an Action Plan

Participation (*incomplete Oct. '03*)

Part IV – Additional resources

Further reading (see added resource CD ROM) (*incomplete Oct. '03*)

Introductory note

This "Facts for Projects" guideline deals with some general and practical information on projects, and focuses on the project cycle and standardisation processes in order to ensure quality project management.

A resource CD ROM with additional project information shall be eventually part of this "Facts for Projects" handbook.

October 2003

Part I - Context

This part of the background note examines information required to apply the project cycle.

<u>The project and its environment</u>

The project cycle is a simple and pragmatic way of visualising the work that agencies do within the context of a complex and for outsiders difficult to understand environment. It has been seen that even some colleagues from the country itself aiming for field work have never been out in the rural areas, making them as much a foreigner to this environment as people from outside the country (example: Sudan, Khartoum university and big city setting versus rural areas).

There are at least two factors to be considered in approaching a community. They can be defined as the combination of access to populations and resources available to help them. Levels of access and availability of resources can change regularly during a project. Organisations can themselves influence both factors by their approach towards them.
Issues affecting the context of a project:

- ◊ Economic, social; political
- ◊ Climatological, Geographical
- ◊ Organisational
- ◊ Cultural, psychological
- ◊ Gender issues
- ◊ Human rights issues
- ◊ Societal norms and local coping capacities

Biases affect our understanding of context

The project cycle is about getting the facts, getting them right and working to ensure that planned action is as appropriate, effective and accountable. One problem that confronts projects in the field is that we are all biased as to what 'right' is. Our
perception about the world is based on our own history and experiences which will, inevitably, be different from other people's experiences. It often happens that several people observe the same event, and all of them 'see' different things. Bias is natural, and not necessarily bad. The problem occurs when biased information is presented as objective, and a project is designed around this.
 Some examples of biases are:

- ◊ Cultural bias
- ◊ Gender bias
- ◊ Organisational mandate bias
- ◊ Speciality or competence bias

The project cycle and its environment

The Project Cycle

The project cycle is a way of conceptualising the management of projects. It is also a system that enables information to be managed efficiently. The first stage in the project cycle is to assess the situation, and collect information. No environment is static, and, in fact, the initial assessment only provides a snapshot of what is happening at a particular moment in time. As soon as the information is collected, it quickly becomes outdated. This is why the project is presented as a cycle, with the steps continually repeated to keep the project relevant in a changing context.

Operational constraints affect the use of the project cycle [2]:

◊ Shortage of time and sometimes rapidly changing situations

◊ The need for short and long-term objectives

◊ Co-ordinating work with different organisations/partners

◊ Managing resources, problems of communication and access

◊ Initial shortage of staff and resources

◊ Problem of continuity of knowledge (local and international staff)

◊ Serious consequences of poor decisions, resulting directly or indirectly in unnecessary delays or operational problems.

Information management

If applied correctly, the project cycle approach can help efficiently manage information. One way to sum up the information management process is to refer to it as a continuous loop, as long as response and assistance are in place. The cycle typically proceeds as shown above. The collection and storage of data and information in assessments and monitoring can be described as the 'engine room' of project cycle management.

If it does not function properly, the entire system grinds to a halt[3]. It is useful to distinguish between the terms 'data' and 'information'. Data is a collection of words, numbers, and other characters with a structure. Information is 'useful data'. Data becomes information when it has been analysed for a specific purpose.[4]

Constraints in managing data & information

Low priority for information systems

Persons who carry out data collection are frequently required to take this role on as an additional task, to be worked in and around the more 'important' service-oriented tasks of the project actions.

◊ Involvement is limited to collection. Many beneficiaries and local participants do not understand the link between collection of information, and how the information contributes to the benefit of the project. This problem is most common when

beneficiaries do not participate in either the planning of information gathering or the analysis of the data collected (refer to chapter PRA methods).

◊ Poor feedback to the data collector. Failure of field data collectors (students or who ever) to get feedback about information they have collected contributes to a perception that the activity is not as important as other more spectacular activities which are more regularly supervised and/or assessed for job performance and thus reputation of individuals.

◊ Failure to give feedback to the community means they cannot recognise the value of the exercise, and breeds reluctance or resentment toward any future repetitions.

◊ Quantitative bias. A frequent complaint by project staff and other information users is the quantitative bias of project information systems.

◊ Human resource development needs. The available staff may be unqualified for tasks related to data collection and information management. This may be because there is relatively little opportunity for practical learning in this field. Coupled with this issue is staff apprehension about the 'difficulty' of monitoring and evaluation and analysis and interpretation of findings. This is not helped by the lack of common agreement about standards and methods among professionals. [5].

The Causal Pathway

The causal pathway is an attempt to clarify language and the logical thinking used in the project cycle. This method has been copyrighted by Colombia University and IRC. It presents one way of looking at the chain of relationships and the logic of projects. 'Causal' because it is based on the premise that the project you put into place should cause something else to happen. A 'pathway' because the causal relationships are intended to lead somewhere – i.e. an increased ability for people to live with dignity.

(a) **IMPACT**. [6]. To improve the quality of life and rights of the target population. In the language of the causal pathway, this is the desired impact of a project.

(b) **EFFECT** (sometimes known as OUTCOME, or OBJECTIVE). Effects have to occur before impact can be achieved. Effect is a medium term change in the state of a population, resulting from outputs that a project delivers.

(c) **OUTPUT**. In the language of the causal pathway, the products and services that cause effects on a population are called outputs. For example bed nets, safe nutrition, housing, numbers of people trained, joint management structures.

(d) **ACTIVITIES**. Activities must happen to achieve outputs. For example transport of food, construction of water systems, meetings, training.

(e) **INPUTS**. Finally, before activities are begun, the necessary resources must be available in adequate amounts. In the language of the causal pathway, the things needed to carry out activities are inputs.

In summary, there are five ingredients necessary to developing a causal pathway. One of the benefits of this model is that it forces you to build a programme from the impact backwards to the inputs. The process will always make you ask "What has to happen before I observe change?" One key though ingredient is missing – assumptions.

Assumptions are essential in any project using the project cycle and with it the logical framework approach (LFA). The LFA requires that some assumptions be made.

Once you have diagrammed the causal pathway (impact to inputs) of your project, you need to locate the project objective along the pathway. This will be the furthest point at which you will be able to present quantifiable data, and the point for which you will be accountable.

Tools for working within the project cycle

Minimum Standards

Here we need to clearly differentiate between standards and indicators. It is important to understand that standards are an interpretation of international instruments, and are qualitative. For each standard there are key indicators that assist when measuring whether a standard has been met or not. Determining which indicators to use when measuring whether a project is achieving its objectives is a subtle exercise, which requires technical expertise and some experience.

The standards are frequently the objectives of our actions, and also denote what people have a right to. Each standard has from three to a dozen key indicators, which usually represent a mixture of quantitative, qualitative, process and participatory types. Together, they represent the elements necessary to measure whether the standard has been achieved.

Indicators contribute to transparency, which in turn, improve accountability. Pragmatically, it may be necessary to reduce the number of indicators being used, or to modify the indicators to be more appropriate for a particular context. In particular, the quantitative indicators may not be universal. The justification and criteria for modifying indicators will be different for each project.

Accountability involves explaining why particular indicators are being used and what they cost, and justifying modifications, based on a thorough analysis of a particular context.

Indicators

'Indicators are tools that are common to every stage of the project cycle and act as 'signals' that show whether a standard has been attained.

They provide a way of measuring and communicating both the impact of programmes as well as the processes, or methods, used. The indicators may be qualitative or quantitative.'

Indicators typically reflect a range of activities and relationships within the affected community, but present themselves in a measurable (either qualitatively or quantitatively) way so that assessors can record meaningful information.

Good indicators are verifiable.

Quantitative indicators are measurable and usually involve numbers. An example is page 238 'more than 95% of all children in the target group are vaccinated'. Qualitative indicators are harder to measure, and may describe processes, behaviour or attitudes. An example on the same page, 'a public information campaign is conducted by community workers before conducting a mass vaccination campaign'.

SMART Definitions

Specific	Indicators should reflect those things the project intends to change, avoiding measures that are largely subject to external influences.
Measurable and unambiguous	Indicators must be precisely defined so that their measurement and interpretation is unambiguous. Indicators should give objective and not subjective data – that is, they should be independent of who is collecting the data. Indicators should be comparable across groups and projects, thus allowing changes to be compared and aggregated.
Attainable and sensitive	Indicators should be achievable by the project and therefore sensitive to changes the project wishes to make.
Relevant and easy to collect	It must be feasible to collect chosen indicators within a reasonable cost and these should be relevant to the project in question.
Timebound	Indicators should describe by when a certain change is expected.

Part II – Project cycle stages

This part of the background note deconstructs the project cycle into its components, and examines how relevant each step is for the whole project live.

Assessment

Assessment means collecting data on a disaster situation as well as identifying the needs and problems. It may occur soon after a disaster, and is

then called an initial assessment, or it may occur at any time. Assessments produce a 'snapshot' of a particular disaster situation at a particular

moment in time.

The Humanitarian Charter calls for acceptance and support of the 'humanitarian imperative' (the obligation to take action). The Humanitarian

Charter also clarifies roles and responsibilities, and states that local coping mechanisms should be the pre-eminent emergency response. However,

an augmented emergency response might include the national or international humanitarian community. When this is needed, the humanitarian

community should respond in a supportive role that seeks to fill the gaps in assistance at a local level and facilitates assistance to reach the

standards set out in the Sphere handbook.

Assessment is the first step

For every project or intervention some degree of assessment is required. A good assessment will go a long way for ensuring that external responders understand the situation fully. An assessment will help prioritise actions, and facilitate efficient interventions that avoid gaps and duplication of services. A good assessment also provides baseline data for future monitoring. For any development project, assessments are key for planning interventions or project aims, both immediate and longer term, in ways that support local capacities and involve maximum local participation.

Example methods to collect data in assessments

◊   Review of existing information – documents, reports, internet etc.

◊   Observation process – visual inspection is one of the most common methods when there is little time, but it requires assessors who are experienced and can identify trends and indicators quickly.

◊   Discussions, interviews

◊   Sample surveying using statistical methods. Well conducted statistical surveys have a number of advantages, not least of which is the relative confidence. There are several different types, each fairly time intensive.

◊   Mapping, ranking, charts

◊   Questionnaires, reports

◊   Audio and visual records

The application of indicators

Indicators are assessment tools. In each of the methods described above, indicators can serve as questions to be asked. When used as a framework for assessment, indicators can also be useful in establishing resource allocation and project implementation.

Balancing quality, speed and accuracy

There is a need to balance speed of assessment activities with the accuracy achieved or the confidence that assessors and others place in the assessment results. In reality, this is not an either/or type of question, but one of maximisation of both elements to the extent possible to balance the effort/price/time calculation. In other words, both time and accuracy are crucial. Loss of either will negatively affect the usefulness of the information. In pragmatic terms the assessor must strive to be 'pretty accurate pretty fast'. Quality is another issue, which should be given the highest priority. Remember, the assessment data will be the base line for the whole project. Useless or irrelevant assessment data can seriously harm and damage the project impact, if it cannot be properly measured through monitoring and evaluation.

Dealing with bias

Bias is one of the main challenges in assessment quality. There are various ways to reduce bias. For example, triangulation can occur within one assessment team and involves asking the same question in different ways or from different sources. Co-ordination involves sharing completed assessments between teams in different organisations. Joint assessments bring different organisations to the same assessment team so that the respective biases balance each other. Finally adherence to baseline standards mitigates bias by ensuring that assessment procedures are not forgotten, and that the assessment questions are based on universally agreed indicators.

Dealing with inconsistency

In addition to bias creating problems of objectivity, assessments are often inconsistent or incomplete, and provide a weak foundation on which to analyse problems. Most development practitioners are aware of the need for assessments but often do not provide enough information to support proper decision-making. Inconsistency in assessments can be caused by:

• Inexperienced staff

• Incomplete data

- Too much detail, too little context (focus on what is measurable, but also consider the wider issues)
- Lack of community participation in the assessment and poor local knowledge in the assessors.

Some suggestions on how to address issues of varying consistency in assessments include: staff training, setting standard operating procedures for assessments within your organisations, grouping assessment questions into themes which can encourage wider thinking and, finally, using baseline standards.

Analysis

Assessment alone, without analysis, is meaningless. Analysis permits the transformation of data into information. If done properly, it provides projects and organisations with decision-support tools to better respond to the actual needs. Analysis is part of a logical chain of activities that begins with assessment and leads to action. Assessment and analysis are intertwined. It is rare to find assessment information that has not already been analysed to some degree during its initial collection.

What needs to be analysed

The comparison of observed status (e.g. the nutritional value of a daily food basket) in relation to a pre-determined standard (e.g. the amount required for the normal functioning of the human body) is a type of analysis. The analysis in this case results in a value judgement of whether or not the situation observed meets a minimum standard of acceptability. Further analysis typically goes beyond comparison against a standard, and seeks to understand the context in which the situation exists. While this may seem sometimes overly complicated, contextual analysis can be critical.

In the case of a single patient, for example, high fever is an indicator of sickness. It is assessed directly by taking the person's temperature. A number is obtained, and analysed by comparison to a standard. In most cases the assessment tool, or thermometer, has an analytical tool built in – a heavy red line at the 'standard' body temperature. Using this tool the assessor learns quickly, and in one step, that the person has a body temperature higher than the standard.

However this is not enough. The assessor now wants to do something for the patient to restore health. The context of the fever becomes critical to determining the appropriate action. Is the fever due to an infection, flu, or malaria? In other words, the fever (body temperature above a known standard) is a valid indicator, but is not enough to support remedial action.

The background to the fever, as well as other contextual factors, is as important as the indicator itself in determining response.

Various 'lenses' through which to 'view' or analyse the context

- *Analysis of gaps in available resources.* The aim of analysis is primarily to ensure that the activities recommended for an intervention are appropriate and not or only partially available locally, and then to make recommendations to cover the gaps in local provision. The analysis of local capacity (and actual activity) for implementing and sustaining a project is important in shaping the intervention as well as understanding the local context.

- *Social analysis.* An important aspect of social analysis is an understanding of people's role in the local community and society, as well as an understanding of local power systems and how resources are controlled. Understanding of these issues will ultimately shape the way an intervention is being implemented.

- *Analysis of use and control of resources.* When development standards are used, care should be taken in distinguishing between provision or existence of resources, and access and control of those resources within the community. There needs to be an analysis of who controls the resources after they have been distributed. Is there equitable access to community resources? Who controls this access? How might the proposed project affect resource control?

- *Political analysis.* Political analysis means the study of social power structures within factions, movements, groups and subgroups within the community.

- *Economic analysis.* The economic analytical lens includes questions of self-sufficiency, poverty, and control of economic access within the community. Market studies such as the tracking of prices of staples in local markets, is one of the indicators typically followed.

- *Technical and sectoral analysis.* This may be purely technical, for example in the analysis of statistical sampling data from health surveys, or structural analysis of buildings to be used for clinics, or the chemical analysis of drinking water.

One issue to remember in conducting technical analysis is the interdependence of sectors on each other as well as on the wider socio-economic and political context. There is some danger that technical analyses, conducted by technical specialists, may not adequately relate findings to the wider context and influences on the affected population. The strength of any problem analysis is dependent on the accuracy, comprehensiveness and objectivity of the assessment data on which it is based. Good assessment data will contribute to a good analysis.

Some analytical tools for problem analysis

The development community uses many analytical tools. Some examples of these tools include

- Brainstorm, conflict analysis

- Logical framework analysis or goal oriented planning
- Capacities and Vulnerabilities Analysis
- Benefits - Harms Analysis
- Livelihood security, Participatory Rural Appraisal
- SWOT (Strengths, Weaknesses, Opportunities, Threats)
- Problem trees, stakeholder analysis
- Cost-effectiveness analysis

Example of an analytical tool: the problem tree

This is a simple way of looking at the underlying causes of a particular problem, and how they interrelate. It is performed essentially through the following steps:

- Determine a focal problem on which to base your analysis (often this choice is the hardest to make, sometimes it is dependent on the mandate of the organisation making the analysis). One may have to redo a particular problem tree after discovering that the initial focal problem is not the main one.
- Write down all the causes of the focal problem. The causes are determined by simply asking the question why? For each cause, the question why? is asked again. Eventually the root causes are determined for the focal problem.

This tool can also be used for programme planning. A mirror image is created of the problem tree, called a solution tree. For each problem, a solution is identified. The response to the focal problem is determined through organisational competence, resources and mission.

Project planning

Assessment data is used to create an objective analysis of the problems faced by people in their environment. Once the problems are defined, prioritised, and the response capacity determined in collaboration with the beneficiaries, programmes and projects can be planned. Planning combines analysis of the problems with the mission and capacity of the organisation.

What is project planning?

Programme planning takes an objective analysis and incorporates the culture, mission and capacities of an organisation. From this combination follows the answer to this question: "Which problems can my organisation / this project address?" Once this decision has been made, projects can be defined and planned. Within programmes there will be specific projects, and within those projects, sets of activities that effectively and clearly address the needs and rights of the target population.

Project planning tool: The Logical Framework (or logframe)

One tool for project planning is the project logical framework. The logframe can be used for both individual project design, as well as larger programme design. It is particularly useful in the initial stages of planning as it forces the user to think clearly about logical relationships so that activities create outputs, which meet the objectives which, in turn, meet the programme goals. Note that the causal pathway fits nicely into the logframe, as shown in the following box:

	Narrative description	Objectively verifiable indicators	Sources of information	Risks, hypothesis, assumption
Impact	*Humanitarian Charter and Minimum standards*			
Effect, or outcome, or objective	*Minimum standards*	*Key indicators*		
Expected output	*Key indicators*	*Key indicators*		
Activities	*Key indicators and guidance notes*	*Key indicators*		*Guidance notes*
Input				

The logical framework is a matrix tool. Information is filled in descending order (row to row) from top to bottom, then the logic is verified in order
by row from bottom to top.

◊ The first row deals with the programme goal or desired impact of the programme, listing the goal in a narrative sentence, accompanied by one or two indicators, which will measure whether this goal has been achieved. Means of verification on how the indicator will be measured are then outlined. Important assumptions about how the project effects support the programme goal are then listed.

◊ The second row deals with the project and its effects using the same system: narrative description, indicators, how the indicators will be measured and, finally, the important assumptions that link the project outputs to the effect.

◊ The third row deals with outputs of project activities. Outputs are the results of disaster response operations. For each project effect, there will usually be several outputs. Assumptions are made, if necessary, about the activities that will lead to the outputs, and about the effect of several outputs.

◊ The fourth row lists the activities undertaken by the project that will produce the desired outputs. For each output there may be more than one activity.

◊ The fifth row lists the resources or inputs required to undertake the activities.

Once the framework is initially completed, it is checked in reverse order. This is another way of stating the causal hypothesis. Will the activities

lead to the desired outputs? What assumptions are inherent in these activities? Will outputs lead to the completion of project objectives? What

indicators, means of verification and assumptions will be used? Finally, will the project objectives fulfil the programme goal?

Some Frequently asked Questions (taken from DFID recommendations)

Why use a Logical Framework?

[1] The Logical Framework is useful in the design and planning, implementation, and monitoring of a project. It also makes it easier to report on a project, highlight changes and to adapt the project accordingly.

[2] DFID recommends the use of the Log Frame because:

- it brings together in one place a clear, concise and accessible statement of all of the key components of a project;

- it clarifies how the project is expected to work and what it is going to achieve, and helps to ensure that inputs, activities, outputs and purpose are not confused with each other;

- it identifies the main factors related to the success of the project;

- it clarifies how project success (qualitative and quantitative) will be judged/measured and provides a basis for monitoring and evaluation.

The structure of a Logical Framework

[3] The matrix on the following page shows what a Logical Framework looks like and the information it contains. It consists of concise statements laid out in a horizontal and vertical matrix. In preparing a Log Frame it is normal, having identified the problem the project will address, to work down the levels – so that the inputs required to achieve the project are considered last. However having done this it is necessary to then consider whether the resources required are likely to be available and appropriate to the situation and modify the framework accordingly, i.e. plan downwards, think upwards.

How is a Logical Framework prepared?

[4] Because DFID promotes a participatory approach to development, in which beneficiaries (primary stakeholders) and project partners (secondary stakeholders) are involved in all stages of a project, it encourages their involvement in the formulation of the Logical Framework.

[5] A Logical Framework will be required for every application. But it only needs to be partially completed (the first column) when accompanying Concept Notes.

Help in preparing a Logical Framework?

[6] BOND (British Overseas NGOs for Development) runs one-day generic, Logical Framework training sessions. The events are published through BOND's newsletters and their website (www.bond.org.uk).

[7] It is important to note that the logical framework is a tool for project management. The framework should develop and change as the project develops.

Logical Framework Matrix

Project Summary	Measurable Indicators	Means of verification	Important assumptions
GOAL: Overall goal which this project will help to achieve	The evidence (quantitative/ qualitative) which will be used to measure/judge the achievement of goal	Sources of information/data which will be used to assess the indicator(s)	**(Goal to supergoal)** Main external factors necessary to sustain objectives in the long run
PURPOSE: Immediate impact on the project area or target group ie, the change or benefit to be achieved by the project	The evidence (quantitative/ qualitative) which will be used to measure/judge the achievement of the purpose	Sources of information/data which will be used to assess the indicator(s)	**(Purpose to goal)** Main external factors necessary if project purpose is to contribute to reaching project goal
OUTPUTS: The specific, deliverable results expected from the project to attain the purpose	The evidence (quantitative/ qualitative) which will be used to measure/judge the achievement of the outputs	Sources of information/data which will be used to assess the indicator(s)	**(Outputs to purpose)** Main external factors necessary for outputs to achieve project purpose
ACTIVITIES: These are the tasks to be done to produce the outputs	INPUTS: This is a summary of the project budget and other key inputs	Sources of information/data which will be used to assess the indicator(s)	**(Activity to output)** Main external factors necessary for activities to achieve project outputs

The logical framework should ideally be developed in a participatory way with the project stakeholders - particularly the beneficiaries. In this way indicators and means of verification can be developed that have a real meaning to the community that is to be assisted. It will also

mean that the project will have ownership by all stakeholders and will therefore be more likely to achieve the goal that is has set out to reach.

Key questions to be asked when preparing a logical framework

Goal

- What is the overall problem the project will help solve?
- How will the project contribute to its solution?
- How will the contribution be measured?
- What other key conditions and assumptions need to be met and what are the risks?

Purpose

- What will be the project's direct effects and impacts?
- How will the effects solve the problem?
- How will the effects and impacts be measured?
- What other key conditions or assumptions need to be met if the project is to contribute to the goal and what are the risks?
- How will the benefits be sustained?

Outputs

- What will the project deliver?
- How will the project generate its impacts?
- How will you measure the outputs?
- What other key conditions and assumptions need to be met if the outputs are to achieve the purpose and what are the risks?

Activities

- What is going to be done?
- What know-how, goods and equipment are required?
- What finance is required?
- What other key conditions and assumptions need to be met if the activities are to produce the outputs and what are the risks?

Implementation

Implementation is done at the discretion of the agency, and relies on agency defined procedures. How a project will be implemented depends entirely on the context, and every context is different.

Monitoring

Monitoring is a continuous process for the duration of the project. It is a technical activity based on data collection. The knowledge and skills required for monitoring are the same as for assessment and analysis. In fact monitoring can be viewed as a combination of assessment and analysis that occurs after a project has started.

Monitoring is essential in a rapidly changing situation. The purpose of monitoring is to find out whether the relief programme is effective, and how strategies should be modified to make sure that it is. To do this, it is necessary to monitor the following: the programme and projects, the process (how it is carried out), the impact and changes in the situation, including population movements, political changes, and changes in factors affecting health, nutrition, and socio-economic activities. [9]

Evaluation on the other hand is an activity in itself, usually done by people external to the project. It can occur during implementation, at the end, or even a few years after the project is completed, and draws conclusions about whether the right job is/was done well. Evaluation looks at the impact of the project and the appropriateness of the action. Monitoring and evaluation collect information to improve projects after they have started. These activities can often merge and are part of the continuous process of re-evaluating the needs and the appropriateness of responses to the humanitarian situation. This is particularly true in long-term, complex emergencies.

Both monitoring and evaluation are activities that help people and organisations learn.

Different tasks in monitoring
◊ Preparing and planning the monitoring system: cost, human and material resources, means of communication and reporting
◊ Setting up an indicators checklist: selecting, operationalising
◊ Defining methods for data collection
◊ Collecting data
◊ Storing data

◊   Analysing information

◊   Reporting

◊   Reflecting, re-orientating, redesigning…

What is monitored?

Monitoring in emergencies requires information on the progress of project implementation, developments in the project environment (context), and the interaction between the project and its environment (effect of the project on the rights of the people being assisted). There are 7 different criteria (from the OECD, DAC) to be used in monitoring the interaction between the project and its environment. However, the specific criteria used must be determined by your organisation.

Guiding principles for monitoring [10]

◊   Focuses on minimal but key information from critical areas in order to avoid overwhelming the system with reports and unnecessary data

◊   Includes all forms of communications: (verbal, written, formal, informal) to create the potential for cross-checking information

◊   Enhances the quality of our actions through learning and accountability. Receiving information creates an obligation to act on the operational and strategic implications. In other words, as humanitarian responses are implemented, monitoring will provide information on whether results are being achieved and whether the context is influencing the results of the action. Information produced by monitoring will clearly indicate whether a project should be changed.

The selection of what information to collect, or which indicators to use, should be made from the initial needs assessment, and modified according to the analysis during the follow-up. In emergencies, monitoring often blends with evaluation. In unstable situations monitoring and evaluation might take place regularly by various means:
 Discussing and exchanging information with the partners

◊   Writing reports

◊   Using computers for analysis (spreadsheets, databases, statistics, graphics, or combined programmes)

◊   Using diagrams, matrices, mapping etc.

◊   Using video, photos

The process of data analysis

The process of analysing data in monitoring is similar to that presented in the analysis section of this module. Consideration of the bias in information sources and the consequent limitations on the credibility of the findings are crucial. The steps involved are:

◊   Review the original project objectives and intentions of the monitoring exercise

◊ Consider 'facts' and their 'interpretation'

◊ Follow a systematic and logical path in the analysis

◊ Discuss the findings and emerging analysis

◊ Consider any limitations to credibility

◊ Make specific recommendations.

Using the causal pathway in reporting the results of monitoring

It is important to ask if your project caused (or substantially contributed to) a change observed in impact or effect. Without a direct measure we cannot prove that our project caused the change. We can, however, make a reasonable and defensible argument by:

(a) using information to show that we succeeded in moving along the pathway at least as far as outputs and maybe to effects

(b) showing that our causal pathway represents logical and technically sound links from inputs to impact

(c) honestly assessing other possible causes of the change.

(d) If the pathway is logical from beginning to end, and there were no major changes in the population's circumstances, we can argue that it is likely that the rest of the pathway, even the parts we cannot measure, occurred.

(e) The same causal pathway can be used to figure out whether the steps you identified in the design stage are actually in place. It is important to measure all along the causal pathway, from inputs through impact.

Three steps to using the Key Indicators

◊ Prioritise and select a realistic number of indicators that can be used. Avoid too much information!

◊ Apply in the local context by verifying that each is SMART. In other words, considering the local context, are the indicators to be used in monitoring activities:

   o **Specific** (and reflecting things that the project intends to control)

   o **Measurable** and unambiguous (independent of who is collecting the data)

   o **Attainable** (should be achievable by the project)

   o **Relevant** (feasible for the Project considering the cost to collect data using those indicators)

   o **Time-bound** (when a change is expected)

◊ Then: operationalise the indicators

Operationalising the indicators

Projects may have difficulties moving beyond the stage of indicator identification and selection. The key issue with qualitative indicators is how to operationalise them, i.e. how to implement them in project work.[11]

A tool to create a monitoring plan

The following is an example tool to help 'operationalise' indicators when monitoring. This matrix tool organises the monitoring plan. Note that it is similar to a logframe, and uses the same terminology as the causal pathway.

	Indicators	Means of verification		Use of information		
		Source	Frequency of data collection	Person in charge	Reporting system	Decision making process
Impact						
Assumptions						
Effect						
Assumptions						
Output						
Assumptions						
Activities						
Assumptions						
Inputs						
Assumptions						
Initial conditions						
Assumptions						

Evaluation

Evaluation should serve the purpose of stepping back from the 'fog of operations' to assess whether the project is doing the right thing, and learn lessons for future work. Evaluation answers questions like: "Was the project design sound? How can it be improved? What were the unintended consequences of the project? Did the project cause the observed change?"

Evaluation can increase accountability
◊   To donors: to meet their demands that resources are being used effectively, efficiently and for agreed objectives
◊   Of donors to the organisations they fund and work with
◊   To the people affected by disaster in whose name these organisations are working.

Evaluation criteria
The evaluation should be based on predefined criteria in order to obtain a precise analysis.
◊   **Effectiveness**: how far is the project or programme achieving objectives?
◊   **Progress**: is the project achieving the original objectives, or have these changed?
◊   **Efficiency**: does the programme use the most economical resources to achieve its objectives in the context?
◊   **Relevance**: what is the value of the action in relation to other priority needs, issues and efforts?
◊   **Sustainability**: will the activity and its impact be likely to continue when external support is withdrawn, and can it be replicated or adapted?
◊   **Connectedness**: do the activities designed for the short-term emergency take longer-term problems into account?
◊   **Impact**: how has the project effected the target population or the country in general, intended or unintended, positive and negative, both in the short and long term? Impact in relation to emergency response is generally seen as being both about saving lives in the immediate term, i.e. significant change, and also about achieving long-term developmental change.

Part III: Beyond the Project Cycle

REPORTING

Concept Note

A concept note normally provides possible donors a quick overview of the project and can be easily amended for any other public use of the project managers.

The Format for Concept Notes

Concept Notes should follow the format set out below. Section A must be set out on one side of A4, with Section B set out on no more than 2 sides of A4. The font size must be no smaller than Arial 10.

Concept Notes and supporting documents are intended to help us assess the eligibility of your organisation and to make an initial assessment as to whether your ideas fit with the priorities of the CSCF. We will base our assessment on the Concept Notes and supporting documents alone. Unless specifically asked, please do not send any other documents.

Section A: Information about the applicant - this should be provided on a separate piece of paper and does not count towards the 2 pages allowed.

- Name and address (including contact details – telephone, fax, e-mail) of applicant:

- Name and position of main contact person:

- What are the philosophy, goals and objectives of your organisation?

- When was your organisation established and how did it come into existence?

- What is your organisational structure and staffing e.g. number/gender/nationality of staff and balance between HQ and field-based staff?

- What are your main sources of funding?

- What prior contact, if any, including funding, have you had with [this donor? If yes, which part of [donor?

- Have you previously applied for fund support from [donor]? If yes, please provide the reference number(s).

Section B: Information about the initiative for which funding is sought - please ensure that you give your project a title

- What problem is this initiative expected to help solve?

- What is this initiative intended to achieve and how do you expect to achieve it?

- What are the main project activities?

- How and where did this initiative originate – whose idea was it?

- How does this initiative relate to [donor's Country Strategy]?

- How does this initiative relate to the objectives of the [donor]?

- Please state who your project partners will be

- Describe the nature and length of your relationship with the partner(s) with whom you will be working on this initiative.

- What lessons have you drawn on from past experience (yours or other organisations) in putting together this initiative?

- What is the added value which your organisation brings to this initiative? What project activities will your organization be undertaking?

- Please highlight any innovative features of your initiative?

- How long is the initiative likely to last?

- How will the project achieve sustainability?

- What is the likely total project cost?

- If you are not seeking 100% funding, where are the balance of funds for this proposal coming from? What is the status of your application(s) to co-funder(s)?

- Have you approached any other part of [donor for funding of this initiative?

Documents which usually are sent with your Concept Note:

A Copy of your constitution. This may be a Memorandum and Articles of Association, a Trust Deed, or a set of rules, and should describe the purposes of your organisation, how the organisation is governed and managed.

A set of recent annual accounts. These should be no more than twelve months old. The format depends on the size of your annual income and the rules under which you operate.

Interim / final reports

Example 1

The following is an example of EU reporting requirements, labelled "HOW TO DRAW UP INTERIM/FINAL REPORTS".

The interim/final report on a block grant should have three separate parts.

1.   a narrative report
2.   a financial report
3.   an audit report

A.   Narrative report

The narrative reports also falls into three parts:

Part One. This general section sums up developments in the NGO's work in relation to the points set out in Annex B to the grant application, namely development objectives, how the activities financed with the block grant are integrated into the NGO's overall work, adherence to the selection criteria referred to in the application and the monitoring and follow-up carried out by the NGO itself.

Part Two. Here you report on the individual activities (one report per activity). These reports should include a brief description of the way the NGO identified the operation, mentioning the degree of beneficiary involvement in the process. The project's objectives should be clearly stated so that it can be verified whether they have been achieved. The narrative reports on each activity should be structured in the same way as in the grant application, i.e. title, background and development context, details of location, beneficiaries, local partner, overall and specific objectives, expected results, result indicators, activities, means, sustainability, monitoring/follow-up, and duration of activity. The report should describe developments and comment on what has been achieved, changes in the local context, expected results, activities, discoveries, successes, constraints and problems,etc. It should also say how the problems have been solved or why they have not been solved. There should also be a specific paragraph at the end of the report setting out the conclusions, recommendations and lessons learnt. Each activity report should be formatted as a table with two columns, the first with the contents of the application, the second with a description of progress and results of the activity.

Part Three. Where appropriate. This part sets out, in accordance with the model in the call for proposals, applications for activities that have not been identified .

B.   Financial report

The financial report is also made up of three parts:

1. The first gives an overall financial report on the lines of the table annexed.

2. The second reports on each identified activity on the lines of the table annexed.

3. A budget, where appropriate, covering applications that have not been identified.

C.   Audit report

The audit report should be drawn up in accordance with the instructions in the call for proposals and the grant contract.

D.   Format of the block grant report

The report on the block grant should comply with the following format:

1. Title page

   - project number:

   - total [block] grant

   - type of report, interim or final

   - period and amount covered by the report

2. Narrative report

   - overall narrative report

   - narrative reports on individual activities

3. Overall financial report (in accordance with tables annexed, see Excel file).

4. Financial reports on the individual activities (in accordance with table annexed).

5. Audit report

Example 2

The following two examples stem from the Civil Society Challenge Fund (CSCF) guidelines.

(I) Annual Reporting - Requirements

Length: Maximum 4 pages

When: Within 3 months of the end of the reporting year

Format

1. Basic Information

- Project name

- Agency name

- Project number

- Country

- Name of local partner(s)

- Reporting Period

- Date Report Produced

- Name of person who compiled the report

- **Significant changes:** Details of any significant changes made during the period of the report or changes intended to make in the future. It is also important to state whether these constitute a major change in approach.

- **Progress:** In reporting progress each year we therefore require UK organisations to produce the following details. An assessment of the likely achievement of the project's output and purpose, using a table and rating scale for annual reports. In the initial stages of the project we accept that an assessment at output level only is probably more appropriate (if the assessment is at this level this should be specified). We do, however, require that from at least year 3 onwards your assessment does focus on likely achievement of project purpose. This rationale for these judgements should be explained in a short paragraph within the table.

- **Risk/Opportunity Assessment:** Risk assessment is part of [donor]'s project assessment. The risks described in the project proposal will be assessed. There will also be an assessment made of opportunities which the project may bring. We therefore require an indication as to whether there has been a significant change in the risk and opportunities within the project.

Project Completion Reports (PCR)

Project Completion Reports (PCRs) contribute to good project management, providing a useful record of what has been achieved by your project (i.e. extend to which planned outputs have been achieved). They also enable a conclusion to be drawn and lessons learned from implementation - useful for sharing with others, and which may be very valuable when designing projects with similar characteristics. It also provides an "initial" opportunity to assess the likely impact (in the short and longer term) of the project, although the primary tool for assessing impact should always be through evaluations.

PCR Requirements

Length: maximum 10 pages

When: Within 4 months of the end of the project

Content: Should provide a summary of the implementation, management and results of the entire project, including lessons learnt. Given the focus of the CSCF, we is particularly interested in how partnerships have worked, (in management as well as implementation), and in developmental value.

The logical framework and financial report (for the duration of the project) should by included as annexes.

Format

1. Basic Information

- Project name

- Agency name

- Project number

- Country

- Name of local partner(s)

- Reporting period

- Date Report produced

- Name of person who compiled the report

2. Executive Summary (1 page maximum)

Divided into three sections:

- Project description

- Partnership

- Developmental Value and Effectiveness of Project Strategy

3. Changes to Project

- Changes which may have arisen since the original proposal, including details of why these were necessary and how these changes were made

4. Partnership, Management and Implementation

Role and contribution of overseas partners and the organisation in project implementation and management

5. Performance Assessment

There should be a summary of the achievement of the project at all levels; goal, purpose and outputs. There should also be some assessment made on inputs and activities undertaken, in terms of quality, quantity and timeliness. A table should be used for this purpose, utilising the scale provided for PCRs. In assessing achievement of the project, there should be a focus on the following issues of relevance to the objectives of the [donor], that could include (a) equity, social inclusion and the strengthening of the social capital; participation of the poor; enhancement of the rights of the poor; influence and advocacy; (b) how the project adds value to current knowledge and practice (e.g. through innovative techniques);(c) How the project is contributing to a reduction in poverty; and (d) how the project has contributed to [donor]'s country and target strategies

6. Monitoring, evaluation and learning

- To include arrangements and responsibilities, and processes in place for ensuring new knowledge and best practice arising from the project are incorporated into future projects

7. Information, Dissemination and Networking

- To include mechanisms for dissemination outside project stakeholders

8. Logical framework

Final logical framework to be included as an Annex

9. Financial Report

Details of actual spend against agreed budget for period of project.

How to write a project proposal

Most donors have specific proposal schemes or guidelines, so be careful to the effort to write a full proposal without checking possible donors. A Concept note often would then do the trick first of all to present to possible donors and partners. However, writing a proposal after all the done work of assessment and participatory engagement would help to clarify with the target population the aims and objectives of the intervention. Some donors also do not require any specific formats. Most of the questions asked below will in on or the other form appear in every format.

Example 1

From: http://fdncenter.org/learn/shortcourse/prop1.html

Introduction

The subject of this short course is proposal writing. But the proposal does not stand alone. It must be part of a process of planning and of research on, outreach to, and cultivation of potential foundation and corporate donors.

This process is grounded in the conviction that a partnership should develop between the nonprofit and the donor. When you spend a great deal of your time seeking money, it is hard to remember that it can also be difficult to give money away. In fact, the dollars contributed by a foundation or corporation have no value until they are attached to solid programs in the nonprofit sector.

This truly is an ideal partnership. The nonprofits have the ideas and the capacity to solve problems, but no dollars with which to implement them. The foundations and corporations have the financial resources but not the other resources needed to create programs. Bring the two together effectively, and the result is a dynamic collaboration.

You need to follow a step-by-step process in the search for private dollars. It takes time and persistence to succeed. After you have written a proposal, it could take as long as a year to obtain the funds needed to carry it out. And even a perfectly written proposal submitted to the right prospect might be rejected for any number of reasons.

Raising funds is an investment in the future. Your aim should be to build a network of foundation and corporate funders, many of which give small gifts on a fairly steady basis and a few of which give large, periodic grants. By doggedly pursuing the various steps of the process, each year you can retain most of your regular supporters and strike a balance with the comings and goings of larger donors.

The recommended process is not a formula to be rigidly adhered to. It is a suggested approach that can be adapted to fit the needs of any nonprofit and the peculiarities of each situation. Fundraising is an art as well as a science. You must bring your own creativity to it and reMayn flexible.

Gathering Background Information

The first thing you will need to do in writing the master proposal is to gather the documentation for it. You will require background documentation in three areas:

◊   concept,
◊   program, and
◊   expenses.

If all of this information is not readily available to you, determine who will help you gather each type of information. If you are part of a small non-profit with no staff, a knowledgeable expert familiar with the setting will be the logical choice. Once you know with whom to talk, identify the questions to ask.

This data-gathering process makes the actual writing much easier. And by involving other stakeholders in the process, it also helps key people within your project seriously consider the project's value to the organisation.

Concept

It is important that you have a good sense of how the project fits into the phlosophy and mission of your agency. The need that the proposal is addressing must also be documented. These concepts must be well-articulated in the proposal. Funders want to know that a project reinforces the overall direction of an organization, and they may need to be convinced that the case for the project is compelling. You should collect background data on your organization and on the need to be addressed so that your arguments are well-documented.

Program

Here is a check list of the program information you require:

◊   the nature of the project and how it will be conducted;
◊   the timetable for the project;
◊   the anticipated outcomes and how best to evaluate the results; and
◊   staffing and volunteer needs, including deployment of existing staff and
◊   new hires.

Expenses

You will not be able to pin down all the expenses associated with the project until the program details and timing have been worked out. Thus, the Mayn financial data gathering takes place after the narrative part of the master proposal has been written. However, at this stage you do need to sketch out the broad outlines of the budget to be sure

that the costs are in reasonable proportion to the outcomes you anticipate. If it appears that the costs will be prohibitive, even with a foundation grant, you should then scale back your plans or adjust them to remove the least cost-effective expenditures.

Components of a Proposal
Executive Summary:
umbrella statement of your case and summary of the entire proposal
1 page

Statement of Need:
why this project is necessary
2 pages

Project Description:
nuts and bolts of how the project will be implemented and evaluated
 3 pages

Budget:
financial description of the project plus explanatory notes
1 page

Organization
Information: history and governing structure of the nonprofit; its primary activities, audiences, and services
1 page

Conclusion:
summary of the proposal's Mayn points
2 paragraphs

The Executive Summary
This first page of the proposal is the most important section of the entire document. Here you will provide the reader with a snapshot of what is to follow. Specifically, it summarizes all of the key information and is a sales document designed to convince the reader that this project should be considered for support. Be certain to include:

Problem — a brief statement of the problem or need your agency has recognized and is prepared to address (one or two paragraphs);

Solution — a short description of the project, including what will take place and how many people will benefit from the program, how and where it will operate, for how long, and who will staff it (one or two paragraphs);

Funding requirements— an explanation of the amount of grant money required for the project and what your plans are for funding it in the future (one paragraph); and

Organization and its expertise— a brief statement of the name, history, purpose, and activities of your agency, emphasizing its capacity to carry out this proposal (one paragraph).

The Statement of Need

If the funder reads beyond the executive summary, you have successfully piqued his or her interest. Your next task is to build on this initial interest in your project by enabling the funder to understand the problem that the project will remedy.

The statement of need will enable the reader to learn more about the issues. It presents the facts and evidence that support the need for the project and establishes that your nonprofit understands the problems and therefore can reasonably address them. The information used to support the case can come from authorities in the field, as well as from your agency's own experience.

You want the need section to be succinct, yet persuasive. Like a good debater, you must assemble all the arguments. Then present them in a logical sequence that will readily convince the reader of their importance. As you marshall your arguments, consider the following six points.

First, decide which facts or statistics best support the project. Be sure the data you present are accurate. There are few things more embarrassing than to have the funder tell you that your information is out of date or incorrect. Information that is too generic or broad will not help you develop a winning argument for your project. Information that does not relate to your organization or the project you are presenting will cause the funder to question the entire proposal. There also should be a balance between the information presented and the scale of the program.

Second, give the reader hope. The picture you paint should not be so grim that the solution appears hopeless. The funder will wonder whether an investment in a solution will be worthwhile. Here's an example of a solid statement of need:
"Breast cancer kills. But statistics prove that regular check-ups catch most breast cancer in the early stages, reducing the likelihood of death. Hence, a program to encourage preventive

check-ups will reduce the risk of death due to breast cancer." Avoid overstatement and overly emotional appeals.

Third, decide if you want to put your project forward as a model. This could expand the base of potential funders, but serving as a model works only for certain types of projects. Don't try to make this argument if it doesn't really fit. Funders may well expect your agency to follow through with a replication plan if you present your project as a model. If the decision about a model is affirmative, you should document how the problem you are addressing occurs in other communities. Be sure to explain how your solution could be a solution for others as well.

Fourth, determine whether it is reasonable to portray the need as acute. You are asking the funder to pay more attention to your proposal because either the problem you address is worse than others or the solution you propose makes more sense than others. Here is an example of a balanced but weighty statement: "Drug abuse is a national problem. Each day, children all over the country die from drug overdose. In the South Bronx the problem is worse. More children die here than any place else. It is an epidemic. Hence, our drug prevention program is needed more in the South Bronx than in any other part of the city."

Fifth, decide whether you can demonstrate that your program addresses the need differently or better than other projects that preceded it. It is often difficult to describe the need for your project without being critical of the competition. But you must be careful not to do so. Being critical of other nonprofits will not be well received by the funder. It may cause the funder to look more carefully at your own project to see why you felt you had to build your case by demeaning others. The funder may have invested in these other projects or may begin to consider them, now that you have brought them to their attention.

If possible, you should make it clear that you are cognizant of, and on good terms with, others doing work in your field. Keep in mind that today's funders are very interested in collaboration. They may even ask why you are not collaborating with those you view as key competitors. So at the least you need to describe how your work complements, but does not duplicate, the work of others.

Sixth, avoid circular reasoning. In circular reasoning, you present the absence of your solution as the actual problem. Then your solution is offered as the way to solve the problem. For example, the circular reasoning for building a community swimming pool might go like this: "The problem is that we have no pool in our community. Building a pool will solve the problem." A more persuasive case would cite what a pool has meant to a neighboring community, permitting it to offer recreation, exercise, and physical therapy programs. The statement might refer to a survey that underscores the target audience's planned usage of the

facility and conclude with the connection between the proposed usage and potential benefits to enhance life in the community.

The statement of need does not have to be long and involved. Short, concise information captures the reader's attention.

Example 2

Here comes another sample frame for a full project proposal (taken from the guidelines of Civil Society Challenge Fund, UK)

The Format for Full Proposals

The following format should be used for full proposals. The questions posed in each section illustrate the kind of questions which will be asked when your proposal is assessed. Not all questions will be relevant to all proposals, and you should use them as a guide only. However, all proposals must set out the background to the initiative and its rationale, the approach which it will adopt, the management and monitoring arrangements, and the key risks.

The proposal should be no more than ten A4 sides, excluding the basic data sheet/summary, budget and logical framework. The additional information requested should also account for no more than a further 10 pages of A4. You must submit your application by e-mail (using Word 2000 or equivalent).

Section I: Basic Data Sheet / Summary (no more than half a page)

- Name and address of applicant. Please include the name of the principal contact for this application:

- Name of project:

- Country(ies) and the region(s)/district(s) in which the initiative will take place:

- Name of local partner(s):

- Project Summary: a brief statement of project objectives, expected results and main activities; the main intended beneficiaries etc.:

- Project cost: include total budget; amount of contribution sought from [donor]; what has been sought from other donors and what is the status of your applications:

- Project duration: length of project and anticipated start and end dates.

Section II: Project Rationale

- What problem will the project address? How does the problem relate to the objectives of the CSCF? Who identified the problem and how?

- What experience do you and your partners have of working on these issues or in the country/area?

- What lessons have you drawn on – from your own or others' past experience – in proposing this project? In what ways is the project intending to develop new approaches to tackling the problem?

- How relevant is the proposal to meeting [donor]'s Country Strategy objectives?

Section III: Project Approach

- What are the goal, purpose, outputs and main activities of the project?

- Who are the direct beneficiaries (primary stakeholders) and others (secondary stakeholders) who will be affected by or involved in the project? How were they identified?

- Were beneficiaries (primary stakeholders) and others (secondary stakeholders) involved in the design of the project? If so, how? Will they be involved in project implementation? If so, how?

- How has the project identified the needs of women and men and how have these been reflected in the project's design and implementation?

- What is the coverage of the project (e.g. the area to be covered; the numbers of people served out of the total population etc?)

- In what alternative ways could the project objectives be achieved? Why is the current design considered to be the most cost-effective way of achieving these objectives?

- What are the prospects for the benefits of the project being sustained after the funding stops or the UK partner withdraws? Has the partner considered its 'exit strategy'?

Section IV: Project Management and Implementation

- What are the project implementation and management arrangements? (Attach an organisational chart if appropriate). What human resources (number, type, skills/background, gender, nationality of staff etc) and the material inputs (equipment, etc) are required for the project?

- What other agencies are involved in the area where this initiative will take place, including the Government, and how will you work with these organisations?

- What is the overall time-frame for the project? (Include a bar or Gantt chart summarising the main activities and timing if appropriate).

Section V: Project Monitoring, Learning and Dissemination

- How do you intend to monitor and review the implementation of the project and assess its impact? What arrangements have been/will be made to involve beneficiaries and other stakeholders in monitoring and evaluation?

- How do you intend reporting on the progress of the project to [donor]? Please set out the type of reports we can expect to receive and the frequency.

- How do you intend to share the experience of this initiative for you and your partner(s), internally and externally, during the project and at its end. What publications/communications/media will you use?

Section VI: Risks

- What are the main risks that could affect the project's success?

- How likely are these to happen and how serious the consequence to the project if they occur?

- What measures have been/will be taken to minimise or mitigate potential risks?

Section VII: Project Budget

CAPITAL EXPENDITURE

- Office Equipment (fax machine, computers, etc.)

- Vehicles / Project Equipment Note: We will only provide funding for vehicles/equipment as part of project costs if you can show that they are: essential for project implementation; will be used for project activities only; properly maintained and insured.

RECURRING EXPENDITURE

- Overseas Expenditure: e.g.

  Communications (e.g. post, fax and telephone)
  In country travel
  Stationery
  Transport running costs (e.g. maintenance, fuel and local
  taxes)
  Staff development (e.g. training)
  Staff costs (e.g. salaries and pension fund contributions)
  Office Accommodation (rent)
  Utilities (e.g. electricity and water)

- Project Activities (these must be broken down in to appropriate categories)

- Information Dissemination Costs/ Raising Public Awareness Overseas

- Monitoring and Evaluation: (e.g. travel, consultancy fees and production of report)
  Please note all projects will require evaluation. You should allow up to a maximum of 5% of the total project cost for this in your budget).

- Headquarter expenditure

Notes

◊ Inflation: Inflation must not be included as a separate budget line – the UK Treasury Rate of Inflation should be applied and included within the relevant budget lines.

◊ Exchange Rate: The budget must be in a big currency (Euros) and state the rate of exchange applied (sourced from the FT Index).

◊ Viring: many donors allow up to 10% of the budget that can be vired between budget lines during the course of any financial year – if greater, approval must be sought from the [donor]. This does normally not count for capital expenditures.

Unacceptable Expenditure

Many donors do not pay for (a) CONTINGENCIES: Unforeseen costs arising during the project implementation will be considered on a case by case basis so must not be included in the budget; (b) DEPRECIATION; (c) CORE COSTS (both UK and overseas): administration and other costs which are not directly related to the project application; (d) DEBT REPAYMENT; (e) EXTRAVAGANT EXPENDITURE: Budgets should reflect value for money; NB: This list is not exhaustive. There will be other budget lines that [donors] cannot accept.

<u>**Logical Framework**</u>

You must submit a full logical framework with most proposals. Please refer to that section

How to draft an action plan (project plan)

Below is a sample combined project proposal and action plan frame (taken and adapted from a German governmental organisation, GTZ):

A.   Project description

1.   ***Executive summary*** (1 page)

2.   ***Goals and justification*** of the intervention (total of 4 pages)

2.1   Base line/initial situation (problem analysis) (2 pages, maybe refer to an annex for details from findings)

2.2   Project goals, and developmental frame conditions and target population (2 pages)

3.   ***Details of the project*** (total of 11 pages)

3.1   Description of other interventions in the project region (2 pages)

3.2   Specific activities and results (7 pages)

3.2.1 Short description of the methodological approach

3.2.2 Anticipated results and activities

3.3   Time planning / time frame (1 page)

3.4   Continuation / outlook after the end of the project (1 page)

4.   ***Project executing organisation(s)*** (total of 3 pages)

4.1.   Name of executing organisation

4.2.   Organisational structure, number and positions of personnel

4.3.   Relationship to the target population

4.4.   Financial status and possible effects for the implementing agency

5.   ***Total costs and project financing*** (total of 1 page)

5.1   Costs and sources of the project (whole project time) (1/2 page)

5.2   Cost and sources by project year (1/2 page)

6.   ***Project effects assumptions and risks*** (total of 5 pages)

6.1   Effects (2 pages)

6.1.1 Economic assessment

6.1.2 Socio-cultural assessment

6.1.3 Ecological assessment

6.2   Assumptions and risks (2-3 pages)

B.   Financial input and costs (*total of 4 pages*)

1.   Description of *financial input and costs*

1.1   Financial input from project executing organisation

1.2   Financial or other input from partners (local alnd beneficiaries)

1.3   Other inputs in cash or kind (e.g. external consultants)

1.4   Time frame

2.   ***Total financial frame for the project*** (total of 4 pages)

3.   ***Estimate of costs for the project executer*** (total of 1 page)

4.   ***Estimation of costs per project year*** (total of 1 page)

NOTE that the project plan should not exceed 25-30 pages! People (donors) will have to read it.

Example (fictional):
Result 1:
◊   Yearly malaria incidence reduced in women and children under 5 years by 50% (through provision of bed nets)
Indicators:
◊   until the end of the first project year 75% of all health facilities have regular stock of bed nets
◊   until end of first project year all health facilities have constructed facilities for implregnation
◊   until end of 1st project year 50% of all women and children have received bed nets
◊   until the end of second project year all health facilities have functioning impregnation facilities and access to ingredients for impregnation
◊   until the end of second project year all women and children have bed nets, with at least 75% of them impregnated
Activities:
◊   Advising the governmental health representatives on bed net initiative in collaboration with WHO representatives
◊   Construction of impregnation rooms in all health facilities
◊   Education of target population on mosquito-borne diseases
◊   Reduction of stagnant water in the wider region through community mobilisation
◊   Distribution of bed nets and education of proper use

1.4 Time plan

Estimated duration of the project January 2001 – December 2003 (*fictional example*)

Activities according to above description		Timing				
No.	**Short description**	**1. Year 2001**	**2. Year 2002**	**3. Year 2003**	**4. Year**	**5. Year**
		Jan. Feb. Marc Apr. May June July Aug. Sept. Oct. Nov. Dec.	Jan. Feb. Marc Apr. May June July Aug. Sept. Oct. Nov. Dec.	Jan. Feb. Marc Apr. May June July Aug. Sept. Oct. Nov. Dec.	Jan. Feb. Marc Apr. May June July Aug. Sept. Oct. Nov. Dec.	Jan. Feb. Marc Apr. May June July Aug. Sept. Oct. Nov. **Dec.**
1	Assistance and advise of the target population and other partners (local government structures) and execution of the project					
2	Sending of - international participants, and - Short visits of international coordinators					
3	Co-ordination of interdisciplinary project implementation: - Medical part - Agricultural part - Forestry part					
4	Medical part Aim a. Aim b. Aim c.					
5	Agricultural part a. b. c.					
6	Forestry part Aim (a) Aim (b) Aim (c)					
7	Yearly reporting on project including necessry amendments to the action plan Yearly external progress evaluation	X X	X X	X X		