guide

Project Cycle Management Technical Guide

SEAGA

Socio-Economic and Gender Analysis Programme

Food and Agriculture Organization of the United Nations

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Prepared by Clare Bishop in collaboration with the Socio-economic and Gender Analysis (SEAGA) Programme

Executive Summary

The overall objective of the SEAGA programme is to strengthen socio-economic and gender analysis capabilities at regional, national and local levels. Three manuals that present tools and methodologies for conducting analysis at the macro, intermediate and field levels underpin the programme. In addition, there are several specialist technical guides that demonstrate the application of SEAGA principles to specific aspects of natural resource management; this manual forms part of the technical guide series.

The purpose of this manual is to create a new synergy by bringing together project management practices and socio-economic and gender issues within the conceptual framework of SEAGA. This is achieved by drawing on other theoretical perspectives and methods including project cycle management, the logical framework, rapid appraisal techniques, participatory approaches, and gender analysis and stakeholder identification.

The manual is principally written for practitioners at the operational level in government, Non Governmental Organisations, Civil Society Organisations and the private sector. It will also be of interest to people working at policy level and academicians.

Following an overview of the project cycle presented in Section 2, the structure for the manual is based on key stages in the project cycle: project identification (Section 3), project design (Section 4), project appraisal (Section 5), proposal preparation (Section 6), and monitoring and evaluation (Section 7). In each section, various concepts and techniques are discussed prior to demonstrating their practical application with examples. The latter are based on three case studies developed from field experience in eastern Africa: fishing communities on Lake Victoria, rural road rehabilitation, and adult literacy projects.

I would like to extend my thanks to the communities who participated in the fieldwork and to my fieldwork colleagues: Nite Baza Tanzarn and Mrs Forough Olinga, both from the Department of Women and Gender Studies, Makerere University, Kampala; and Stellah Tumwebaze and Simon Kisira, both from LABE (a Non Governmental Organisation specialising in adult literacy and education based in Kampala).

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Abbreviations

CBA	Cost Benefit Analysis
DFID	Department for International Development (UK)
EU	European Union
GAM	Gender Analysis Matrix
GTZ	German Technical Cooperation Agency
FAO	Food and Agriculture Organization of the United Nations
FM	Fictitious Money
IGA	Income Generating Activity
IRR	Internal Rate of Return
MOV	Means of Verification
NPV	Net Present Value
NGO	Non Governmental Organisation
OVI	Objectively Verifiable Indicator
PGN	Practical Gender Needs
SEAGA	Socio-economic and Gender Analysis

SGN	Strategic Gender Needs
UNDP	United Nations Development Programme
USAID	United States Agency for International Development

1 Introduction

1.1 Project Management and Socio-economic Issues

Since the 1950s the development agenda has been characterised by projects and programmes aimed at improving the quality of life of beneficiary communities, be it in physical or qualitative terms. Despite significant inputs of human and financial resources, many fell short of expectations. Projects failed to meet the priority needs of communities; stated outputs were not achieved or, if achieved, not sustained; target groups did not benefit in the manner intended; project costs escalated and implementation dates slipped; and adverse outcomes were not anticipated.

These failures were attributed in part to poor project management, such as inadequate opportunities for potential beneficiaries to participate in project identification, weak financial management, inadequate monitoring during implementation, poor linkages between project activities and project purpose, and insufficient attention to the external environment during project design. It was also recognised that projects were more likely to succeed when account was taken of the socio-economic context in which they operated.

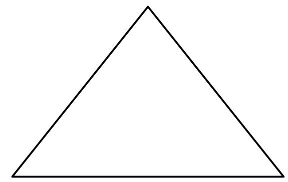
The rationale for addressing socio-economic and gender issues in project cycle management is the wish to achieve ***sustainable development***. Projects should identify and understand the different roles and entitlements between women and men in target communities, and the special challenges faced by disadvantaged groups. For example, if there are imbalances between those who do the work and those who control the benefits, such initiatives will prove unsustainable in the long run. This holds true at household, community and national levels.

During recent decades, many tools have been developed to strengthen the management of projects, such as project cycle management, the logical framework and rapid appraisal techniques. Similarly, a body of knowledge and expertise has been established which facilitate the consideration of socio-economic issues in the development context. This guide draws together these two areas of expertise by focusing on the integration of gender and socio-economic issues into project management.

1.2 Purpose of the Guide

The purpose of this guide is to create a new synergy by bringing together project management practices and socio-economic and gender issues within the conceptual framework of Socio-economic and Gender Analysis (SEAGA, Figure 1). This is achieved by drawing on other theoretical perspectives and methods including project cycle management, the logical framework, rapid appraisal techniques, participatory approaches, gender analysis and stakeholder identification.

Figure 1: Key Themes in Guide



The guide is principally written for practitioners at the operational level in government, Non Governmental Organisations (NGOs), Civil Society Organisations and the private sector. It will also be of interest to people working at policy level and academicians. The guide assumes readers have a basic grounding in the key elements of project management, gender analysis, rapid appraisal techniques and participatory approaches; for a more detailed review of these topics, relevant texts are noted in the bibliography.

1.3 SEAGA

The overall objective of the SEAGA programme is to strengthen socio-economic and gender analysis capabilities at regional, national and local levels. The programme, initiated in 1993 at FAO, consists of a set of practical tools and methods for undertaking socio-economic and gender analysis, and training in their use.

SEAGA incorporates an approach to sustainable development based on an analysis of socio-economic patterns that affect development projects and programmes in practice. The SEAGA approach is based on three guiding principles:

- ***gender roles and relations are of key importance***
- ***disadvantaged people are a priority***
- ***participation of all stakeholders is essential for development.***

SEAGA analysis is conducted at three levels:

- at the ***macro level*** socio-economic and gender issues are introduced into the policy process, usually at national level;
- the ***intermediate level*** focuses on institutions, structures and services which operationalise the links between macro and field levels;
- the ***field level*** focuses on individuals, households and communities.

The programme is underpinned by three manuals that present tools and methodologies for conducting analysis at the three levels. In addition, there are several specialist technical guides that demonstrate the application of SEAGA principles to specific aspects of natural resource management, such as irrigation and agricultural engineering. This guide forms part of the technical guide series.

1.4 Structure of the Guide

An overview of the project cycle is presented in Section 2. The various stages of the project cycle provide the structure for subsequent sections: project identification (Section 3), project design (Section 4), project appraisal (Section 5), proposal preparation (Section 6), and monitoring and evaluation (Section 7).

In each section, various concepts and techniques are discussed prior to demonstrating their practical application with examples. The latter are based on three case studies developed from field experience in eastern Africa:

- participatory project identification and design in a fishing community on Lake Victoria
- social and gender appraisals of rural road rehabilitation
- evaluation of a project promoting health messages through improving adult literacy.

A bibliography of relevant texts is presented at the end of the document.

2 Overview of the Project Cycle

This section identifies key stages in the project cycle that provide the structure for the subsequent sections of the guide.

2.1 Nature of Projects

Projects represent the commitment of human and physical resources to produce specific outputs in a given time and budget framework.

Projects vary in scale, purpose and duration. They may be initiated within a community, requiring modest inputs and producing tangible outputs within a relatively short timeframe. At the other extreme, projects may require substantial financial resources and only generate benefits in the long term. For example, the former could be an adult literacy project in a village; the latter may be the provision of universal primary education for all children of school age in a country. Whilst the former needs one trainer and a few teaching materials, the latter requires numerous schools, teachers, equipment and administration.

Projects may stand-alone or be integrated into a programme, with several projects contributing to one overall goal. Despite the difference in scale and nature of projects, there are aspects of sound project management that are universal.

2.2 The Project Cycle

Six stages are typically identified in the project cycle (Figure 2). They are:

I ***Identification***: generation of the initial project idea and preliminary design

II ***Preparation***: detailed design of the project addressing technical and operational aspects

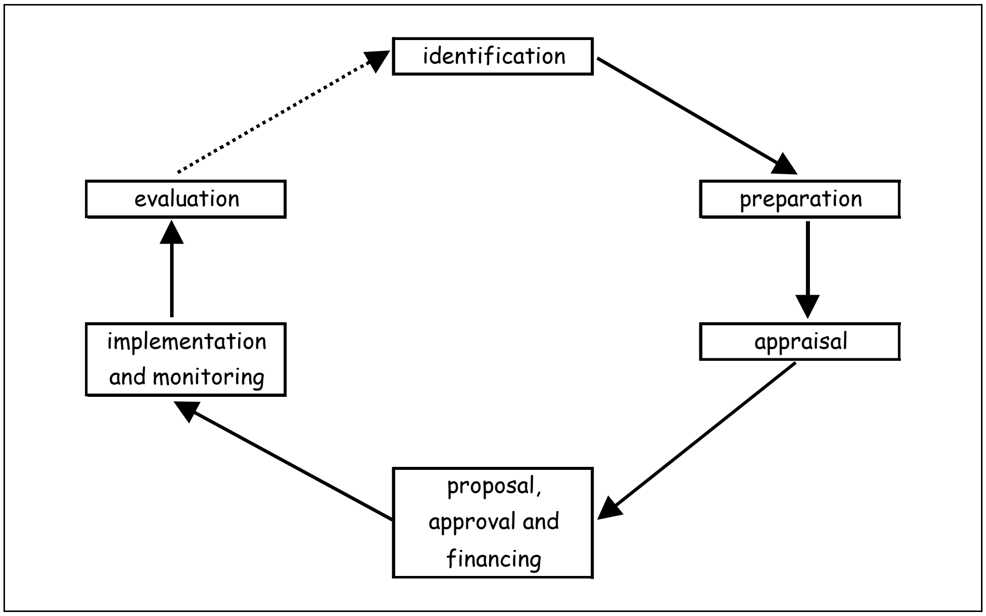
III ***Appraisal***: analysis of the project from technical, financial, economic, gender, social, institutional and environmental perspectives

IV ***Proposal preparation, approval and financing***: writing the project proposal, securing approval for implementation and arranging sources of finance

V ***Implementation and monitoring***: implementation of project activities, with on-going checks on progress and feedback

VI ***Evaluation***: periodic review of project with feedback for next project cycle.

Figure 2: Stages in the Project Cycle



The cycle represents a continuous process in which each stage provides the foundation for the next. For example, the information generated during project identification (Stage I) provides the basis for detailed project design (Stage II). Stage III reviews the information generated during the preceding two stages from several perspectives to ensure the project is viable. Stages I to III provide the foundations for a project. If they are sound, the project is more likely to succeed in subsequent stages, in terms of securing funding and competent implementation. However, at any point in the first three stages it may be decided that it is more appropriate not to proceed with the proposed project.

2.3 Integrating SEAGA into the Project Cycle

The SEAGA approach can be integrated throughout the project cycle. Direct links can be made between the SEAGA approach and the various stages in the project cycle (Table 1).

Table 1: Linkages between SEAGA Approach and Stages in Project Cycle

Stage in the Project Cycle	SEAGA Questions
Identification	How can a project be identified in a participatory manner?
Design	How can a project be designed so that it meets the practical and strategical needs of the stakeholders, especially the poorest of the poor and those who are usually excluded from development projects?
Appraisal	How can appraisal address the social and gender dimensions of a project?
Proposal preparation	How does a proposal reflect the gender and socio-economic dimensions of a project?
Implementation and monitoring	How can a target community participate in project implementation and monitoring?
Evaluation	How does an evaluation establish whether a project meets it's objectives especially the needs of disadvantaged people?

3 Step 1: Project Identification

The first stage in the project cycle is the identification of projects. Where do project ideas come from? How do they reflect the needs of a community?

This section discusses the process of project identification and presents techniques that can be used to enable projects to be identified in a participatory manner. Many are drawn from the SEAGA Field Handbook. The section concludes with Case Study A in which techniques used for identifying projects in a fishing community are demonstrated.

3.1 Initial Review

(i) Impetus for change

The first step towards identifying a project may be initiated from different sources. The impetus may come from within the beneficiary community or organisation, to address an actual or perceived need. Alternatively, an external agency may act as the catalyst for change. The motivation to formulate a project is, most typically, to address a specific problem or to take advantage of a new opportunity.

(ii) Nature of the problem and stakeholder analysis

A problem rarely if ever has just one source or stems from one social or economic issue only. The nature of a problem can be reviewed at three levels. A problem may be caused by constraints at the macro level imposed, for example, by the legal system or the policy environment. Constraints may arise at the intermediate level; for example, through regulations restricting certain people's access to services. Alternatively, constraints may exist at the household and community level; cultural norms may prevent specific members of a household from participating in decision making. Therefore a problem cannot be deal with outside its global context. It must be examined at all levels (macro, intermediate and field) and should show how interdependent these levels are in terms of the stakeholders involved.

Stakeholders are individuals or organisations who, directly or indirectly, stand to gain or lose from a given development activity or policy. Distinction is drawn between ***primary stakeholders*** who are directly affected and would include the principal project beneficiaries, ***secondary stakeholders*** who are indirectly affected, and ***key stakeholders*** who are the agents of change.

The SEAGA approach asks:

- ***Who are the stakeholders?***
- ***What do they have at stake?***
- ***Are there gender-linked differences among and between stakeholder groups?***
- ***What are they willing to invest in change?***
- ***What benefits are they likely to realise?***

Stakeholders vary according to the nature of the problem to be addressed (Table 2). Of particular interest in a socio-economic analysis is the composition of stakeholders at the micro level. For example, individuals vary by age, sex, education, ethnicity, religion and occupation; households vary in terms of sex of household head, marital status, resource endowment and productive activities; whilst communities differ in location, resource endowment, and access to infrastructure and services.

Table 2: Relationship between Nature of Problem and Stakeholders

Level	Nature of Problem	Stakeholders
Macro	❖ policy environment ❖ legal provisions ❖ state of the national economy (as a whole and by sector) ❖ international relations ❖ trade	❖ central government ❖ national research organisations ❖ private sector ❖ international NGOs ❖ national NGOs ❖ professional unions ❖ International collaboration
Intermediate	❖ institutions ❖ infrastructure (transport, communications, markets) ❖ services (credit, extension, training, education, health)	❖ regional government ❖ service providers ❖ private sector (manufacturers, wholesalers, distributors, retailers) ❖ NGOs ❖ Professional organisations
Micro	❖ productive, household and community work ❖ access and control over resources and benefits ❖ decision making	❖ individuals (women, men, children) ❖ households ❖ communities ❖ Community Based Organisations

(iii) Manner in which to proceed

The manner in which the process of project identification proceeds depends on the findings of the preliminary review of the situation and identification of relevant stakeholders. For example, if the constraints exist principally at the macro level, the problem may best be tackled through stakeholders operating at the national level.

Stakeholders network vertically as well as horizontally. Thus intermediate level stakeholders can assist with addressing constraints at the community level as well provide linkages from the field to the policy environment.

This manual principally focuses on addressing field and intermediate level constraints, with households and communities at the centre of the analysis.

Case Study A: Impetus for Change

An NGO, specialising in participatory development in rural communities, was concerned about the low quality of life experienced among fishing communities. It analysed the problem and, although there were some macro and intermediate dimensions, it was principally interested in addressing the problem from the community's perspective.

The NGO visited a fishing community to gain first hand experience of the situation and, if possible, to help identify opportunities for improving the quality of life among the fisherfolk. Stakeholders included fisherfolk (women, men and children), non-fishing families and a range of organisations (including the village council, local branch of the fisheries association and marketing agents).

3.2 Situational Analysis

The situational analysis provides a detailed review of the context in which stakeholders operate. The analysis is conducted at two levels:

- the ***development context*** provides an overview of how a community operates, in terms of resource base, social and institutional structures, and changes over time

- ***livelihoods analysis*** provides a more detailed examination of how members of the community make their living, with regard to their use of resources, use of time, and generation of benefits.

Rapid Appraisal techniques are well suited for conducting a situational analysis (see SEAGA Field Handbook). Information can be collected in a participatory manner, in a style that is responsive to the community's interests, and through a process that enables all voices in the community to be heard. In addition, they offer:

- flexibility
- receptiveness to new and unexpected ideas
- two way flow of communication
- process for empowering people in the community
- information validation during the collection process.

Case Study A: Collection of Information for Situational Analysis

The NGO's fieldwork team, together with different members of the community, used a variety of techniques to conduct the situational analysis. The findings were discussed with the community as an on-going process.

Development context:

- *historical profile of the fishing village prepared by long-term residents*
- *map of the fishing village prepared by women from fishing families*
- *transect of the fishing village prepared by the team accompanied by several villagers (women and men)*

Livelihoods analysis:

- *seasonal calendar prepared by the community*
- *daily activity profiles of women and men*
- *resources and benefits flow diagram prepared by the community*

3.3 Socio-economic and Gender Analysis

Socio-economic and gender analysis adopts a systematic approach to identifying and examining impacts of development on different members of the community. Principal questions addressed include:

- ***Who does what work?***
- ***Who has access to, and who has control of, resources?***
- ***Who has access to, and who has control of, benefits?***
- ***Who participates in decision making?***
- ***Which needs are being met?***

The purpose of the analysis is to determine whether:

- the existing situation contributes to the well being and development of the household
- the existing situation contributes to the well being and development of the economy
- the existing situation is sustainable.

Where possible, use is made of ***sex- disaggregated data*** collected during the situational analysis.

Case Study A: Information for Gender Analysis

The NGO fieldwork team conducted a gender analysis, drawing on several sources of information:

- *activity analysis using information from daily activity profiles and resources and benefits flow diagram*
- *access to, and control of, resources using information from village map and resources and benefits flow diagram*
- *access to, and control of, benefits using information from resources and benefits flow diagram.*

For a detailed discussion of the concepts and principles underlying gender analysis see Moser (1993).

(i) Activity analysis

Gender roles and relationships are socially constructed, learned and influenced by age, class, caste, ethnicity and religion. They are dynamic, differing within and between cultures, and change over time.

Activity analysis explores who does what type of work, distinguishing between productive, household and community roles:

- ***productive work*** produces goods and services for home consumption and sale. This includes employment and self-employment in both the formal and informal sectors. Both women and men can be involved in productive work but their professions, activities and responsibilities often vary according to the ***gender division of labour***.

- ***reproductive work*** involves the care and maintenance of the household and its members. Women tend to be most active in reproductive work, such as preparing food, collecting water and fuel, bearing and caring for children, caring for other household members, and maintaining the house. Men may be responsible for constructing the home, household security and decision-making.

- ***community work*** involves the contribution of time by women and men to community activities. The division of tasks between women and men often reflect their household responsibilities. Women tend to participate in community health care, water supplies and cooking for community meetings on a voluntary basis. In contrast, men participate in meetings, discussions and politics, in return for power, status or money.

(ii) Access to, and control of, resources and benefits

The distinction between access and control is significant. Access represents the right to use a resource or benefit whilst control represents the right to make decisions about the use of a resource or benefit. Thus a woman may have the right to use family labour to assist with weeding but her husband decides who will help her and when the labour is available.

(iii) Gender needs

It is important to recognise which types of gender needs a project is addressing:

- ***practical gender needs*** relate to people's basic and material needs for their day-to-day survival. In meeting these needs, the existing division of labour is accepted and gender roles are not challenged. Such projects are concerned with improving the ***condition*** of women and men through promoting the ***efficiency*** of resource use, rather than addressing issues of empowerment or equity (see Box 1).

- ***strategic gender needs*** challenge existing gender identities and relationships between women and men in favour of equity for all. Thus the division of labour would no longer be broadly determined by gender. Similarly, restrictions on access and control of resources and benefits would be independent of gender. In meeting strategic gender needs, a project sets out to change the relative ***position*** of women in the pursuit of ***empowerment*** and ***equity***.

Box 1: The Four Es

Efficiency: the productive use of resources, including labour

Empowerment: a process through which all people acquire the knowledge, skills and confidence to make informed decisions about their lives, thereby becoming more self reliant and aware

Equality: equal rights and opportunities for all members of society

Equity: just treatment and equity of impact, rather than merely equality of opportunity

Examples of practical and strategic gender needs are given in Box 2. It should be noted that the division between practical and strategic needs is not absolute; in some circumstances a project may address practical needs whereas, in a different context, the same project meets strategic needs.

Box 2: Examples of Projects Meeting Practical or Strategic Gender Needs

Practical Gender Needs	Strategic Gender Needs
❖ handicraft training for women ❖ training men in carpentry skills ❖ providing fuel efficient stoves for women ❖ provision of family planning services for urban women ❖ universal primary education for boys ❖ rehabilitation of rural feeder roads using labour	❖ access to credit for women ❖ training women in carpentry skills ❖ health care training for men ❖ provision of family planning services for rural women ❖ universal primary education for girls ❖ recruiting women as well as men to work on road rehabilitation

3.4 Identification of Potential Projects

(i) Review of findings

On completion of the situational analysis and the socio-economic and gender analysis, the findings are reviewed and discussed with the stakeholders. This process serves three purposes:

- first, it enables the interpretation of data to be validated by the community;
- second, omissions can be noted and new lines of enquiry identified; and
- third, the stakeholders are presented with an overview of their circumstances that can act as a catalyst for identifying community priorities for development.

(ii) Stakeholders' priorities for development

From the review of findings, several themes will emerge which could be developed into project proposals. In order to understand the rationale underlying the development of a specific project option, it is necessary to determine:

- ***What are the causes of the problem?***
- ***What are the effects of the problem?***
- ***What opportunities exist to overcome the problem?***
- ***What are the assumptions associated with addressing the problem?***

Moreover, it is likely that priorities will have to be established between the different project options due to constraints imposed by resources, money and time. Depending on the nature of the priorities, it may be appropriate to determine the priorities within each stakeholder group independently, prior to establishing community consensus. Several Rapid Appraisal techniques can be used to rank options (see SEAGA Field Handbook).

Case Study A: Identification of Stakeholders' Priorities

The community established that the long-term goal was to improve the quality of their life in the fishing village. After reviewing the findings of the situational and gender analyses, three core problems emerged:

- *lack of income generating activities (IGAs) for women in fishing families*
- *poor sanitation and hygiene practices*
- *poor management of fisheries resources.*

After reviewing the problems and analysing the alternatives against various criteria, the community decided to proceed with two projects: to improve sanitation and hygiene practices; and to introduce IGAs for women.

(iii) Stakeholder contributions

The process of project identification is concluded with stakeholders identifying ways in which they can contribute to the project (in terms of knowledge, skills, cash, labour and other resources) and areas in which external assistance is required. Stakeholder contributions to support the implementation of a project will strengthen their commitment to the project and their association with the benefits generated.

(iv) The next step

The information generated during the first stage in the project cycle, particularly the stakeholders' priorities and contributions, provide the basis for developing detailed project proposals in Stage II.

3.5 Checklist

Box 3: Checklist for Project Identification

(i) Have all stakeholders been involved in the process of identifying project options?
(ii) Will any stakeholders be disadvantaged by the proposed project? How may this be minimised?
(iii) Have any potential conflicts between stakeholders been identified? How may they be resolved?
(iv) Have the situational review and the socio-economic and gender analysis captured any differences that exist between members of the community?
(v) Have the project options been appraised against relevant criteria?
(vi) Have opportunities for addressing strategic gender needs been identified?
(vii) Have stakeholders identified ways in which they can contribute to the project?

Case Study A

Example of Project Identification in a Fishing Community

A1 Identification Process

A1.1 Impetus for Change

On reading the annual UNDP Human Development Report for Uganda, an NGO based in Kampala, that specialised in participatory development practices with rural communities, because interested in fishing communities on Lake Victoria. Traditionally these scattered communities had been overlooked by development initiatives and, as a consequence, the inhabitants experienced abject poverty with low levels of literacy, extremely poor access to services, and low life expectancy.

A1.2 Nature of the Problem

The NGO reviewed the possible reasons for the problem from the macro, intermediate and micro perspectives. It was recognised that there were some macro and intermediate dimensions that contributed to the low quality of life. For example, the fisheries sector was undergoing widespread restructuring as a result of the opportunities for exports of fresh fish. The narrow tax base on the islands frustrated the provision of services and infrastructure at the regional level. Nevertheless, the NGO's principal interest was in supporting development at the community level, so it decided to visit one of the islands in order to gain first hand experience and, if possible, to help identify opportunities for improving the quality of life among the fisher folk. Prior to undertaking the fieldwork, the NGO established contact with the national fisheries association and had informal discussion with representatives from the island communities.

A1.3 Stakeholder Analysis

On arrival at the island, the NGO's fieldwork team met officers of the local village council and the following stakeholders were identified:

- macro: national fisheries association, government ministry responsible for fisheries, fisheries research institution
- intermediate: district administration, village councils, input suppliers (boats, nets, engines), marketing agents, wholesalers, exporters, health care services
- micro: fisherfolk (women, men and children), non-fishing families, Community Based Organisations.

Once the preliminary stakeholder analysis was done, the village council and the NGO agreed on the following work plan:

- collection of information for situational analysis (three days)
- interpretation and discussion of findings with community (one day)

- confirmation of community priorities (one day)
- preparation of draft logical framework and work plan (two days).

A2 Situational Analysis

During the first three days, the team held a number of meetings with different members of the community including women and men engaged in fishing activities, non-fishing residents, long term residents and key informants (teachers, youth representatives, village council members and religious leaders). Sometimes the team met with specific groups alone (such as women boat owners) whilst, on other occasions, a cross section of the community was present. The team also explored the village and walked across the island.

Information was gathered using several Rapid Appraisal techniques and, where appropriate, was collected with a gender perspective. The initial data were grouped under two headings:

(i) Development context

- historical profile of the fishing village prepared by long-term residents (Table A1)
- map of the fishing village prepared by women from fishing families (Figure A1)
- transect of the fishing village prepared by the team accompanied by several villagers (women and men) (Figure A2)

(ii) Livelihoods analysis

- seasonal calendar prepared by the community (Figure A3)
- daily activity profiles of women and men (Box A1)
- resources and benefits flow diagram prepared by the community (Figure A4)

The information collected is presented on the following pages. It was collected in a participatory manner and was discussed with the community as an on-going process. At the end of each day, the team members shared the information they had gathered with each other and identified points which required clarification or new lines of enquiry.

Table A1: Historical Profile of the Fishing Village (prepared by long-term residents)

Date	Economic and Social Change	Fishing Activities
Pre 1914	❖ islands heavily populated by the Bassese tribe and producing nutritious food	
1914 – 1918	❖ sleeping sickness on islands – many died and Government encouraged remaining Bassese to move to mainland; a few stayed on to farm	
1978	❖ four farmers grew crops for home consumption ❖ primary school in existence	❖ five fishermen ❖ fishermen did some smoking ❖ smoked fish sold on mainland
1982	❖ four huts (temporary structures) at landing site	❖ three boats based at landing site ❖ other boats visited temporarily for fishing
1983	❖ people migrated from mainland to islands during bush war	❖ journey to mainland took 11 hours by canoe when paddling
1984	❖ first retail shop opened at landing site selling essential household items ❖ six huts	❖ one boat toured round small landing sites to collect fresh fish to sell on mainland
1985	❖ people migrated from mainland ❖ 20 – 30 huts ❖ agriculture very poor	❖ six boats ❖ some young men worked as hired labourers on these boats
1986		❖ first outboard engine at landing site ❖ started marketing fresh fish daily to mainland ❖ 2.5 hours to mainland with outboard engine
1988	❖ island started to change: people came with boats to live on the island	❖ fish catch rich ❖ water hyacinth started infesting local waters
1989	❖ 60 houses; first house built with bricks and grass thatch roof ❖ Mosque built ❖ many clubs started (netball, football, drama) ❖ bars and eating houses opened ❖ reason for change: improved transport and people had more exposure to other lifestyles	❖ 30 boats ❖ 20 outboard engines ❖ fish catch very good (e.g. 500 heads of Nile Perch per boat every night in high season) ❖ women mainly responsible for fish smoking and salting ❖ women marketed fish on mainland in northern Uganda and DR of Congo
Early 1990s	❖ Catholic church built (1991) ❖ Balocoli ('Saved') church built (1992) ❖ Pentecostal church built ❖ entrepreneur bought generator and TV in order to set up video club and watch World Cup Football	❖ water hyacinth problem at its peak ❖ illegal fishing started by people from neighbouring islands (using nets which contravened Fish and Crocodiles Act, 1951) and disturbed breeding grounds ❖ more than 20 women smoking fish regularly
1994	❖ first house constructed with iron sheet roof	❖ ice boat started calling at landing site to buy Nile Perch straight from the beach for processing on mainland and export ❖ fish smoking residual activity for fish under 2 kg
1996	❖ dispensary opened	
Late 1990s	❖ District described amongst least developed in Uganda: abject poverty, neglected ❖ poor sanitation and hygiene practices ❖ main illnesses: STDs, dysentery, worms ❖ limited facilities: no bank, no culture of saving ❖ lack of traditional structure: migrant community from different Districts, no elders to provide moral guidance ❖ however, residents perceived their quality of life to be improving ❖ self-help scheme to construct pit latrines and clear water hyacinth ❖ 150 children in primary school	❖ water hyacinth problem on decline ❖ fish catch decreasing (50 heads of Nile Perch per boat each night) due to illegal fishing and more fishing boats ❖ theft of nets ❖ a few labourers who worked on boats progressed to boat ownership each year

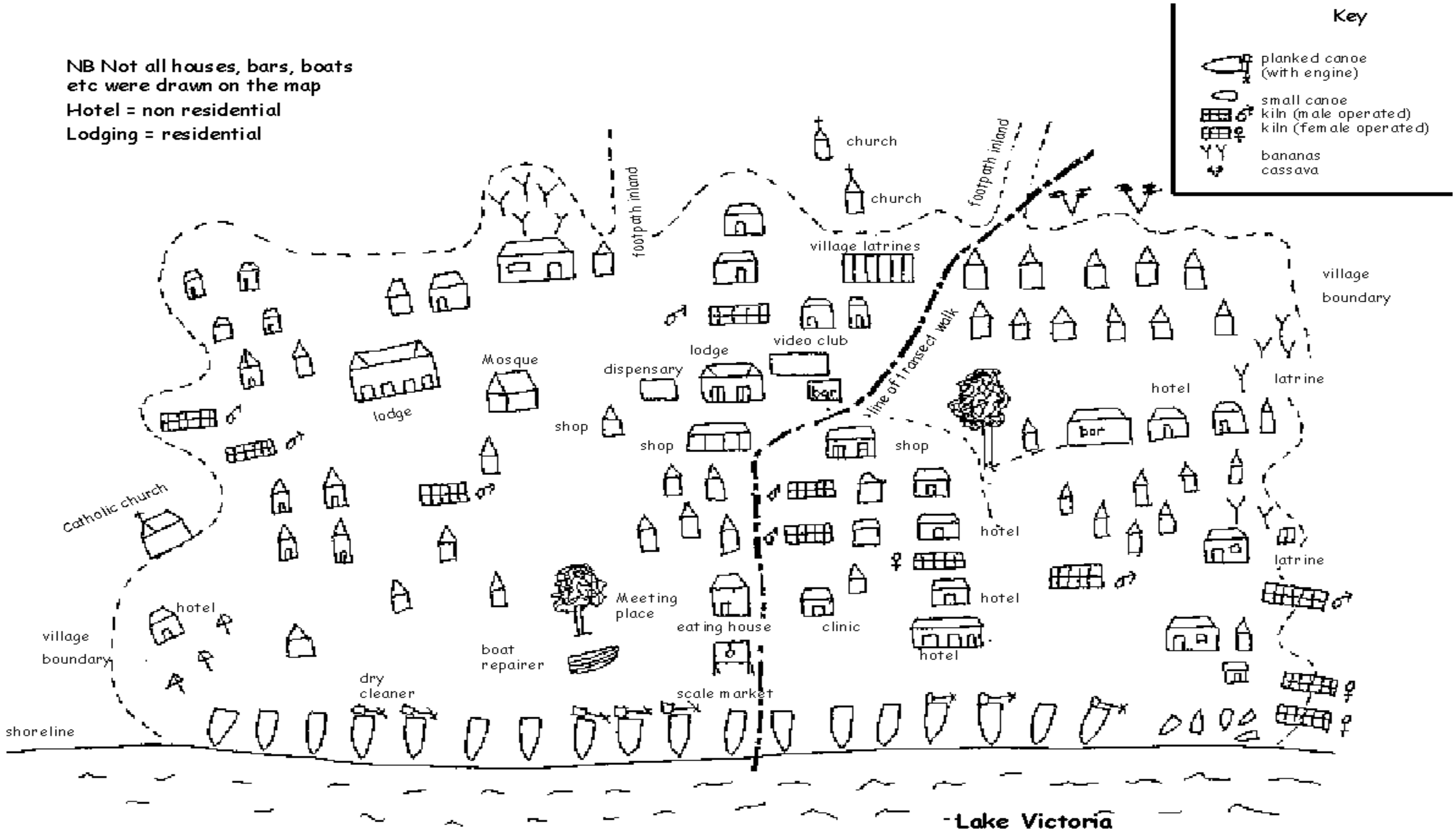


Figure A1: Map of the Fishing Village
(prepared by women from fishing families)

Activities

Fishing: Boats leave at 5 – 6 p.m. and return 6 – 7 am Small canoes set nets at night and collect them the next day	Shoreline: 7 – 9 am: ❖ sort fish from gill nets ❖ count fish ❖ negotiate price for fresh > 2kg with middlemen ❖ weigh fish at scale market	All day: cook food for fishermen and workers on open fires/charcoal staves Evening: sale of second hand clothes	All day: ❖ boat repairs using recycled wood ❖ net repairs	Afternoons and evening (occasionally): ❖ smoking fish in kilns ❖ salting fish	All day: small children playing, 150 older children at primary school	From 6 am: ❖ women peel and fry cassava chips ❖ selling fresh vegetables ❖ running shops	Afternoons and evening: ❖ men and women chatting, playing board games ❖ evenings and Saturdays: watch videos	Throughout village: ❖ chicken, goats, ducks, rubbish ❖ women plant cassava on no man's land on edge of village

Resources

❖ 60 planked canoes, 30 with outboard engines; black plastic sheets used as sails ❖ 150 canoes in high season ❖ approximately 40 boat owners based at site ❖ 8 women own boats (one owns 4 boats with engines) ❖ small canoes used by poor people	Buyers: one ice boat from mainland visit daily two middlemen based in village Equipment for clearing water hyacinth (wheelbarrows etc)	❖ 11 eating houses (all owned by women) ❖ 11 bars (9 owned by women, 2 by husband and wife) ❖ 13 hotels (11 owned by men, 2 by women) ❖ 2 lodges (owned by men) ❖ second hand clothes seller (female)	❖ 1 boat repairer (male) ❖ 10 net repairers (male) ❖ 1 dry cleaner (male) ❖ 2 tailors (female)	❖ 11 kilns (8 owned by men, 3 by women) ❖ 5 fish smokers (nearly all men) ❖ 2 – 3 men occasionally salting and sun drying fish	❖ Mosque ❖ Catholic church ❖ Pentecostal church ❖ Balocoli ('saved') church	❖ 11 shops (run by women but all owned by men except one) ❖ 1 dispensary (owned by a man) ❖ 2 clinics (owned by men) ❖ 1 traditional midwife	❖ approximately 350 households ❖ total population 800 ❖ 10 houses built from bricks with iron sheet roofs ❖ 1 house with solar panels ❖ 2 private houses with pit latrines ❖ 6 village pit latrines	❖ approximately 100 farming families on island ❖ some fisherfold rent land for farming ❖ 3 women boat owners also farm

Figure A2: Transect of the Fishing Village
(prepared by team accompanied by several villagers (women and men))

Figure A3: Seasonal Calendar
(prepared by the community)

Activity	Jan	Feb	March	April	May	June	July	August	Sept	Oct	Nov	Dec
fishing season	low	low	low	high	high	high	high	high	high	fish breeding season		
number of fishing trips	2 or 3 times per week			every night								
natural events												
- kalisa (voluntary fish death)				kalisa								kalisa
- water hyacinth									clean landing site			
fish price/kg	high			low						high		
weekly earnings	low			high						low		
farming			xxxxxx	xxxxxx	xxxxxx	xxxxxx	xxxxxx			xxxxxx	xxxxxx	xxxxxx
cash shortfall	xxxxxx	xxxxxx	xxxxxx							xxxxxx	xxxxxx	xxxxxx
temporary migration to other fishing sites	xxxxxx	xxxxxx	xxxxxx									
temporary migration to island (sex workers from mainland)				xxxxxx	xxxxxx	xxxxxx	xxxxxx	xxxxxx	xxxxxx			

Box A1: Daily Activity Profiles of Women and Men

Florence, boat owner

I wake up very early in the morning and go to the beach to meet my boat when it returns (at 6 am). I help the workers remove the fish from the nets. I usually sell most of the catch directly to the middlemen although I keep some of the smaller fish for use in my eating-house. If there are quite a lot of small fish, I sell them to the men who smoke fish.

My eating house is near the beach. Two teenage relatives (girls) stay with me and they help with the cooking, and fetching water and firewood. I have a baby daughter living here; my two older children stay with my husband on the mainland and go to school.

The fish labourers take breakfast from 7 to 9 after they have finished tidying up the boats. The boat owners come in at around 10.30 and stay for the rest of the morning. Business is quiet during the afternoon. In the late afternoon I go back to the boat to watch the workers prepare for the evening's fishing. Sometimes I attend meetings as I am a member of the village council. I eat supper at around 9 pm and then go to bed.

Although my day is very full, I prefer the life on the island to the days when I used to be a primary school teacher on the mainland.

Jessica, from a fishing family

My life has changed a lot recently. My husband is a fisherman and we used to work together in the fish business. He would fish and I would smoke the catch. The hours were long: after the boat returned early in the morning and we had sorted the fish, I would do some housework, collect water, look after our children and prepare lunch. In the afternoon, I washed and descaled the fish, before smoking it. This would take all afternoon. I usually bought the firewood for smoking. I used to go to the mainland once a week to sell smoked fish. I would use most of the money to buy household necessities, such as salt, tea, soap and Vaseline.

Today, fish smoking has almost stopped on this island. Like everyone else, my husband now sells most of his fish directly to middlemen who visit the island daily in the iceboat. We have opened a small shop next to our house. I look after it all day and I also do housework and prepare meals at the same time. In the afternoon I sometimes leave the shop for an hour or so to play netball with other women who also used to smoke fish but now have nothing to do.

When the children come home from school, they help collect water from the lake and wood from the forest. My husband counts the money in the shop every evening and takes it to the house for safekeeping. We close the shop at 8 pm. I don't go to the mainland very much these days.

Alfred, boat owner

I get up early to make sure I am on the beach when the boats arrive. I oversee the workers while they remove fish and tidy up the nets. Most of the catch is sold straight to the middlemen. When this is finished, I take breakfast in an eating-house, where I spend the rest of the morning, talking with my friends and playing board games. After lunch, I rest for a couple of hours before returning to the beach to help the workers prepare for the evening's fishing.

In the evening I usually go to the video club to watch a film, before eating supper at home at 10 pm.

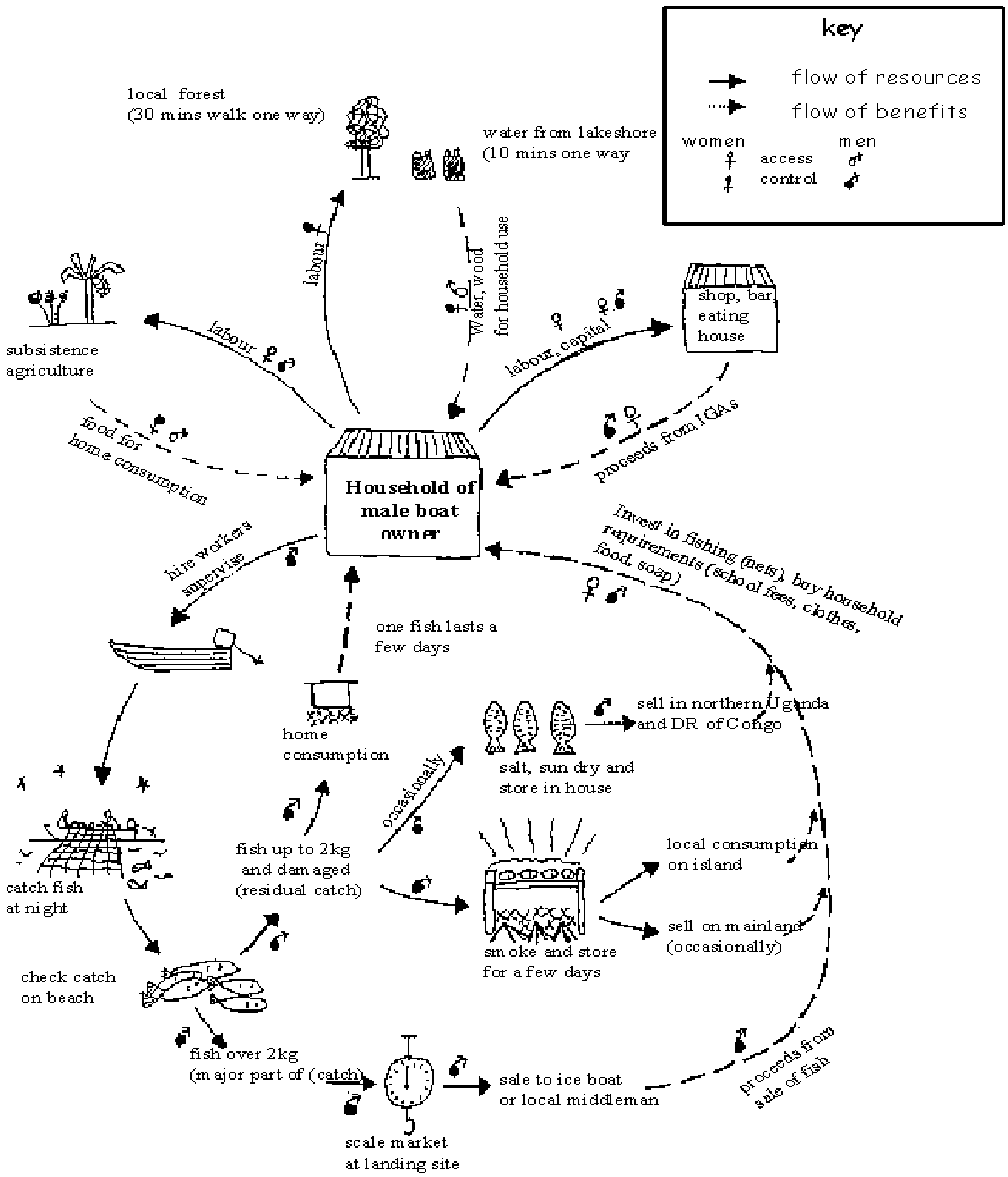


**Figure A4: Resources and Benefits Flow Diagram
(prepared by the community)**

A3 Gender Analysis

During the review of information, particular attention was paid to the gender perspective. A gender analysis was conducted drawing on several sources of information:

- activity analysis (Table A2) using information from daily activity profiles (Box A1) and resources and benefits flow diagram (Figure A4)
- access to, and control of, resources (Table A3) using information from the village map (Figure A1) resources and benefits flow diagram (Figure A4)
- access to, and control of, benefits (Table A4) using information from resources and benefits flow diagram (Figure A4).

This information is presented on the following pages.

Table A2: Gender Analysis (Activities)

Production of goods and services	Who does the work?		Frequency of activity
	women	men	
preparing for fishing outing		hired labour/ small boat owner	daily during season
overseeing hired labour	boat owner	boat owner	daily during season
fishing		hired labour/ small boat owner	daily during season
unloading catch		hired labour/ small boat owner	daily during season
selling fish	boat owner	boat owner	daily during season
smoking small fish	occasionally	mainly	a few times a week
salting fish		yes	occasionally
net repairs		yes	throughout the year
boat repairs		yes	throughout the year
running shops	yes		daily throughout year
running eating houses	yes		daily throughout year
running bars and hotels	yes	yes	daily throughout year
tailoring	yes		daily throughout year
growing cassava	yes		seasonal
charcoal burning		yes	throughout the year
brick making		yes	throughout the year

Household tasks	Who does the work?		Frequency of activity
	women	men	
collecting water	yes		daily
collecting firewood	yes		daily
feeding family	yes		daily
child care	yes		daily
washing clothes	yes		daily
health care for family	yes		as required
constructing house		yes	occasionally
cleaning house	yes		daily

Community tasks	Who does the work?		Frequency of activity
	women	men	
clearing water hyacinth at landing site		yes	annually
constructing village pit latrines		yes	once
constructing religious buildings		yes	occasionally
participating on local councils	yes	yes	regularly
attending village meetings	yes	yes	occasionally

Table A3: Gender Analysis (Resources)

Resources	Who has access?		Who has control?		
	women	men	women	men	other
fish license	boat owner	boat owner			licensing authority
boats	boat owner	boat owner	boat owner	boat owner	
engines	boat owner	boat owner	boat owner	boat owner	
nets	boat owner	boat owner	boat owner	boat owner	
hired labour	boat owner	boat owner	boat owner	boat owner	
kilns		yes	kiln owner	kiln owner	
firewood for smoking		yes		yes	
family labour for other businesses	yes	yes		yes	
family labour for farming	yes	yes		yes	
family labour for household tasks	yes	yes		yes	

Table A4: Gender Analysis (Benefits)

Benefits	Who has access?		Who has control?		
	women	men	women	men	other
fish for household use	yes	yes	boat owner	boat owner	
fish for smoking/ salting		smokers/ salters	boat owner	boat owner	
fish for sale		middleman	boat owner	boat owner	
income from fish sales	yes	yes		yes	
food for household use	yes	yes	yes		
water for household use	yes	yes	yes		
skills and knowledge about fishing practices		yes			fisheries association
leisure	yes	yes	yes	yes	

Review of Findings

On completion of the data collection exercise, the team spent one day presenting and discussing the findings with the community. They were summarised under three headings:

A2.1 *Development context*

For much of the 20th century the island was sparsely populated (trend data, Table A1). It was only in the last 15 years or so that a sizeable community had grown at the landing site. In part this was stimulated by improved communications with the mainland: journeys which used to take 11 hours by canoe now took less than three hours with outboard engines. There were now about 350 households with a total population of 800. The residents were heterogeneous; many had moved to the island from different parts of Uganda attracted by the high incomes earned from fishing during the late 1980s and early 1990s, and escaping from the bush war on the mainland.

As the community grew, clubs were formed, religious buildings constructed, and places for entertainment established (eating houses, bars and a video club) (village map and transect, Figures A1 and A2).

Although there had been some attempts at self-help within the community (for example, constructing six village pit latrines and cleaning water hyacinth from the landing stage), sanitation and hygiene standards were extremely poor. Drinking water was collected from the lake in the same vicinity where people bathed. Human waste was found scattered around the village. Most houses were constructed from traditional materials (mud and wattle walls, and thatch roofs) and only two had private pit latrines. The main illnesses were STDs, dysentery and worms. Apart from basic health care services, there were no medical facilities on the island. People travelled to the mainland for medical treatment, particularly for childbirth.

A2.2 *Livelihoods analysis*

Fishing was the principal activity on the island. There were about 60 wooden planked canoes based at the landing site with another 100 or so visiting during the high season (village transect, Figure A2). The marketing system had changed dramatically in the mid 1990s: an ice boat started calling daily at the landing site to buy fresh fish to sell on the mainland (trend data, Table A1). Fish smoking, once an important activity for fisherwomen became a residual activity for small fish (resources and benefits flow diagram, Figure A4). Occasionally fish were salted and sun dried (village transect). The fish catch had been disrupted in recent years due to illegal fishing, net theft and water hyacinth.

A few men provided support services to the fishing community, repairing boats and nets (village transect). There were two middlemen who traded in fish based on the island.

There was a marked seasonal pattern in livelihoods (seasonal calendar, Figure A3). During the high season (April to September), boats went out fishing every night, weekly incomes were high and the service sector (shops, bars, eating houses and sex workers) was very busy. During the low season, incomes were low and many fishermen migrated to other fishing sites in search of fish. Many established second families on other islands, leaving their first family to fend for themselves. Few people made any attempt to save money from the high season to the low season, in part handicapped by the absence of savings facilities on the island.

Other livelihoods in the community included two women tailors with sewing machines making clothes for local sale and a dry cleaner. Several men were semi-skilled construction workers.

Inland, some families farmed and made charcoal, selling their produce at the fishing sites. Staples, such as bananas and cassava, were grown near village (village map, Figure A1).

A2.3 *Gender analysis*

There had been a marked change in the structure of the community during the last decade. The traditional fishing family (where the husband was responsible for harvesting fish and his wife processed the catch) was becoming less common. This was largely as a result of the change in marketing that meant most fish were sold fresh daily. Many wives had lost their productive role in smoking fish; indeed men undertake nearly all smoking on the island today (resources and benefits flow diagram, Figure A4 and activity analysis, Table A2).

Some wives had been able to take up new activities, such as running shops or bars, if their husbands had some capital to help establish the business. However, many wives were unable to find alternative productive activities, lacking capital, raw materials, skills and access to markets. As a consequence, playing netball had become a popular pastime (daily activity profiles, Box A1). However, their access to and control of money had become very restricted since they no longer travelled to the mainland to sell smoked fish and buy household items. Thus younger women (aged 20 to 35 years) were keen to develop new skills to utilise their free time. One secondary school leaver who had joined her family on the island expressed an interest in being trained as a community health worker.

A new category had become established recently within the community: female boat owners. Out of a total of 40 boat owners based at the fishing site, eight were women (village transect). Both female and male boat owners hired workers to go out fishing; their main role was to oversee the process that took about five hours a day. Female boat owners enjoyed similar levels of control over resources and benefits as their male counterparts (Tables A3 and A4). They were also more likely to engage in other productive activities as well as fishing, whereas male boat owners enjoyed substantial periods of leisure time (several hours a day) (daily activity profiles).

Regardless of family composition, women were responsible for nearly all the daily household tasks (daily activity profiles and activity analysis). Women were skilled at doing several tasks simultaneously: for example, serving in a shop, preparing food and caring for young children. Household tasks usually took between three to five hours a day.

Other people at the landing site included young men who were hired to work on fishing boats. Every year, two or three of them would progress into boat ownership. Small boat owners would go out fishing themselves, rather than hire labour.

A3 Stakeholders' Priorities for Development and Community Contributions

The community established that the long-term goal was to improve the quality of their life in the fishing village. After reviewing the findings of the situational and gender analyses, the community identified the main barriers to achieving their goal. Three core problems emerged:

- lack of income generating activities (IGAs) for women in fishing families
- poor sanitation and hygiene practices
- poor management of fisheries resources

Each core problem was examined to determine the causes and effects of the problem, and opportunities for overcoming it (Table A5). Any assumptions associated with addressing the problem were also noted.

During the discussion both women and men placed priority on improving sanitation and hygiene practices in the village. It was recognised that the health of the family was important, the task would be relatively low cost and the benefits would be reaped quickly.

Women also attached importance to establishing IGAs in order to use their spare time productively. They identified tailoring as one opportunity, securing contracts with schools on the mainland to make uniforms for pupils.

Men were more interested in improving fishing practices since that was the backbone of the community. They appreciated the importance of sustainable fishing. Women wondered whether other communities would comply with the regulations, thereby making their individual efforts ineffective.

Table A5: Community Problem Analysis

Core problem	Causes of the problem	Effects of the problem	Opportunities to overcome the problem	Assumptions
Lack of IGAs for women in fishing families	❖ change in marketing system made fish smoking a residual activity ❖ very few small fish available for smoking on a regular basis ❖ fish smoking now taken over by men	❖ women lost ability to earn independent income from fish smoking and marketing ❖ no opportunity for women to travel to mainland on regular basis to sell fish ❖ loss of independence for women ❖ little opportunity for women to use their spare time productively	❖ women have time available to undertake new IGAs ❖ women keen to develop new skills ❖ 2 women in village have sewing machines ❖ schools award contracts to groups to make school uniforms	❖ credit available to purchase sewing machines ❖ access to raw materials ❖ trainers available ❖ able to produce quality garments ❖ businesses able to be self sustaining ❖ family members supportive
Poor sanitation and hygiene	❖ unprotected water supply ❖ lack of community awareness regarding sound sanitation and hygiene practices ❖ shortage of pit latrines ❖ no solid waste disposal system	❖ ill health of adults, low productivity ❖ children sickly, miss school ❖ women spend time looking after sick members of family ❖ population vulnerable to other illnesses ❖ medical bills	❖ introduce sanitation systems (pit latrines, solid waste disposal and lakeshore zoning) ❖ promote sound sanitation and hygiene practices ❖ enforce recommended practices	❖ technical knowledge available to establish sanitation systems ❖ tools and cement available ❖ community receptive to ideas and willing to practice them ❖ enforcement body respected
Poor fishing practices	❖ illegal fishing using small nets ❖ theft of nets by people from other islands ❖ fishing during breeding season ❖ lack of enforcement of sound practices	❖ depletion of fish stocks ❖ unsustainable livelihoods ❖ distrust between members of fishing community	❖ inform fishing communities about need for sustainable practices and obeying law ❖ enforce existing codes of practice	❖ information campaign takes place on all islands in vicinity ❖ law enforcement takes place throughout vicinity ❖ fisherfolk receptive to information and willing to put it into practise

The community conducted an alternatives analysis to review the options available against a range of criteria identified by the community and NGO team (Table A6).

Table A6: Alternatives Analysis

Activity	Criteria					
	cost	**size of benefits**	**time horizon**	**principal beneficiaries**	**gender needs**	**risks**
IGAs for women	medium	medium	medium	women	SGN	❖ market availability ❖ support of family members
Sanitation and hygiene	low	high	short	all	PGN	❖ minimal
Fishing practices	high	high	medium	boat owners	PGN	❖ needs enforcement

PGN = Practical Gender Needs *SGN = Strategic Gender Needs*

On the basis of this analysis, the community decided to proceed with two projects:

- sanitation and hygiene: low cost, high benefits to be realised in a short time period, and wide support; and
- IGAs for women: introducing an independent income source for women thereby addressing strategic gender needs.

Although the improvement in fishing practices was essential for the long-term viability of the community, it was recognised that other communities had to participate in order to be effective. Thus it was decided to promote this through the national fisheries association.

The community summarised their potential contributions to the projects and identified areas in which they would require external assistance (Table A7).

Table A7: Project Resource Requirements

	Community contributions	**External assistance**
IGAs for women	❖ women keen to learn new skills ❖ two women already skilled in tailoring ❖ training venue	❖ trainer ❖ sewing machines ❖ advice on group formation and loan repayment
Sanitation and hygiene	❖ land ❖ building materials (sand and stone) ❖ semi-skilled construction workers ❖ unskilled labour ❖ school leaver willing to be trained as community health worker ❖ place for community meetings	❖ technical assistance ❖ trainer ❖ tools ❖ cement

The Next Step

The NGO and community spent the final two days of fieldwork preparing logical frameworks and work plans for the two projects (see Section 4 and Case Study B).

4 Step 2: Project Design

The second stage in the project cycle develops the initial project ideas from Stage I into more detailed proposals. Many agencies, both international and national, use the logical framework for structuring their project design. The manner in which project activities will be operationalised is demonstrated through the preparation of work plans and personnel schedules.

The concepts are illustrated with reference to Case Study B presented at the end of the section. The case study, continuing with the example of the fishing community, develops project ideas into a logical framework, work plan and personnel schedule (Intermediate level handbook).

4.1 Logical Framework

The logical framework was developed in the 1960s by USAID and today its use is widespread throughout the development community by, for example, DFID, EU, FAO, GTZ and World Bank. One of its principal strengths is its relevance to several stages of the project cycle: not only does it guide project preparation, it is also used as a basis for project monitoring and evaluation (Commission of the European Communities, 1993).

The framework sets out the basic structure of a project in a four by four matrix (Table 3). The main headings are:

- the ***project structure***, in terms of activities, outputs, purpose and goal
- ***targets*** for each element of the project structure (known as Objectively Verifiable Indicators) expressed in terms of quantity, quality, time, target group and place
- ***sources of information*** (known as the Means of Verification) for verifying progress towards achieving the targets
- the ***external environment***, identifying factors beyond the control of the project that may affect the project's implementation and sustainability.

Table 3: Logical Framework

Project Structure	Objectively Verifiable Indicators	Means of Verification	Important Assumptions
Goal			
Purpose			
Outputs			
Activities			

This section describes the main components of the logical framework with reference to the four column headings. It concludes with two checklists: the first to check on the soundness of the logical framework and the second to review the project design from a gender perspective.

(i) Project structure

The project structure is specified in terms of four elements:

- the project ***activities (or inputs)***
- the ***outputs (or results)*** generated by the activities
- the contribution of the outputs to the ***immediate purpose (or objective)*** of the project
- the contribution of the purpose to the ***wider development goal***.

The purpose describes the intended benefit of the project. It is standard practice to have only one project purpose per logical framework.

Only the project activities and outputs are under the direct control of a project; they represent the ***manageable interest*** of the project. The project purpose lies just beyond the project boundary; hence it is essential that the combined impact of the activities and outputs are appropriate, necessary and sufficient to achieve the purpose.

The goal tends to reflect a broad development objective, such as improvement in the quality of life, to which many initiatives will contribute. There should be a logical relationship from the activities through to the goal.

Case Study B: Project Structure
*The **goal** of the fishing community is to improve their quality of life. This will be achieved through two projects: the first establishing income generating activities for women; and the second improving community sanitation and hygiene practices. Each project has a separate logical framework.* *With reference to IGAs for women:* ❖ ***activities** include forming a tailoring marketing group (Activity 1.1) and training women in tailoring techniques (Activity 1.2); together they will result in the tailoring group being operational (Output 1)* ❖ *another set of activities will train group members in loan repayment (Activity 2.1) and purchase sewing machines (Activity 2.2), thereby enabling the group to own sewing machines (Output 2)* ❖ *collectively these **outputs** will contribute towards the **purpose** of establishing IGAs for women (note that this is expressed as a positive statement as if it has been achieved).*

(ii) External environment (important assumptions)

This column records factors that influence project performance but are beyond the control of the project's management. They are expressed as positive conditions (***assumptions***) that need to be in place in order to progress from activities through to the goal.

The linkage between the project structure (column one) and the external environment (column four) is often referred to the ***'if and then'*** statement (Table 4). For example, ***if*** the activities are undertaken ***and*** certain assumptions hold true, ***then*** the outputs will be achieved.

Table 4: Relationship between Project Structure and External Environment

Project Structure	Objectively Verifiable Indicators	Means of Verification	Important Assumptions
Goal ***then***			
Purpose ***if*** ***then***			***and***
Outputs ***if*** ***then***			***and***
Activities ***if***			***and***

To complete this column, three questions need to be addressed:

- if the activities are undertaken, what other factors need to be in place in order for the outputs to be achieved?
- if the outputs are achieved, what other factors need to be in place in order for them to lead to the purpose?
- if the purpose is achieved, what other factors need to be in place in order for it to contribute to the goal?

Case Study B: External Environment

- ***If*** *the group is formed (Activity 1.1)* ***and*** *family members are supportive of women developing new skills (assumption)* ***then*** *the group will be operational (Output 1).*
- ***If*** *the group is operational (Output 1)* ***and*** *good quality garments are produced (assumption)* ***then*** *IGAs for women will be established (Purpose).*
- ***If*** *IGAs are established (Purpose)* ***and*** *sanitation and hygiene practices are improved (assumption)* ***then*** *the quality of life will be improved (Goal).*

Clearly it is not realistic to record all possible assumptions in this column. Hence distinction is drawn between three types of assumptions:

- assumptions which are either not important for the outcome of the project or are very likely to occur are ***excluded*** from the logical framework
- assumptions which are important but are not 100% certain are included in the framework and are ***monitored*** during implementation
- assumptions that are central to the success of the project but are not likely to occur require the project to be ***redesigned or rejected***.

The latter type of assumption requires special attention. If it is not noticed at the design stage and the project proceeds, it may result in the project failing. Thus it is known as a ***killing factor***. It may be overcome by including an additional activity that will overcome the assumption into the project design.

Case Study B: Overcoming a Killing Factor

The assumption that 'family members will support women to establish their own IGAs' might be identified as a killing factor. If it is not addressed, the project could fail. For example, some women may be unable to attend training classes because of household work. If, however, family members are sensitised about the purpose of the project and the benefits that they will gain in the long run, they may help women with certain time consuming tasks, such as collecting firewood, preparing food or caring for young children. The sensitisation of the community about the project would be included as an additional project activity.

(iii) Objectively Verifiable Indicators (OVIs)

Purpose of indicators

Indicators are identified for each element of the project structure. They are quantifiable data used to demonstrate results; hence they provide the basis for project monitoring and evaluation. Socio-economic and gender dimensions of a project can be recorded through the use of gender sensitive indicators (Beck and Stelcner, 1997).

Characteristics of indicators

Indicators are targeted in terms of:

- ***quantity*** (how much)
- ***quality*** (how well)
- ***target group*** (who)
- ***time/duration*** (when and for how long)
- ***location*** (where)

Distinction is drawn between ***quantitative and qualitative indicators***: the former focus on objective aspects of the project, such as quantities, whilst the latter are more subjective, capturing people's judgements and perceptions about a subject. They are complementary and both are important for effective monitoring and evaluation (see also the Intermediate level handbook).

Case Study B: OVIs for Project Activities
The indicator for training women in tailoring skills is targeted as follows: ❖ *quantity: 35 women* ❖ *quality: to attain a proficiency in tailoring (e.g. able to follow patterns, use a variety of functions on the sewing machine, produce quality garments)* ❖ *target group: women from fishing families with no access to other IGAs* ❖ *time/duration: meeting three times each week for a period of 12 weeks* ❖ *location: at the fishing site*

It is not always possible to measure each element directly, particularly qualitative indicators; in these instances ***proxies*** are used.

Case Study B: OVIs for Project Goal
The indicator for the goal (improving the quality of life) is targeted using proxies identified by the community during the field visit by the NGO. *By the year 2005:* ❖ *70% houses in the fishing village brick built* ❖ *40% houses with iron sheet roofs* ❖ *90% decrease in incidence of common illnesses (STDs, dysentery and worms) among fishing community* ❖ *90% population able to pay local taxes*

Disaggregated data

Communities are not homogeneous and the impacts of projects are not neutral. Often projects are intended to benefit specific members of a community. Hence it is important to disaggregate the indicators with reference to appropriate socio-economic characteristics such as sex, age, ethnicity, wealth and disability.

Case Study B: Disaggregated Data for Project Activities

The indicator for training women in tailoring makes specific reference to the fact that the women should come from families where they have no access to other IGAs. Thus women already running shops, bars or other enterprises would be excluded.

Criteria for selecting indicators

Various criteria may be used to help identify appropriate indicators:

- relevant to the needs and capabilities of the user
- easy to collect, use and understand
- clarity of definition, unambiguous, accurate and reliable
- sensitive to record changes induced by the project
- independent of each other
- as few as possible, concentrating on measuring important project features whilst avoiding over aggregation.

Identification of indicators

It is appropriate for stakeholders to participate in the process of identifying indicators, particularly when projects have a strong qualitative component. The community's perspective of an improvement in their quality of life may differ from that of an outsider's. It may also be relevant to distinguish between women and men's perspectives.

Several of the tools described in the SEAGA Field Handbook can be used to capture the community's perspective and highlight gender differences.

Baseline data

In order to observe changes resulting from project activities it is necessary to establish benchmarks against which indicators can be judged. In the absence of such data, baseline surveys, capturing quantitative and qualitative information, may form one of the early project activities. These surveys may also be used as an opportunity to sensitise the community about the purpose and nature of the project.

Several of the Rapid Appraisal techniques described in the SEAGA Field Handbook are useful for collecting baseline data.

Milestones

In addition to indicators, some projects also identify milestones. Milestones ensure that progress is being made towards attaining project outputs and purpose at regular intervals during a project's life.

Case Study B: Milestones for Project Output

Indicator for Output 2: loan for sewing machines fully repaid after 18 months
Milestones: 20% loan repaid after 6 months
50% loan repaid after 12 months
100% loan repaid after 18 months

(iv) Means of Verification (MOV)

Once the indicators have been identified, it is necessary to identify the sources of information that will be used to verify project performance (see also Intermediate level handbook).

Sources of information used for monitoring project activities and outputs are usually part of project documentation. The means of verifying the goal will often be drawn from published sources. Qualitative indicators may be verified by informal surveys.

Verification data should be timely, cost effective to collect, reliable and independent of biases. If the information is not readily available in a format suitable for monitoring and evaluation, specific arrangements for data collection should be included in the project activities. This may be particularly important when considering socio-economic and gender aspects of a project.

(v) Other features

Pre-conditions

Sometimes a fifth cell is included at the bottom of the fourth column (Assumptions) in which pre-conditions are noted, namely those conditions which need to be in place prior to commencing project activities.

Case Study B: Pre-conditions

Pre-conditions for this project include:

- *women interested in learning tailoring skills*
- *trainers available*
- *loan available to finance purchase of sewing machines*
- *sewing machines available*

If these conditions cannot be met, the project is unable to proceed.

Project sustainability

The logical framework should be able to demonstrate the sustainability of project benefits beyond the immediate project life. During project design, attention should be paid to policies, institutions, infrastructure, socio-economic and cultural issues, and the state of the economy. It may be necessary to include additional project activities or external assumptions in order to ensure the project's long-term viability. The concept of sustainability should also be reflected in the OVIs for the project purpose.

(vi) Checklists

The following checklists can be used to ensure the soundness of the logical framework (Box 4) and to conduct a gender analysis of the project design (Box 5).

Box 4: Checklist for Logical Framework

(i)	Has the project purpose been identified correctly?
(ii)	Are there logical linkages between activities, outputs, purpose and goal?
(iii)	Are there sufficient activities to achieve the outputs?
(iv)	Are the 'if and then' statements necessary and sufficient to progress to the next stage?
(v)	Have any new killing factors arisen during project design? If so, what corrective action should be taken?
(vi)	Are the indicators appropriately targeted?
(vii)	Will any MOV prove costly or time consuming to collect?
(viii)	Will the benefits be sustainable beyond the life of the project?

Box 5: Checklist for Gender Analysis of Project Design

(i)	Does the project recognise differences in the roles and needs between women and men?
(ii)	Will the project activities improve the productivity of women and men?
(iii)	Whose access to resources will be improved?
(iv)	Whose control of resources will be improved?
(v)	Who will share in the project benefits?
(vi)	Whose control of the benefits will be increased?
(vii)	Whose participation in decision making will be strengthened?
(viii)	Is the project meeting practical or strategic gender needs?
(ix)	Will the project empower women?
(x)	Do the indicators differentiate between the impact of the project on women and men?
(xi)	What factors may inhibit women's full participation in the project? How may they be overcome?
(xii)	What will be the likely impact of the project on workloads? Will it be necessary to take any remedial measures?

4.2 Work Plans

Working within the project design as set out in the logical framework, a work plan demonstrates how the project activities will be operationalised. In turn, the work plan provides the basis for preparing the project budget. Together, this information not only provides the structure for project implementation but also a reference point for project monitoring.

A work plan ensures efficient use is made of resources and time throughout the life of the project. It is prepared in four steps:

(i) Project activity analysis and task allocation

With reference to the key activities identified in the logical framework:

- identify the ***detailed components*** of an activity, each with a definable beginning and end
- identify the ***duration*** of each activity
- identify the ***linkages*** between activities
- ***allocate*** activities to specific personnel.

(ii) Network analysis

The ***network diagram*** presents the project activities in the sequence in which they will occur. By including details about the duration of each activity it is possible to identify their ***earliest/latest start and finish times***, and hence the total duration of the project.

The ***critical path*** identifies the sequence of activities that enables the project to be completed in the minimum time.

Case Study B: Network Analysis
The minimum time in which the sewing group would become operational was estimated at 16 weeks. Activities on the critical path included identifying group members, purchasing sewing machines, and providing training in sewing and machine maintenance.

(iii) Gantt chart

Using the information from the network analysis, the activities are presented in the sequence in which they will occur over time. There is no discretion regarding the timing of activities on the critical path, since the earliest and latest start times are the same. Other activities are recorded at their earliest start time with the ***float*** indicating the time period within which they must be implemented in order to complete by the latest finish time.

(iv) Personnel schedule

The timing of personnel requirements is determined by drawing together information from task allocation and the Gantt chart. By making use of the float, it is often possible to arrange for continuous periods of employment whilst minimising the duration of the project.

Case Study B: Personnel Schedule
The personnel requirements were: - *the village council (by making use of the float, three activities were to be undertaken in five consecutive weeks at the beginning of the project)* - *two women tailors (two weeks)* - *the trainer (13 weeks)* - *the NGO (two separate inputs, one for two weeks and one for four weeks).*

Case Study B

Example of Project Design in a Fishing Community

B1 Preparing the Logical Framework

The final two days of fieldwork were spent preparing logical frameworks and work plans for the two projects. This case study only reports on the proceedings with regards to the project to establish income-generating activities for women. Continuing with the participatory style used for generating the initial project ideas, this was undertaken by the NGO staff working together with members of the community.

(i) Project activities and outputs

The meeting started by identifying specific project activities, and their outputs, which would help establish IGAs for women: forming a tailoring marketing group, training in tailoring and loan repayment, and purchasing sewing machines. It was agreed that the training in tailoring techniques would only be open to women who had no other source of income. Group membership would be wider, not only including the trainees but also the two women who already are working as tailors. This information provided the basis for completing the first column of the logical framework.

(ii) External environment (important assumptions)

This was followed by a wide-ranging discussion to identify any external factors associated with the project. Those assumptions that were considered to be important for the success for the project, yet were not entirely certain, were recorded in the fourth column of the logical framework.

(iii) OVIs and MOV

The NGO and the community' were anxious to learn about how the project performance was to be judged. All agreed that the trainees should attain a definable level of proficiency in tailoring (following patterns, using a variety of functions on the sewing machine and producing quality garments). One of the woman tailors was given the responsibility of ensuring quality production.

A wealth ranking exercise was conducted in order to identify indicators that reflected the community's perspective of an improvement in the quality of their life (the project goal). Although the exercise was conducted separately with women and men, the range of criteria identified was broadly similar (see Box B1).

From this list, indicators were selected which would help reflect the achievement of the project goal:

- quality of materials used for housing construction
- incidence of common illnesses
- ability to pay local taxes
- Appropriate sources of information were also identified.

Box B1: Indicators of Wealth

Rich	Middle	Poor
❖ multiple sources of income: own shops, bars, other businesses ❖ own large canoes with outboard engines, use hired labour for fishing ❖ houses made from bricks, iron sheet roofs, pit latrines ❖ travel to mainland regularly ❖ able to pay for medical assistance ❖ children attend primary and secondary schools on the mainland (both girls and boys) ❖ able to pay local taxes ❖ men enjoy several hours of rest a day	❖ large canoes, do not use hired labour for fishing ❖ engage in other activities: subsistence farming, fish smoking ❖ houses made from bricks, thatch roofs ❖ occasionally travel to mainland ❖ children attend primary school on island; a few go to secondary school on mainland ❖ able to pay local taxes	❖ single source of income in household ❖ small canoes only capable of making short journeys, own a few nets ❖ houses of temporary construction (mud walls, thatch roofs) ❖ often sickly ❖ few children attend primary school ❖ unable to pay local taxes

(iv) Logical framework

The logical framework for the project is presented in Table B1.

Table B1: Logical Framework for Establishing IGAs for Women

Project Structure	Objectively Verifiable Indicators	Means of Verification	Important Assumptions
Goal Quality of life in fishing village improved	By 2005: ❖ 70% houses brick built ❖ 40% houses with iron sheet roofs ❖ 90% decrease in incidence of common illnesses among fishing community ❖ 90% population able to pay local taxes	Community records	
Purpose Income generating activities for women established	Proportion of household income generated by tailoring activities: ❖ 5% in Year 1 ❖ 15% in Year 2 ❖ 30% in Year 3 ❖ at least 30% in Year 4 and beyond	Community records	❖ women have control over their earnings ❖ sanitation and hygiene practices improved ❖ fishing practices improved ❖ fish catch sustainable ❖ fishermen cease migrating to other islands
Outputs 1. Tailoring group operational 2. Sewing machines owned by group	1. Group trading commercially within two years 2. Loan for machines fully repaid after 18 months	Records of tailoring group Financial records	❖ trained women remain on island ❖ group works well together ❖ good quality garments produced ❖ school uniform contract renewed ❖ import duty on clothes continued
Activities 1.1 form tailoring marketing group 1.2 train women in tailoring skills 2.1 train group members in loan repayment 2.2 purchase sewing machines	1. Tailoring group: ❖ formed within 2 months ❖ office holders appointed within 4 months ❖ 35 women from fishing families attain proficiency in tailoring ❖ meet 3 times a week for 12 weeks 2.1 All group members attend 10 sessions (over a period of 3 weeks) 2.2 A total of 12 machines purchased within 3 months	Records of tailoring group Training records Training records Financial records	❖ women attend training regularly ❖ family members supportive ❖ machines remain operational ❖ school uniform contract secured ❖ materials for sewing available ❖ payments made to group on time

Review of Project Design

The NGO and community reviewed the project design with reference to two checklists. Their observations are noted below.***B3 Logical framework checklist***

Logical framework checklist
With reference to the questions in the logical framework checklist, most of the responses regarding the project design were favourable. There was some discussion about whether any of the assumptions would represent killing factors. Some women were concerned that their family members would not support this opportunity for them to gain new skills. In particular, they feared that their husbands would expect to control the money they earned. It was agreed to include a new project activity of sensitisation to inform the community about the purpose and goal of the project. It was also agreed that a few men could join the tailoring group if they wished but they would not be able to hold positions of office. It was hoped that by including men in the group it would help allay some of their fears about women setting up their own business. In terms of project sustainability, it was recognised that the success of the group would depend on the quality of the garments produced and the ability to secure new contracts. Thus the women agreed to appoint one of the experienced tailors in the position of quality control and to be bound by her recommendations. The project was reviewed from a gender perspective. Given that the project focused specifically on women, the design was considered to be gender aware. Not only would the project address issues of productivity (by enabling women to use their free time productively) but it would also empower the women through giving them control over resources (sewing machines), new skills (tailoring) and access to the benefits (income). Moreover it was hoped that by sensitising other family members about the project, women would also increase their control over the income earned. Thus the project would meet strategic, as well as practical, gender needs. The indicators for project activities and outputs were gender sensitive. Since the project aimed to improve the quality of life for the community, more general indicators had been identified for the purpose and the goal. Women had already expressed concern that their attendance at the training sessions may be limited by household responsibilities. It was hoped that, through community sensitisation, household members would assist with some of these tasks. If achieved, this would be another area in which the project would be addressing strategic gender needs.

B4 Work Plan and Personnel Schedule

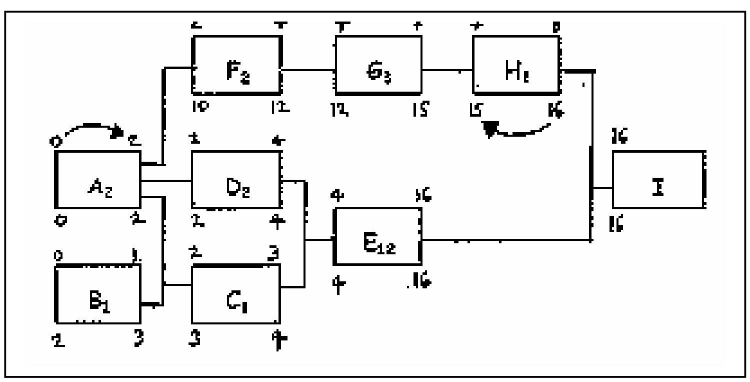
To ensure that the proposed project would be workable, in terms of the timeframe and personnel requirements, the NGO staff and the community prepared the following:

- ❖ activity analysis and task allocation (Table B2)
- ❖ network analysis (Diagram B1)
- ❖ Gantt chart (Table B3)
- ❖ personnel schedule (Table B4).

Table B2: Activity Analysis and Task Allocation Matrix

Code	Activity Description	Duration (weeks)	Depends on	Personnel
A	identify potential group members	2	-	village council
B	recruit trainer	1	-	village council
C	identify training needs	1	A, B	trainer
D	purchase sewing machines	2	A	women tailors, NGO
E	provide training in sewing and machine maintenance	12	C, D	trainer
F	establish formal identity for group	2	A	village council
G	provide training in loan repayment	3	F	NGO
H	make arrangements for repaying loan used for purchasing sewing machines	1	G	NGO
I	group operational		E, H	

Diagram B1: Network Analysis



Duration of each activity noted in activity box
Earliest start and finish times presented on top of each box (read left to right)
Latest start and finish times presented underneath each activity box (read right to left)

Table B3: Gantt Chart

Activity	Duration (week beginning)																
	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
identify potential group members	A	A															
recruit trainer	B	★	★														
identify training needs			C	★													
purchase sewing machines			D	D													
sewing training					E	E	E	E	E	E	E	E	E	E	E	E	
establish formal identity for group			F	F	★	★	★	★	★	★	★	★					
provide training in loan repayment					G	G	G	★	★	★	★	★	★	★	★		
arrangement for loan repayment								H	★	★	★	★	★	★	★	★	
project operational																	I

★ *Represents float*

Table B4: Personnel Schedule

Personnel	Duration (week beginning)																
	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
village council	A	A	B	F	F												
trainer				C	E	E	E	E	E	E	E	E	E	E	E	E	
women tailors			D	D													
NGO			D	D		G	G	G	H	★	★	★	★	★	★	★	

★ *Represents float*

The network analysis determined that the minimum time in which the sewing group would be operational was 16 weeks (Diagram B1). Three activities were on the critical path: identifying group members (Activity A), purchasing sewing machines (Activity D), and providing training in sewing and machine maintenance (Activity E).

Personnel requirements were as follows (Table B4):

- the village council: by making use of the float, three activities were to be undertaken in five consecutive weeks at the beginning of the project
- two women tailors: two weeks
- the trainer: 13 weeks; use was made of the float to postpone the start of Activity C by one week in order to arrange a continuous period of employment
- the NGO: two separate inputs, one for two weeks and one for four weeks. It was not possible to make this one continuous period because Activity G had to commence after the completion of Activity F. There still remained some flexibility regarding the timing of Activities G and H, as long as H was completed by the end of week 15.

B5 The Next Step

On completion of the logical framework and work plan for each project, the NGO staff returned to Kampala to appraise the projects from financial and social perspectives. Both projects were considered suitable to be developed into a full proposal.

5 Step 3: Project Appraisal

Project appraisal represents a crucial step in the project cycle. The proposed project is reviewed from a range of perspectives (Box 6) to determine whether to proceed to writing a proposal and seeking funding. Project appraisal also represents an opportunity to improve project design prior to implementation. Project appraisal examines the information gathered during the course of the preceding steps. Gender and poverty alleviation are given particular emphasis.

This section focuses on methods for appraising projects from social and gender perspectives, and concludes with a cost benefit analysis. The techniques are discussed with reference to a case study appraising rural road rehabilitation using labour-based methods.

Box 6: Project Appraisal Criteria

- ***technical:*** will the project work? Has due attention been paid to technical factors affecting the project design? Given the human and material resources identified, can the project activities be undertaken and outputs achieved within the time available and to the required standards?
- ***financial:*** can the project be financed? Will there be sufficient funds to cover the expenditure requirements during the life of the project?
- ***economic:*** will the nation and society at large be better off as a result of the project? Will the project benefits be greater than the project costs over the life of the investment when account is taken of time (namely, is the Net Present Value of the project positive at the test discount rate)?
- ***social and gender:*** what will be the effect of the project on different groups, at individual, household and community levels? How will the project impact on women and men? How will they participate in various stages of the project cycle? Will the social benefits of the project be greater than the social costs over the life of the investment when account is taken of time?
- ***institutional:*** are the supporting institutions in place? Can they operate effectively within the existing legislative and policy environment? Has the project identified opportunities for institutional strengthening and capacity building?
- ***environmental:*** will the project have any adverse effects on the environment? Have remedial measures been included in the project design?
- ***political:*** will the project be compatible with government policy, at both central and regional levels?
- ***sustainability and risk:*** will the project be exposed to any undue risks? Will the project benefits be sustainable beyond the life of the project?

SEAGA tools relevant to social and gender appraisals include Venn diagrams, institutional profiles, stakeholders' conflict and partnership matrix, problem analysis chart, wealth ranking, daily activity clocks, seasonal calendars, and resources and benefits flow diagrams.

5.1 Social Appraisal

A social appraisal reviews the project design and the process of project identification through to implementation and monitoring, from a social perspective. Particular attention is paid to the likely impact of the project on different stakeholders, their opportunities for participation, and the project's contribution to poverty reduction.

Two texts by the UK's Department for International Development (DFID) were particularly useful for this section (DFID, 1995 and 1998).

(i) Stakeholder analysis and participation

Based on the distinction of primary, secondary and key stakeholders (see Section 3.1), stakeholder analysis reviews the following:

- ***who comprise the different stakeholders?***
- ***what are their interests?***
- ***how will they be affected by the proposed project?***
- ***what are the project priorities between the different groups?***
- ***what is their capacity to participate in the project?***

Stakeholders have different abilities to influence the outcome of a project (Table 5). Often target beneficiaries are in a relatively weak position to influence the outcome of a project (at A) whereas much of the control lies in the hands of secondary and key stakeholders (at B). The former may be frustrated by a lack of access to information or be placed in a weak social position due to traditional hierarchies. In contrast the latter may have the time, money, organisational capacity or political power necessary to influence the project; however, if they are not interested in the project, they could pose a risk to the project's success by withholding support. Thus recommendations from the social appraisal may be to include additional project activities to ensure influential stakeholders support a project and to enable important yet weak stakeholders to become more influential.

Table 5: Classification of Stakeholders' by Ability to Influence a Project

	Low level of ability to influence outcome of project	High level of ability to influence outcome of project
Primary stakeholders	A	
Secondary and key stakeholders		B

The manner in which stakeholders participate in a project varies, both between stakeholders and over the life of a project. For example, some stakeholders may be ***informed*** about a project at the identification stage and ***consulted*** during project design. In contrast, other stakeholders may exercise ***control*** over certain stages of the project cycle or act in ***partnership*** with others.

Case Study C: Stakeholder Analysis and Participation

The stakeholder analysis identified several groups of primary stakeholders who would benefit directly from a proposal to rehabilitate 120 km of rural roads using labour-based methods. Distinction could be drawn between those who would benefit during the process of rehabilitation (road workers and local businesses) and those who would benefit from using the roads once they were rehabilitated.

Most of the power to ensure the successful outcome of the project lay in the hands of secondary and key stakeholders. This relationship had implications for the project design and implementation. It was envisaged that several key stakeholders, together with primary stakeholders, would work in partnership during project implementation and monitoring, under the control of the contractor. The Ministry of Roads and Transportation and the donor would take the lead on project evaluation, consulting with the District administration and community, and informing the Government of their findings.

(ii) Poverty focus

Many projects are required to specifically address issues of poverty. In order to ensure the project incorporates a poverty dimension, it is necessary to determine:

- ***Who are the poor (at community, household and individual level)?***
- ***What are the characteristics of their poverty (in terms of access to and control of resources and benefits, vulnerability and exclusion)?***
- ***How may issues of poverty be addressed in the project?***

Case Study C: Poverty Focus

A poverty focus was an important guiding principle during project design. Through using labour-based methods, it was hoped that some of the benefits could be targeted directly to the poorer communities and individuals during rehabilitation. Characteristics of poverty were incorporated into the labour recruitment process. Priority was to be placed on ensuring people were recruited from poorer villages along the road corridor. Within villages, poorer people would be encouraged to register for work and at least 50% of the workers were to be women.

(iii) Social organisation

In addition to identifying stakeholders, the social appraisal reviews the way in which a community is organised socially. Appropriate use of existing social organisations could strengthen project implementation. Key questions include:

- ***What social organisation exists within the community?***
- ***How is it arranged?***
- ***How may it be used to strengthen the project?***

Case Study C: Social Organisation

An understanding of the social organisation of the community was crucial since works committees were to be formed in each village to oversee the recruitment process. Four principal groupings were identified (political, economic, social and welfare, and religious). However, there were few opportunities for the poor to participate, with the exception of the social and welfare groups.

Following the organisational review, two recommendations were made regarding the village works committees: members were to be drawn from across the different organisations and they were to be sensitised about the purpose of project (in particular, the importance of recruiting the poor and women as labourers since these people were often overlooked in social organisations).

5.2 Gender Appraisal

The Gender Analysis Matrix (GAM) (Table 6) is a tool for conducting a gender analysis of a project (Parker, 1993). It may be used at the planning stage to determine whether the potential gender impacts of a project are desirable and consistent with the project purpose and goal. The GAM may also be used during implementation to monitor the impacts of a project and address any unexpected results. It can also be used during project evaluation.

Table 6: Gender Analysis Matrix

	Tasks and skills	**Workload**	**Resources/ benefits**	**Socio-cultural**
Women				
Men				
Household				
Community				

Source: adapted from Parker (1993)

(i) Levels of analysis

The analysis is usually conducted at four levels:

- ***women***: either the target group (if appropriate) or all women in the community
- ***men***: either the target group (if appropriate) or all men in the community
- ***household***: all members of households as defined by the community (for example, women, men and children residing together)
- ***community***: everyone within the project area.

Other levels of analysis may be included if they are relevant to the project, such as youth, poor, disabled, or children.

(ii) Categories of analysis

The impact of the project is examined in terms of:

- ***tasks and skills***: changes in tasks performed, levels of skill required and labour requirements (how many people)
- ***workload***: changes in the amount of time it takes to carry out tasks
- ***resources/benefits***: changes in access to resources and benefits as a result of the project, and changes in control over resources and benefits
- ***socio-cultural factors***: changes in social aspects of participants' and the community's lives as a result of the project.

(iii) Interpretation

The matrix provides the basis for identifying project impacts from the perspective of different stakeholders with respect to the four categories of analysis. A brief description of the impact is recorded in the appropriate cell in the matrix. Once the matrix has been completed, each impact is reviewed in the light of the project's purpose and goal: if consistent, it is marked with + sign, if not, it is marked with - sign.

The + and - signs only help with a visual interpretation of the impact of a project from a gender perspective; they cannot be added together to determine the net effect of an intervention.

Remedial measures may be incorporated in the project design to overcome potentially adverse impacts.

Case Study C: Gender Analysis Matrix

The impact of project implementation was reviewed with respect to four groups: women working on the road, poor men working on the road, their households and the community at large. Most of the impacts were desirable and were consistent with the project purpose and goal. Nevertheless, several measures were identified which would strengthen project implementation including village sensitisation, encouraging family members to support road workers, promoting the use of labour saving technologies in the home, and encouraging workers to join or form savings schemes.

(iv) Summary

The gender implications of the project design may be classified in one of four categories (Moser, 1993):

- ***gender blind:*** the project fails to identify differences between women and men with regard to their activities, access and control of resources, access and control of benefits, and participation in decision making
- ***gender neutral:*** gender differences are noted but gender-specific solutions have not been identified
- ***gender aware:*** gender-specific solutions are included in the project activities but they focus on issues of efficiency and only address practical gender needs

- ***gender planning:*** project activities address both practical and strategic gender needs, thereby aiming to achieve gender equity and empowerment, as well as efficiency.

5.3 Social Cost Benefit Analysis

Cost Benefit Analysis (CBA) is used for determining the attractiveness of a proposed investment in terms of the welfare of society as a whole. By presenting social benefits and costs in a monetary format, CBA not only facilitates choices between alternative investment options but also give an idea of the project worth. The technique is principally used with regard to public sector investments.

CBA differs from financial appraisal which views an investment solely from the perspective of individual participants, focusing on private benefits and costs and using market prices. In contrast, CBA adopts a much broader approach, considering both monetary and non-monetary benefits and costs, and uses prices that more accurately reflect economic, environmental and social values.

The divergence between private and social costs and benefits arises for three reasons:

- not all costs and benefits fall on the immediate group of individual participants; some may have wider impacts (known as ***externalities***)
- not all costs and benefits have market prices
- not all market prices reflect the true costs and benefits to society.

Nevertheless, once social costs and benefits have been identified and valued, the methodology for conducting a CBA follows a similar procedure to financial appraisal; the key steps are outlined in Box 7. Choices between investment options may be based on a comparison of Net Present Values at the test discount rate, the Internal Rate of Return, payback periods, and benefit: cost ratios.

Box 7: Key Steps in Investment Appraisal

- identify project ***benefits*** and ***costs*** (distinguishing between capital and recurrent costs)
- calculate the ***net cash flow*** by comparing benefits with costs over the life of the investment
- ***discount*** the net cash flow by expressing all future benefits and costs in present values in order to take account of people's preference for time
- sum the discounted net cash flow to calculate the ***Net Present Value*** (NPV)
- calculate the ***Internal Rate of Return*** (IRR), the discount rate at which the NPV equals zero (representing the maximum interest rate a project could pay and still break even)
- conduct a ***sensitivity analysis*** to determine how sensitive the results are to changes in key variables

This section focuses on issues associated with incorporating socio-economic and gender impacts into CBA. For a more detailed discussion of investment appraisal, including economic pricing and environmental impact assessment, see relevant texts listed in the bibliography.

(i) Identifying social costs and benefits

Thorough social and gender appraisals will identify most of the social costs and benefits associated with a proposed investment. For the purposes of the CBA, they are drawn together under the headings of costs and benefits.

(ii) Quantifying and valuing social costs and benefits

Whilst it is often possible to express social costs and benefits in physical units, the biggest challenge in conducting a social CBA is placing meaningful monetary values on them. Many social costs and benefits do not have a market price. However, unless they have a monetary value, it is not possible to include them in the CBA along with any financial benefits and costs.

For ***tangible*** social costs and benefits, it is possible to derive approximate prices. One method is to identify the ***opportunity cost*** of using a resource or service. This represents the value of the next best alternative or opportunity forgone in order to use a resource for a particular purpose. Thus the shadow wage rate of family labour working at home would be the wages that could have been earned working outside the home.

For ***intangible*** social costs and benefits, it is not possible to estimate monetary values. Nevertheless, for projects with a substantial amount of intangible benefits, comparisons can be made between the cost effectiveness of different proposals to achieve similar outcomes. This technique of Cost Effectiveness Analysis is widely used in health sector appraisal.

Adjustments are also made for goods and services that have market prices but the latter are distorted from their economic value. ***Shadow prices*** take account of market price distortions, such as transfer payments, foreign exchange distortions and market imperfections.

Case Study C: Valuing Social Costs and Benefits

The most important argument for adopting a labour-based approach to road rehabilitation was the social benefits that would accrue from recruiting women and the poor as workers. Expected benefits included improvement in quality of workers' homes, workers' empowerment, and changing gender roles in the home.

However, the benefits would be offset by various social costs such as additional workloads in workers' homes and disruption to marriage.

On balance, it was estimated that the benefits (totalling FM 103,500 per month) would exceed costs (FM 67,500 per month) but this was highly dependent on the validity of the underlying assumptions.

(iii) Weighting project impacts

The distribution of project impacts between different groups in the community may be weighted to reflect project priorities. For example, more significance may be attached to income earned by women from female-headed households than married men. However, the process of devising weights is highly subjective and many recommend that such decisions should be left to politicians.

(iv) Discount rates

Often governments and donors set test discount rates that vary according to the type of project. At present, discount rates for public sector investments stand at 12%; for projects with a strong poverty or environmental focus, rates may be as low as 3%. For private sector investments, discount rates usually reflect commercial rates of interest.

(v) Sense of perspective

The process of CBA is not an exact science. The findings of a CBA should be seen to add insights into the decision-making process rather than being subjected to rigorous interpretations. Consequently, when identifying and valuing the social costs and benefits, it is important to focus on the more significant impacts and not to spend too much time on the minor details.

Case Study C

Example of Social and Gender Appraisals of Rural Road Rehabilitation

C1 Background to Project

The District where the project was to take place was one of the least developed regions of the country, mainly due to extremely low levels of income. Agriculture was the main economic activity, with almost 90% of the population farming at the subsistence level and very few operating on a commercial basis.

Although 70% of the land in the District was potentially cultivable, smallholders cultivated only 40% regularly and much of that was left fallow in any one year. Farming was characterised by low input: low output production and humans were the sole source of farm power. Most households were food secure except during unusually dry seasons. Cash crop production focused on coffee, bananas, tobacco, onions and groundnuts. Traders from the cities travelling out to the villages to buy produce usually conducted marketing. Alternatively farmers would travel considerable distances to weekly markets and trading centres, transporting their produce on foot or by bicycle.

In addition to restricted access to markets and trading centres, many in the community were unable to benefit from health and education services. For example, the hospital was over 40 km away and the journey in the rainy season was arduous, placing the critically ill, pregnant mothers and babies at risk. Hence the rehabilitation of rural earth roads was identified as a high priority in the District, for both economic and social reasons.

The road network had suffered from years of neglect. Inadequate maintenance was caused by a lack of funds, compounded by a shortage of relevant skills and tools in the community to maintain the roads on a self-help basis. Simultaneously, the volume and nature of traffic had changed substantially: the road network had originally been designed to cope with daily buses, occasional lorries and very few private vehicles. Most local journeys were undertaken on foot or bicycle. Now, many more buses plied the roads and overloaded lorries transported goods through the District. Many of the roads had deteriorated to such an extent that stretches were impassable during the rainy season. As a consequence, vehicle-operating costs were high and delays in journeys were frequent.
Local government and the community recognised the fact that there was an urgent need to rehabilitate the road network. It was understood that part of the failure to maintain the existing road network was due to the reliance on expensive machines that were not readily available in the District. So, the district and the community agreed to rehabilitate 120km of earth road. It was proposed that a labour based approach to road rehabilitation, rather than more capital intensive methods, would be more appropriate and sustainable in the long term. This approach would have the additional benefit of injecting wages into local economy, thereby stimulating other economic activities, during rehabilitation works. The community's reaction to the proposal was very positive, enthusiastic even!

C2 Project Identification and Design

During the project identification and design stages, meetings were held in all the villages located along the road corridor (defined to be within walking distance of the road, namely 3 km). The proposals for rehabilitating rural roads were discussed, rehabilitation priorities were identified, and the community's positive response to labour based methods was welcomed.

The project appraisal was based on an analysis of the data obtained from the rapid appraisal methods used for the project identification phase. Several Rapid Appraisal techniques were used:

- maps of travel patterns to determine existing travel patterns by different members of the community
- seasonal calendars and daily activity schedules were prepared by women and men in order to identify their availability to work on the road at different times of the day and throughout the year
- village ranking to identify resource rich and resource poor villages along the road corridor in order to place priority on recruiting labourers from poorer villages
- wealth ranking and social mapping to determine the socio-economic composition of the community and ensure the disadvantaged had the opportunity to register for work
- Venn diagrams to identify social organisations and their inter-relationships.

The District administration, together with the donor, appraised the proposal from technical, financial, institutional and socio-economic perspectives. This case study reports on the social and gender appraisals.

Box C1: Project Documentation

1 Socio-economic Context

1.1 Development context: an overview of the project area covering indicators of human development and human poverty, education, health, housing, sanitation and water supplies, and physical infrastructure

1.2 Livelihoods analysis: a description of subsistence agriculture and other livelihoods, the nature of local businesses, trading centres and markets, tax base

1.3 Gender analysis: existing workloads, access and control of resources and benefits

2 Technical Review

2.1 Natural factors: topography, soils, weather

2.2 Road users: current traffic, projections, safety aspects

2.3 Inputs: materials, labour, equipment, management

2.4 Legislative framework and institutions: road classification, responsibilities for rehabilitation and maintenance

2.5 Road design: width, surface, quality

2.6 Sustainability: skills and equipment for maintenance

3 Project Design

3.1 Logical framework:

Goal: Economic and social well being of rural population improved

Purpose: Sustainable improvement in access to economic and social services achieved

Outputs: 120 km of earth roads rehabilitated

Activities:
(i) sensitise and mobilise community
(ii) recruit workers
(iii) purchase hand tools and equipment
(iv) locate borrow pits
(v) hire capital equipment
(vi) rehabilitate road
(vii) road safety campaign

3.2 Work plan and personnel schedules: identification of activities on critical path and personnel requirements

3.3 Budget: patterns of expenditure and revenue over the life of the project

C3 Social Appraisal

The social appraisal was able to draw on much of the information gathered during the Rapid Appraisal activities. Particularly useful were the travel pattern maps to identify stakeholders, the wealth ranking in order to target poorer villages and individuals for labour recruitment, and Venn diagrams to explore the social organisation.

(i) Stakeholder analysis and participation

The maps of travel patterns provided the basis for identifying the primary stakeholders associated with the project. An example from one village is presented overleaf (Map C1). The findings are summarised in Table C1.

Map C1: Village Travel Patterns

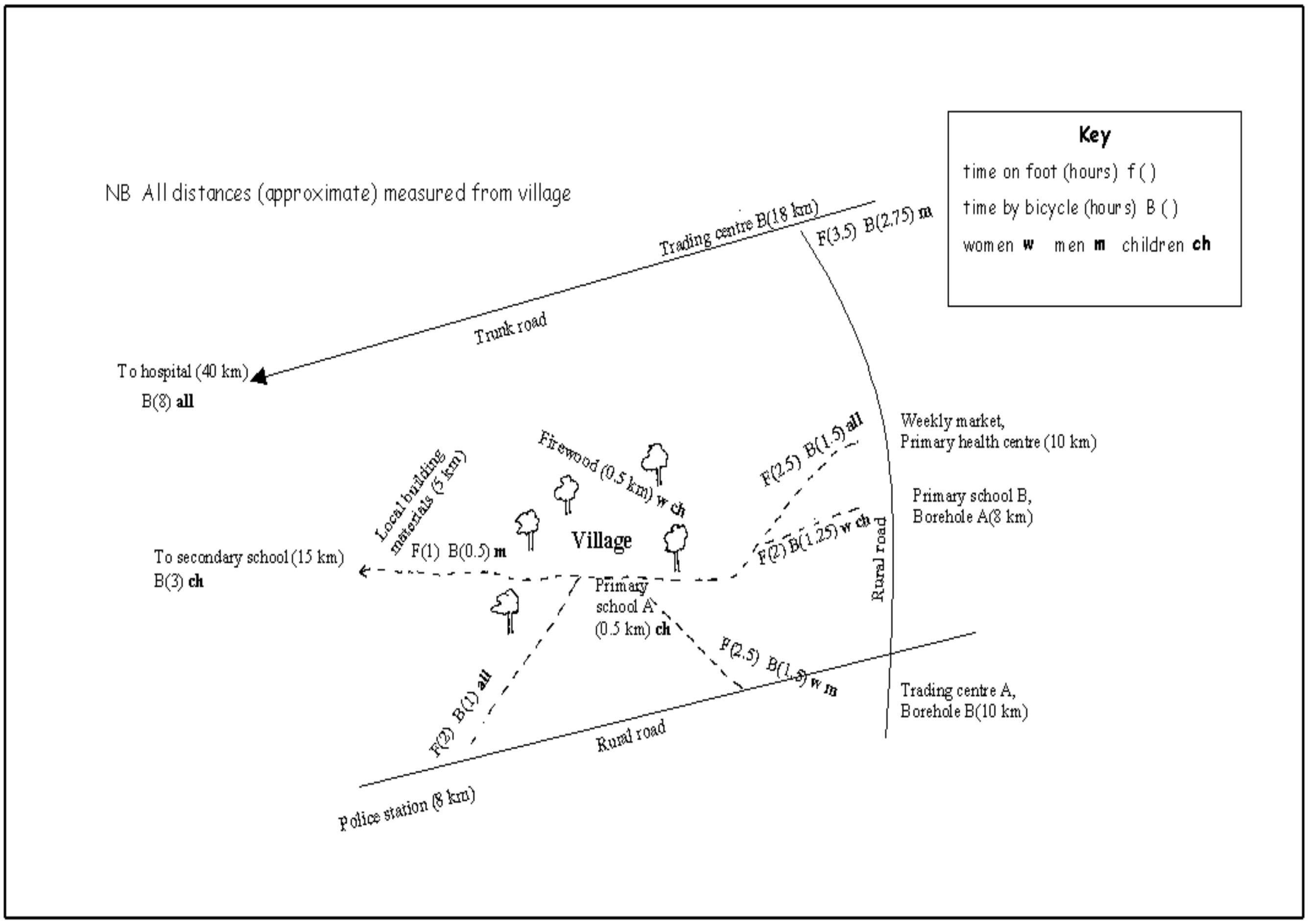


Table C1: Summary of Travel Patterns

Destination	Distance (km)	Time taken for single journey (hours)			People and purpose of journey	Frequency of journey
		Foot	Bicycle	Motorised transport		
Weekly market *	10	2.5	1.5	0.75	women and men to sell produce and socialise	weekly
Trading centre A	10	2.5	1.5	0.75	women and men to purchase household items and socialise	every fortnight
Trading centre B	18	3.5	2.75	1.25	men to purchase agricultural inputs, items for resale in village shop and to socialise	every fortnight
Primary school A (Years 1 to 4)	0.5	0.25	-	-	children	daily
Primary school B (Years 5 to 7)	8	2	1.25	-	children	daily
Secondary school **	15	-	3	1	children	daily
Primary health centre***	10	3.5	2	0.5	mothers and children	every three months
Hospital	40	-	8	2	all	occasionally
Police station	8	2	1	0.5	all	occasionally
Borehole A	8	2	1.25		women and children	daily
Borehole B	10	2.5	1.5		men	daily in dry season
Firewood	0.5	0.25	-	-	women and children	daily
Local building materials	5	1	0.5	0.5	men	once per month

* *longer journey times when carrying produce*

** *most village children attending secondary school were boarders but a few cycled daily*

*** *long journey time because mothers walked with small children or the sick were transported on bicycles*

The analysis of travel patterns distinguished between different types of journeys in terms of destination, purpose and frequency of journey, mode of travel and duration of journey (Table C1). Journeys could be broadly classified into two types:

- those using ***footpaths and tracks*** around the village: these journeys were predominately undertaken by women and children, on foot, and on a very regular basis; and
- those using the ***formal road network***: most of these journeys were undertaken by men, travelling widely, and often by bicycle. Amongst this group were men who made their living from transporting goods for others, farmers and people running local businesses (traders and retailers). In addition, there were occasional travellers who ventured further afield, particularly when seeking medical assistance.

Only people using the road network would benefit directly from road rehabilitation.

In addition to road users, the stakeholder analysis identified several other groups who had interests in road rehabilitation (Table C2). Distinction could be drawn between those who would benefit during the process of rehabilitation (road workers and local businesses) and those who would benefit from using the roads once they were rehabilitated.

Table C2: Stakeholders' Interests and Project Contributions

Primary stakeholders	Interests	Contribution of project to addressing interest
Vehicle operators	(i) reduced fuel consumption (ii) shorter journey times (iii) reduced repairs and maintenance bills	(i) improved standard of road (+) (ii) improved standard of road (+) (iii) improved standard of road (+)
Road users	(i) cheaper travel costs (ii) shorter journey times (iii) certainty about completing a journey	(i) depends if operators pass on benefits of reduced vehicle operating costs (?) (ii) improved standard of road (+) (iii) all weather road (+)
Road workers	(i) opportunities for employment (ii) learn new skills (iii) control over own income	(i) labour based method of road rehabilitation (+) (ii) appointments to positions of responsibility to be based on merit (+) (iii) depends on household decision making (?)
Farmers	(i) timely access to inputs (ii) timely and cost effective access to markets (iii) access to information	(i) depends if operators pass on benefits of reduced vehicle operating costs (?) and all weather road (+) (ii) depends if operators pass on benefits of reduced vehicle operating costs (?) and all weather road (+) (iii) depends on information sources (?)
Local businesses	(i) reduced transport costs (ii) improved access to suppliers (iii) increased sales	(i) depends if operators pass on benefits of reduced vehicle operating costs (?) (ii) improved standard of road and all weather road (+) (iii) depends on expenditure patterns of road workers (?)
Community in general	(i) regular contact with service providers (health, community development) (ii) timely access to health services (iii) easier access to water supplies (iv) easier access to secondary schools (v) reduced rates of migration (vi) opportunities for social travel (vii) safe travel (viii) ability to maintain road	(i) depends on mobility of service providers (?) (ii) all weather road (+) (iii) footpath/track improvements not included (nil) (iv) footpath/track improvements not included (nil) (v) depends on extent to which local economy stimulated (?) (vi) reduced vehicle operating costs (+) (vii) depends on effectiveness of road safety campaign (?) (viii) skills developed within community (+)

Not all of the interests of the primary stakeholders would be met through the project. Some would require additional interventions, beyond the scope of this project, to ensure the full benefits of road rehabilitation were reaped; for example:

- facilitating the mobility of service providers in the District
- establishing accessible information services for farmers
- enabling the community to improve access tracks and paths.

When considering the ability of stakeholders to influence the outcome of the project, most control lay in the hands of secondary and key stakeholders (Table C3). Primary stakeholders were in a relative weak position.

Table C3: Stakeholders and their Influence over the Project

	Low level of ability to influence project outcome	**High level of ability to influence project outcome**
Primary stakeholders	❖ road users ❖ road workers ❖ farmers ❖ local businesses ❖ community in general	❖ vehicle operators
Secondary stakeholders		❖ road workers' families
Key stakeholders		❖ District administration ❖ Ministry of Roads and Transportation ❖ donor ❖ contractor and professional staff ❖ suppliers of hand tools and equipment ❖ owners of capital equipment ❖ service providers (health, education, extension, credit)

This relationship had implications for project design and implementation. To ensure a successful outcome, it was crucial that key stakeholders were kept informed and were consulted about the project during the identification and design stages (Table C4). It was envisaged that several key stakeholders, together with primary stakeholders, would work in partnership during implementation and monitoring, under the control of the contractor. The Ministry of Roads and Transportation and the donor would take the lead on project evaluation, consulting with the District administration and community, and informing the Government of their findings.

Table C4: Levels of Stakeholder Participation

Stage in project cycle	Levels of participation			
	Inform	**Consult**	**Partnership**	**Control**
Identification	❖ Government	❖ Ministry of Roads and Transportation ❖ community	❖ District administration ❖ donor	
Design		❖ Ministry of Roads and Transportation ❖ community ❖ village works committees	❖ District administration ❖ donor	
Implementation	❖ Ministry of Roads and Transportation		❖ District administration ❖ donor ❖ village works committees ❖ road workers ❖ community	❖ contractor
Monitoring	❖ Ministry of Roads and Transportation		❖ District administration ❖ donor ❖ community	❖ contractor
Evaluation	❖ Government	❖ District administration ❖ community	❖ Ministry of Roads and Transportation ❖ donor	

(ii) Poverty perspective

Both the Government and the District administration had committed themselves to achieving a significant reduction in poverty in the medium term. Thus the poverty perspective was an important guiding principle in project design.

As noted in the stakeholder analysis, many members of the community would not benefit significantly from the rehabilitation of the road network. However, through using labour-based methods, it was hoped that it would be possible to target some benefits directly to the poorer communities and individuals during rehabilitation works.

Characteristics of poverty at community, household and individual levels were determined by referring to the wealth ranking exercises (Table C5).

Several villages in the road corridor were considered to be poorer than others. These villages were based on subsistence agriculture, isolated by poor access roads, and lacked many economic and social services (such as a trading centre, market, adequate water supplies, primary health care and secondary school). Attempts at community mobilisation were usually unsuccessful. As a consequence, these villages were frequently overlooked in political and development initiatives.

Within all villages, a significant proportion of the population was identified as poor. At the household level, the poor were generally landless, owned a few small livestock and lived in temporary housing. Individuals were often illiterate, women, worked as casual labourers or were unemployed. They were frequently excluded from opportunities to earn income regularly, join savings schemes and participate in local politics. Hence they were vulnerable to periods of food shortage, ill health and general marginalisation from society.

Table C5: Characteristics of Poverty

Level	Characteristics	Excluded from	Vulnerability
Community	❖ poor quality roads ❖ no trading centre ❖ no weekly market ❖ absence of commercial agriculture ❖ poor water supplies ❖ no health centre ❖ primary school (years 1 to 4) ❖ no secondary school ❖ few tax payers ❖ poor community mobilisation ❖ unemployment	❖ cheap and reliable transport services ❖ regular contact with service providers ❖ cost effective access to inputs and markets ❖ opportunities for developing income generating activities ❖ participation in local politics	❖ overlooked in political decision making ❖ overlooked in development opportunities ❖ attacks by pests and diseases in crops and livestock ❖ low yields ❖ low incomes
Household	❖ temporary housing (mud walls and grass thatch) ❖ landless ❖ own a few small livestock ❖ not all children attend school ❖ unable to meet household needs	❖ formal employment ❖ regular income ❖ savings schemes ❖ education	❖ food shortages ❖ poor health
Individual	❖ uneducated ❖ casual labourer ❖ unemployed ❖ female headed households ❖ sick ❖ aged ❖ widows	❖ household decision making ❖ use of social sector services ❖ election to village council ❖ written sources of information	❖ poor nutrition ❖ poor health ❖ alcoholism ❖ marginalisation

These findings were incorporated into the design of the project. During the process of recruiting labour, priority was to be placed on ensuring:

- people were recruited from poorer villages in the road corridor
- within villages poorer people would be encouraged to register for work
- at least 50% of the workers were to be women.

Nevertheless, regardless of the project's interest in assisting the poor and women, each individual recruited had to be capable of performing the tasks in hand. Promotion to positions of responsibility, such as gang leaders, would be based on merit and their ability to perform the job effectively.

(iii) Social organisation

In order to implement the project effectively, it was necessary to establish a thorough understanding of social organisation in the community. This was particularly important because works committees were to be formed in each village to oversee the recruitment process. Since they would be responsible for achieving the appropriate poverty and gender focus in the workforce, their performance would be critical.

Venn diagrams reflecting the community's perception of different organisations provided the basis for determining the functioning, membership and inter-relationships between organisations (Table C6). Four principal groupings were identified (political, economic, social and welfare, and religious) and there were some linkages between them. Their membership embraced economically active women and men, literate people, those in good health, and members often shared a common interest. There were few opportunities for the poor to participate, with the exception of the social and welfare groups.

Table C6: Social Organisations

Organisation	Activities	Composition and criteria for membership	Inter-linkages
Village councils		❖ residents of village ❖ at least one third of council to be women ❖ must be literate ❖ elected by community	❖ local government and District administration ❖ social and welfare groups
Savings and credit groups	savings and credit	❖ mainly men's groups ❖ a few women's groups ❖ ability to save ❖ mutual trust ❖ often based around a common interest (e.g. work, family)	❖ some with IGA groups (mainly men's groups)
Income generating activity groups for men	construction, brick making, carpentry, fish farming, animal husbandry, bee keeping, crops, trading	❖ skills ❖ good health ❖ work ethic ❖ mutual respect	❖ some savings and credit groups ❖ some women's groups
Income generating activity groups for women	vegetables, poultry, animal husbandry, crops, crafts, marketing	❖ skills ❖ good health ❖ work ethic ❖ mutual respect	❖ some savings and credit groups ❖ some men's groups
Social and welfare groups	adult literacy, drama, burial	❖ women and men	❖ supported by village council and religious groups
Religious organisations	oversee activities of religious organisations	❖ male dominated ❖ nominated by congregation	❖ social and welfare groups

Following the organisational review, the following recommendations were made:

- members of the village works committees were to be drawn from across the different organisations
- works committees were to be sensitised about the purpose of project (in particular, the importance of recruiting the poor and women as labourers since these people were often overlooked in social organisations)
- there was to be widespread mobilisation amongst community prior to recruitment
- the recruitment process was to be open and transparent.

C4 Gender Appraisal

A gender analysis of life in the community had been conducted during project identification. The purpose of the gender appraisal was to review the impact of project implementation on different members of the community. Four groups were identified: women working on the road, poor men working on the road, their households and the community at large (Table C7).

Most of the impacts were desirable and were consistent with the project purpose and goal. There were many positive benefits to be reaped by individual road workers: they would gain new skills, exposure to new ideas, increased confidence and a source of cash income which, together, would contribute to a process of empowerment. From a gender perspective, the use of labour based methods represented an opportunity to meet several strategic gender needs. However, these potential benefits were tempered by other considerations: income would be earned only for a limited time and other household members may try to control its use. Moreover, particularly for women, their working day would increase significantly unless other family members assisted with household tasks (such as collecting water and firewood, preparing food, or caring for young children) and growing food for domestic consumption. Male workers had some flexibility if they were able to substitute their leisure time for roadwork.

Although other household members would benefit if the income earned from the road were spent on household items, there was the risk that household duties would be neglected and households would face short-term food insecurity. These adverse effects could be avoided if household members, or hired labour, helped in the home. Nevertheless, many husbands voiced concern about their wives working outside the home and disliked the thought of them having an independent source of income.

With the exception of a risk of an increase in road traffic accidents, all impacts at the community level were expected to be positive: road workers would gain skills that could be used to maintain and improve community access roads; the local economy would be stimulated by the injection of cash incomes during rehabilitation works; migrants would be encouraged to return to the community; and the tax base would increase.

Table C7: Gender Appraisal of Labour Based Road Rehabilitation

	Tasks and skills	Workload	Resources/ benefits	Socio-cultural
Women	❖ employment as labourers on road (+) ❖ opportunities for positions of responsibility as gang leaders (+) ❖ opportunity to bid for maintenance contracts (+)	❖ longer working day (-) unless other family members help at home (+) or hire help at home (+)	❖ develop new skills (+) ❖ earn cash income (+) but for limited time (-) ❖ husband or other family members may control income (-)	❖ men traditionally work on road (-) ❖ exposure to new ideas through formal employment (+) ❖ increased confidence in own ability (+) ❖ independent source of income (+) ❖ process of empowerment (+)
Poor men	❖ employment as labourers on road (+) ❖ opportunities for positions of responsibility as gang leaders (+) ❖ opportunity to bid for maintenance contracts (+)	❖ longer working day (-) unless substitute roadwork for other productive activities (-) or reduce leisure time (+)?	❖ develop new skills (+) ❖ earn cash income (+) but for limited time (-)	❖ unskilled men traditionally work on road (+) ❖ exposure to new ideas through formal employment (+) ❖ increased confidence in own ability (+) ❖ process of empowerment (+)
Household	❖ women have less time for household tasks (-) ❖ women and men have less time for other productive work (-) ❖ other family members have to help at home (+)	❖ longer working day for other household members (-) unless hire labour (+) or adopt labour saving measures (+)	❖ benefit from road incomes used to meet household needs (+) ❖ may gain control over income earned by women (-) ❖ household tasks neglected (-) ❖ short term food insecurity (-)	❖ mistrust women working outside the home (-) ❖ dislike thought of women having independent source of cash income (-) ❖ children miss school to help at home (-) ❖ children left at home unsupervised (-)
Community	❖ skills to maintain roads in community (+) ❖ more of community engaged in productive activities (+) ❖ village works committees established (+)		❖ benefit from income spent in community (+) ❖ local businesses prosper (+) ❖ tax base increases (+)	❖ migrants return to community (+) ❖ increased number of accidents on road during rehabilitation (-)

To ensure the project realised its full potential, several measures were identified which would strengthen project implementation:

❖ raising awareness in the community about the importance of tackling poverty and addressing issues of equity and empowerment through development opportunities such as the road project
❖ encouraging people to support their household members working on the roads by assisting with household tasks

- promoting the use of labour saving technologies in the home (fuel efficient stoves)
- encouraging workers to join or form savings schemes to ensure the money earned was not merely spent on meeting day-to-day needs but could be used for more significant purchases (for example, establishing a small business or improving the home).

Overall the project design achieved the status of gender planning. The project presented several opportunities to meet strategic gender needs: recruiting women for formal employment, changing the performance of household tasks by gender, and encouraging women to form savings schemes.

C5 Social Cost Benefit Analysis

The social and gender appraisals were concluded by estimating monetary values for the social benefits and costs associated with using labour based methods of road rehabilitation. These were to be incorporated into a full social CBA to determine the relative attractiveness of the investment from the perspective of the whole community.

(i) Identifying social costs and benefits

Using information generated in the social and gender appraisals, distinction was drawn between the private and social costs and benefits of road rehabilitation using labour based methods (Table C8).

Table C8: Costs and Benefits of Labour Based Methods of Road Construction

Private costs	Private benefits
❖ community sensitisation and mobilisation campaign ❖ formation of village works committees ❖ hire of labour ❖ purchase of hand tools and light equipment ❖ hire of heavy machinery ❖ cost of surfacing materials ❖ salaries of professional staff ❖ contractor's fee ❖ road safety campaign ❖ road maintenance	***During rehabilitation works:*** ❖ increase in trade in local businesses due to injection of cash income ***On completion:*** ❖ reduction in vehicle operating costs ❖ reduction in travel time ❖ increase in number of journeys made ❖ increase in agricultural profitability ❖ increase in profitability of local businesses ❖ increase in tax revenues ❖ more efficient provision of social services
Social costs	**Social benefits**
❖ longer working day for road workers (unless others help or substitute other activities) ❖ risk of short term food insecurity ❖ children miss school to help at home ❖ husbands dislike wives working outside home, earning own income ❖ increase in road accidents during rehabilitation works	❖ community and local leaders sensitised about importance of tackling poverty and meeting strategic gender needs (SGN) ❖ opportunities amongst road workers for empowerment and meeting SGN (new skills, cash income, increased confidence, new ideas, changing gender roles at home, savings schemes) ❖ improvement in quality of road workers' homes ❖ skills in the community for winning maintenance contracts ❖ skills in community for upgrading community access roads ❖ linkages between different social organisations promoted through formation of village works committees

(ii) Quantifying and valuing social costs and benefits

The most important argument for adopting a labour based approach to road rehabilitation was the social benefits that would accrue as a result of recruiting women and the poor as workers. These benefits were valued based on the following assumptions:

- 200 people would work on the road, each earning FM 1,500 per month
- of the 200 workers, 50% would be women
- of the 100 women, it was estimated that:
- 30 would be from female headed households
- 30 would be married but other adults in the household would not help with domestic tasks
- 40 would be married and other adults would help with housework
- of the 100 men, it was estimated that:
- 20 men would be substituting road work for other forms of employment elsewhere
- 60 would be substituting road work for non productive time (leisure)
- 20 would be from households where there was no idle labour.

The monetary value of the impacts was estimated as a percentage of the market wage rate for road workers. These figures are for illustrative purposes only.

Social benefits:

- 60% of households benefiting from long term improvement in quality of the home of road workers (valued at 10% of wage rate)
  120 households x FM 1,500 x 0.1 = FM 18,000 social benefit per month

- 180 workers (200 workers less 20 men who would be working elsewhere in the absence of this project) benefiting from empowerment (valued at 25% of wage rate)
  180 workers x FM 1,500 x 0.25 = FM 67,500 social benefit per month

- 40 households addressing SGN when adults help with housework which would traditionally be outside their gender roles (valued at 30% of wage rate)
  40 households x FM 1,500 x 0.3 = FM 18,000 social benefit per month

Social costs:

- women from female headed households (30) and households where other adults would not help (30) would either have extra work, or hire labour to help at home, or withdraw their children from school to help at home, or face food insecurity (all these effects were valued at the cost of hiring labour, estimated at 50% of the wage rate for road workers)
  60 households x FM 750 = FM 45,000 social cost per month

- 20 men from households where there was no idle labour would either have extra work, or place extra work on their wives, or hire labour to help at home, or withdraw their children from school to help, or face food insecurity (all these effects were valued at the cost of hiring labour, estimated at 50% of the wage rate for road workers)
  20 households x FM 750 = FM 15,000 social cost per month

- one third of women workers in married households where other adults would not help would face disruption to their marriage (valued at 50% of wage rate)
  10 x FM 1,500 x 0.5 = FM 7,500 social cost per month

(iii) Interpretation

On balance, the social benefits associated with placing priority on recruiting women and the poor as road workers (totalling FM 103,500) outweighed the social costs (FM 67,500) by FM 36,000 (Table C9).

Table C9: Summary of Monetary Values of Social Costs and Benefits per Month

Social costs	FM	Social benefits	FM
coping with extra workload (women)	45000	quality of life	18000
coping with extra workload (men)	15000	empowerment	67500
disruption to marriage	7500	SGN	18000
Total	67500	Total	103500
		Net benefits	**36000**

The most significant social benefit identified was one of empowerment. However, this was offset to a large extent by the impact of the extra workload experienced in the households of female road workers. Thus the size of the monthly net benefits would be largely determined by the accuracy of the underlying assumptions regarding these calculations. For example, if the benefit of empowerment were valued at 10% of the wage rate rather than 25%, total social benefits would fall to FM 63,000 and there would be a net social cost of FM 4,500 per month.

The next step

The NGO then went on to prepare the project proposal based on the above results and also taking the donor needs into consideration.

6 Step 4: Proposal Preparation

Writing proposals and securing approval and funding represent the fourth stage in the project cycle. The preceding stage confirms that the proposed project meets various financial, socio-economic and environmental criteria, and is worth developing into a full proposal.

6.1 Understanding Perspectives

When writing a project proposal it is essential to know the views held by prospective funders. Priorities differ between agencies, in terms of specific sectors (such as health or education) or specific approaches (for example, promoting governance and democracy) (see FAO's goals in Box 8). They also differ in the nature of their support (grant or loan, amount of money, duration and eligible expenditure).

Box 8: Goals of FAO

- eradicate food insecurity and rural poverty
- ensure an enabling policy and regulatory framework for food and agriculture, fisheries and forestry
- secure sustainable increases in the supply and availability of food
- conserve and enhance the natural resource base
- generate knowledge on all aspects of food and agriculture, fisheries and forestry, and mobilise the commitment necessary to achieve these purposes

Although desirable attributes of projects vary between agencies and between projects, it is possible to note some generalisations (Box 9).

Box 9: Examples of Desirable Project Attributes

- poverty focus
- gender perspective
- participation of beneficiaries in project identification and design
- beneficiary contribution during project activities
- sustainability of benefits
- capacity building and institutional strengthening at the local/community level
- visible project impacts within life of project
- project impacts environmentally sound
- soundness of project design
- linkages with on-going activities
- support of relevant national and local governments
- congruence with funder's interests
- proven organisational capacity of implementing agency
- transparency of project management
- cost effectiveness
- appropriate balance of project expenditure

6.2 Key Points to Address

Three fundamental questions are addressed in a project proposal:

- ***What is the project about?***
  - the context of the project
  - the process of project identification and design
  - the nature of the project
  - the beneficiaries and other stakeholders
  - linkages between project activities, outputs, purpose and goal
  - account of external risks and assumptions
  - procedures established for monitoring and evaluation
  - the project fit with interests of local government and donor

- ***How will it be operationalised?***
  - implementing agency: goal, structure, staffing, previous experience
  - financial management system
  - work plan, duration, personnel, other resource requirements

- ***How much will it cost? How will it be financed?***
  - financial viability
  - duration of project
  - exposure to risk
  - sustainability of benefits beyond the life of the project

6.3 Proposal Outline

Many donors have their own format for project proposals. Some require a short concept note, giving an overview of the main elements of the project, prior to submitting a full proposal. If the response is favourable, resources, time and effort can be committed to preparing comprehensive documentation. Overviews of topics that are usually addressed in a proposal are presented in Box 10.

Box 10: Proposal Headings

Summary	
Section 1	Introduction: brief overview of document
Section 2	Background: context of project, process of project identification
Section 3	Project Rationale: justification for project, project goal and purpose, logical framework
Section 4	Project Design: project activities and outputs
Section 5	Beneficiaries and Other Stakeholders: characteristics
Section 6	Sustainability and Risks: external risks, assumptions, events after project life
Section 7	Project Implementation: institutional information, work plan, personnel, other resources, monitoring and evaluation
Section 8	Project Costs and Funding: budget
Appendices	Technical, Financial, Economic, Social, Gender, Institutional, Environmental Appraisals

When preparing a proposal it is important to be aware of any eligibility criteria. Agencies may refuse funding for specific types of organisation (for example, profit making businesses, those promoting religion or newly registered organisations) and certain types of expenditure (overhead costs, unless they are directly related to a project).

6.3 Gathering the Evidence

Much of the information required for writing a proposal has already been generated in the preceding stages of the project cycle (Box 11).

Box 11: Information Sources

Stage in Project Cycle	Information Generated	Use in Proposal
Identification	❖ development context ❖ livelihoods analysis ❖ socio-economic and gender analysis ❖ stakeholder priorities	❖ project background ❖ project rationale ❖ beneficiaries and other stakeholders
Design	❖ logical framework ❖ work plan ❖ personnel schedule ❖ budget	❖ project rationale ❖ project design ❖ beneficiaries and stakeholders ❖ sustainability and risks ❖ implementation ❖ project costs and funding
Appraisal	❖ technical appraisal ❖ financial and economic Net Present Value and Internal Rate of Return ❖ social appraisal ❖ gender appraisal ❖ Social CBA ❖ environmental impact assessment ❖ institutional review	❖ appendices

6.5 Writing Style

In addition to the competence of the project design, the proposal has to be well written. Points to consider include:

- ***Does the document create a sense of urgency and purpose?***
- ***Does the title of the project capture the reader's attention?***
- ***Is the text readable?***
- ***Is the text of the right length?***
- ***Have graphics been included when appropriate?***
- ***Is the text supported by a logical framework, work plan and budget?***
- ***Has the document been reviewed and edited?***

The next step:

The project proposal is then presented to potential donors whose positive reaction should lead to the project being implemented, with monitoring and evaluation forming part of the essential steps of the process.

7 Steps 5 and 6: Project Monitoring and Evaluation

Monitoring and evaluation are integral stages in the project cycle. Monitoring is an on-going process during project implementation whilst evaluation occurs periodically, typically once a project has been completed.

The techniques discussed below are illustrated with reference to Case Study D presented at the end of the section. The case study evaluates a three-year project designed to improve community response to health messages through improving adult literacy and disseminating health leaflets.

Useful guides to project monitoring and evaluation include the forthcoming SEAGA guide and the Save the Children development manual (Gosling, 1995).

7.1 Monitoring

(i) Purpose

Monitoring considers the question ***'Are we doing the project correctly?'*** Its purpose is to alert management to any problems that arise during implementation.

Monitoring works within the existing project design, focusing on the transformation of inputs and activities to outputs. It ensures that inputs are made available on time and are properly utilised. If any unexpected results are observed, their causes are noted and corrective action identified in order to bring a project back onto target.

(ii) Focus

There are two forms of project monitoring and both should be addressed. ***Process monitoring*** reviews three main aspects of a project:

- the ***physical delivery of structures and services*** provided by the project (activities)
- the ***use of structures and services*** by the target population (outputs)
- the management of ***financial resources.***

Impact monitoring focuses on the progress of the project towards achieving the project purpose and the impact of the project on different groups of people.

(iii) Responsibility

Responsibility for monitoring lies within the project where it forms an essential and integral part of the management functions. Stakeholder participation can strengthen the process, particularly if it represents a continuation of their involvement in earlier stages of the project cycle. In addition to ensuring a community perspective on a project, participation in monitoring activities can also help develop community skills in analysing situations and identifying solutions, strengthen their accountability and commitment to a project, and act as a two-way flow of communication.

(iv) Checklist

Box 12: Checklist for Project Monitoring

(i)	Are the activities taking place as scheduled?
(ii)	Are the outputs being achieved as expected?
(iii)	How are the beneficiaries responding to the project?
(iv)	Identify possible causes of differences between actual and target performance. Were the original targets realistic?
(v)	Have any unexpected outputs arisen? Should they be included in a revised logical framework?
(vi)	Are the assumptions identified in the logical framework relevant? Have any killer assumptions emerged? Have any new risks appeared?
(vii)	What is the likely achievement of the project purpose?
(viii)	Recommend corrective action that would improve the implementation of the existing project.

Case Study D: Review of Project Activities and Outputs

There were two principal project activities: to run adult literacy classes in 10 villages, and to translate and distribute health leaflets throughout the project area. The outputs were to be measured in terms of literacy rates and exposure to the leaflets.

Monitoring focused on the timely execution of the activities and the extent to which the outputs were realised. Questions addressed included:

- *were the literacy classes held in all 10 villages, how many attended, who were the learners, who were the instructors, what standards were attained, how did literacy rates improve?*
- *were the health leaflets translated into the local language, were they printed on time, how were they distributed throughout the project area, how many people read them?*
- *were members of the community making use of their literacy skills and the health leaflets in terms of improving their response to health messages?*

Working within the original project design, monitoring looks for practical opportunities to improve the delivery of existing activities and outputs.

7.2 Evaluation

(i) Purpose

Evaluation adopts a broader perspective than monitoring by challenging the original assumptions of the project design and considering ***'Are we doing the correct project?'*** Evaluations focus on progress towards realising a project's purpose and goal.

Evaluations may be conducted at various times during a project's life:

- during project implementation (***mid term***), providing feedback to management to guide the existing project
- at the end of implementation (***terminal***), providing guidance for the planning of new projects
- several years after the completion of a project (***ex post***).

(ii) Focus

Evaluations broadly focus on issues of the impact of the project and its relevance, its efficiency and the coherence of project design. The specific criteria used for evaluation purposes vary between evaluation teams. Many donor agencies prepare their own checklists to guide the focus of evaluation studies.

(iii) Responsibility

Evaluations are usually led by people external to the project management (for example, from relevant ministries, central government, funding body or donor agency). If members of the implementing agency also participate, the evaluation process provides an opportunity for capacity building and institutional strengthening. An interdisciplinary team, including socio-economic and gender specialists, ensures the review of a project is comprehensive and balanced.

(iii) Checklist

Box 13: Checklist for Mid Term Evaluation

(i)	What did the project set out to achieve? Was the problem correctly identified? Were the project activities appropriate? Were the targets realistic?
(ii)	What were the expected linkages between outputs and purpose?
(iii)	What is the likelihood that the project purpose will be fulfilled? What would have happened in the absence of the project?
(iv)	Is the project purpose still relevant? Are there other ways in which the same purpose could be achieved? Would they be more appropriate? Would they be more cost effective?
(v)	What are the indications about the likely achievement of the project goal? Are the project benefits sustainable?
(vi)	Who were the intended beneficiaries of the project? How were they to benefit? Did the project address practical or strategic gender needs?
(vii)	Were there any unexpected outputs or beneficiaries?
(viii)	Were the assumptions identified in the logical framework relevant? Have any killer assumptions emerged? Have any new risks appeared?
(ix)	Identify the lessons learnt for the future design of similar projects.

Case Study D: Review of Project Purpose and Goal

The project purpose was to improve the community's response to health messages, with the overall goal of improving the standard of living of the community.

The evaluation questioned the original design of the project and considered the following points:

- *was an improvement in adult literacy rates and the distribution of health leaflets the most appropriate way to improve the community's response to health messages?*
- *was an improvement in the community's response to health messages the most appropriate way to improve the standard of living?*
- *would the project benefits be sustainable?*

Thus evaluation adopts a strategic perspective, identifying lessons to be learnt which would be useful for the design of future projects.

7.3 Procedure for Monitoring and Evaluation

The process involved in collecting, analysing and comparing information on the project from its beginning to its end, form the basis of monitoring and evaluation.

The information obtained comes in two forms:

- Secondary data, which can be defined as information that is not specifically produced for the purposed of doing the monitoring and evaluation, but which has direct and indirect links with the project. It is used first and foremost to help us understand why the project is being done (goal, objectives) ; what form its inputs (investments) have taken; how it is being carried out (activities); and what its results are (outcomes). The main sources for this type of information are official documents such as country development sector plans, sociological and demographic research, reference documents for the project, activity reports, situation analysis, etc.
- Primary data, on the other hand, is information collected specifically for the purpose of monitoring and evaluating the project. It is collected from all of the stakeholders directly and indirectly involved (both positively and negatively) in the project. These data are collected by using tools such as direct observation, interviews, meetings, etc.
- Primary data are by nature more statistical and quantative, even if there are always some qualitative aspects present. They reflect the situation at a specific point in time. Secondary data are more dynamic and allow qualitative insights to be gained. But both are vital sources of information.

(i) Review of secondary data and identification of information needs

The framework for the enquiry is shaped by the project design. Much of the information generated during project design and preparation is relevant.

For project monitoring, for example:

- ***logical framework***: the lower half of the framework sets out the activities and outputs; the OVIs and MOV identify the indicators; and the assumptions note possible threats to the project

- ***work plans***: present the proposed timing, duration and linkages of project activities; the activities on the critical path; and personnel requirements
- ***cash flow***: forecasts project revenues and expenditures
- ***stakeholder participation***: identifies the various ways in which stakeholders are expected to participate in the project and the changes brought about in terms of real participation achieved by the project, that can be measured against the expected outcomes, established during the design phase of the project.
- ***gender analysis and Gender Analysis Matrix***: identifies the expected impacts of the project on women, men and other members of the community in terms of workloads, access and control over resources and benefits, and the influence of socio-cultural factors.

For evaluation purposes, attention is also paid to:

- ***logical framework***: the upper half sets out project purpose and goal
- ***financial appraisal***: the expected Net Present Value at the test discount rate, Internal Rate of Return of the project, and sensitivity analysis
- ***social appraisal***: congruence between stakeholders' interests and the project, the project's poverty perspective, and the contribution of social organisation
- ***social Cost Benefit Analysis***: social costs and benefits of the project.

In order to make a meaningful interpretation of progress towards achieving the targets set out in the logical framework, it is necessary to refer to ***baseline data*** collected at the outset of the project.

Together, this information provides a basis for the following:

- a comparison of actual versus expected outcomes
- preliminary identification of factors explaining any differences between actual and expected events
- identification of further information required
- preliminary identification of opportunities for corrective action to improve project design and implementation.

Monitoring and evaluation forms provide a format for conducting the review of secondary data, focusing on:

- ***what were the original targets of the project?***
- ***what progress has been achieved to date?***
- ***what factors help explain any differences between targets and actual performance?***
- ***recommendations for corrective action.***

From this review, it is possible to identify information gaps and potential sources of information. In addition to filling in the gaps, primary data collection often focuses on qualitative aspects of the project and on the linkages between output, purpose and goal.

Case Study D: Secondary Data

The evaluation team reviewed the logical framework, the cash flow of budgeted and actual revenues and expenditure, and attendance records at the literacy classes for instructors and learners. Project documentation was incomplete and the information available was quantitative, failing to capture any qualitative aspects of the project.

(ii) Collection of primary data

The manner in which primary data are collected depends on the nature of the project, the information gaps identified, and sources of information to be consulted. The process of data collection, particularly with regard to impact assessment, should facilitate participation by a cross section of stakeholders. Several of the SEAGA tools are appropriate.

Case Study D: Primary Data

On the basis of the review of secondary data, the evaluation team identified the groups they wished to meet during their field visit. Information collection techniques included semi-structured interviews, participant observation and focus group discussions.

(iii) Findings and recommendations

The information from the fieldwork is incorporated into the monitoring and evaluation forms, together with the findings from the secondary data. Identifying causes of differences between actual and expected targets concludes the process, and making recommendations that would improve project design and performance.

Case Study D

Example of Evaluating a Project Promoting Health Messages

D1 Background to Project

When considering how to improve living conditions in the area, the District administration identified poor health as one of the major barriers to local development. The administration wanted to promote simple health messages through a poster and leaflet campaign. However, literacy rates were low, with only 50% men and 30% women being able to read simple messages. Thus, the administration undertook a three-year project to improve adult literacy and to disseminate health messages.

The project, operating in 10 villages in the District in the first phase, commenced in 1997 and finished at the end of 1999. The villages were agricultural communities, mainly producing food for home consumption and some crops (principally coffee) for sale. Most households relied on firewood for cooking which was collected from local forests. Only half of the households had access to pit latrines and less than one fifth used bed nets to protect themselves from mosquitoes. Attendance at health clinics was poor with only 40% of children immunised against polio.

Health leaflets were available in English from the Ministry of Health. Although the language of secondary education and administration was English, the local language was widely used at village level. The leaflets had to be translated into the local language and distributed throughout the project area.

The District administration had no previous experience of designing and delivering adult literacy projects. Initially instructors were appointed by the administration but, as the project progressed, several communities identified their own instructors. A grant of FM 2500 was secured and it was expected that the communities would make modest cash contributions towards the equipment and facilitation costs for the instructors. Communities were also responsible for providing teaching venues.

The administration found it difficult to monitor progress during project implementation. Record keeping, focusing on the collection of quantitative data, was intermittent. There was little attempt to interpret the findings.

The administration was uncertain whether to proceed to the second phase of the project in which activities would be extended to other parts of the District during the period 2000 – 02. It was considered timely to conduct an evaluation; addressing questions about both project design and project delivery. An evaluation team was formed in late 1999 with members drawn from senior administration, an NGO specialising in adult literacy, and village instructors.

D2 Review of Secondary Data and Identification of Information Needs

The team commenced by reviewing the existing information about the project:

- logical framework for phase I of the project (Table D1)
- project financial records for phase I (Table D2)
- attendance records of instructors and learners (Table D3).

The team summarised the information on evaluation forms (Table D4).

Table D1: Logical Framework for Project Promoting Health Messages (Phase I)

Project Structure	Objectively Verifiable Indicators	Means of Verification	Important Assumptions
Goal Living conditions in District improved	By 2003: ❖ 30% increase in houses with iron sheet roofs ❖ rate of migration from District reduced by 15% ❖ incidence of basic illnesses decreased by 20%	District records	
Purpose Community response to District health messages increased	By 2000, % of households in project area following recommended practices: ❖ 90% boil drinking water ❖ 80% dispose of human waste in pit latrines ❖ 95% children immunised against polio ❖ 60% use mosquito bed nets	District records Field visits	❖ normal weather ❖ markets available for agricultural produce ❖ basic health services available ❖ other services in District improved ❖ employment opportunities in District
Outputs 1. Literacy rates in community increased 2. Leaflets readily available throughout project area	1. % of project population able to read and understand simple information: ❖ by 1998, 40% women; 60% men ❖ by 1999, 65% women, 80% men 2. % of population in project area who have read leaflets: ❖ by 1998, 30% women, 45% men ❖ by 1999, 60% women, 70% men	Literacy class records Records at distribution points	❖ people have access to leaflets ❖ community perceives health messages to be relevant ❖ community has resources to respond to health messages ❖ District is able to support local initiatives to follow up health messages
Activities 1. Literacy classes held at village level 2.1 Health leaflets translated to local language 2.2 Leaflets distributed throughout project area	1. Literacy classes: ❖ classes held in 10 villages in project area for three years ❖ classes meet twice a week ❖ each class attended by 40 learners (at least 75% women) ❖ 60% learners achieve elementary literacy standard ❖ 2 instructors per class (at least one woman) 2.1 Leaflets translated in 1997 2.2 2000 leaflets distributed in project area in 1998	Literacy class records District records	❖ people interested in becoming literate ❖ people willing and able to attend classes ❖ instructors available and have relevant skills ❖ instructors well motivated ❖ training venues available ❖ communities make financial contributions ❖ effective channel for distributing leaflets to project area ❖ suitable places for displaying leaflets identified

Table D2: Cash Flow (Phase I)

	1997		1998		1999	
	budget	actual	budget	actual	budget	actual
Revenue						
grant	1500	500	0	500	0	0
community contributions	250	50	250	100	250	150
administration contributions	250	500	250	100	250	100
Total revenue	2000	1050	500	700	500	250
Expenditure						
teaching equipment	200	160	0	40	0	0
instructor allowances	500	400	500	800	500	560
translating leaflets	20	0	0	40	0	0
printing leaflets	50	0	0	60	0	0
distributing leaflets	0	0	0	0	0	30
Total expenditure	770	560	500	940	500	590
Annual cash flow	1230	490	0	-240	0	-340
Balance brought forward	0	0	1230	490	1230	250
Closing balance	**1230**	**490**	**1230**	**250**	**1230**	**-90**

Notes to cash flow

1. *Grant payment reduced and paid in two parts: FM 500 in 1997 and FM 500 in 1998*
2. *Annual community contributions budgeted at rate of FM 250*
3. *Annual District administration contribution budgeted at rate of FM 250*
4. *District administration made an additional contribution to project in 1997 to offset shortfall in grant but contribution fell to FM 100 in subsequent two years*
5. *Teaching equipment purchased for each new group at cost of FM 10 per group*
6. *Instructor facilitation allowance budgeted at rate of FM 25 per instructor per annum; allowance increased to FM 40 per instructor per annum in 1998*
7. *Translation of leaflets delayed due to cash shortfall in 1997*
8. *No provision in budget for cost of distributing leaflets*

Table D3: Attendance Records

	Learners			Instructors			
	no of classes	no of learners	average no of learners/class	no of women	no of men	total no of instructors	women as % of total
1997	8	288	36	3	13	16	19
1998	10	300	30	8	12	20	40
1999	7	266	38	10	4	14	71

Table D4: Evaluation Forms

Activities	Targets (OVIs)	Progress to Date	Comments	Recommendations
1. Literacy classes held at village level	1. Literacy classes: ❖ classes held in 10 villages in project area for three years ❖ classes meet twice a week ❖ each class attended by 40 learners (at least 75% women) ❖ 60% learners achieve elementary literacy standard ❖ 2 instructors per class (at least one woman)	**No of classes and learners:** classes / learners / average/class 1997: 8 / 288 / 36 1998: 10 / 300 / 30 1999: 7 / 266 / 38 **No of instructors:** women / men / total 1997: 3 / 13 / 16 1998: 8 / 12 / 20 1999: 10 / 4 / 14	❖ administration unable to appoint instructors for all classes in 1997 ❖ communities subsequently appointed their own instructors in 1998 ❖ three classes closed in 1999 ❖ number of learners per class fell in second year but rose in 1999 ❖ proportion of women instructors increased from 19% total in 1997 to 71% total in 1999	
2.1 Health leaflets translated to local language 2.2 Leaflets distributed throughout project area	2.1 Leaflets translated in 1997 2.2 2000 leaflets distributed in project area in 1998	❖ leaflets translated in 1998; costs increased from FM 20 to FM 40 ❖ leaflets distributed in 1999	❖ translation to local language delayed due to shortfall in grant ❖ no provision in original budget for distribution costs	
Outputs	**Targets (OVIs)**	**Progress to Date**	**Comments**	**Recommendations**
1. Literacy rates in community increased	1. % of project population able to read and understand simple messages: ❖ by 1998, 40% women; 60% men ❖ by 1999, 65% women, 80% men	Position at outset of project: % of project population able to read and understand simple messages: 30% women and 50% men		
2. Leaflets readily available throughout project area	2. % of population in project area who have read leaflets: ❖ by 1998, 30% women, 45% men ❖ by 1999, 60% women, 70% men	No further information available		

Table D4: Evaluation Forms (continued)

Purpose	Targets (OVIs)	Progress to Date	Comments	Recommendations
Community response to District health messages increased	By 2000, % of households in project area following recommended practices: ❖ 90% boil drinking water ❖ 80% dispose of human waste in pit latrines ❖ 95% children immunised against polio ❖ 60% use mosquito bed nets	Position at outset of project: ❖ % boiling drinking water: not known ❖ 50% had access to pit latrines ❖ 40% children immunised against polio ❖ less than 20% use mosquito bed nets No further information available		
Goal	**Targets (OVIs)**	**Progress to Date**	**Comments**	**Recommendations**
Living conditions in District improved	By 2003: ❖ 30% increase in houses with iron sheet roofs ❖ rate of migration from District reduced by 15% ❖ incidence of basic illnesses decreased by 20%	No baseline data available		

On reviewing the secondary data, the team concluded that the project had been moderately successful in terms of achieving some of its basic activities: classes were running in seven (rather than 10) villages; health leaflets had been translated and distributed. However, there were substantial gaps in the secondary data set that prevented detailed interpretation. For example:

- information about the learners was not disaggregated by sex, age, etc.
- there was no indication about the level of competency attained by the learners
- there was no information about the number of leaflets distributed and the distribution points
- baseline data were incomplete so it was difficult to determine what progress had been made towards achieving the purpose and the goal.

More importantly, with the exception of the footnotes to the financial records, there was no information which helped explain why certain events had, or had not, taken place. The evaluation team agreed that a field visit to the project area was essential.

D3 Collection of Primary Data

The evaluation team identified the following groups they wished to meet during their visit to the project area:

- instructors: male, female and those who had stopped instructing
- learners: women, men, non-learners and dropouts
- general public to discuss health leaflets

(i) Literacy classes

The meetings with instructors and learners were conducted as semi-structured interviews, guided by checklists of key questions. The findings are presented in Boxes D1 and D2. In addition, the team spent some time observing literacy classes and their notes are recorded in Box D3.

Box D1: Notes from Meetings with Instructors

How were the instructors appointed?
- most of instructors were initially appointed by District administration; their main motivation was to gain some skills which could be useful for future employment
- several of early instructors left and were replaced by instructors selected by community
- many female instructors had a sense of community service

What was their background (in terms of teaching skills and experience)?
- most instructors had left secondary school when they were at least 16 years old
- few had any formal training in literacy instruction; one or two were primary school teachers
- four male and two female instructors attended an instructor training programme

What was their assessment of the literacy classes – strengths?
- learners were well motivated
- instructors felt empowered by their contribution to community development
- instructors were pleased when facilitation allowance increased in 1998

What was their assessment of the literacy classes – weaknesses?
- training materials for instructors only available in English but classes held in local language
- instructors disappointed that communities were unwilling or unable to make their full contribution to the project – both financially and in providing suitable training venues

Box D2: Notes from Meetings with Learners, Dropouts and Non-learners

How long had they been attending classes?
- most of the learners had been attending the classes since the classes had started

Why did they want to become literate?
- to read signposts and taxi/bus signs; to read and write letters; to keep records
- check on children's progress at school
- learners were keen to acquire more than basic literacy and numeracy skills, for example several women wanted to start income generating activities
- literacy was seen as a means to empowerment

What was their assessment of the literacy classes – strengths?
- some instructors were excellent: they made learning fun and developed other skills at the same time (e.g. sustainable farming methods, household hygiene practices)
- women learners enjoyed being taught by female instructors

What was their assessment of the literacy classes – weaknesses?
- training venues were often taken over for other community events
- methods of instruction were generally traditional with little opportunity for learners to participate
- most classes were held in the mornings but that coincided with farm work
- women found it difficult to attend during the busy season in farming, particularly weeding
- women found it difficult to attend when their children were ill
- some classes had closed because the instructors were not active
- several learners wished to have their new literacy skills recognised but no certification scheme was available
- members of community failed to recognise the new skills acquired by learners
- community unable to make full financial contribution to project
- no intermediate class to progress to once learners had mastered basic skills

Dropouts and Non-learners
- some would like to attend but had no-one at home to help with household tasks
- several men commented they were scared of failing in front of members of community
- some husbands were reluctant to let their wives attend classes
- teenage mothers (who were not allowed to return to secondary school after childbirth) were interested in helping with the classes

Box D3: Notes from Observation

- 50% learners were unable to afford note books
- attendance was higher in classes which integrated literacy training with other subjects, such as sustainable agriculture
- some instructors used music, dance and drama as a popular means of conveying health messages
- attendance registers at literacy classes were incomplete
- some of the instructors were not committed to their classes: they were concerned about the low level of remuneration (facilitation allowance) and some were seeking employment outside the District
- women learners found it difficult to contribute to class discussions: instructors did not appear to be sensitive to their interests and pace of learning
- women learners accounted for at least 80% of each class
- classes were often disrupted by babies and young children accompanying their mothers
- proportion of population in project area able to read and understand simple messages: 50% women and 60% men
- attendance at primary schools by both boys and girls had increased

(ii) Health messages

Focus group discussions were held, separately for women and men, to discuss the health leaflets. All 2000 leaflets had been distributed in 1999 to primary health care centres. Amongst the discussion groups, 60% women and 30% men had seen the leaflets but very few had actually read them (30% and 20% respectively).

Thus the discussion focused on whether leaflets represented the most effective way for the District administration to convey health messages to rural communities. It was noted that women were more likely than men to visit primary health care centres, particularly when accompanying children. However, women were generally less literate than men and may therefore not be aware of the importance of the leaflet. Moreover, if the response to the health message required household expenditure (for example, to construct a pit latrine), men usually made this decision.

Alternative strategies were considered. In one village there was a very active health worker and basic health practices at the household level had improved markedly. The polio immunisation campaign administered through the local schools had also proved a very effective way of reaching many children (70% were immunised against polio).

(iii) Purpose and goal

The evaluation team had access to District records to review progress towards achieving the project purpose and goal:

- 30% households boiled drinking water; many households complained about fuel wood shortages and the expense of charcoal
- 60% of households in project area disposed of human waste in pit latrines
- 5% increase in houses with iron sheet roofs
- rate of migration from District reduced by 5%
- incidence of basic illnesses decreased by 5%

There was no formal record about the use of mosquito bed nets but local shopkeepers reported there had been little interest in purchasing bed nets.

The general state of the economy had not provided much stimulus for economic growth. Coffee prices, the principal source of cash, had been low. Many people in the rural areas had little spare income to invest in improved housing or other facilities. The traditional response by rural youth to migrate to the regional centre was also not popular since urban areas were also depressed.

D4 Review of Primary Data

On the completion of the fieldwork, the evaluation team completed the evaluation forms (Table D5). They paid particular attention to identifying reasons for differences between targets and actual results. In the final column they noted recommendations that would be useful if the administration wished to proceed to the second stage of the project.

Table D5: Evaluation Forms

Activities	Targets (OVIs)	Progress to Date	Comments	Recommendations
1. Literacy classes held at village level	1. Literacy classes: ❖ classes held in 10 villages in project area for three years ❖ classes meet twice a week ❖ each class attended by 40 learners (at least 75% women) ❖ 60% learners achieve elementary literacy standard ❖ 2 instructors per class (at least one woman)	**No of classes and learners:** classes / learners / av/class 1997: 8 / 288 / 36 1998: 10 / 300 / 30 1999: 7 / 266 / 38 **No of instructors:** women / men / total 1997: 3 / 13 / 16 1998: 8 / 12 / 20 1999: 10 / 4 / 14	❖ administration unable to appoint instructors for all classes in 1997 ❖ communities subsequently appointed own instructors ❖ many female instructors had sense of community service ❖ three classes closed in 1999 ❖ number of learners per class fell in second year but rose in 1999 ❖ proportion of women learners always more than 80% per class ❖ proportion of women instructors increased from 19% total in 1997 to 71% total in 1999 ❖ literacy classes frustrated by: lack of trained instructors, poor teaching methods, materials only available in English, training venues not always available, communities unwilling or unable to make financial contributions, timing of classes in mornings ❖ motivation of learners frustrated by: lack of recognition of their new skills by rest of community, lack of integration of literacy with other topics of interest, traditional mode of instruction, lack of support from other family members, lack of attention to needs of women learners ❖ no certification scheme available with which to judge standard reached by learners	❖ communities to participate in identifying instructors ❖ provide instructor training ❖ instructor training to include aspects of gender sensitisation ❖ provide training materials in local language ❖ encourage community contributions in kind: appropriate training venue, note books for learners ❖ ensure timing of class is convenient for both instructor and learners ❖ adopt style of teaching suited to adults: participatory, innovative ❖ integrate literacy teaching with other topics of interest (health, farming) ❖ sensitise community about importance of adult literacy and supporting learners (e.g. other family members helping with household tasks, child care) ❖ introduce certification scheme for learners ❖ introduce intermediate class for those who wish to develop their literacy skills further ❖ motivate instructors through appropriate means of remuneration (e.g. community recognition)

Activities (cont)	Targets (OVIs)	Progress to Date	Comments	Recommendations
2.1 Health leaflets translated to local language 2.2 Leaflets distributed throughout project area	2.1 Leaflets translated in 1997 2.2 2000 leaflets distributed in project area in 1998	❖ leaflets translated in 1998; costs increased from FM 20 to FM 40 ❖ leaflets distributed in 1999	❖ translation to local language delayed due to shortfall in grant ❖ no provision in original budget for distribution costs	❖ ensure cash disbursements are on time
Outputs	**Targets (OVIs)**	**Progress to Date**	**Comments**	**Recommendations**
1. Literacy rates in community increased 2. Health leaflets readily available throughout project area	1. % of project population able to read and understand simple messages: ❖ by 1998, 40% women; 60% men ❖ by 1999, 65% women, 80% men 2. % of population in project area who have read leaflets: ❖ by 1998, 30% women, 45% men ❖ by 1999, 60% women, 70% men	% of project population able to read and understand simple messages ❖ outset of project: 30% women and 50% men ❖ by 1999: 50% women and 60% men % of population in project area who have read leaflets: by 1999: 30% women and 20% men	❖ marked increase in women's ability to read and understand simple messages due to success of literacy scheme ❖ fewer men attended literacy classes, hence smaller improvement in their literacy rate ❖ leaflets distributed through primary health centres which were usually visited by women and children ❖ many more people had seen leaflets than had read them	❖ identify distribution points which would be more accessible to the total population (women and men)

Table D5: Evaluation Forms (continued)

Purpose	Targets (OVIs)	Progress to Date	Comments	Recommendations
Community response to District health messages increased	By 2000, % of households in project area following recommended practices: ❖ 90% boil drinking water ❖ 80% dispose of human waste in pit latrines ❖ 95% children immunised against polio ❖ 60% use mosquito bed nets	Position at outset of project: ❖ % boiling drinking water: not known ❖ 50% had access to pit latrines ❖ 40% children immunised against polio ❖ less than 20% use mosquito bed nets Position at end of 1999: ❖ 35% boiling drinking water ❖ 60% had access to pit latrines ❖ 70% children immunised against polio ❖ less than 20% use mosquito bed nets	❖ some progress made towards project purpose ❖ most success with respect to polio immunisation (school campaign, no costs involved other than time) ❖ other progress largely constrained by financial implications (pit latrines and bed nets) or fuel wood shortages	❖ weak linkage between project activities and project purpose ❖ indicators could be targeted more appropriately (e.g. children's attendance at primary schools)
Goal	**Targets (OVIs)**	**Progress to Date**	**Comments**	**Recommendations**
Living conditions in District improved	By 2003: ❖ 30% increase in houses with iron sheet roofs ❖ rate of migration from District reduced by 15% ❖ incidence of basic illnesses decreased by 20%	Position at end of 1999: ❖ 5% increase in houses with iron sheet roofs ❖ rate of migration from District reduced by 5% ❖ incidence of basic illnesses decreased by 5%	❖ modest progress made towards project goal, although still three years to achieve targets ❖ most progress with regard to reduction in rate of migration, helped by lack of employment opportunities in urban areas rather than success of project ❖ limited achievement of project purpose partly accounted for small reduction in basic illnesses ❖ shortage of cash income resulted in low growth in iron sheet roofs	

D5 Findings and Recommendations

(i) Project identification and design

The original project was identified and designed by the District administration with little consultation at the community level. As a consequence, project activities were loosely linked to the project purpose, suggesting that the original design was weak. Moreover, many of the assumptions noted in the logical framework failed to hold true and acted as killing factors during project implementation.

(ii) Project implementation

Project performance during implementation was noted in the evaluation forms. Clearly there was a lot of interest among the community in developing their literacy skills. Attention focused on identifying the causes of any differences between target and actual performance. Recommendations were made to guide the second stage of the project if the administration wished to continue with the literacy activities.

(iii) Project purpose and goal

Given the progress achieved at the end of the first phase of the project, it was unlikely that the project purpose would be fulfilled. In part this was attributed to inappropriate project design: promoting adult literacy and distributing health information leaflets was not the most appropriate way in which to improve response to health messages amongst a semi-literate community. For example, more suitable approaches include training community health workers.

Whilst some progress had been made towards the project goal, this was largely independent of the project's achievements.

(iv) Socio-economic and gender analysis

By definition, the project was addressing the needs of the most disadvantaged members of the community. Women were the most enthusiastic learners and recognised that developing their literacy skills represented a means of empowerment. Community sensitisation and gender awareness training for instructors would facilitate women's participation, both as learners and as instructors. Special steps also need to be taken to enable illiterate men to participate, since they did not want to fail in front of other members of the community.

(v) Overall recommendation

If the District wished to proceed to the second phase of the project, it was recommended that the project should be divided into two parts. The first would focus on adult literacy and many recommendations were made during the evaluation process (see Table D5) which would enable the literacy component to function more effectively.

The second would concentrate on addressing the original project purpose. The District administration would have to work with the community to identify the reasons why there was little response to health messages and to identify appropriate ways to tackle the problem.

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SEAGA
Socio-Economic and Gender Analysis Programme

Gender and Development Service
Gender and Population Division
Sustainable Development Department

Food and Agriculture Organization
of the United Nations
Viale delle Terme di Caracalla
00100 Rome, Italy

Tel.: (+39) 06 5705 6751
Fax: (+39) 06 5705 2004

E-mail: SEAGA@fao.org
Web site: http://www.fao.org/sd/SEAGA