Commonwealth Youth Programme

Diploma in Youth Development Work

Module 8

Project Planning, Monitoring and Evaluation

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The Commonwealth Youth Programme's Mission

CYP works to engage and empower young people (aged 15–29) to enhance their contribution to development. We do this in partnership with young people, governments and other key stakeholders.

Our mission is grounded within a rights-based approach, guided by the realities facing young people in the Commonwealth, and anchored in the belief that young people are:

• a force for peace, democracy, equality and good governance,
• a catalyst for global consensus building, and
• an essential resource for poverty eradication and sustainable development.

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Module contents

Module overview

Introduction

Welcome to Module 8 *Project Planning, Monitoring and Evaluation*.

Much of the work of youth development professionals is organised around specific projects. They may be small projects designed by yourself and relevant stakeholders to solve very specific problems that you and they face. Alternatively, they may be part of much larger projects run by major funding bodies.

Either way, project design and development is often expected to use certain techniques to ensure project quality. The aim of this module is to introduce you to the practices that have built up around the design and management of projects in the last few decades.

What is presented here will give you a general overview of project work. It has been written to help you develop the knowledge and skills necessary to plan, design, implement, monitor and evaluate projects in your youth in development programme. The processes described include:

1. deciding whether a project could address a particular issue or set of circumstances (Unit 1)

2. the identification and analysis the project's context, including the needs of a target group of people – the stakeholders who will benefit from the project and who will be affected by the project (Unit 2)

3. the drafting of a project design based upon situational analysis, problem identification and diagnosis. It includes the setting of objectives; a timetable for achieving those objectives; and the development of a logical framework for managing the project (Unit 3)

4. the writing of project documents, including proposals for accessing funding (Unit 4)

5. the organisation and implementation of project staff activities based on your documented project plans (Unit 5)

6. the monitoring and evaluating of projects in relation to your plans for project implementation; and following up the project using feedback and evaluation findings to ensure the sustainability of the project (Unit 6).

The module has been designed to include practical examples. You are expected to use the examples given in this module and apply them to your own context. There are activities throughout the module that are designed to help you with this.

Because students doing this course will be from many parts of the Commonwealth and from a wide variety of societies and situations,

the examples chosen may not be familiar to you. But bear in mind that the examples are only used to show underlying principles. You will need to make adjustments to be able to transfer these principles to your own situation.

Module learning outcomes

Learning outcomes are statements that tell you what knowledge and skills you will have when you have worked successfully through a module.

Knowledge

When you have worked through this module you should be able to:

● identify activities involved in project planning, monitoring and evaluation

● describe procedures of situational and stakeholder analysis

● outline the process of preparing a monitoring and evaluation procedure

● write a proposal for funding, including logframes.

Skills

When you have worked through this module you should be able to:

● identify activities involved in project planning, monitoring and evaluation

● conduct situational analysis

● conduct stakeholder analysis

● plan projects on the basis of a logical framework

● prepare a detailed project proposal with clear aims and objectives and realistic methods of achieving them

● write and present proposals for funding from different sources

● create systems for monitoring and evaluating projects.

About this module

Module 8 *Project Planning, Monitoring and Evaluation* is divided into six units:

Unit 1: Introduction to project planning

This unit gives an overview of the different tasks that are involved in the design, development and implementation of a project. It starts by defining what a project is and goes on to identify some of the stages and processes and also the kinds of people who might be involved.

Unit 2: Situational and stakeholder analysis

Unit 2 examines the tasks that surround the first steps in designing and developing a project plan. It looks at the methods known as situational and stakeholder analysis, and the various tools and techniques involved, including Participatory Rural Appraisal (PRA).

Unit 3: The logframe

While various methods of structuring project plans and documentation have been developed over the last decade or so, it has become increasingly clear that a method such as logframe analysis is crucial to ensuring that projects can be properly designed and implemented.

Unit 4: Preparing project proposals

This unit looks at the issues to consider in developing project documentation and how to develop a project proposal step-by-step. It stresses the importance of documentation, not only for planning but also to ensure successful implementation.

Unit 5: Organising for implementation

Here we examine the important area of how to organise a project for implementation. We discuss different project infrastructures and effective group structures. Unit 5 ends by discussing the important issue of personal accountability.

Unit 6: Monitoring and evaluation

Unit 6 explains the M&E process. It suggests guidelines and systems for effective problem-solving and ways to devise corrective measures when monitoring reveals discrepancies. This unit also explores the important area of evaluating projects and includes a step-by-step guide to the evaluation process.

This table shows which units cover the different module learning outcomes.

Module 8 Learning outcomes	1	2	3	4	5	6
Knowledge						
1 Identify activities involved in project planning, monitoring and evaluation.	x	x	x	x	x	x
2 Describe procedures of situational and stakeholder analysis.		x				
3 Outline the process of preparing a monitoring and evaluation procedure.					x	x
4 Write a proposal for funding, including logframes.			x	x		
Skills						
5 Conduct situational analysis.		x				
6 Conduct stakeholder analysis.		x				
7 Plan projects on the basis of a logical framework.			x			
8 Prepare a detailed project proposal with clear aims and objectives and realistic methods of achieving them.			x	x	x	
9 Write and present proposals for funding from different sources.				x		
10 Create systems for monitoring and evaluating projects.					x	x

Assessment

Each module is divided into a number of units. Each unit addresses some of the learning outcomes. You will be asked to complete various tasks so that you can demonstrate your competence in achieving the learning outcomes. The study guide will help you to succeed in your final assessment tasks.

Methods

Your work in this module will be assessed in the following three ways:

● a major research assignment of approximately 2,000 words (worth 50 per cent of the final mark)

● a review of the learning journal you keep (worth 20 per cent of the final mark).

● a written examination set by the institution in which you are enrolled for this Diploma programme (worth 30 per cent of the final mark). Some partner institutions may offer a further assignment instead of an examination.

You will also do activities throughout this module that will help you prepare for your major assignment, as well as for the final examination. You will find full details of the assignment at the end of the module.

Note: We recommend that you discuss the study and assessment requirements with your tutor before you begin work on the module. You may want to discuss such topics as:

● the learning activities you will undertake on your own

● the learning activities you will undertake as part of a group

● the evidence you will produce to prove that you have met the learning outcomes – for example, learning journal entries, or activities that prepare for the final assignment

● relating the assignment topics to your own context

● when to submit assignments and when you will get feedback.

Your learning journal

Educational research has shown that keeping a learning journal is a valuable strategy to help your learning development. It makes use of the important faculty of reflecting on your learning, which supports you in developing a critical understanding of it.

The journal is where you will record your thoughts and feelings as you are learning and where you will write your responses to the study guide activities. The journal is worth 20 per cent of the final assessment. For example, in Unit 2 when you learn about situational analysis, as you are doing the various activities note down what you think and feel about the tasks, in terms of the knowledge that you think you have gained or not gained, your emotions while doing the tasks, the relative difficulties of the activities prescribed, the usefulness of the activities, and so on.

Your responses to the self-help questions can also be recorded here if you wish, though you may use a separate note book if that seems more useful.

Throughout the module, you will be asked to analyse and record information that relates to your own context and the project that you might be designing. Your Learning Journal is the best place for you to do this.

Again, we recommend you discuss the learning journal requirements with your tutor before you begin work on the module.

Your project

As mentioned above, your entries into your learning journal will help contribute towards your tasks with regard to another on-going activity – the design and development of a project proposal of your own.

As someone who is studying this module, you are likely to be involved in youth development work of some sort. You are also likely to be someone whose skills or interests have led you to look at project planning from a professional perspective. Part of the aim of this module is to provide you with the skills and understanding to be able to plan a project of your own.

As you will see, many of the activities ask you to reflect on a project or a context with which you are familiar. In addition, these activities also ask you to gather information or draft pieces of documentation that relate to this project or context. It is very important that you undertake these with all seriousness, as the information will also contribute significantly towards your completion of this module's major research assignment, the development of a full project proposal of your own, worth 50 per cent.

Given this, you should select a project as soon as possible that you would like to develop. If you are working in this area already, you may have a project proposal that you need to design as part of your work. Alternatively, you may have identified a possible project, and would like to develop it for yourself. If so, these would be ideal choices.

However, if you are not currently working in youth development, then you will need to create a project context of your own. In the first instance, you can look around you at your everyday environment. Is there a potential project you could develop for your own school, college or neighbourhood youth? Also think – what are your own areas of interest? What do you think are the pressing needs of the young people that you know?

Before you decide on a final topic for a project proposal of your own, it is likely that you will need to talk through your ideas with someone who can offer advice. This might be someone at work, or it may be your tutor on this programme. However, the sooner you decide on your area of activity, the more focused your studies will be.

Self-test

Take a few minutes to try this self-test. If you think you already have some of the knowledge or skills covered by this module and answer 'Yes' to most of these questions, you may be able to apply for credits from your learning institution. Talk to your tutor about this.

Note: This is not the full challenge test to be held by your learning institution for 'Recognition of Prior Learning'.

Put a tick in the appropriate box in answer to the following questions:

	Yes	No	More or less
Are you involved in a daily basis, planning or evaluating a youth development project?			
Do you understand the different stages of project planning and implementation?			
Do you know how to prepare project proposals for funding?			
Can you conduct situational analysis to understand existing problems regarding youth development?			
Do you understand the process of stakeholder analysis?			
Can you conduct a stakeholder analysis?			
Can you write project objectives based on existing problems in youth development?			
Do you know how to develop learning activities in order to achieve project objectives?			
Do you know how to create systems for monitoring and evaluating the progress of projects?			
Can you develop appropriate methods for end evaluation of projects?			
Can you write project evaluation reports?			

Learning tips

You may not have studied by distance education before. Here are some guidelines to help you.

How long will it take?

It will probably take you a minimum of 70 hours to work through the study guide for this module. The time should be spent studying the module, doing the activities and self-help questions, completing the assessment tasks and studying the readings.

Note that units are not all the same length, so make sure that you plan and pace your work to give yourself time to complete all of them.

About the study guide

This study guide gives you a unit-by-unit guide to the module you are studying. Each unit includes information, case studies, activities, self-help questions and readings for you to complete. These are all designed to help you achieve the learning outcomes that are stated at the beginning of the module.

Activities, self-help questions and case studies

The activities, self-help questions and case studies are part of a planned distance education programme. They help you make your learning more active and effective, as you process and apply what you read. They will help you to engage with ideas and check your own understanding. It is vital that you take the time to complete them in the order that they occur in the study guide. Make sure that you write full answers to the activities, or take notes of any discussions.

We recommend that you write your answers in your learning journal and keep it with your study materials as a record of your work. You can refer to it whenever you need to remind yourself of what you have done. The activities may be reflective exercises designed to get you thinking about aspects of the subject matter, or they may be practical tasks to undertake on your own or with fellow students. Answers are not given for the activities. A time is suggested for each activity (for example, 'about 20 minutes'). This is just a guide. It does not include the time you will need to spend on any discussions or research involved.

The self-help questions are usually more specific and require a brief written response. The answers are given at the end of each unit. If you wish, you can also record your answers to the self-help questions in your learning journal, or you may use a separate notebook.

The case studies give examples, often drawn from real life, to apply the concepts in the study guide. Often the case studies are used as the basis for an activity or self-help question.

Readings

There is a section of Readings at the end of the study guide. These provide additional information or other viewpoints and relate to topics in the units. You are expected to read these.

There is a list of references at the end of each unit. This gives details about books that are referred to in the unit. It may give you ideas for further reading. You are not expected to read all the books on this list.

Please note: In a few cases full details of publications referred to in the module have not been provided, as we have been unable to confirm the details with the original authors.

There is a list of Further Reading at the end of each module. This includes books and articles referred to in the module and are suggestions for those who wish to explore topics further. You are encouraged to read as widely as possible during and after the course, but you are not expected to read all the books on this list. Module 4 also provides a list of useful websites.

Although there is no set requirement, you should aim to do some follow-up reading to get alternative viewpoints and approaches. We suggest you discuss this with your tutor. What is available to you in libraries? Are there other books of particular interest to you or your region? Can you use alternative resources, such as newspapers and the internet?

Unit summary

At the end of each unit there is a list of the main points. Use it to help you review your learning. Go back if you think you have not covered something properly.

Icons

In the margins of the *Study Guide,* you will find these icons that tell you what to do:

Self-help question

Answer the questions. Suggested answers are provided at the end of each unit.

Activity

Complete the activity. Activities are often used to encourage reflective learning and may involve a practical task. Answers are not provided.

Reading

Read as suggested.

Case study

Read these examples and complete any related self-help question or activity.

Studying at a distance

There are many advantages to studying by distance education – a full set of learning materials is provided, and you can study close to home in your own community. You can also plan some of your study time to fit in with other commitments, such as work or family.

However, there are also challenges. Learning away from your learning institution requires discipline and motivation. Here are some tips for studying at a distance.

1   **Plan** – Give priority to study sessions with your tutor and make sure you allow enough travel time to your meeting place. Make a study schedule and try to stick to it. Set specific days and times each week for study and keep them free of other activities. Make a note of the dates that your assessment pieces are due and plan for extra study time around those dates.

2   **Manage your time** – Set aside a reasonable amount of time each week for your study programme – but don't be too ambitious or you won't be able to keep up the pace. Work in productive blocks of time and include regular rests.

3   **Be organised** – Have your study materials organised in one place and keep your notes clearly labelled and sorted. Work through the topics in your study guide systematically and seek help for difficulties straight away. Never leave problems until later.

4   **Find a good place to study** – Most people need order and quiet to study effectively, so try to find a suitable place to do your work – preferably somewhere where you can leave your study materials set out ready until next time.

5   **Ask for help if you need it** – This is the most vital part of studying at a distance. No matter what the difficulty is, seek help from your tutor or fellow students straight away.

6   **Don't give up** – If you miss deadlines for assessment pieces, speak to your tutor – together you can work out what to do. Talking to other students can also make a difference to your study progress. Seeking help when you need it is a key way of making sure you complete your studies – so don't give up!

If you need help

If you have any difficulties with your studies, contact your local learning centre or your tutor, who will be able to help you.

Note: You will find more detailed information about learner support from your learning institution.

We wish you all the best with your studies.

Unit 1: Introduction to project planning

Unit introduction

Welcome to Unit 1 *Introduction to project planning*. The aim of this unit is to provide you with an introduction to the different tasks that are involved in the design, development and implementation of a youth development project.

We start by helping to define what a project is. We then go on to identify some of the different stages and processes involved in designing and developing a project, and also the kinds of people who might be involved. We cover each of these different elements in more detail in later units.

As you will see, the basic principles and practices behind project design apply to all kinds of projects – health, education, environmental – and not just youth projects. Because of this, we will be using examples that might not always apply directly to your own context. For example, you will be given an example of a rural, solar power project in Mali and will consider how this project might have been developed.

However, one of your tasks throughout this module is to reflect on how what we have covered might apply to your own needs and interests. This approach applies to this unit as well as all others.

Now, before we move on, read through the learning outcomes for this unit.

Unit learning outcomes

When you have worked through this unit, you should be able to:

- define what a project is
- explain the main principles of planning
- list some of the assumptions that support planning
- consider the different stages of project planning
- identify who should be involved in project planning.

What is a project?

Before we start talking about how to plan for a project, it is important to make sure we are all clear about what a 'project' actually is. As a youth development worker, you probably have got some ideas of your own. Think about your own context. Have you worked on a project before? How would you explain it to someone else?

Just quickly, think of your own definition of what a project is. Take five minutes to write down three or four sentences in your learning journal.

In English, the word 'project' is used for different purposes. It's worth thinking about the core meaning of the word in order to sharpen up your perception of what ought to be taking place when you are engaged in a project.

Chambers' *Twentieth Century Dictionary* suggests three definitions:

> '(i)… a projection; (ii)… a scheme of something to be done; (iii)… a proposal for an undertaking.'

Read through the three definitions. Which do you think are the most relevant to the idea of a youth development project? Which definitions match your own most closely?

In your own definition, you might have written about a project working with a group of people to help achieve a particular task.

More practically, a project can be defined as 'a planned undertaking of a set of inter-related activities to achieve specific outcomes, within a given time frame and a budget.' Projects are often unique and specific and non-repeating. The main characteristics of a development project are as follows:

A project:

- solves a real and existing problem

- brings about a specific development

- has well-defined start and end points

- requires resources: money, equipment, labour etc.

- is time-bound: it has a set time-frame.

It is important to avoid confusing the concept of a 'project' with that of a 'programme'. A project is usually a unique and independent activity with a particular target. It normally has a fixed budget and is time-bound – sometimes a few weeks, sometimes one or two years.

A programme is usually larger than a project. It can be an organised list of separate but related activities. A programme can sometimes be a group of related projects. It can also go on for many years.

Now, have a look at the task below. This will help you understand how to define a project.

Self-help question 1.1

(about 10 minutes)

Here are two brief descriptions of tasks. In each case, identify whether you think the task has the characteristics of a project by ticking the boxes. If you think the task does not have the characteristics of a project, say why not. Put your answers in the spaces provided.

Project 1 Planting vegetables as a source of income starting from now till the end of the year

	Yes	No
Is it a project?	☐	☐

Reasons

	Yes	No
● brings about a specific developmental change	☐	☐
● is time-bound	☐	☐
● has well-defined start and end points	☐	☐
● requires the use of resources	☐	☐
● resolves a real-life problem	☐	☐

Project 2 Improving attendance and participation in Youth Club activities

	Yes	No
Is it a project?	☐	☐

Reasons

	Yes	No
● brings about a specific developmental change	☐	☐
● is time-bound	☐	☐
● has well-defined start and end points	☐	☐
● requires the use of resources	☐	☐
● resolves a real-life problem	☐	☐

Compare your answers with those suggested at the end of the unit.

Projects in youth development work

Projects in development work are based on action to bring about situational change, to address development problems and to increase the capacity of poor people in less developed countries to control their own development.

As you know, youth development projects focus particularly on the needs and concerns of young people. They are often undertaken to provide young people with the skills and knowledge to tackle the problems they will encounter in their lives, and enable them to improve the quality of life for themselves and their families as they enter into adulthood.

The focus on youth development is growing rapidly around the Commonwealth. For example, Glenyss James, the Programme Manager in Youth Work Education and Training in the CYP Caribbean Centre, describes the situation there in the following way:

> 'The youth departments and youth workers embark on varied projects which include training in conflict resolution, HIV/AIDS, enterprise development, environmental issues, academic and skill upgrading programmes covering a wide range of interests.

> 'For example, in Barbados there is a youth service (Jamaica has one similar) where youths are provided with accommodation and meals and domestic facilities and have classes for academic upgrading or acquiring skills.

> 'There are also a number of enterprise projects in which the youth departments partner with Enterprise Agencies to provide assistance to young entrepreneurs. It's amazing the range of entrepreneur projects that are being developed in the Caribbean.

> 'Barbados' youth workers also do a lot of research which informs their programme planning. Belize has a programme addressing youths on the block, trying to work with criminals and unattached youths. In other countries youth workers have responsibility for the juvenile detention centres also.'

Activity 1.1

(about 10 minutes)

Read through again what Glenyss said. How many different areas of activity has she identified? List them in your learning journal. Which of them are of interest to you personally? Which of them are relevant to the context in which you are working?

Glenyss provided us with a general overview and does not specify how these programmes and projects are developed. There is, however,

an example of one of these project designs from the Caribbean, in Reading 1: 'Intensifying the impact of HIV/AIDS education and training in a natural environment setting' by Dominica Youth Environment Organization inc. (DYEO).

Turn to Reading 1: 'Intensifying the impact of HIV/AIDS education and training in a natural environment setting'. It is a proposal by Dominica Youth Environment Organisation Inc. (DYEO), to intensify HIV/AIDS education through a training for trainers project. Read through it quickly.

We will be using this document as an example of a project planning document. You will be asked to refer to different parts of it throughout this module, and to think about how it has been written. It will help provide you with a model for designing your own project proposal.

Also, when you have completed this module, you will be asked to evaluate how effectively DYEO has planned and constructed the project, and to identify what gaps you think still exist in the proposal (remember that it was still only a proposal when this was written). This will form part of your overall assessment.

In the next section, we consider why we should plan projects.

Why plan?

As described above, the Chambers' Dictionary definition describes a project as a scheme or plan for an undertaking. While planning is a basic human process and features as a normal part of our lives, project planning and designing are rather more complex processes than most everyday planning.

This is because they involve organising the expertise and objectives of a cross-section of very different people and resources into an agreed framework. These people are the ones who have a stake in bringing about the social and environmental development that the project is aiming at.

Activity 1.2

(about 5 minutes)

You have probably got some ideas of your own about why planning is necessary. Think about some of the advantages of planning for a project, whether in terms of organisation, activities, finances or resources. Write your ideas in your learning journal.

Unit 1

The advantages of good planning

Good planning provides many advantages:

- Planning lets you explore theoretically in advance the problems likely to be involved in putting project ideas into practice.

- A well-constructed plan enables you to estimate closely the resources you will need to achieve the project's goals.

- It significantly reduces the uncertainties associated with the project.

- The planning process generates detailed project documentation which supports the work of project implementers and monitors.

- A well-made plan indicates clearly how to organise the project.

- It provides a structure for determining how best to evaluate the success of a project.

Youth project planning in the contemporary context

The tradition of youth development projects has become slowly transformed in the modern context, as they have become absorbed into the contemporary culture of development planning.

One of the major motivations for the development of coherent and comprehensive project plans is that they are necessary in order to get the support of partners and donors in implementing your project.

The very large national and international agencies have become more involved in funding and directing projects, within the context of rapid global economic development and extreme economic inequality.

Because funding is often critical, agencies such as The World Bank, the UK Department for International Development, DanIDA, AusAID, Concern and CARE International have gradually increased pressure for programmes to become systematically organised and implemented, and very carefully monitored and evaluated.

To get some flavour of this approach, turn to Reading 2: 'CARE International: Programme Standards Framework' now. Spend about 10 minutes reading it.

CARE is an agency that is drawn from about fifteen countries. It is typical of the contemporary approach in having a 'vision' and a 'mission', and in making both a 'vision statement' and a 'mission statement'. Its six principles are again typical of the major funding agencies.

However, the most important parts of the statement from our point of view are the thirteen 'Project Standards', because any project in which you become involved in the future is likely to be driven by

similar requirements. There are various ways of fulfilling these requirements, and several different traditions have grown up, but the rest of this module will attempt to take you through the sorts of procedures that will enable you to meet these standards.

Activity 1.3

(about 25 minutes)

Look carefully at CARE's six Principles and thirteen Project Standards, and identify each of the key criteria that apply. Now review the DYEO project proposal in Reading 1: 'Intensifying the impact of HIV/AIDS education and training in a natural environment setting', using CARE's Principles and Project Standards to guide you.

For each of these, identify:

a) whether you feel the DYEO proposal fulfils each of CARE's requirements, and

b) how they have done so.

Write your answers in your learning journal.

In the next section, we go on to explore the implications that principles such as these have for the planning of youth development programmes.

Principles of planning

As you have already seen in the last section, there are many reasons why project planning is seen as a necessary process. In addition, you have seen how donor organisations such as CARE often expect project proposals to demonstrate how they adhere to certain developmental principles.

Activity 1.4

(about 15 minutes)

Look again at CARE's principles and project standards. Why do you think they have included them? Thinking about your own context, in what ways are such principles important or relevant to youth development work? Write down your ideas in your learning journal.

The implications for project planning

The guiding notions behind most of the principles advocated by organisations such as CARE are that of:

a)   relevance of projects to people's needs, and

b)   the inclusion and empowerment of those people.

If a project is going to have a genuine positive impact on the people it is designed to help, then those people need to have a key role in the design and implementation of that project. They should be involved at every stage, and their opinions need to be listened to.

Naturally, this includes the planning process.

The literature on planning and implementing youth development projects describes these basic principles:

● Youth development projects should be carefully adapted to suit the society, culture and conditions within which they operate: project planning and implementation should therefore be based on situational analysis.

● In the planning of projects, project teams should analyse and seek to meet the needs of the beneficiaries in the community, as well as the objectives of the rest of the stakeholders involved in the project; the success of projects depends on the degree to which such needs and objectives are met.

● Planning and implementing youth development projects should involve the local people as participants in identifying the underlying problems tackled by the project, and in determining what is needed to solve the problem.

Forming a committee/advisory group around the project team

The involvement of local people as an advisers' group or committee is an essential and practical, sometimes legal, requirement of the planning and implementation process.

These advisory groups tend to consist of individuals from all levels of society directly involved in the programme or project concerned.

They are typically individuals representing the youth group in the village, the local agriculture officer, the headman of the village, school teachers, head of the farming community, the foreman or supervisor of any commercial scale operation. The involvement of these people in the advisory group or committee is widely accepted for the following reasons.

● The involvement of people from the actual situations will result in better decisions, as compared with those made by a group of professionals alone, because local people are able to identify the critical problems they are facing in reality and not hypothetically.

● The involvement of local people of standing will speed up the process of educational change in the community through the spread of ideas and innovations to which they become exposed in the group meetings.

● The involvement of local people in the project committee enables the community to be better informed and prepared to face the process of change, and prepared for deciding on the kind of leadership and training they need.

Now turn to the account in Reading 3: 'The Banco Village Solar Energy Project' of a solar energy project in the West African country of Mali, run by Practical Small Projects of Brooklyn, New York. Take about five minutes to read it.

We will be using this project throughout this module to illustrate the various issues related to project design and development. It is not a youth development project. However, we would like you to identify the different processes that it illustrates, and consider how they might be applied to the context of youth development work

Activity 1.5

(about 15 minutes)

In Reading 3, the project is used to illustrate how the planning principles outlined above might work in practice.

Read through the summary description of the project again and consider the ways in which it adhered to the principles of situational analysis and stakeholder involvement outlined above. Write down your ideas in your learning journal.

When you have done this, read the analysis and consider whether it meets with your own ideas. Again, write down your thoughts in your learning journal.

The example described in Reading 3 gives only a very basic outline of the processes and practices of situational analysis and stakeholder involvement within development projects. However, we will go on to look at this crucial topic in more detail in Unit 2. We will also look at issues of organising stakeholders and establishing lines of communication and responsibility, in Unit 5.

Steps in developing projects

As you will remember from the examples given earlier in this unit by Glenyss James, projects can range from being very small designs (such as preparing a bit of rough ground at a youth centre for growing fresh vegetables) to very large ones (such as a region-wide literacy project, or an environmental reconstruction project).

Despite this range in size and scale, all projects require the same sort of logical analysis and structured implementation.

A logical process

When planning a project, it is essential to consider all the stages together. If one stage is set before considering how it relates to the other stages, it will almost certainly waste a lot of time and other resources in sorting out the problems that result. However, circumstances change and even the best project plans rarely work out exactly as hoped at the start; they need to be reviewed regularly and adapted to fit the reality of changing circumstances. At all times, representatives of the community where the project takes place must be active participants in this process.

You may have to make significant changes to an original plan. The term 'project cycle' is often used to represent the fundamental process of development projects, as shown below. Look at the diagram below – which do you think would be the first part of each cycle?
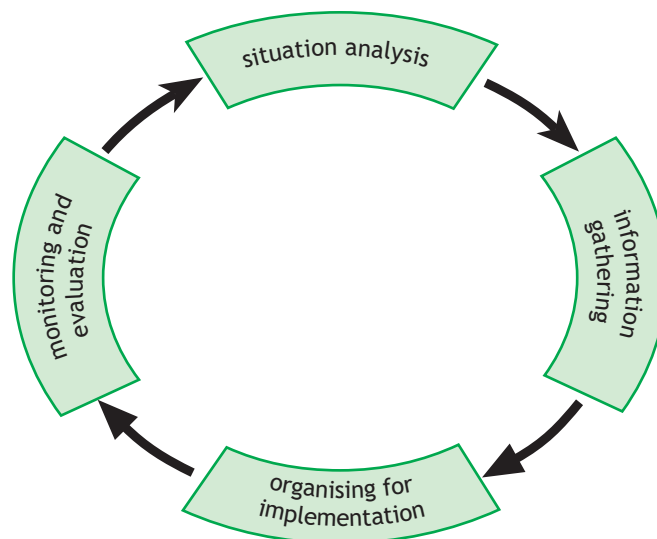
The project cycle

This image of the project cycle indicates a sequential relationship between the project stages, but it also suggests that each of the main processes is repeatable. So, while the project has to move forward to a conclusion, there should always be the capacity to renew any aspect of the process as necessary.

Initially, a project is likely to begin with an analysis of the situation and gathering of information. However, once the initial cycle is completed, then the line between each of the different stages becomes blurred: the monitoring and evaluation will contribute to information gathering, and the information gathering will help with the situational analysis.

Although they will overlap, it is important that the processes do not become confused. It is for this reason that there needs to be a clear plan of action in place.

The logical framework approach (LFA)

Various approaches have been developed for planning and designing projects, structured around a logical framework that will guide project implementation.

However, such frameworks need to be flexible, because of the tendency of many projects to need significant changes of approach once they are under way and the reality of the situation becomes clear.

The framework therefore needs to be finely balanced between flexibility and a clear, logical structure. Moreover, any guiding framework must enable the project to be monitored and adjusted throughout its life.

The framework we will mainly be describing is the logical framework approach (LFA). This type of framework is not always necessary for a project, and other, less precise models are in use, as you will see later. However, various forms of LFA are now in very widespread use. It is very likely that any project proposal will need to include an LFA as an outline.

You may remember seeing an example of a logframe in Reading 1 'Intensifying the impact of HIV/AIDS education and training in a natural environment setting' by DYEO. Have another look at it now.

Using the LFA

At this stage, you might find the table in Reading 1 rather daunting. It is true that logframes can be a little confusing at first. However, with some guidance and input, they can be extremely useful tools to help project planners and administrators outline their aims and objectives.

To summarise, the logical framework approach creates an analysis of problems by arranging them in order of importance. It also describes its objectives in tackling these problems. Then it generates a 'project strategy' by thorough analysis of the resources that are available for meeting these objectives.

So, the project proposal shows the objectives, the activities likely to achieve them, what are the expected results and what are the resources and conditions necessary for achieving them.

In this way, the logical framework approach also exposes the assumptions that are behind the project team's decisions about activities, location, timing and procurement of resources.

Alan Walsch (2000) says that the LFA is above all a flexible approach to project management, rather than a set of techniques. He describes it as 'an open set of tools' that project teams can use to create:

- a structured project design process (it generates a logical, linked sequence of activities)

- transparency (the framework exposes the exact nature of problems and what the project is expected to achieve and how)

- a high level of participation (it involves the stakeholders in the project's design and management from the start, in order to guarantee sustainability)

- a consistent project strategy (the LFA enables you to link causes with effects clearly; it requires you to take account of all the factors, inside and out of the project, that pose risks.

The LFA requires:

- objectively verifiable indicators (these create the basis for performance measurement and monitoring and evaluation)

- flexibility (the framework makes the underlying rationale and assumptions transparent: this enables you to revise your design and management approach in accord with changing conditions).

Learning how to use the LFA will be covered in Unit 3 *The logframe*. You will also have the chance to begin developing one of your own, as part of your task to develop your own project proposal.

Other documentation for project planning

As well as the LFA, there are a number of other documents that you will need to develop, both as part of the planning process and in order to design a full project proposal.

Activity 1.6

(about 10 minutes)

Look through the DYEO project proposal in 'Intensifying the impact of HIV/AIDS education and training in a natural environment setting' again, and identify the different items of documentation that are included in the overall project proposal. You should be able to identify about ten, relating to matters such as project staffing, finances, timing and so on. As you are going through it, write a list of the different items in your learning journal.

As you can see, there are numerous elements that you need to consider as part of your project planning and proposal development. They include such items as the rationale behind the project, the schedule of activities, the delivery methodology, the budget, the resources and so on. What others did you manage to identify?

Covering each of these items systematically helps guide the project planning process, and contributes to the development of full project proposals. We will be looking at some of these elements in Unit 4 *Preparing project proposals*.

Monitoring and evaluation

After the design and implementation of the various stages of project development, all stakeholders – the community, the project team, their partners, and the donors – will be keen to ensure that the project is working as effectively and efficiently as it can.

You will need to make sure that the project's objectives are being met, that it is operating on schedule, and that it is financially sound. In the case where one or other of these things are not happening, monitoring and evaluation are designed to help identify the problem and rectify the situation.

Like all other elements in the design of a project, the cycles for monitoring and evaluation need to be carefully planned. We will be looking at the issues to consider in doing this as part of Unit 6 *Monitoring and evaluation*.

Unit 1

Unit summary

In this unit, you have covered the following main points:

- the definition of a project

- the key principles behind project design

- the importance of planning and the reasons for it

- a logical framework model of planning

- other steps to consider in developing projects.

We hope you have found this introductory unit useful. It should have given you some sense of what to expect from the coming units. To check how you have got on, look back at the learning outcomes for this unit and see if you can now do them. When you have done this, look through your learning journal to remind yourself of what you have learned and the ideas you have generated.

Answers to self-help questions

Self-help question 1.1

Project 1 (vegetable planting) is a project because it has all the characteristics of projects, so you should have answered 'Yes' to all of the questions.

Project 2 (improving participation at Youth Club activities) is not a project because it does not meet all of the criteria. It does not have a set time-frame and is a long-term, flexible developmental goal. No specific development would result from its implementation and there is no stated situation or problem that it would solve. Probably, no specific resources would be required. However, this is not to say that it is not a worthwhile goal and successful projects could well stem from greater participation of this kind.

References

Walsch, A. (2000) *Reader, Introduction to the LFA*, German Foundation for International Development (DSE), Berlin

Unit 2: Situational and stakeholder analysis

Unit introduction

Welcome to Unit 2 *Situational and stakeholder analysis*. In this unit we are going to look at the various tasks surrounding the first steps in designing and developing a project plan. Before you can carry out any of the tasks that we introduced in Unit 1, you need to identify what your project is actually going to do.

This involves identifying the needs of the community you are working with; the circumstances under which the stakeholders are living; the kind of skills and resources they have; and their opinions about what might help them improve their situations. Stakeholders are all those people and groups who are in any way affected by the project. Understanding them and their needs, characteristics and motivations is critical to enabling the project to proceed.

In order to do this, we use methods known as situational and stakeholder analysis. This involves looking at the context of the project, and drawing out key pieces of information that will guide the design of the project.

There are various available methods of situational and stakeholder analysis and you will be introduced to several of them in this unit. However, the common element in all of them is that the process is meant to create the basis for a logical framework for establishing project goals and objectives, and for directing project activities.

Situational analysis, therefore, needs to be a systematic method of investigating and evaluating a problem situation in its social/environmental context. In addition, certain tools for stakeholder analysis, such as Participatory Rural Appraisal (PRA), are key ways of involving stakeholders in the design and development of their project plans.

We will start by looking at situational analysis, and then go on to cover stakeholder analysis and the various tools and techniques that are involved.

It may concern you that in this unit we tend to use rural examples to explore project method, whereas you may well be interested mainly in urban projects. However, the main aim is to show that the underlying principles of project activity are logical and systematic. The same principles can and should be applied in a wide variety of situations.

In all cases, try to think about the examples that are given and how you could apply the ideas to problems in your own community and society. There will be activities and reflective questions throughout the unit to help you do this.

Unit learning outcomes

When you have worked through this unit, you should be able to:

- define situational and stakeholder analysis

- conduct situational analysis

- conduct stakeholder analysis

- identify, investigate and analyse a project context

- identify a range of tools for data collection and analysis.

Situational analysis

The design of development projects requires thorough situational analysis for best results. This involves identifying all of the different factors defining your community or context that might impact on the design and development of a project. These might include:

- cultural factors

- geographic factors – location of project community

- communications

- financial and economic factors.

What others can you think of?

Activity 2.1

(about 20 minutes)

Turn again to Reading 1: 'Intensifying the impact of HIV/AIDS education and training in a natural environment setting' by Dominica Youth Environment Organization Inc (DYEO), which we looked at in Unit 1. Read through the relevant sections of the proposal.

Based on the information the document provides, what assumptions could you make about the situational context for the youth community they are working with? What circumstances and external factors can you identify? Note down your thoughts in your learning journal.

Clearly, there are many factors to be considered in looking at the overall situation for a project. You need to start by looking at the community and the cultural, social and economic factors that help to define it.

Unit 2

Activity 2.2

(about 20 minutes)

Bearing in mind what you have covered so far and the description you have written in Activity 2.1 of the circumstances facing the DYEO project stakeholders, think about a context of your own. Your context might be either based on:

- professional interest: the community or project you are working on at the moment

- personal interest: the community where you live

- previous interest: a community or project you have worked on in the past.

When you have selected the context you are going to work on, write a basic situational analysis, describing the circumstances and situation which will form the context of your project.

You can write your description in bullet points, or as a series of paragraphs. Write it in your learning journal, because it will be important to keep it for future reference.

Situational analysis in the contemporary context

As you might imagine, many donors and project funders expect project proposals to demonstrate that they have undertaken a situational analysis and factored in the findings to the overall design of the project.

For example, AusAID (Oct 2005) suggests four main analytical elements to guide the process of situational analysis:

1. problem analysis and the problem tree

2. stakeholder analysis

3. objectives analysis

4. selection of a preferred implementation strategy.

The agency stresses that the process is 'iterative', not 'linear', which means that parts of the process can be repeated where that is useful. The four elements should not be treated as a step-by-step formula: for example stakeholder analysis is usually ongoing throughout the design process.

AusAID stresses that all elements of the situational analysis process are in principle participatory and workshop based. This means that, ideally, all stakeholders are in some way involved in discussing and developing the project from very early in the process.

This is done in a workshop-based situation, where role-play and simulation, model-building and action-learning processes support the development of the project. This should always include at least the key stakeholders, along with the project team.

You will find an example of this in Reading 3: 'The Banco Village Solar Energy Project', which we looked at in Unit 1. The key stakeholders in the Mali project include, along with the core team, the PSP funding agency representatives, representatives of Ji Duma, and village leaders who have the ultimate responsibility for the welfare of the village and best understand the effects of the social and environmental factors. These probably included the headman, the head teacher and perhaps representatives of the school governors, householder representatives from different parts of the village, and local commercial and financial figures.

The advanced, technical, alternative-energy aspects of the design analysis are likely to have been the work of the project team only, but these would then have been explained to stakeholders in a consultation workshop. This consultation process would have enabled the team to test their theoretical ideas against the practical realities of the social and environmental situation, through discussing them with the key and primary stakeholders.

To end this section, here is a summary of the characteristics of situational analysis:

- It starts with a concern to change an undesirable situation

- It diagnoses what a piece of development requires

- It can be applied in any field where improvement is desired

- It collects and analyses all information pertaining to an issue or problem

- It is disciplined and scientific

- It brings the real world into focus for the implementer

- It gives prime importance to development work

- It offers a smooth transition from research to operation

- Facts and evidence are stressed

- It is part of project planning to make desirable changes

- Real, concrete results are observable

- It offers adaptability and flexibility

- Results from situational analysis are immediately applied to the specific situation where the analysis has been conducted.

In the next section, we look at an issue we have already touched on – stakeholder analysis. We will go on to look in more detail at the identification and involvement of stakeholders later in this unit.

Stakeholder analysis

Stakeholder analysis is an extremely important activity in project design, and it is particularly important for us as CYP development workers: don't forget that 'participation' is a key Commonwealth value, and involving stakeholders in a project requires that we analyse them, their motivations and capacity to be involved.

This process is vital if our central aim is mutual ownership of the project. We must provide the opportunity for those people who are in any way affected by the project to have their voices heard: that is also a basic human right.

Although this unit has so far concentrated mainly on situational analysis, it will already be clear that this is extremely difficult to do without the thorough involvement of stakeholders. Stakeholders are those people who are most affected by the problems addressed by the project. AusAid (Oct 2005) make this important point:

> 'For example, if it is likely that there are strong competing interests within or between stakeholder groups that may influence their input into the analysis of the development problem, then this should be known beforehand so that the problem analysis can ensure such divergent views and interests are appropriately 'captured' and factored into the analysis.'

What is stakeholder analysis?

A stakeholder analysis is a technique we use to identify and assess the power and importance and capacity to participate of the principal stakeholders that may significantly influence the success of a project. During this process, we assess their roles, their key interests, and the ways in which these interests affect a project's risks and likelihood of success. You need to identify the degree to which different stakeholders are prepared to co-operate, and incorporate your analysis of this in the project design by identifying the most appropriate forms of stakeholder participation.

What does 'stakeholder' mean?

A stakeholder is any individual, group, community or organisation related to your project, either because of being affected by it (positively or negatively), or by being able to influence the activity (positively or negatively). Generally, three types of stakeholders can be identified, namely: primary stakeholders, secondary stakeholders and key stakeholders.

Primary stakeholders

Primary stakeholders are those individuals and groups who are affected by the outcome of the project, either as beneficiaries (positively affected) or as dis-beneficiaries (negatively affected).

AusAID (27 Oct, 2005) makes a distinction between 'target groups' and 'final beneficiaries'. It defines target groups as those who will be directly positively affected by the activity of the project at Activity Outcome level, who may include staff from partner organisations. Final beneficiaries are people who benefit from the project in the long term at the level of the society or community at large, and these can include indirect beneficiaries, like the future generations of Mali's Banco Village.

Secondary stakeholders

These are all other individuals or organisations with a stake, interest or intermediary role in the project. For example, in an educational project for youth, secondary stakeholders might include local education supervisors, particular local schools and the Ministry of Education.

Key stakeholders

These are the people or agencies who can significantly influence or are important to the success of the project. They can be at local, regional or national levels, and will include any partner organisations. They can be the national or local governments. They can even be the governments and policies of neighbouring countries (as for example for any project working in Gaza, which would have to consider the possible intervention of the Israeli government). The analysis must investigate their roles, interests, their power and their ability to be involved in the project

It is important that you ensure that, as practicably as possible, all stakeholders are included in the process, as their participation, or lack of participation, may influence the success of your project.

Why do a stakeholder analysis

To sum up: a stakeholder analysis helps us to assess a project environment. It is the first step in building the relationships needed for the success of a participatory project. It provides a starting point, by establishing which groups to work with and by setting out an approach so that this can be achieved. Other benefits of a stakeholder analysis include:

- It can identify the interests of stakeholders in relation to the problems which the project is seeking to address.

- It can identify conflicts of interest between stakeholders, which could jeopardise funding.

- It can assess the capacity of different stakeholders to participate.

- It can help identify relations between stakeholders, which can be built upon, and may facilitate project cooperation and collaboration.

- It can help to assess the appropriate type of participation by different stakeholders, at successive stages of the project cycle.

In addition, when changes in the project situation reveal a different balance of stakeholder needs, repeating the stakeholder analysis allows you to change the priorities suggested by the initial analysis.

For example, look again at Reading 3: 'The Banco Village Solar Energy Project'. The stakeholder analysis might have begun with a survey of the needs of the householders to gain cheap and ready access to water, which is what the NGO, Ji Duma, had spent its time doing in the well-digging programme. This would have made all the villagers 'direct beneficiaries' of a subsistence-level project. However, the project probably became much more ambitious as the potential of the solar energy programme unfolded. The focus may then have shifted, from satisfying the need for water and energy for cooking, to the long term technical/commercial and educational development of the village. They realised that this was possible through extending the study and training time available through the use of solar powered lighting.

The villagers would now all be 'indirect beneficiaries' of a much more powerful, more sustainable project. The direct beneficiaries would be the children who are able to study for their yearly exams, and the solar energy technicians who are being trained in a very valuable production process and will be able to set up a commercial solar energy company.

Activity 2.3

(about 15 minutes)

There are two stages to this activity. Keep your ideas in your learning journal.

1   Look again at Reading 1: 'Intensifying the impact of HIV/AIDS education and training in a natural environment setting' by DYEO. List all the stakeholders that are mentioned, including the project team and the donor. Now organise them according to the three criteria mentioned above – primary, secondary and key stakeholders. Are there any other stakeholders that occur to you, who are not mentioned? This might include, for example, the participants' families – parents, grandparents, brothers and sisters. Are there any more you can think of?

2   Think about your own chosen context. You have undertaken a situational and problem analysis. Now identify who you think the different stakeholders are in your project. List the different people who might be affected and organise them into the three categories described above – are they primary, secondary or key stakeholders?

Next, we look at the process of undertaking a stakeholder analysis

The stakeholder analysis process

> 'In order to maximise the social and institutional benefits of the project and minimise its negative impacts, it is extremely important to develop a comprehensive picture of the interest groups, individuals and institutions connected to the environmental problem and project idea.' (in Walsch, 2000)

Problem situations are affected by important social structural issues, such as social class and caste relationships, and by economic and environmental factors. If you are going to solve the problems, you have to negotiate the actual behaviour of the human beings involved. Projects that don't take account of the perceptions and needs and influence of the main stakeholders will be unlikely to achieve their objectives in a sustainable way.

Stakeholder analysis has to be carried out systematically if the project is to solve the problem effectively. However, each situation requires its own specific method for doing this, as the groups of stakeholders involved can vary greatly from situation to situation. Walsch (2000) nevertheless identifies a general overall pattern to effective stakeholder analysis. He says that the process is best if it is a staged process, each stage requiring certain 'tools'.

1. Stage 1 involves five tasks:

    a) the identification of all the stakeholders who might be affected by the problem situation addressed by the project and/or who might themselves affect the project in some way

    b) the reviewing of the stakeholders identified, to check whether they are individuals, sub-groups or sectional groups whose specific interests should be identified separately

    c) listing those stakeholders whose views you must know in order to fully understand the problem situation

    d) identification of those stakeholders likely to be affected directly by the project, and those likely to be affected indirectly

    e) gender analysis: careful identification of the differences of roles and perspectives between men and women.

2. Stage 2 involves the categorisation of stakeholders in terms of specific criteria relevant to the problem situation. For example, some stakeholders, including some beneficiaries, will be active during the project in terms of taking part in the work of the project. Others may be passive beneficiaries only.

    Another category will be those who are simply affected by the work of the project, and they can be sub-categorised into those likely to be potential supporters and those likely to be potential opponents of the project.

Unit 2

3. Stage 3 is a detailed analysis of selected stakeholders. There are various ways of doing this: one method is to identify the characteristics of a group and the likely implications these characteristics have for the project. There are a number of tools that can be used to record the findings of such analyses.

Look now at Reading 5: 'Some examples of survey forms' for two examples of these.

4. Stage 4: Setting priorities. Within the project, the priority of activities must eventually be decided. It normally means that some of the stakeholders will benefit more from the project than others. However, a degree of consensus is crucial to the success of the project.

What matters is to concentrate on the core stakeholders – usually those that are the main holders of power in the situation – while creating conditions for the progressive stakeholders (those whose objectives are most favourable to the goals of the project) to flourish.

Consider the circumstances in Case study 2.1, below.

Case study 2.1

Stakeholder issues in the Nile Shendi project

The most serious problem in Northern Africa is probably the threat to its fragile soil. It is an area with low rainfall, sparse vegetation and thin soils, particularly along the southern edge of the Sahara. The project is the Shendi Village Extension scheme, which is trying to tackle the problems of desertification of agricultural land along the Nile, about 20 kilometres north of Khartoum. The Nile Province has very low, unreliable rainfall, so irrigation is widely used. After the 1984 drought, the situation became so bad that SOS Sahel International was set up, supported strongly by the Sudan government and local communities and funded by the EEC, Band Aid and the British Overseas Development Agency (ODA).

> 'Drought, desertification, resource degradation, low incomes and a declining quality of life are the key developmental issues in the area. The population and culture within this area is basically Arabic, and the religion is Muslim. Social and religious customs inhibit the free movement of women within society, and therefore mixing with the opposite gender. It is therefore not surprising that many projects working in this area have had difficulties in addressing women as a target group. Yet, the women here lack training and skills for resource management and need direct access to developmental processes.'

Source: Women and Natural Resource Management: a Manual for the Africa Region
(Commonwealth Secretariat, 1992, London).

In this case, the mature women are likely to be the most progressive stakeholders, because they stand to benefit most as the ones responsible for the children and home, for whom new skills and income potential are therefore significant.

But the most powerful are the mature men, and the project must be designed to satisfy the men's objectives in such a way as to facilitate the development of the mature women's skills and social organisation, but without alienating the men.

When the time comes to define the objectives, these have to be transparent and agreed upon by all stakeholders who will have to be able to see that, within limits, all their objectives can be satisfied. This will not always be possible of course, and the project team should consider in advance how to deal with any conflicts that arise.

Turn now to Reading 4: 'Tools for presenting stakeholder analysis.' You will see two examples of stakeholder analysis tools. The first is a diagram, and the second is a chart of information. They are filled with information that relates to the Nile Shendi Project. Look at them briefly now to get a sense of what they show, and keep the reading available for reference while you are covering the next few pages of study.

Of course the key stakeholders in the Shendi Village project are not represented either in the map or the matrix in Reading 4. And, for the project to have got off the ground and worked when it was up and running, Walsch's programme would have had to be applied to them.

Case study 2.1 (cont)

Stakeholder issues in the Nile Shendi project

The most directly important key stakeholders were the officials of SOS Sahel International, who would have made the decisions about which of the team's objectives and actions they would fund and support. They would have been the interface between the project and the Sudan government, the EEC, Band Aid and the then UK Overseas Development Agency (ODA).

The Sudan government will have been the major player in the project, and it would have been highly concerned that the project did not disadvantage or disturb any of the various ethnic and tribal groups in this politically sensitive area.

The local communities would have had to be brought on side and satisfied that they would not be disadvantaged by any advance made by the groups at the centre of the project or any of the changes brought about by the project.

The Islamic local community, led by the Imams and mosque committees, would have been very concerned that there should be no direct or indirect reinterpretation of the role of women as being centred in the family.

The nature of the power of these key stakeholders varies from control of funds to total political authority, and political/moral authority. The project team would have had to adapt what they did exactly to fit these broad requirements, and to stay within the boundaries of these throughout.

Activity 2.4

(about 10 minutes)

The issues identified in the Case study 2.1 are unique to this particular case. However, what do you think are some of the general issues that might arise among stakeholders in relation to youth development projects in particular? Draw on your own experience and write your ideas in your learning journal.

The secondary stakeholders may not have had the direct power to stop the project, but it would have been essential to bring as many of them as possible on side.

Case study 2.1 (cont)

Stakeholder issues in the Nile Shendi project

Secondary stakeholders would have included for example market traders who sell tree saplings, sellers of fuel of any kind, sellers of vegetables. The income of all of these might have been diminished by the development of new skills and activities in Shendi.

More important would have been groups with a social rivalry with Shendi, who might slowly have lost relative status as Shendi became wealthier.

Activity 2.5

(about 1 hour)

Using the models provided in Reading 4: 'Tools for presenting stakeholder analysis', conduct a detailed analysis of the stakeholders for your own project. Using the list of people you identified and categorised as primary stakeholders for your own project (in the second part of Activity 2.3), complete a stakeholder analysis matrix similar to the one in Reading 4. First make notes in your learning journal, then complete the table on a separate piece of paper.

In the next sections, we look in more detail at some of the tools and techniques we can use to approach stakeholders, gather data and record information.

Undertaking stakeholder and situational analysis

All that we have discussed in this section so far falls under the category of a 'survey of needs'. Carrying out a survey of needs means doing research to find out what the development and other needs of a community are. As we have emphasised, to do this you and your youth group need to consult and work with relevant members of the target community.

Three of the most significant groups involved in devising youth in development projects are:

- youth volunteer groups

- target / beneficiary groups

- opinion leaders in the community.

It is from these groups that you will get most of the information you need. To identify the needs of the community you must bring the three groups of people together and ask them the right questions. Here is an example of how it might be done.

Imagine that your youth group is to undertake the task of developing some feature of a rural settlement or village in an integrated manner. This task requires data on the development needs of the community so that reforms can be taken up in a series of planned action steps. You will establish what the development needs are through some form of action research, and you will carry out a survey of needs (sometimes called a 'needs diagnosis').

Reconnaissance

Having decided to undertake the project, you take your research group to the project location and seek out the opinion leaders in that community.

If the location is a village, then opinion leaders could include:

- the village council chairperson

- the village teacher

- the women's association secretary.

These might become the main people you talk to.

The other target groups could be:

- parents of children

- women

- youth

- farmers.

Before you enter the community

It is essential to set up the survey session first. You can do this by arranging a preliminary visit to the village or community. During this visit you could:

- introduce yourself to the leaders of the community

- introduce the proposed project and explain to the opinion leaders and some of the beneficiaries the reasons for it

- find out whether a clear and important set of needs exists

- gain acceptance for the survey and the proposed project

- obtain some community involvement in the exercise

- reassure the people that you will ensure appropriate youth worker behaviour

- clarify work boundaries, time frames, time commitments, resources required, etc.

In summary, you can initiate an understanding and begin to build a good relationship through the preliminary visit.

Doing the survey

Small groups of researchers will each have dialogues with between four and eight people in the community, perhaps in subgroups of two or three, during a day's visit to the project locality. Each group will collect enough ideas from these interviews to create a 'general plan' and a list of 'action steps'. Alternatively, you could use a 'needs analysis' instrument – that is, you could devise a research tool, such as a questionnaire, to get the information you need. The answers to the questions would be discussed and analysed in the group and appropriate action steps would be decided.

In the next section, we look at examples of survey tools to use in the community.

After you have designed the tools to gather the information you need from the target community, and circulated the questionnaire to respondents, your next task is to compile and analyse the data collected.

Collecting the data

A survey form should provide systematic and structured information so that the data you collect will be relevant and easy to analyse. Again, we will look at these in more detail later on.

Surveys, questionnaires and interviews

The World Bank Participation Sourcebook states that surveys, questionnaires and interviews are valuable when they are used to clarify and specify any development problems and objectives of a project, to plan project implementation strategies and to monitor or evaluate project participation.

They do this by narrowing the focus, through the use of precise questions in a fixed order and with narrow, predetermined limits for respondents. In this way, they can be a valuable aid to situation analysis.

You can use them to investigate what stakeholders see as the problems in the situation that the project needs to address, and which stakeholders are likely to support the project and which are not. They can therefore be a valuable aid to stakeholder analysis and can be incorporated into an LFA approach, or used on their own account.

Surveys

A survey is a list of precise questions designed to test a carefully thought out model of a situation. If you have already analysed the situation and constructed a well-structured view of what the situation is about, it should be reasonably easy to develop relevant questions to test what people think of the validity of your model.

However, questions need to be reliable as well as valid. In other words, the questions should be the sorts of questions that will mean the same thing to all the people who answer the survey. They will inevitably come up with a range of answers, but all of them will have been answering the same questions.

For this reason, surveys really need testing out until they are improved as much as possible in the time available. When you are happy that your questionnaire is reliable and valid, then you can use it to test what the subjects of the research think of your model of the situation.

Questionnaires

These are designed primarily to collect quantitative data. This means that you can test statistically the strength of people's views about any statement that you set out as a question. You can offer them a choice of answers that they can pick for each question. If you give them a large choice, that enables you to tie down the strength of their collective opinions fairly precisely, though it makes the questionnaire bulky and expensive.

The results should enable you to make reliable statements about what subjects think about specific points in your model of the situation. However, what will really interest you are the results across the full range of the questions, because that will tell you how generally valid people appear to think your model is.

Unit 2

Case study 2.2

Information gathering for the Mali Banco project

In the Mali Banco Village project (Reading 3: 'The Banco Village Solar Energy Project'), it might have been possible to test out by questionnaire what villagers really thought of the idea of spending the project's money on developing solar energy rather than digging wells. If the project directors had asked questions directly about this, they might have found that no one would tell the truth, so they would have had to work out a series of questions that indirectly tested the validity of any theory they had about what people really thought.

Then they could have found a representative group of people to give their questionnaire to (a number of women of certain age groups, a number of men of certain age groups and so on), then analysed the answers.

Interviews

Questionnaires can be answered without an interviewer present, but are frequently answered under the guidance of an interviewer. An interview or 'interview schedule' refers to a set of prepared questions. The same questions are then asked during a face-to-face interview conducted by the researcher. The questions are based on the aims of the interview.

Aims of an interview could be:

- to determine respondents' opinions about a topic

- to obtain evidence or information about a situation

- to seek data about the respondents' past experiences

- to complement data obtained from the questionnaires by answering the questions: 'How?' and 'Why?'

Here are some sample interview questions:

Sample interview questions

- What basic amenities are lacking in this locality?

- How many unemployed youths are there?

- What are the common diseases in the locality?

- Do you have difficulties in obtaining medical care?

- What improvements do you desire in the environment surrounding your homes and village?

- How many people in the village are literate?

- Are there any special problems faced by village women?

The research tools we have examined – surveys, questionnaires and interviews – all provide data you need for the situational analysis you have to do before undertaking a new project. They require travel and time scheduling to suit both the researcher and interviewee. In some situations, there may be delays, and travel may be costly, but personal contact – which is the key characteristic of an interview – offers significant advantages, and interviews in particular can provide very high quality information.

Self-help question 2.1

(about 20 minutes)

Look again at the sample interview questions above.

As we pointed out, these questions are the sort you might use in gathering opinions, attitudes and other data for a survey of needs.

Reflect on your own chosen project. Think about what information you might need to gather from the community members and develop a list of ten questions that you could ask. Record them in your learning journal.

Make sure the questions you devise seek out relevant and useful information and that they follow the guidelines for questionnaires outlined above. If you can, discuss these questions with your colleagues or fellow students.

Before reading on, compare your answers with those suggested at the end of the unit.

PRA – a key method of stakeholder and community investigation

There is a widely used and valuable method of conducting social research called Participatory Rural Appraisal (PRA). Much has been written about this tool, and we will endeavour to summarise the main points here and in the accompanying readings. In short, though, PRA asks two questions:

1. Can we try to see things the way other people see them?

2. Can we understand and recognise that other people may perceive things differently from us?

In other words, PRA directs you, the project designer, towards respecting community perceptions on development and incorporating them into your project.

Moreover, if the beneficiaries and others affected are involved in the project design from the beginning, they are more likely to:

● accept the development and your role in it

● participate enthusiastically in all phases of the project and maintain motivation

● willingly put time and energy into implementing it

● ensure that the project has maximum positive impact on the community or locality.

What is PRA?

As we said earlier, PRA stands for 'Participatory Rural Appraisal'. During the 1970s and 1980s, it was recognised by development practitioners that development projects in the countryside were suffering from outsiders failing to communicate adequately with the local people involved in rural development projects (World Bank, The World Bank Participation Sourcebook).

So practitioners in these areas developed a set of informal methods to collect and analyse the information necessary to run projects successfully by involving local people's expertise. This approach came to be called 'rapid rural appraisal'.

It has developed into PRA, a more sophisticated and growing body of methods, that lays emphasis on local knowledge and most importantly, is designed to enable local people to develop their own appraisal, analysis and planning methods in local development.

Development outsiders facilitate rather than lead this process of data collection and analysis. The approach is now used widely as an aspect of participatory methods, both in urban and rural settings: it is an approach for shared learning by local people and outside agents.

There are five key principles of PRA:

- **Participation**: optimal input from local people.

- **Teamwork**: an optimal blend of specialist and local expertise.

- **Flexibility**: the approach has to be fine-tuned to the specific context and the specific team members.

- **Optimal ignorance**: to save resources, PRA should gather just enough of the information necessary to formulate the project.

- **Triangulation**: because the data gathered is qualitative, then any material analysed should be gathered from at least three different sources, to ensure that it is valid and reliable.

Essentially, PRA is a rapid method of gathering in-depth information about the communities and localities in which development problems are located. In community development, long and time-consuming surveys are difficult and expensive. Besides, such surveys can sometimes take so long that the situation changes significantly before the results are available. So PRA is a 'short cut' to information gathering. Because it is less expensive and takes less time, it's particularly valuable as an action research technique.

How does PRA work?

PRA is people-driven. The people in the community being surveyed are heavily involved in deciding the nature of the development they require. Although PRA is a qualitative, as opposed to quantitative, approach to analysing specific local situations – it is still very systematic. This is how it works:

- The situation in the locality is analysed in partnership with the community members and the opinion leaders in the locality.

- From the analysis, development needs and approaches are developed in an ongoing participative way.

- These are then formalised into a general plan containing a series of action steps. In action these are frequently appraised once more, using a PRA approach.

When is it best to use PRA?

PRA usually involves a limited area of research focus, and is well suited to small-scale development involving limited investment. However, a large project can be tackled by combining a number of PRA operations.

For example, the World Bank investigated the basis for the Natural Resource Management Project in Burkina Faso (World Bank, 1994) by twenty PRA pilot operations, to determine which techniques best suited the project's resources, topic and location. This enabled the team to distil the best practices without having to construct blueprints for each of the twenty situations.

The approach led to a project based on a multi-level process in which communities constructed management plans for their natural resources with the help of multidisciplinary teams of technicians.

The approach began by awareness raising and building trust, then team and stakeholder diagnosis, community organisation and plan design. This was followed by local government implementation, participatory monitoring and evaluation.

Tools of PRA

The PRA process gathers data and exchanges ideas with the community. The approach has to be transparent. So the PRA structure begins with an initial open meeting, has a final meeting and then a follow-up meeting. In between the opening and final meetings, the tools used are:

- semi-structured interviews;
- focus group discussions;
- preference ranking;
- mapping and modelling;
- seasonal and historical diagramming.

In addition, because investigators can only see a limited number of community participants, they need to crosscheck their findings in some way to ensure that they are reliable and valid. As mentioned earlier, for this reason, the principle of 'triangulation' is normally used.

Turn now to Reading 6: 'PRA Tools' for an introduction to triangulation, and also to the five other tools listed above.

As you read, think about what using each tool would involve in a neighbourhood you are familiar with. For example, who would be involved, what would be realistic, what would be the advantages and disadvantages?

The PRA method

The effectiveness of PRA is affected by the amount of time available for:

1. the investigation
2. the report writing
3. the critical analysis of the data
4. arriving at conclusions
5. writing recommendations.

PRA typically involves a team working for two or three weeks in workshop discussions, analysis and fieldwork. A PRA that deals with only a few topics in a limited area normally takes between ten days

and four weeks, while a more ambitious PRA can take several months.

If team members require training, then an introductory workshop can take as long as five days. It is most effective to write reports after the fieldwork, based on the notes from PRA members.

While it is possible to combine PRA methods in various ways, depending on the situation, 'mapping' and 'modelling' are useful to begin with because they involve non-controversial information, create an overview of the locality and involve a lot of discussion and engagement in the work. They lead easily onto 'transect walks'. Social mapping can be very sensitive and therefore it may be difficult to get some of the information until relaxed relations and trust have been established.

'Preference ranking' is useful for opening up and focusing group interviews, and these lead easily to individual interviews exploring the reasons for participants' preferences. 'Seasonal and historical diagramming' give important perspectives on the locality.

Activity 2.6

(about 45 minutes)

Develop a time-line and seasonal calendar for your own community or family.

Remember, the seasonal calendar records cycles and patterns of repeated events; the time-line records significant individual events or occurrences.

To do this, you will need to talk to older people and record their memories of the most significant events. You will also need to discuss with friends, community members or family members, the important events or occurrences throughout each year.

If you are a member of a study or tutorial group, you might like to make a seasonal calendar based on the group's experiences during this course of study.

Problem analysis and the problem tree

The purpose of situational and stakeholder analysis is not just to provide you with an accurate picture of the circumstances affecting a community or a group of stakeholders. It also provides you with a means by which you are able to draw out the particular problems that affect that community and hinder its overall development. It is from this that you will be able to identify what issues your project needs to

address – whether they are specific issues or broad, community-wide ones.

The problems that are addressed by project development emerge from many sources: for example, from crises such as HIV/AIDS which develop suddenly and unexpectedly, from sudden political or economic change, from new developments in science and technology.

The projects themselves always require funding, for example from the Commonwealth Youth Programme or CARE International, and it's important that you consider carefully the perspectives and requirements of the relevant funding agencies before engaging in project design.

Turn now to Reading 7: 'Further information about ACIAR's principles and project standards.' It gives an overview of Australian funder ACIAR's concerns and expectations.

So, before you arrive at the problem analysis stage, it is likely that a broad overarching development problem or problems will already have been identified either locally or by another donor agency. For example, in the Mali project the general problem would most likely have been identified by the NGO, Ji Duma, who had been heavily involved in the region. Look again at that case (in Reading 3) and remind yourself of the major problem.

What you need to do is to draw the more specific problems out from these broad, over-arching problems. It is the more specific problems that your project is likely to be able to address.

One tool we can use for doing this is the 'problem tree'. We will look at this next.

The problem tree

The Communication Initiative defines the problem tree as follows:

> 'The problem tree is a visual problem-analysis tool that can be used by both field development staff and the community to specify and investigate the causes and effects of a problem and to highlight the relationships between them...

> 'It is '...a tool for the identification and analysis of the relevant causes of the main problems, which will later form the bases for formulating solutions and objectives for the communication strategy. A discussion of the causes can help to identify the segments of the community who are most affected and who should be specifically interested in participating in activities aimed at removing the causes of the problem. Remember that each cause of the problem is also a problem in its own right ...'

> 'As the name implies, this tool resembles a tree. The roots of the tree, in the lower part of the drawing, metaphorically represent the causes of the main problem. The tree trunk at the centre of

the drawing represents the main problem and the tree branches, on the upper side of the drawing, provide a visual representation of the effects of the main problem.'

Effects

Problem

Causes
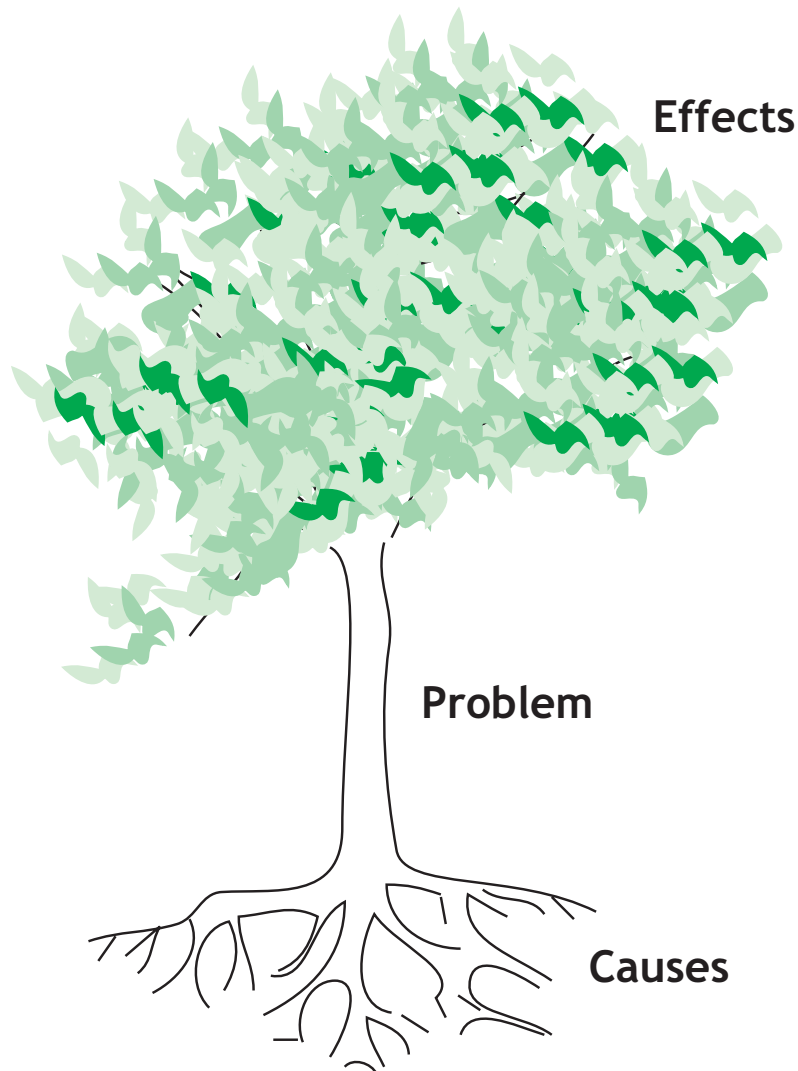
The problem tree

'The problem tree can be used in on-going projects as well as in the formulation of new development efforts with a community. In on-going projects, the problem tree is done at least twice. First it is done before going into the field, in order to assess clearly the project perception about the main problem and its causes. Then the problem tree is done with the community to assess if they have the same perceptions of the problem. Quite often the difference in the two perceptions constitutes one of the main obstacles towards the successful achievement of the projects' objectives.'

The Communication Initiative at: http://www.comminit.com

Urban Upgrading defines the steps for using a problem tree as follows:

Steps

1. List all the problems that come to mind. Problems need to be carefully identified: they should be existing problems, not possible, imagined or future ones. The problem is an existing negative situation, it is not the absence of a solution.

2. Identify a core problem (this may involve considerable trial and error before settling on one).

3. Determine which problems are 'Causes' and which are 'Effects.'

4. Arrange in hierarchy both Causes and Effects, i.e., how do the causes relate to each other – which leads to the other, etc.

This would result in a chart or diagram that might look something like the example below.
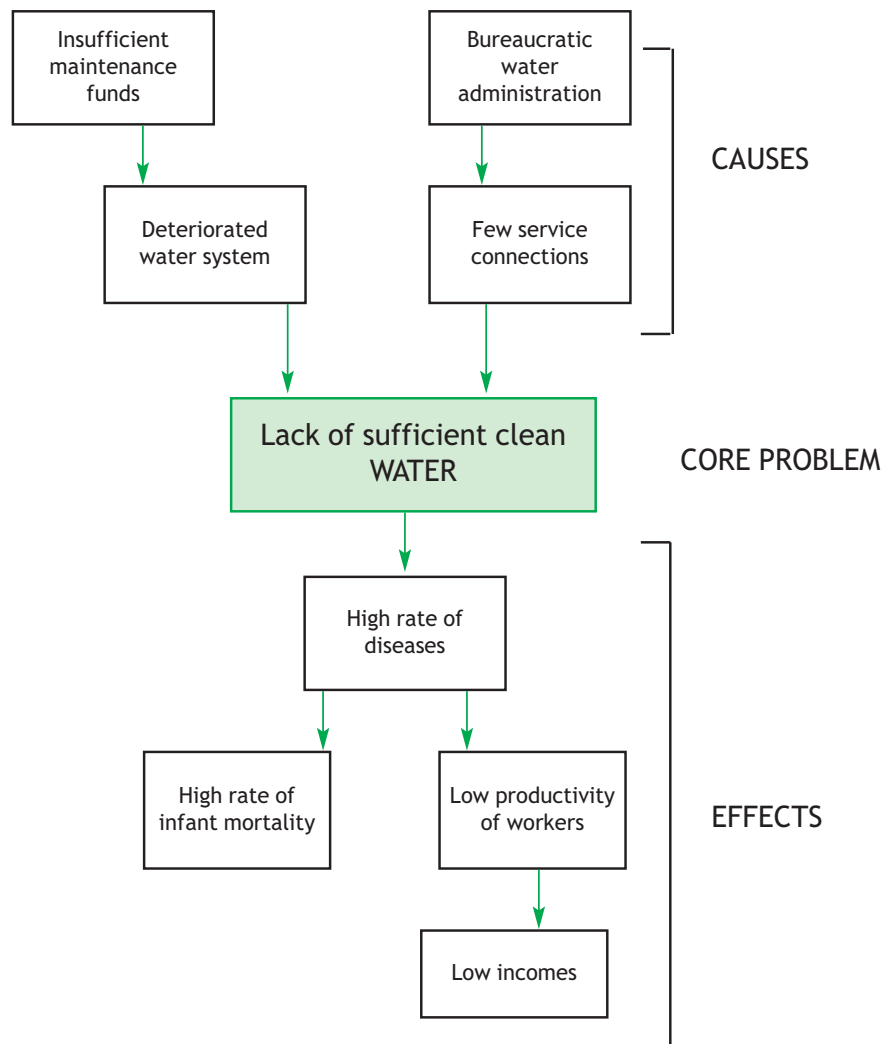
Example of a problem tree
Source: Urban Upgrading, at: http://web.mit.edu/urbanupgrading

The Communications Initiative site goes on:

> 'The whole purpose of the problem tree is to define the main problems present in the community in order to analyse and prioritise their causes as the first step towards effective sustainable solutions.

> 'Probably the most important tool to keep in mind throughout this process is a single question or rather a single word: 'WHY?' It is amazing how this short word can generate unexpected insights, which greatly help in developing an effective communication strategy. Never be afraid of asking or wondering why something is happening, even if it seems obvious.'

As we can see, problem analysis and developing a problem tree involves clarifying what the main elements and root causes of this problem situation are. To do this, the team has to look beyond the surface symptoms, and establish the underlying patterns of cause and effect.

Activity 2.7

(about 20 minutes)

Refer again to Reading 3: 'The Banco Village Solar Project'. Using the techniques outlined above, map each of the problems encountered by the community into a problem tree. Make notes first, and then develop the full diagram. Write your ideas in your learning journal. Then see if your analysis compares with the one below.

Analysis of the Banco Village Project

At the base of the problem tree, under 'Effects', the Mali project team and stakeholders would have been able to spell out the everyday problems of:

1. walking long distances to find biomass for fuel

2. the failure to develop the living standards of the village due to low educational level

3. having to suffer the dangers of consuming dirty water.

At the 'Problem' level of the problem tree, it would become clear from discussion and analysis – basically, asking the question 'Why?' – that the main two problems underlying the effects were the waste of productive time on gathering water, and the fact that water was not available in the village.

At the 'Cause' level, this would be because of the lack of immediate access to water and fuel.

As a result of this, the logical analysis of cause and effect would have made it much easier to see that all four problems could be solved by one thing – providing cheap, renewable energy, if that could be done.

This would: free up people's time for educational activities; provide school lighting for after-dark study; provide energy for the pumping system to pump deep-level, clean water locally, and energy for powering cooking ovens; and provide water for the growing of crops locally, and so on.

The logic would indicate that only oil-based energy and/or electrical energy could be used for these purposes. Electricity could be generated by an oil-based generator or by a renewable source: by windmills or solar energy. The final stage would be to resolve this by looking towards alternative energy sources and then making the imaginative and technological leap towards harnessing the abundant solar energy.

Outcomes

In this way a clear and thorough analysis would have been used to establish a solid basis for the project objectives. In some situations, design teams may not be able to utilise a discussion workshop to do this work and therefore have to base the project analysis and design on information from stakeholders and specialists in some other way. For example, if the local expertise of well-digging had not been available from Ji Duma and if the solar energy experts from Skyheat Associates had not been available, then contact by radio or computer might have had to be made with experts from another region or country.

Approaches to analysis based on a problem tree

When tackling the process of problem analysis, focusing the problem analysis can be done by either the 'focal problem' method, or the 'objectives-oriented' method.

1. The 'focal problem' method: Here, the group discusses the issues involved in the problem situation until a 'core' or 'focal' problem is identified, and then the group constructs a probable cause-and-effect pattern around this focal problem. In the case of the village in Mali, the core problem was identified as a serious lack of available cheap energy. The cause-and-effect logic is represented in the problem tree described earlier. This led to the insight that the only possible source of cheap energy was sunlight, which was abundant and renewable. The team found that sunlight could be captured by photovoltaic solar panels, if the panels could be constructed locally and maintained cheaply.

2. The 'objectives-oriented' method: Here an appropriate broad and/or high-level development objective is identified at the start of the analysis, and then the group discusses what they think will be the main obstacles to achieving this objective. When these obstacles are identified, they are structured into a cause-and-effect pattern. The high-level objective in the Mali case might well have been the raising of the skill levels of the village community, so that the community could contribute to the development process. Then, logical analysis would have identified the lack of learning time because of excessive demands on young people's labour, and the lack of available facilities for studying after they had finished their household chores. Pumping water from local wells, and providing after-dark lighting would expose the energy issue and lead to the solution to the main problem, through constructing solar panels.

A valuable addition to this work is the 'desk review' or 'secondary data review'. This consists of reviewing articles and books, and sometimes people's notes or memoirs, which contain background information on the community or locality or the issues that are being investigated. In the case of the Mali project, there would have been considerable local information in the archives of the various government and non-governmental organisations working in the region. At a later point, the team could have looked at technical literature on well digging, the local water table, and the various problems involved in constructing, utilising and marketing solar panels.

In establishing the stakeholder group, you would have to decide who should be involved to form a well-informed and 'expert' workshop group, capable of tackling the specific issues. This may involve drawing in experts (in the Mali case, the solar energy specialists, physicist Dr Richard Komp and engineer Carolina Barreto Cajina, drawn in by the PSP agency). It is also crucial to have community representatives that you identify as being able to contribute to the process.

Now look back at Case study 2.1, which introduces the Nile Shendi project. Then do the activities below. The case studies and the accompanying activities are designed to help you understand how project planners attempt to clarify and systemise problem situations, and then incorporate their findings into the overall project design.

Activity 2.8

(about 20 minutes, not counting discussion)

Look back at the introductory case study (Case study 2.1) on the Nile Shendi project. Before reading further, reflect on the problematic issues connected with this project yourself. Try and clarify the problems. Make notes in your learning journal, using the questions below as a guideline.

If you belong to a tutorial group, you might like to use the following questions as the basis of a discussion. Otherwise, discuss them with your colleagues, friends or fellow students.

1. Suggest a possible situational analysis of what this brief outline tells you about the problems in Shendi Village.

2. If you were working in Shendi Village as part of a project team, what project objectives might you and the team develop: socially? economically? environmentally?

3. What situational issues might you encounter that would affect how you might go about implementing your project?

4. How would the recognition of these issues affect how you monitor and evaluate the project achievements?

Case study 2.3

You cannot be expected to respond to the questions in Activity 2.8 as they were answered by the project team, but attempting to answer them should have given you an idea about the way situations are analysed and the influence that this has on how projects are designed and evaluated.

What follows is taken directly from the report of this case study.

'Q 1. The obvious problems are those related to soil erosion and desertification. Erosion is caused partly by over-grazing and partly by over-collection of wood and biomass for fuel. Desertification is caused by the act of wind erosion drifting the sand onto agricultural land.'

'However, if the community is to do more than just deal with these immediate problems and begin to improve its quality of life, then the problem of skill deficiencies must be recognised as well, particularly among women. So women's skills must be upgraded and that means giving them more social power. This is likely to upset gender relations, the harmony of which is essential when survival is as delicately balanced as this.'

'Q 2.   The **main social aim** of the project team was to 'promote participation of men, women and youth in the community forestry project so that there was mixed gender activity where men and women and young people complemented each other.'

'The **main economic aim** was first to stabilise the situation for subsistence agriculture, then to create more water provision, and finally to increase income generation so that a surplus could be accumulated. The **main environmental aims** were to establish shelter breaks to stop the wind and the encroachment of desert sands onto agricultural land, plus the introduction of fast maturing bushes and trees to provide fuel wood and grazing fodder.'

'Q3.   The project team set about solving the delicate problem of gender relationships by first establishing a women's extension department which the men found acceptable because women worked with each other rather than with men: this was more acceptable because the department trained and encouraged women to grow seedlings for trees and to carry out other community nursery activities within their own homes.'

'The team was all the time doing unobtrusive action research to find out the issues and constraints likely to inhibit women's participation. Because of the local division of labour, women lacked access to tree management and conservation skills and had few ways of making money.'

'Getting men to participate was easy because raising seedlings and planting trees were traditional male roles in Shendi. Action research revealed that women were likely to be willing to learn about tree planting and management. Female staff trained women in how to raise seedlings, how to take care of planted trees and how to manage planted and existing woody biomass. A male/female complementary labour division developed, with the women producing tree seedlings at home for their men to actually establish the shelterbelts in the fields. Women in one of the villages were encouraged to form women's committees to plan and implement women's programmes; this spread to other villages. The result has been that women now sell seedlings both to the Project and for the market. They do the same with mats for sheltering seedlings. One group of women has planted a wood lot in a section of their village and begun growing vegetables there.'

'Q4.   The project team's own **evaluation** stressed the significance of what had been achieved considering the

social and physical difficulties involved. Most importantly, they felt that the role of the women's committees had broken the cultural barrier without causing confrontation or conflict of interest between men and women. Because women raise trees and manage the trees around their homes, they have direct access to tree resources. Because they have training and skills for conservation, then this becomes **sustainable**. The team feels that they have achieved this by:

a) showing respect for cultural and religious norms

b) using local people to do the leading, and handing over control to them as soon as possible

c) promoting gender complementary activities

d) addressing locally determined priorities (vis à vis conservation)

e) commitment to women's participation

f) having a flexible approach (e.g. buying seedlings from the women for the project)

g) having an integrated approach, in terms of gender and diversity of activities.'

Activity 2.9

(about 15 minutes)

Compare the comments from the report given in Case study 2.3 on the Shendi project, with the notes you made of your discussion for Activity 2.8.

Did your discussion uncover the same kinds of problems?

Were the objectives and design of your ideas similar to those of the project team?

How important was action research to the success of the Shendi project, in your view?

Activity 2.10

(about 20 minutes)

In Activity 2.2, we asked you to undertake a brief situational analysis of a context of your own, one in which you are interested either personally or professionally.

Now, based on the techniques described in this section, take your analysis one step further by undertaking a problem analysis of the same context you described.

A good way to do this is by identifying what community problems you are aware of, and then track down the root causes by using the '5 Why's' technique. Once you have identified a problem, ask 'Why' and note down the answer. Then, in response to this, ask 'Why' again. Continue this process until you have asked five questions and provided five responses: this will have provided you with your root causes.

Once you have done this for all the community problems you have mentioned, map your findings into a problem tree.

Store all of this information in your learning journal.

Identifying project objectives

In 'The Logical Framework Approach', *AusGuideline* (October 2005) suggests that a project's objectives should be derived from the completed problem tree, after the initial stakeholder analysis has taken place (there will be a number of stakeholder analysis sessions as the project develops).

Whereas the statements in the problem tree are essentially negative statements about a situation, these key problem statements must be converted into positive statements of objectives: things that the project will be expected to achieve.

Because those closely affected by the problems will have been able to contribute to the stakeholder analysis sessions, the stakeholder analysis will have given better focus to the identified problems. This means that the team now needs only to deal with the problems that are identified as the key problems. They will readily be able to judge whether all other problems will be resolved by addressing the key problems.

Constructing a problem tree shows the cause-and-effect relationship between problem levels. Similarly, an 'objectives tree' should show the means-ends relationship by which the desired results should be

achieved. Look at Case study 2.4 below to see how problems can be transformed into objectives:

Case study 2.4

Problem tree and objectives tree for the Nile Shendi project

The initial problem tree in the Nile Shendi project would have organised the problems in the following levels.

At the lowest level:

- serious drought conditions
- significant soil erosion
- increasing desertification
- degrading natural and farmed resources
- low and decreasing incomes
- declining quality of living.

At the second level:

- over-grazing
- over-use of wood/bio-mass for fuel
- unsophisticated organisation of labour
- naïve division of labour.

At the highest level:

- cultural division of gender roles
- low expectations of women and youth
- low levels of technical knowledge and skill.

The objectives tree would organise things differently, as follows.

At the highest level, the project will:

- create socially acceptable conditions for women to perform economically
- create complementary work with men and encourage women to develop organisations for this purpose
- develop economic activities where men, women and young people work in more productive and cooperative enterprises than they do at present
- raise the levels of technical skill and knowledge of the whole community by training, and by developing appropriate economic activities.

At the second level, the project will:

● facilitate the development of rural economic activities that enable the community to survive with fewer grazing animals

● develop activities that will provide trees for planting and generate renewable fuel wood and bio-mass and create a surplus for market sales.

At the lowest level, the project will:

● facilitate the development of tree production and forest growth to create more water resources and break the force of the desert wind to prevent desertification

● provide training in tree and plant production and conservation and vegetable growing for those who want it

● facilitate the development of business training and support.

AusGuideline tasks for a series of checks to be made at this point:

● Are the objectives clear and unambiguous?

● Will achieving lower level objectives clearly support achieving higher level objectives?

● Is more detail required anywhere?

● Are the risks in achieving these objectives sustainably manageable?

● Should this structure be simplified if possible?

Source: AusAid (2005)

In practice, the relationship between higher and other level objectives is not linear, as *AusGuideline* suggests. The real question is whether the objectives at all levels act in a unitary way to produce the overall goals of the project. When these checks have been made, the proposed objective tree structure can be circulated for comments and feedback in the participatory workshop.

Activity 2.11

(about 30 minutes)

In Activity 2.10 you identified issues and concerns for your own project. Now take each of these and transform them into a project objective. Try to use the techniques described above in Case study 2.4.

Once you have done this, review them again, using the checks expected by AusAid in its list of questions. What changes would you make? How would you prioritise each of the objectives?

Record your responses to this activity in your learning journal.

Choosing an implementation strategy

Because of the iterative, participative nature of the workshop situation (described in the Reading 6: 'PRA tools and techniques.'), throughout the process of developing the draft problem and objectives trees, the logical framework approach will have directed the stakeholder group towards discussion of the value and the risks of various possible intervention strategies. These should have been recorded by the project team and should now be used as the basis for deciding on the method of project implementation.

You need to decide how many of the identified problems and objectives it is necessary to tackle, and what balance of interventions is most likely to bring about the results you want.

AusGuideline argues that, in order to assess alternative implementation strategies, you need to agree on a number of assessment criteria. The guideline argues that the relative assessments might be made on the following basis:

- Is the strategy technically feasible?

- What are the expected benefits to the target groups?

- How sustainable are they?

- Will it be possible to repair and maintain assets post-activity?

- What are the total and recurrent costs and is the intervention economically viable?

- Will the strategy contribute to the strengthening of the institutions involved?

- Will the intervention contribute to building management capacity?

- What is the environmental impact?

● How compatible is the strategy with sector or programme priorities?

<div align="right">Source: AusAid (2005)</div>

Case study 2.5 describes how the Shendi Project's objectives were developed:

Case study 2.5

The Nile Shendi implementation strategy

The Shendi Village project chose the very risky but pivotal implementation strategy of focusing on the development of women's skills and organisation.

By selecting a method that made the development of women complementary with that of men and improving the prospects of the whole community as a result, they avoided confrontation with the community's norms. Islam does not deny woman's capacity to play a significant economic and political role, only insists that her role should be primarily centred in the home.

In Shendi, the women now produced tree seedlings in the home, and were thus not in a position to make any sexual contact with men outside the family, and were also in a supportive role with their husbands, who were the active agents out in the field. This clearly liberated a whole swathe of female talent formerly trapped in traditional role relationships. In doing this it increased economic management capacity. Moreover, it seems to have strengthened family institutional capacity, in making families stronger and wealthier without disrupting relationships. It also seems to have strengthened community institutions through the rise of women's committees.

Given that the initial costs would have been borne by SOS Sahel International, once the programme was set up it was self-funding, and even led to improvements in wealth generation. It was clearly environmentally and socially balanced, and above all, sustainable.

Activity 2.12

(about 30 minutes)

Based on AusAid's assessment criteria for project objectives, outlined above, undertake a realistic assessment of the final objectives you developed in relation to your own project. Ask yourself – are they achievable? Are they sustainable?

Write a short (two or three paragraphs) critique of them, identifying what changes you would need to make in order that they achieve the requirements set out above.

Self-help question 2.2

(about 20 minutes)

Consider the following description of the initial state of affairs in a locality where a project is planned, then answer the following questions.

Project: Training youths for self-employment in a fishing culture.

Description of project situation:

The location is a cluster of deep sea fishing hamlets with a population of about 500 people. Most of the fishermen are mature adults who use fairly modern equipment and technology. Therefore the scope for increasing the number of people to take up fishing as a vocation is very restricted and about 50 or 60 youths are either unemployed or only partially employed. The community as a whole has become concerned about this situation and people are actively engaged in searching for self-employment activities for young people.

1. What are the strengths of this description?

2. What are its weaknesses?

3. What necessary information do you think is missing and how, and from whom, might it be obtained?

Before reading on, compare your answers with those suggested at the end of the unit.

Unit summary

This unit has described various ways in which you can acquire high-quality, relevant information about the problem situations that projects address. Ideally, when defining a project situation you should have information about as many of these parameters as possible.

The main point is that, just as the objectives should try to present a clear picture of what you intend the situation to be at the end of the project, there must also be a clear picture of what things are like at the beginning.

In this unit, you have covered the following main points:

- parameters for defining project situations

- defining the initial project situation

- the importance of situational analysis

- the concepts underlying situational analysis

- developing tools for situational analysis

- the stakeholder and logical framework analysis processes

- collecting data using questionnaires, interviews and PRA

- designing questionnaires, surveys and interviews

- compiling and analysing data.

To check how you have got on, look back at the learning outcomes for this unit and see if you can now do them. When you have done this, look through your learning journal to remind yourself of what you have learned and the ideas you have generated.

In the next unit, we look in more detail at how to use the tools and techniques associated with logframe analysis.

Answers to self-help questions

Self-help question 2.1

Here are some suggested additional interview questions. You will have thought of others.

- Do you have access to clean water in the village?

- How many hours per day do you spend fetching water?

- Do you have a problem accessing fuel for cooking?

- How many of the children of primary age in the locality have access to schooling?

- What small enterprises are carried out in the locality at present?

- Do you have difficulty obtaining credit for small or informal enterprises?

- Do you have any concerns about the environment in your locality?

   Explain them.

- Is there a problem with drug taking in your locality?

- Is there a problem with HIV/AIDS in your community?

Self-help question 2.2

1. This description appears to include some quantitative and qualitative information, which provides youth in development workers with some sort of a picture of a starting point for the project.

2. However, on re-reading the description one has to conclude that the information is not at all adequate, particularly if the project is 'training youth for self-employment'.

3. To pursue this project the youth worker must know:

   - how many youths need training

   - what their aptitudes and interests are

   - whether there is potential for small scale business and industry in the locality.

To obtain relevant information, a set of preliminary 'search' or 'survey' operations will have to be performed. The source of such information would be stakeholder groups such as beneficiaries, other members of the community, agencies and NGOs operating in the locality, and funding agencies.

References

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Unit 2

Unit 3: The logframe

Unit introduction

Welcome to Unit 3 *The logframe*.

In this unit we look at the 'logframe matrix', which is a very useful tool for designing and implementing project plans. We will take you step-by-step through each of the different elements of the matrix, and help you to write them for your own project. By the end of the unit, you should have gathered enough information to develop a logframe matrix of your own.

You will notice that there are many sections and sub-sections in this unit. This is because logframe analysis is a stage-by-stage process; although one stage might be briefer or simpler than another, it is of equal importance in the overall process.

Unit learning outcomes

When you have worked through this unit, you should be able to:

- describe the working parts of a logframe matrix

- explain the different roles played by the various elements

- develop project goals, objectives, activities, indicators and means of verification of your own

- apply these skills in a context with which you are familiar.

Unit 3

What is logframe analysis?

Logframe analysis is a shortened term for the 'logical framework approach' or LFA, which is a long-established activity design methodology, used by a range of major multilateral and bilateral donors. It is based on a systematic analysis of the development situation, particularly key development problems, and of the options for addressing those problems.

LFA is an analytical, presentational and management tool which can help planners and managers

- analyse the existing situation during activity preparation

- establish a logical hierarchy of means by which objectives will be reached

- identify the potential risks to achieving the objectives, and to sustainable outcomes

- establish how outputs and outcomes might best be monitored and evaluated

- if desired, present a summary of the activity in a standard format, and

- monitor and review activities during implementation.

We will look at using the LFA approach in more detail during the course of this unit.

Starting work with the LFA approach

LFA is best started early in activity design. As it is an 'aid to thinking', it has widespread and flexible applications.

Activity planning and management should always be approached as a team task. This means that adequate opportunity should be given to colleagues and key stakeholders to provide input to the process and product of LFA. This can be supported by:

- taking time to explain the principles of LFA and clarifying the terminology used

- integrating effective team work and adult learning methods into meetings with stakeholder groups

- ensuring that stakeholder groups are involved in situation and/or problem analysis, particularly in early design.

However, LFA is not a tool that all participants should necessarily be expected to understand or use. While 'logical' in concept, its effective application poses many challenges, even to the experienced user. A key tool is the 'logframe matrix', which we look at in the next section.

Before beginning work on activity design and the construction of a Logframe matrix, it is important to undertake a structured analysis of the existing situation. LFA incorporates four main analytical elements to help guide this process.

The four elements are:

- problem analysis

- stakeholder analysis

- objectives analysis, and

- selection of a preferred implementation strategy.

You will recall that we covered each of these different elements in Unit 2.

Activity 3.1

(about 20 minutes)

Think about the four analytical elements listed above. Can you recall how to undertake each one? What were the main tools we used to gather information? Summarise what you can recall, and then check your answers by looking back at Unit 2.

Remember that the process of applying the analytical tools of LFA in a participatory manner is as important as its products. This is particularly so in the context of development activities, where ownership of the idea by implementing partners is often critical to the success of implementation and to the sustainability of benefits. It's for this reason that we encourage the use of PRA-based approaches to project design. (You may recall from Unit 2 that PRA is Participatory Rural Appraisal.)

In addition, effective co-ordination and co-operation (including teamwork) is critical. As we said before, ideally, the main analytical tools should be applied in a workshop setting with key stakeholders, so that the initial LFA analysis, and the initial findings are developed jointly, in a real, practical sense.

However, it needs to be recognised that there will be a range of design studies where consultations with counterparts may be extensive, but do not extend to joint design analysis in a workshop setting.

In these circumstances, the design team may need to itself apply the main principles and practices of the LFA to information and input provided by counterparts and stakeholders. In these cases, the emerging conclusions of the team's analysis need to be checked against the knowledge and understanding of our partners, through successive consultations.

In a moment, we are going to go on to look at applying the information gathered through the processes we have described, and

using it to create a logframe matrix. Before we do this, we would like you to undertake a short review of the summary information you have processed so far in relation to your own project.

Activity 3.2

(about 15 minutes)

Look back through your learning journal and identify the key pieces of information about your project. How have they helped you form a clearer idea of what your project will involve? Are there any issues to do with your project that are still uncertain? What are they? Make a note of these points in your learning journal.

The logframe matrix

One standard analytical product of the LFA is the logframe matrix (LFM). It consists of a matrix with four columns and a number of rows, which summarise selected aspect of an activity design. These are:

- what the activity will do, and what it will produce (Activity Description)

- the activity's hierarchy of objectives and planned results (also Activity Description)

- the key assumptions that are being made (Assumptions), and

- how the activity's achievements will be measured, monitored and evaluated (Indicators and Means of Verification).

The general structure of a logframe matrix is shown in Table 3.1.

Table 3.1: General structure and content of a logframe matrix

1. Activity Description	2. Indicators	3. Means of Verification	4. Assumptions
Goal or impact: The long-term development impact (policy goal) that the activity contributes at a national or sectoral level.	How the achievement will be measured, including appropriate targets (quantity, quality and time).		
Purpose or outcome: The medium-term result(s) that the activity aims to achieve, in terms of benefits to target groups.	How the achievement of the Purpose will be measured, including appropriate targets (quantity, quality and time).		Assumptions concerning the purpose-to-goal linkage.
Component objectives or intermediate Results: This level in the objectives or results hierarchy can be used to provide a clear link between outputs and outcomes (particularly for larger multi-component activities).	How the achievement of the Component Objectives will be measured – including appropriate targets (quantity, quality and time).		Assumptions concerning the component objective-to-output linkage.
Outputs: The tangible products or services that the activity will deliver.	How the achievement of the outputs will be measured, including appropriate targets (quantity, quality and time).		Assumptions concerning the output-to-component objective linkage.

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The work programme is not usually included in the matrix itself.

The four columns contain a horizontal logic:

- Column 1 describes the activity and its objectives and outputs;

- Column 2 describes how these will be measured;

- Column 3 describes how these measurements will be verified;

- Column 4 describes the assumptions underpinning the objectives.

Turn now to Reading 8: 'A Logframe Matrix for the Nile Shendi Village Project.' This shows a sample logframe matrix based on the case study of the Shendi project you worked on in Unit 2. Look at how the four columns relate to each other as you read across.

Columns 1 and 4 in the matrix also contain a vertical logic.

If you read up and down Column 1, the causal relationships between the different levels of objectives should be clear. This logic should also be evident in the important assumptions and uncertainties that are beyond the project management's control, described in Column 4. These are, of course, risks to the project. Assumptions are only really important if they describe things that, when they do not occur, prevent the project meeting its objectives. When this happens, you may have to abandon the project.

You can observe the significance of this in the LFM on the Nile Shendi Village Project. The failure to achieve any single assumption will make the objectives in the row above that assumption impossible. So it's important to think very carefully about the assumptions column.

The whole point of the LFM is the clarifying of the project's logical and practical relationships: if the assumptions underpinning the bottom row outputs are not met, the objectives of the row above are not possible. Again, if the assumptions of the component objectives are not met, then the purpose objectives will not be possible, and so on.

Some issues about using the LFM

There are dangers in using a controlled framework such as the LFA, in that it can lead to inflexibility and over-simplification. Development should never be rigid and mechanical, so it's important that opportunities to adapt the design to the real-world development process are built in. These opportunities do not need to be specified in the LFM, though they can be indicated there, but they should be specified in the implementation and resource schedules.

Of course, there may well be many other aspects of a project that cannot be summarised in one logframe matrix, and several such matrices may be needed. In the design stage, a logframe matrix should always be treated as a draft document because the tasks that

are summarised in the matrix will undoubtedly have to be reviewed and amended once implementation starts.

You can also guard against excessive rigidity by concentrating less on process and outputs and more on the outcomes. That will enable you to see how realistic the work is. You can adjust what you're doing if you see that, though the outputs are occurring as planned, they are not leading to the precise outcomes you want. It's important also to be able to use qualitative measures, (such as what people say they think is happening) as well as quantitative measures (the figures) for assessing these outcomes.

In order to help avoid common problems associated with the use of the LFM, you should:

- ensure your colleagues and partners have a common understanding of the key analytical principles and terminology used

- emphasise the importance of the LFA process at least as much as the matrix product

- ensure it is used as a tool to promote stakeholder participation, dialogue and agreement on activity scope, rather to impose 'external' concepts and priorities

- avoid using the matrix as a blueprint through which to exert external control over the activity

- treat the matrix as a summary (keeping it clear and concise)

- refine and revise the matrix as new information comes to light.

Activity 3.3

(about 15 minutes)

Look again at Reading 1: 'Intensifying the impact of HIV/AIDS education and training in a natural environment setting' – the DYEO proposal. Compare their example of a logframe matrix with the example given above in Figure 3.1 and the example that appears in Reading 8: 'A Logframe Matrix for the Nile Shendi Village project'. What do you notice about it?

Using the other examples to help you, analyse the DYEO matrix and identify what pieces of information are missing. How might these affect the implementation of their project activities? Write your ideas in your learning journal.

In the next section we look in more detail at how to develop each of the different elements needed in a logframe matrix.

Writing a project goal

The project goal describes the overall purpose of a project. It refers to a general, often lofty, long-term change, such as a change in health behaviour or in public policy. Due to limitations in the scope of the intervention, geographic coverage, and available resources, a single project usually will not be able to achieve the goal by itself, but will contribute to the achievement of the goal. Thus, you will usually not attempt to measure your goal during the life of your project.

This is something you should bear in mind when you are writing your project goals.

Activity 3.4

(about 5 minutes)

Look again at Reading 8. Find the box that contains the project goals. It is in the top left-hand corner of the table. Read the project goals quickly now.

Tips for writing goals

A project can have two or three different goals. Here are some pointers for developing project goals of your own:

- Refer to the major health or social problem you wish to help tackle with your project.

- Refer to your focus population and location – the project context.

- Use clear terminology that is easily understood.

Be mindful of the terminology that you use. A particular term or phrase may be understood by your organisation, but not by others outside of it. In this case, place a definition in parentheses or in a footnote. For example, if your project seeks to improve 'social insertion of adolescent mothers,' then you may want to clarify with phrases like: 'continuation of schooling, involvement in income-generating activities, and access to ongoing health services.'

The following are examples of appropriate goals for a youth project related to sexual and reproductive health. Examples of corresponding objectives, indicators and activities will be presented later in the unit.

1. HIV project – sample goal:

   To reduce incidence of HIV infection among young people ages 15 to 24 in Country X.

2. Emergency contraception project – sample goal:

   To reduce unwanted pregnancy, unsafe abortion, and morbidity among young women experiencing gender-based violence in Community Y.

3. Advocacy project to address unsafe abortion – sample goal:

   To reduce maternal mortality and morbidity related to unsafe abortion by changing laws and policies to favour access to safe and legal abortion services for women in Country Z.

4. Research and dissemination project – sample goal:

   Increase the capacity of youth-serving organisations to implement more effective peer-education programmes for preventing HIV infection among sexually active young people (aged 15 to 24).

Here's an example of a poorly written goal:

Increase knowledge about sexual and reproductive health in Mexico.

This goal is poorly written because:

- it does not refer to the major health or social problem to be addressed. Organisation staff should ask themselves, 'Why is it important to increase knowledge? What do we think will happen if knowledge is increased?'

- it does not provide information about the focus population; it is too general.

Self-help question 3.1

(about 5 minutes)

Using the points we have covered so far, re-phrase this poorly written goal so that its purpose becomes clearer and more focused. Write your suggestion in your learning journal.

Before reading on, compare your answers with those suggested at the end of the unit.

Now look again at the project goals for the Nile Shendi Project (in Reading 8). What sort of language is used? Are the project goals easy to understand? Are they clear and well-focused?

Unit 3

Our own account of the analysis of the Shendi Village situation suggests that the project team probably had an overall project goal that could be summarised like this:

'Keeping tightly within local norms and cultural constraints, we will develop a socially acceptable method of modifying traditional village work patterns. This will create the conditions for modifying gender relations and will be an occupational basis for improving the environmental and social conditions of Shendi.'

Activity 3.5

(about 30 minutes)

This activity gives you the opportunity to reflect closely on your own project. You have started to develop some ideas about it, and now you can start formalising them a little more.

Using the examples to help you, write three or four project goals for your project – the broad overall issues that you would like your project to contribute to. Remember to keep them clear and focused.

If you have the opportunity, talk about them with your friends or colleagues. They may have ideas of their own which they can contribute. Write your project goals in your learning journal.

In the next section, we look at how to develop project objectives.

Writing project objectives

Objectives describe the expected results of your project. They are the intermediate changes desired among the focus population or in their environment. They are more specific than goals and refer to a specific location and time period. Unlike a goal, which a project will only partially contribute to achieving, the project objectives do need to be achievable and measurable within the scope of the project.

As your project is implemented, you will report on each objective and provide data demonstrating the degree to which the project objectives specified in the proposal were met. In other words, the project objectives will need to be measured by the project. They are a key means of monitoring and evaluating your progress.

Well-written objectives identify:

- **who** will be reached

- **what** change will be achieved

- **in what time period** the change will be achieved

- **where** (in what location)

It is important that objectives be realistic, not just impressive, as lofty, unfounded objectives will undercut the credibility of the entire project.

Objectives should be 'SMART'

When you are writing your project objectives, remember the acronym 'SMART'. It stands for:

- **S**pecific (to avoid differing interpretations)

- **M**easurable (to monitor and evaluate progress – preferably numerical)

- **A**ppropriate (to the problems, goal and your organisation)

- **R**ealistic (achievable, yet challenging and meaningful)

- **T**ime-bound (with a specific time for achieving them).

Activity 3.6

(about 10 minutes)

Look again at the Nile Shendi logframe in Reading 8. Do their objectives meet the SMART criteria set out above? Write your thoughts in your learning journal.

When writing objectives, choose action verbs that indicate a change and the direction that change will take. Avoid verbs that refer to activities or implementation strategies. Appropriate and inappropriate verbs are presented in the table that follows.

Appropriate Verbs	Inappropriate Verbs
• Decrease • Increase • Strengthen • Improve • Enhance	• Train • Provide • Produce • Establish/Create • Conduct

The following are examples of project objectives related to the goals presented earlier in the unit.

1. HIV project – sample objective:

    By the end of the first project year, increase knowledge and skills of staff in five clinics in City X in how to counsel young clients (aged 15 to 24) about HIV prevention, with emphasis on condom use and negotiation.

2. Emergency contraception project – sample objective:

    Over a two-year period in service delivery sites in Community Y, increase access to emergency contraception among women experiencing gender-based violence.

3. Advocacy project to address unsafe abortion – sample objective:

    By the end of the three-year project, increase awareness among national policymakers (legislators and Ministry of Health officials), women's groups and other nongovernmental organisations of the consequences and extent of unsafe abortion in Country Z and strategies to address it (emergency contraception, post-abortion care, and safe abortion services).

4. Research and dissemination project – sample objective:

    By the end of the two-year project, increase the availability of information about the effectiveness of community-based versus centre-based peer education programmes in increasing condom use among sexually active youth (aged 15 to 24).

Self-help question 3.2

(about 5 minutes)

The following is an example of a poorly written objective:

'Train 60 peer educators to promote the ability to practice safer sex.'

Compare it with the examples above, and identify what is wrong with it. Write an alternative in your learning journal.

Before reading on, compare your answers with those suggested at the end of the unit.

Tips for writing objectives

To write effective objectives, you need to:

- think about what success means for your project and how you would show that success

- describe the focus population and the desired change among the population

- include the location and time period for each objective

Activity 3.7

(about 30 minutes)

Using the Nile Shendi Project as an example (Reading 8), draft four project objectives for your own project. Look at the project goals you have already drafted, and bearing in mind what is SMART for your own project, develop your objectives. Remember to use clear language. Take the time to get the words just right. Write your ideas in your learning journal.

Turn to Reading 9: 'Specific Objectives for the Nile Shendi Project'. Project objectives are clearly quite large, and once you are clear about your different project activities, you can then develop more specific objectives. Reading 9 provides guidance on how this was done with the Nile Shendi project.

When you have drafted your project goal and objectives, it is time to begin considering the activities and indicators section of your logical framework. We look at this in the next two sections.

Choosing activities

Once you have your objectives for the project, you need to think about how you will go about achieving each of them. In doing so, you will start to identify the different activities that need to take place. Each objective will probably need three or four activities to ensure that it is met.

When devising activities, consider the skills and expertise of your organisation and your collaborators. Become familiar with similar projects that have occurred in the past to learn from their successes and challenges in carrying out activities.

One tip is to list the activities in chronological order and to number them (this will help you refer to them in other parts of the proposal or in subsequent reports).

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The following are examples of activities related to the goals and objectives presented earlier in the unit.

1. HIV project – sample activities:

   1.1 Develop HIV prevention counselling checklist with input from recognised HIV experts, counsellors, and clinic staff.

   1.2 Conduct three ten-hour training sessions for clinic staff on HIV transmission and prevention, the special needs of young people, negotiating condom use and counselling techniques.

2. Emergency contraception project – sample activities:

   2.1 Hold training sessions to sensitise police, women's organisations, judges/legal staff and health professionals in select sites on emergency contraception (mode of use, common side effects, access) and on the importance of timely identification and referral for emergency contraception for women experiencing gender-based violence. Provide emergency contraception kits to these organisations.

   2.2 During the counselling session on sexual and reproductive health, offer counselling and information on emergency contraception to all clients identified as victims of gender-based violence.

3. Advocacy project to address unsafe abortion – sample activities:

   3.1 Form partnerships with women's groups and other NGOs interested in the issue of unsafe abortion to plan and conduct awareness-raising activities, including an advocacy campaign.

   3.2 Develop an advocacy campaign – including defining the message, setting the goals and objectives of the campaign, and devising strategies for reaching the audience and monitoring the campaign – that includes the development of press releases, fact sheets, presentations and other materials.

4. Research and dissemination project – sample activities:

   4.1 Develop data collection instruments, select sites, and define criteria for peer educator selection.

   4.2 Select and train peer educators in the curriculum and data collection.

> 4.3 Implement peer education sessions among 200 sexually active youth at each site, and monitor data collection.
>
> 4.4 Analyse data and prepare research report and publications.
>
> 4.5 Disseminate research publications among youth-serving organisations.

Identifying indicators

Indicators let us know whether something is being achieved or not. They give us key pieces of information that give evidence of the contribution that the activities make to the achievement of objectives. The principal types of indicators are process and results indicators.

Process indicators

'Process indicators' provide evidence of whether the project is moving in the right direction to achieve an objective. They give information about the implementation of the activities, such as what and how many activities were conducted, and who participated in the activities. Because process indicators provide information about the implementation of activities, they should be collected throughout the life of the project.

'Qualitative information' or 'process information' about the quality of activities, which answer the question: 'How well were the activities carried out?', can also be collected. However, because change cannot be measured by qualitative data, process information is not technically an indicator. Nonetheless, the way in which services and activities are conducted is an important issue that can relate to the achievement of objectives. Thus, including qualitative information can be a vital part of data collection.

Project monitoring consists of collecting process indicators and reviewing them at set times. Process indicators and qualitative process information may also inform the final evaluation of the project. Often, process data can shed light on the reasons a project intervention worked (or didn't work).

Results indicators

These indicators provide information about whether an expected change occurred, either at the programme level or at the population level. Results indicators measure the changes that your programme's activities are seeking to produce in your focus population (in other words, the objectives). This type of indicator is often stated as a

percentage, ratio or proportion to allow you to see what was achieved in relation to the total population (the denominator).

Results indicators should be a direct reflection of your objectives. Because results indicators tell whether or not an objective was achieved, every objective should include at least one results indicator.

Turn to Reading 10: 'Indicators for the Nile Shendi Project' and read it through.

Activity 3.9

(about 10 minutes)

Analyse the indicators for the Nile Shendi Project, given in Reading 9. Are they process or results indicators? How do you know? Write your ideas in your learning journal.

Choosing your indicators

When selecting indicators, you should ensure that they are clear and precise. Definitions should be provided for any terminology used. If indicators are written as percentages, both the numerator and denominator should be specified.

In the following example, the denominator is not specified:

'Percentage of youth who know three modes of HIV transmission.'

The numerator is the number of youth who know three transmission modes. But what is the denominator? Is it:

- the number of young people in the programme?

- the number of young people in the community?

- the number of young people in the country?

As the denominator could be any of these, the indicator is not clear, and is therefore poorly written.

In the following example, the numerator is the number of youth who know three transmission modes and the denominator is the total number of youth participating in the training sessions:

'Percentage of youth participating in the training session who know three modes of HIV transmission.'

As the denominator is specified as well as the numerator, the indicator is well-written.

Also, in seeking a gender perspective, your project may need to disaggregate indicators by gender, where appropriate.

You may also consider disaggregating data by age. For example, an indicator may be: 'number of youth, by age and gender, who complete the six-week educational sessions on HIV prevention'.

This will help you know whether you are attracting more women than men, or vice versa, allowing your project to adjust your recruitment strategies as needed. It will also help you know whether you are reaching the age group that you are targeting.

Issues to consider when selecting indicators

It is best to select several indicators for each objective, since objectives usually have different dimensions. However, select a manageable number, keeping in mind the availability of information and resources (both human and monetary). After a discussion with the project staff and other collaborators, choose only the best indicators. Other issues to consider include:

- relevance

- availability of information

- ease in measuring

- understandability

- resources (money, personnel expertise and time)

- donor interest

- gender perspective

- youth perspective.

It is not necessary to have an indicator for every activity. Process indicators relate directly to activities, but it is easy to select more than are necessary or advisable. Having too many indicators will burden the project in data collection and analysis. Results indicators should relate directly to your objectives, and they provide programme managers and donors with information on changes that occurred among the focus population. There needs to be at least one results indicator for each objective.

Process versus results indicators

Sometimes it is difficult to determine if an indicator is a process or results indicator, because a process indicator for one objective may be a results indicator for a different objective. For example, the indicator 'number of clinical services provided to youth aged 15 to 24, by type of service' may be a process indicator (since it gives information about the activities being implemented), but if the objective is to increase access to clinical services, the number of services provided could be a results indicator. The important thing to remember is that the indicator should relate to the objective.

The following are examples of process and results indicators related to the goals, objectives and activities described earlier.

1. HIV project – sample indicator:

    Process indicators:

    ●   HIV prevention counselling checklist developed.

    ●   Number and percentage of clinic staff participating in training sessions, by position, by clinic.

    Results indicators:

    ●   Percentage of staff participating in training sessions with favourable attitudes toward and correct knowledge of HIV issues (as indicated by a score of at least 150 on the Attitudes About AIDS Scale), by clinic.

    ●   Percentage of clinic staff participating in training sessions who correctly demonstrate how to use a condom, by clinic.

2. Emergency contraception project – sample indicators

    Process indicators:

    ●   Number of people sensitised/trained in emergency contraception by type: peer educators, women who have experienced gender-based violence, service providers, counsellors, women's groups, police officers, legal personnel.

    ●   Number of women identified in SRH consultations as experiencing gender-based violence, by type of violence.

    Results indicators:

    ●   Number of emergency contraception kits (including condoms, emergency contraception packet, IEC materials) distributed to other organisations, by type of organisation.

    ●   Percentage of women identified as experiencing gender-based violence who receive emergency contraception.

3. Advocacy project to address unsafe abortion – sample indicators

    Process indicators:

    ●   Number of media spots conducted by project staff and partners about abortion issues, by topic and media type (print, television and radio).

    ●   Number of people participating in awareness-raising activities, by type of activity (community forums, media events, policy discussion groups) and type of participant (policymaker, women's group representative, NGO representative).

> Results indicators:
>
> - Percentage of people participating in awareness-raising activities who can identify three consequences of unsafe abortion, by type of participant.
>
> - Percentage of people participating in awareness-raising activities who can identify three strategies to address unsafe abortion, by type of participant.
>
> 4. Research and dissemination project – sample indicators
>
> Process indicators:
>
> - Number of peer educators trained, by age, gender and type of site (community- or centre-based).
>
> - Number of sexually active youth receiving peer education session, by age, gender and type of site (community- or centre-based).
>
> - Number of sexually active youth receiving peer education session who report using a condom, by age, gender and type of site (community- or centre-based).
>
> Results indicators:
>
> - Number of publications and presentations about research results, by type.
>
> - Number of organisations receiving results of research study.

Indicator 4, third bullet, is imprecise because it does not specify the point in time at which condom use will be measured – will condom use at first intercourse, last intercourse, or at every intercourse be examined?

The denominator (base population) is not clear: among whom will condom use be measured – all people in the world, all people in the country, all people in the community, all people participating in the project, people of a certain age? Will it include only those people who are already sexually active?

A better way to present this indicator would be:

'Percentage of sexually active young people (ages 15 to 24) participating in the project who report using a condom at last intercourse, by age and gender.'

Activity 3.11

(about 30 minutes)

Look at the objectives you have written for your own project. Using the activities you chose to guide you, develop a series of process and results indicators that will help measure whether your objectives are being achieved. Record your final indicators in your learning journal.

In the next section, we are going to move on to look at how we can determine means of verification.

Determining the means of verification

Once you have decided on your indicators, you need to decide how you will gather the information that demonstrates the indicators. You will most likely use both quantitative and qualitative methodologies in collecting data for your indicators. While both types of methodologies provide important information about your project, remember that donors are likely to expect some quantitative evidence that of your project objectives were achieved.

Using both qualitative and quantitative data will greatly strengthen the evaluation design. The following table illustrates characteristics of quantitative and qualitative methods, the purpose of each, and examples of data sources.

Obviously, the source of your data will vary greatly from project to project and from activity to activity, but the table below gives some general ideas.

	Quantitative data	Qualitative data
Characteristics	• Require relatively large sample sizes. • Can be used to generalise findings to the larger focus population (when probability sampling is used). • Require some knowledge of statistics.	• Do not require large sample sizes. • Cannot be used to generalise findings to the larger focus population. • Do not require expertise in statistics (but should employ a systematic analysis).

	Quantitative data	Qualitative data
Purpose	Quantitative data measures actions, tendencies and levels of knowledge. With this type of data, you can determine: How many? How much? How often? Quantitative data is typically closed-ended; that is, variables or themes are predefined before data collection begins.	Qualitative data provides information about attitudes, perceptions and motivations. This type of data can be used to answer Why? It is therefore usually structured in an open-ended fashion so that information arises spontaneously.
Data sources	● Programme records. ● Service statistics. ● Surveys at the programme level (with providers, clients, etc.). ● Surveys at the population level (local, regional or national).	● In-depth interviews. ● Case studies. ● Focus groups. ● Observation studies. ● 'Mystery client' studies.

Activity 3.12

(about 15 minutes)

Look again at the logframe matrix for the Nile Shendi Project, in Reading 8. Look carefully at each of the means of verification. Using the information in Table 3.2, determine whether they are quantitative or qualitative, and what the likely source of data will be.

Write your ideas in your learning journal.

You have just undertaken an activity that helped you to analyse the means of verification from someone else's project. In the next activity, you will use these same skills to further develop the means of verification for your own project.

Activity 3.13

(about 20–30 minutes)

Using the ideas you have drafted so far, provide a means of verification for each of the indicators you have recorded for your project. Indicate whether your means of verification is quantitative or qualitative, and where you will get the data from. Write your ideas in your learning journal.

This units ends with a longer activity, based on your information developed during the activities for this unit.

Activity 3.14

(at least 1 hour)

Complete a logframe matrix for your own project.

Use the Nile Shendi logframe in Reading 8 as a template, and complete the different sections using the information you have recorded in your learning journal. Refine your responses further and ensure that they all make sense. Use the criteria in the different sections of this unit to guide you.

Make sure you record this activity in your learning journal.

Unit summary

Logframe matrices are rather complicated, but they can be very useful.

In this unit you have covered the following points:

- completing the logframe matrix

- identifying project goals

- writing project objectives

- writing project activities

- identifying indicators and means of verification.

To check how you have got on, look back at the learning outcomes for this unit and see if you can now do them. When you have done this, look through your learning journal to remind yourself of what you have learned and the ideas you have generated.

In the next unit we look at writing project planning documents.

Unit 3

Answers to self-help questions

Self-help question 3.1

You might have written something that looks like this:

'Improve the sexual and reproductive health of young people ages 15 to 24 in City X, through the reduction of unwanted pregnancy and sexually transmitted infections, including HIV.'

Self-help question 3.2

This is a poorly written objective for the following reasons:

- It refers to a strategy or activity, not a change sought among a focus population. Why does the organisation want to train peer educators – what change is sought?

- It is not time-bound: in what time period is the change expected to occur?

- The focus population is not specified: among whom and where will the change occur? Is the change to be achieved among the peer educators or among the people the educators will reach?

- The terminology is not clear: what does the ability to practice safe sex mean for this organisation? How will the organisation recognise it when it occurs? For example, will it be that the focus population is abstaining, is having sex with one faithful partner only, or is using a condom correctly and consistently?

A better way of writing this objective would be:

'At end of the three-year project, increase condom use among sexually active young people (ages 15 to 24) in Community X.'

References

Books

Broughton, B. and Hampshire, J. (1997) *Bridging the Gap: A Guide to Monitoring and Evaluating Development Projects*, Canberra: Australia

IFAD, ANGOC and IIRR (2001) *Enhancing Ownership and Sustainability: A Resource Book on Participation,* International Fund for Agricultural Development, Asian NGO Coalition for Agrarian Reform and Rural Development and International Institute of Rural Reconstruction. Contact: info@ifad.org.

Websites

The following sites give an overview of logframe or objective oriented planning:

- AusAid Logframe. Clear overview of logframe steps and issues, with examples. View online at:

  http://www.ausaid.gov.au/ausguide/

- Swiss Agency for Development and Cooperation (SDC). See Documentation section (in multiple languages) online at:

  www.sdc.admin.ch.

- Council for Overseas Aid

  http://www.acfoa.asn.au/

Unit 4: Preparing project proposals

Unit introduction

Welcome to Unit 4 *Preparing project proposals*.

Documentation is not only important for planning, but also important to ensure the success of implementing a project. As a youth development worker you have to be able to document your plans, objectives, activities, mode of implementation and methods of analysis and evaluation.

By recording information, you will be helping your project develop more effectively. You will also be contributing to your ability to develop effective project proposals to submit to donors. This is something you need to be able to do before you are able to secure any kinds of funds to support your project either from a government, private agencies or non-governmental organisations.

In this unit, we will look at the various issues to consider in developing project documentation. We will also go through how to develop a project proposal on a step-by-step basis. As with Unit 3, there are many sections and sub-sections within this unit. This is to allow discussion of each element of a project proposal document.

To help you with looking at project documentation, there are a number of documents that you will be asked to use frequently. These are:

- the answers to the activities in the Unit 3 that you wrote in your learning journal

- the logframe matrix you completed as part of Unit 3

- Reading 1: 'Intensifying the impact of HIV/AIDS education and training in a natural environment setting'

- Reading 12: 'Project Proposal Template.'

We suggest that you find these now and keep them nearby while you study this unit.

Unit learning outcomes

When you have worked through this unit, you should be able to:

- identify the reasons why documentation is important in project planning

- list the important elements to cover in the planning document for a project

- prepare project proposals for funding, including budgets.

Why document?

There are many reasons why we need to document our projects. Plans cannot be kept in our heads, they have to be written down so that they are recorded for our future reference and for others to see and understand. Proper, carefully thought-out project planning provides information about what things to do, and when to do them.

Also, if you want to secure funding for a project, funders will want to see evidence of good planning in your proposal. A set of clear documents will prove invaluable in demonstrating that your organisation is capable of tackling the project successfully.

To summarise the above points, documentation operates in the following ways:

- As a basis for implementation, documented plans become the guidelines for the project.

- Documentation creates a communication tool between the stakeholders and those involved in designing the plans.

- It is a historical record, so that, if the initial team involved in designing the plans is unable to carry it out, the people who take over the project will be able to do so.

- Documentation is essential for monitoring and evaluation purposes because the purpose of evaluation is a process to find out whether the plan that was developed is being and has been successful. Without the necessary documents, it is impossible to evaluate the project.

- It is essential as supporting evidence to gain funding from agencies to carry out the project. A well-written proposal can be adapted to the specific funding procedures of different funding agencies.

Elements in a project document

Regardless of the nature of a project or the format of any overall documentation, there are a number of elements that are necessary to record in some form. They are:

- descriptions of the situation or problem

- the objectives of the project

- activities/learning experiences of the project

- plan of work

- evaluation plans.

If you have worked through Unit 3 The logframe, you will already have drafted most of these in summary form, in relation to a project

of your own. Look back at your learning journal and review what you have written about this.

Now, we are going to go on and look at these in a little more detail. From the point of view of a full project document (rather than a logframe matrix) each element can be described as follows:

- **Description of the situation or problem**

  Results from the situational analysis will provide a scenario of the situation that needs to be improved. Thus, the statement of problems or need must be clearly defined. Relevant data can be included in this description. In addition, the stakeholders of the project must also be listed.

- **Objectives of the project**

  As described earlier, these are statements that have been thought through carefully, based on the context of the project. Good objectives will guide the team in making use of all the available resources that are available within the community.

- **Activities/learning experiences**

  The activities should be designed to fulfil the objectives. Several activities may be planned in order to achieve one objective. The description of the activities should embody what the project is all about, and also set out: the learning experiences that the team wants to establish, who will be responsible for the activities, when and where the activities are to be conducted, and what resources are required for the activities.

- **Plan of work**

  This is a timetable for implementing the activities. It includes who will be responsible for the activities, when and where the activities should be conducted, and the resources that are required for the activities.

- **Evaluation**

  Evaluation should be planned in advance, and scheduled into implementation plans. It is an on-going process that enables us to foresee the success of the project. If evaluation is left to the end of the project, key information will have been lost. Also, many problems need to be rectified at the point of time when they occur and should not wait till the end of the project. Therefore, evaluation has to be carried out hand-in-hand with implementation to enable us to secure a successful project.

Unit 4

Activity 4.1

(about 15 minutes)

Look in some detail at the logframe matrix you completed for your own project in Unit 3 Activity 3.14. Review the contents in the light of the descriptions given above.

Thinking now about the detailed plans for your project, what additional information will you need to record in order to include all the elements outlined above?

Write down your ideas in your learning journal.

In the next section, we look in more detail at the approaches to developing documentation that will help with writing project proposals.

Drawing up funding proposals

Once you know exactly what resources the project needs, you will need to work out how to get them. This means putting in funding proposals to outside agencies or even to your own agencies. It's really a matter of 'selling' your project proposal to various funding agencies until you find one that will provide the resources. So it's important to draw up a very carefully considered proposal – one that gives a very realistic picture of your needs.

A funding proposal usually has the following broad elements:

- Why the project is significant – a justification for the project.

- A description of the method chosen, compared with a range of alternatives. You should show that you have considered various alternatives and chosen the one that is most suitable.

- Detailed plans, including the resources that are needed, the support agencies that will be involved, and a copy of the project document.

- A description of factors within your control, to ensure that the project will be successfully completed.

These elements can be broken down under the following general headings.

Project title and executive summary of proposal

This should be written after the rest of the proposal. In the executive summary you should include the broad purposes of the project, the time-frame and the target groups or beneficiaries.

Background information – the current situation

You should describe the state of affairs in the locality that the project is designed to tackle.

Needs and prospects considered

The intended outcomes of the project should be expressed here. You should also explain how you arrived at identifying these outcomes and intentions. Any dependence on government policies and priorities should also be highlighted.

Various strategies considered – and selection of one

You should describe any alternative projects you have considered to deal with the situation. You can include the way you analysed and evaluated the alternative strategies, and your estimates of costs and benefits in terms both material and intangible.

Project justification and proposed impact

Now that one alternative has been identified, it has to be set out logically and in detail. Remember, the starting point is its purpose, or impact.

Detailed plans

This will consist of elements such as the detailed outcomes of the project, the proposed action steps and the resources they need, the organising infrastructure and systems for monitoring the project. Plans will also give a time-frame and the various phases or steps it may be divided into.

Risks and remedial actions

You should include your assessment of risks and the remedies you have devised to deal with them if they arise. (To remind yourself of approaches to this, you might look back at the discussion of problem analysis in Unit 3.) This is a key factor in a proposal that is attractive to funding providers, as it allows them to see that you have taken measures to avoid difficulties with implementation as far as possible.

Phasing of financial resources

Phasing of resources means planning the year-by-year need for financial resources. In the case of a three-year project, the investment has to be phased on an annual basis for three years. For short-term projects, phasing could be on a quarterly or monthly basis.

You should separate the recurring financial needs (like salaries, rent, stationery, etc.) and the capital needs (e.g. buildings, equipment and furniture).

It is worth noting that a project proposal might not need to give all of these sections as headings. Different funders will place the emphasis

on different elements of information. You also need to note that different funders may use different terminology.

In addition, your organisation may have its own preferred way of presenting itself. However, all this information needs to be included and compiled in a formal project proposal in some way.

Activity 4.2

(about 15 minutes)

Turn to the DYEO project proposal in Reading 1: 'Intensifying the impact of HIV/AIDS education and training in a natural environment setting.' Review this document and identify the different sections that are included. Do they match the elements described above? If some sections appear to be missing, is the information included elsewhere? In your opinion, which of the above elements does the DYEO proposal prioritise?

Your proposal should attempt to demonstrate to the approving authority that you have taken special care to incorporate checks and precautions, which will ensure that the project is successful. You need to provide evidence to show that you can use the techniques of project planning, monitoring and implementation effectively. This is the best way to demonstrate your sincerity and commitment to the project and to improve your proposal's chances of success.

Writing a project proposal

A project proposal consists basically of two halves. The first half is the narrative, which describes the circumstances and activities involved. The second half is the financial proposal, which sets out the budget and costs involved.

In this section, we look at the different elements to include in the first, narrative section, in the order that they would appear in a project proposal format.

We will go on to look at the financial elements later in the unit.

Assembling the basic information

Information about your organisation

The first section of a proposal usually requires you to provide basic information about your organisation.

Information to include in this section is:

- organisation name

- date that the organisation was established

- name of your organisation's contact person

- contact information: postal and email addresses, phone and fax numbers, and website (if applicable).

If there are any factors that may make it difficult to contact your organisation (for example, if the email is not always reliable) you should make a note in this section. It is also helpful to indicate your organisation's standard working hours, and any time-zone differences between your location and that of the funding organisation, in case they want to contact you by telephone.

Information about the proposed project

First, select a title for the project. It may seem trivial to spend time selecting a title, but it is very useful at this stage to have a clear, succinct title that effectively conveys the essential information about the project. Project proponents and prospective funders alike will be using this title in all correspondence and reports for the duration of the project, so the title should be manageable and memorable. Thinking about a relevant title for your project also helps you to focus on what it is that you want your project to achieve.

Activity 4.3

(about 15 minutes)

Write one or more possible titles for your project. If possible, circulate the titles among project associates for comment and further suggestions. Write your ideas in your learning journal.

The project overview or summary

The project summary records all of the key information in a few sentences or paragraphs. It is presented within the opening pages of the proposal. It may be the only item read by those who conduct the preliminary review of many proposals, so it must include essential proposal information, and a sound rationale that justifies support. In addition, a summary serves to introduce the project, encourage the reader to go on to read the entire proposal, and to give the reader a framework for understanding the details of the proposal.

Activity 4.4

(about 10 minutes)

Look again at the DYEO summary in Reading 1. How long is it? What sort of language have they used? Write your thoughts in your learning journal.

Some people find it easier to write a summary when they have completed the rest of the project proposal; others find it helpful to draft the summary or overview first, and then use it as a reference when expanding on each aspect in the full proposal.

Although the summary appears near the beginning of the project proposal, it is usually finalised after all the other elements have been completed. The summary needs to be presented in terms that are relevant to the funders' stated goals. We will return to the project summary at the end of this unit, but as you work through the other sections you may find it helpful to make notes about what you may want to include in your summary.

Some funders indicate that they prefer to have an overview of the project as a whole, and then the specific details. This is usually stipulated in the funder's guidelines.

Functions of proposal sections

The first three items – the project context, issue and rationale – describe the present situation that the project is designed to address and the reasons why this project is needed. These sections answer the question:

● Why is the project needed?

The next two items in the proposal – the project goals and objectives – answer the questions:

● What will the project achieve?

● Who are the project beneficiaries?

The sections on strategies, activities and timelines describe what will be done, by whom, and when, in order to achieve the project goals and objectives. These sections answer the question:

● How will the project be planned and implemented?

The section on the organisations involved in the project answers the question:

● Who will undertake the work?

The section on budgets answers the question:

● What will it cost?

The sections on project outcomes answers the question:

● How will the project achievements improve the situation?

Activity 4.5

(about 20 minutes)

Using the questions above to guide you, write a draft summary for your own project. Remember, this is only a draft. You may not have gathered all the information yet, and you will need to review whatever you have written later on. However, it is useful at this stage to record some of your ideas.

Write your draft in your learning journal.

Introductory sections of the proposal

The introductory sections of the proposal provide background information that explains the situation and the reasons for the project, in a way that will be clear to those who are not familiar with the situation.

You have already covered earlier in the module many of the elements that are listed here. Where necessary, refer back to the information you recorded in your learning journal when you were working on the sections on situational and stakeholder analysis in Unit 2.

Proposal context

Not all funders' guidelines ask for contextual information separately, but it is important to establish the context early in the process. Information about the circumstances of the situation that are relevant to the project will help the funders understand the issue and why the proposed project is a realistic approach to dealing with the issue. In selecting what contextual information to provide, you should be aware of the funders' expected prior knowledge. This is also the section in which you briefly describe the project beneficiaries.

Activity 4.6

(about 10 minutes)

In a short paragraph, describe the relevant features of your project's context. Record them in your learning journal.

Issue statement

The issue or problem statement answers the question:

● What is the issue that this project will address?

Unit 4

This section provides a description of a problem and an analysis of the issues that underly the situation. It should demonstrate that the project proponents have based their analysis on sound local research (whether conducted by the proponents or by others), extensive consultation with stakeholders, and, where applicable, on research studies and/or best practice from the field or academic disciplines that are relevant to the project. The issue statement should lead naturally into a project rationale.

Activity 4.7

(about 15 minutes)

In about a page, describe the main issue(s) that the project is designed to address. Record them in your learning journal.

The project rationale

The project rationale describes why the project is an appropriate way of addressing the issue set out in the statement. Briefly outline why your proposed project addresses your stated issue effectively and why it is a good fit with the context and available resources.

Activity 4.8

(about 10 minutes)

In a paragraph or two, provide the rationale for your project. Record it in your learning journal.

Goals

This section describes overall goals for the project in general terms that will establish a context and purpose for the objectives. Projects may have several goals: some may refer to the specific situation, and others may refer to achievements with longer-term effects that are applicable beyond the project context.

You have already covered this as part of the logframe matrix that you completed at the end of Unit 3.

Activity 4.9

(about 15 minutes)

Using your points in the logframe matrix, describe the goals for your project. Record them in your learning journal.

Objectives

Objectives describe the benefits of the project in specific, measurable terms, and follow on logically from project goals. Project objectives should be feasible and be able to be assessed, even if not all of them lend themselves to quantitative analysis.

When writing objectives, it is useful to keep in mind how the project will be evaluated. One element of project evaluation is assessing how well it achieved its stated objectives. Also, project objectives serve as an important reference for all the project proponents for the duration of the project, especially if the project is complex.

Decision-making throughout the project can be facilitated by determining which course of action is most likely to support the project objectives. So it is important to invest some time and discussion in developing project objectives that will work over the long term.

The final list of objectives can be then edited to include only those that are most relevant to the project as a whole. It takes some careful thought to write good project objectives. For this reason, we are going to spend some time considering them.

Writing objectives

Objectives are the expected results of a project. They must be based on the problems or needs of the specific situation identified by the project. You must write the objectives in such a way that they show that, when they are met, the problem situation will be resolved. Project objectives should consist of a precise list of the outcomes you expect the project to produce.

Where objectives are not particularly precise, and the implication is that you would like to reach them, rather than that you think that you definitely will reach them, they are referred to as the 'goals' of the project.

Where they are very precise, they can be referred to as 'targets'.

Here are some sample objectives for two projects.

> **Example 1**
>
> For the project: 'Organising a Youth Peace March', the objectives could be:
>
> ● Four hundred young people will reach destination 'D' by 4:00 p.m. on Saturday, 19th July, after a Peace March, and plant ten peace flags in the square at destination 'D'.
>
> Note that we don't call this a 'goal' because it is definitely going to happen, and we can't afford to aim at it and only partially achieve it. Instead, we would call it a 'specific objective' or an 'outcome'.

Example 2

For a project on social forestry, there would probably be multiple objectives. For example:

- In eleven hectares of waterlogged land near the water tank, a variety of trees will be planted, as per directions of the Forest Department, during the last week of December 2006 (general objective).

- Each child in the village will ensure survival of at least one planted fruit-bearing tree in the garden of their house during the course of 2005 (specific objective).

- For each tree cut in the village, at least five new trees shall be planted within a week of the cutting of the tree (target).

Characteristics of objectives

There are certain characteristics that objectives should have. We have already covered some of this in earlier units, but to recap:

- The objective must be as specific and concrete as possible. It must not be vague or general.

- The objective must be measurable. It must be clearly observable when it's achieved. Objectives are generally concrete or practical.

- The objective must be clearly attainable in that it can be shown to be achievable within the capacity of the project team.

- The objective must be shown to be relevant and must therefore reflect the purpose of the project clearly.

- The objective must indicate when the process of achieving it should start and end (i.e. it should have a time-frame).

- Wherever possible, the objective should have an educational component, which means that it should lead to a change in knowledge, attitudes and/or skills.

- The objective must be revisable, because, after monitoring and evaluation, it might need to change a little.

Activity 4.10

(about 10 minutes)

Look again at the objectives set out in the DYEO project proposal in Reading 1. To what extent do they fulfil the criteria listed above? Review them now and make notes of your ideas in your learning journal.

Do you remember the acronym 'SMART'?

S – Specific

M – Measurable

A – Attainable

R – Relevant

T – Time-bound.

Self-help question 4.1

(about 5 minutes)

Review the objective given in Example 1, using SMART:

> 'Four hundred young people will reach destination 'D' by 4:00 p.m. on Saturday, 19th July, after a Peace March, and plant ten peace flags in the square at destination D.'

Write your ideas in your notebook.

Before reading on, compare your answers with those suggested at the end of the unit.

Activity 4.11

(about 15 minutes)

Using the points you developed for the logframe matrix in Activity 3.14 at the end of Unit 3, prepare the full objectives for your project. Record them in your learning journal.

Project methodology sections

The sections on strategies and activities describe the methodology of the project. One funder comments, 'The methodology section deserves greater emphasis than applicants typically give to it.' Another funding agency notes that the description of activities is an opportunity to demonstrate your knowledge of the field, by explaining why certain activities were selected.

Strategies

A description of project strategies provides a broader picture of what will be done to achieve the goals of the project. Strategies also include the broader organisational approaches required to develop and manage the project activities.

For example, if, as part of implementing project activities, three different programmes are to be developed, there would probably be separate teams to develop each programme, and some means of ensuring communication among all the teams. Also, there would need to be some overall co-ordination of programme delivery, among the educational institutions, the employers and the participants.

Activity 4.12

(about 20 minutes)

In a paragraph or a set of points, describe the broad strategies planned for your project, both for project management and for project implementation. This will cover the general range of activities that will be undertaken. Record them in your learning journal.

Project activities

The description of project activities gives a more detailed picture of specific actions undertaken to achieve objectives. These may be written in point form or as a work plan that includes three subtitles: Action (to be taken], Responsibility (by whom), Date. (by when).

The exercise of completing a general work plan at this stage will help you to identify the major steps involved in the project. From this, you will be able to develop a more general list of the project activities.

For more complex projects, activities may be described under sub-categories. Here is an example of how project activities could be sub-divided:

- project management (these are the activities related to managing and administering the project – staff, budgets, communications)
- planning and preparation
- pilot implementation
- assessment and/or evaluation of pilot implementation
- revision of programme based on pilot evaluation
- full-scale implementation.

Activity 4.13

(about 30 minutes)

Using your logframe matrix points to guide you, outline the major activities for your project in paragraph form. Record them in your learning journal.

The activity plan in the project proposal is only an outline and not the kind of detailed work plan that is needed after the project is approved. If you are interested in finding out more about how to develop action steps for a detailed work plan, turn now to Reading 11: 'Developing action steps'.

Timeframe

The proposal should outline broad timelines for the project. In most cases, it will not be possible to use exact dates for the timelines, because it is usually uncertain when the funding and administrative arrangements will be in place so that the project can start. Timelines should indicate your best estimate of how long it will take to complete the major activities of the project.

Timelines can be included in activities, or they can be described separately, as a list of key dates (sometimes called 'milestones') and the activities that will be completed by that date.

Although there is always the tendency to be optimistic when developing timelines for a project, it is important to be realistic and allow enough flexibility for unforeseen problems. Creating a realistic project timeframe is also an opportunity to demonstrate to the funder that the project proponents have relevant project experience.

Activity 4.14

(about 20 minutes)

In point or chart form, indicate the major timelines for completion of your project's activities. Remember that this is only a draft. Try to be as realistic as possible, bearing in mind the context you are working in and the resources and capacity available to your organisation. Record your ideas in your learning journal.

Staffing and organisational information

Some funders prefer to see information near the beginning of the proposal about those implementing the project. Others ask for it as supporting information to be provided near the end of the proposal. Wherever it is located, this information is another key element in establishing the credibility of the project and the proposal.

Information about the project partners

Funders need to know about the organisations that will be responsible for implementing the project (these organisations are sometimes called executing agencies).

You will need to provide the following:

- factual information about each partner organisation's mission, size, main activities, the region and population it serves

- information about each organisation's particular achievements in fields relevant to the project

- information that confirms each organisation's capacity to undertake the tasks involved in the project.

Focus on the aspects of each organisation that are relevant to the project and that establish its credibility and experience in related areas.

In addition to the information about each project proponent, funders are also interested in the experience of project partners in working together, and their capacity to share responsibility and communicate effectively. This can be illustrated by providing the following:

- information about successful previous projects or co-operative initiatives that some or all of the partners have undertaken together

- evidence of established working relationships: for example, project staff having prior experience on inter-organisational committees.

Information about project personnel is also essential. For people who are considered key staff for the project (project managers, team leaders, experts, consultants) the proposal should outline:

- their current responsibilities

- areas of expertise relevant to the project, and

- previous experience relevant to the project.

Depending on the size and scope of the project, this summary in the proposal itself can be about half a page. The full curricula vitae of key project staff can be included as appendices to the proposal.

Activity 4.15

(about 15 minutes)

Prepare a profile of each of the project partners, and project personnel. Write a brief paragraph for each organisation or individual who will be involved in running the project.

Record the profiles in your learning journal.

Information about the project stakeholders

Many funders require that project stakeholders, including beneficiaries, are involved in planning and implementing the project, and are not just assigned token responsibilities.

Here is how one funder puts it:

> 'The quality of collaborations and partnerships proposed will be one of the criteria by which a research project is judged. (We) expect that relationships with developing country institutions should show characteristics of being true partnerships rather than merely reflecting delegation of in-country data collection.'

International funding agencies, such as those associated with the United Nations and the European Union, often stipulate that project proposals demonstrate that stakeholders are active participants in project design and implementation. For example, UNDP Capacity 21 guidelines state:

> 'Proposals should be formulated locally on the basis of a participatory and transparent process that involves consultations with all relevant stakeholders.'

Proposals for projects that include stakeholders in project design and implementation should include the following information:

● a brief profile of each key stakeholder, emphasising those aspects relevant to the project (for example, if an agricultural cooperative is a stakeholder, include information about the length of time it has been operating, number of members, achievements, operating structure, contributions to the development of the project concept)

● indicators of stakeholders' capacity to participate in the project; people and resources relevant to the project, documentation of decisions to support the project and to allocate staff and/or volunteer time and resources.

Activity 4.16

(about 15 minutes)

Prepare profiles of each of the stakeholders, if possible in consultation with representatives of each stakeholder. Record the profiles in your learning journal.

Responsibility matrix

Where a project entails a number of partners and stakeholders, it is sometimes useful to prepare a responsibility matrix that outlines who is responsible for implementing specific categories of activities, who is kept informed, who will advise. Table 4.1 gives an example.

Table 4.1 An example of a responsibility matrix

Activity	Responsibility						
	Project partners					Stakeholders	
	MU	EIC	MOE	MOF	Ext ev	EMU	FWI
Project Admin	L	S	S	S		A	A
Project Management	L	S	S	S		S	S
Programme Development							
Forestry programme	J	J	S	A		L	A
Environmental monitoring for gov't staff	J	J	J	A		L	A
Environmental monitoring for fisheries workers	J	J	A	S		A	L
Project Monitoring	L	S	S	S	A	S	S
Project Evaluation	S	S	S		L	A	A

L=Lead   J=Joint Responsibility Implement   S= Support   A=Advise
MU: Mainland University; EIC East Island College; MOE: Ministry of Environment; MOF: Ministry of Fisheries; Ext Ev.: External Evaluator; EMU: Environmental Monitors Union; FWI Fishery Workers International

Project results

This section of a proposal addresses the question: What will happen as a result of this project? It is sometimes referred to as the 'project outcomes' or the 'project impact'.

This question can be addressed by:

● providing specific information about anticipated results, such as numbers of people trained

● answering the questions, 'Why is this important? What does this change?' and indicating the effect of this project over the longer term.

As one funder explains, The expected impact of research results can be discussed in reference to some or all of the following:

● their expected use in other settings

● their contribution to existing technical and scientific knowledge, policy formulation and implementation

- development processes at the local, national and regional levels

- the needs of specific target populations.

With regard to the point on the needs of specific target populations, this is one area in which funders may specifically request information. Many funders indicate that projects must consider the needs of those who are typically under-represented in society; for example, minorities, women, low-income earners. Results statements should identify how target populations will benefit from the project.

Activity 4.17

(about 20 minutes)

Using the information you have put into your logframe matrix, prepare results statements for your project. Record your ideas in your learning journal.

Conditions and risks

As we have already mentioned, not all plans proceed as expected. This is especially true for projects that extend several years into the future. At first glance, it may seem discouraging to list factors that could have a negative impact on the project. But including this information indicates to funders that the project planners have given careful consideration to the implications of factors that may be beyond their control.

The section on required conditions lists the conditions that are necessary for the project activities to take place, and for them to achieve their intended goals. These are also known as the 'assumptions'. These conditions should be immediately relevant to the project and within the project's scope.

The section on risks identifies known factors that may have a direct impact on the project.

Activity 4.18

(about 20 minutes)

Prepare conditions and risks statements for your project, and discuss them with project partners. Reading 12: 'Project Proposal Template' provides a guide and an example of a completed results chart. Record your work in your learning journal.

Unit 4

Project outcomes

Outcomes are broader and more generalised than objectives. They enable the shaping of project activities, but do not exactly spell out the details of what will be achieved.

Evaluation

Project proposals are usually required to describe how the project will be evaluated. As one funder noted: '*Evaluation is not an event but an ongoing process.*'

This means that evaluation should be included as an integral part of implementing the project, and project partners and stakeholders should be involved in the evaluation process.

Evaluation serves two distinct purposes:

- It enables project partners to assess how well the project is going, for the purposes of adjusting project plans if necessary. These evaluation activities are conducted throughout the duration of the project. (This is sometimes called interim or formative evaluation.)

- It enables project partners, stakeholders and funders to determine how well the project met its objectives. This evaluation is conducted when the project is complete. (This is sometimes called summative evaluation.)

The evaluation plan should describe:

- how the project process itself will be reviewed and adjusted if necessary

- how the progress towards project milestones will be assessed, what indicators will be used, who will be involved, and at what points in the project

- how the results of project activities will be assessed, what indicators will be used, who will be involved in the evaluation, and what decisions will be affected by these results

- how the end point evaluation will be conducted, and how it will determine the project's effectiveness and sustainability.

Some funders conduct external evaluations of projects they support. These are evaluations done by people who are not directly involved in the project. The evaluation plan in the project proposal should take into account any external evaluation, but should also describe evaluation strategies that project partners will undertake.

Activity 4.19

(about 30 minutes)

Using the points you have drawn up in your draft logframe matrix, prepare a short (no more than a page) description of the evaluation plan for your project.

How the project relates to organisational goals and funding goals

Funders often require a statement that links the proposed project to the goals of your organisation, and to goals of the funding organisation. There are some common priorities among funding organisations. These include:

- Broad participation and consultation in project design and implementation.

- A follow-on effect from the project, which means the project extends beyond the immediate project context and timeframe. This is sometimes termed 'building capacity'. (An example of this would be a project to train staff who are then able to train others.)

- Sustainability, which means that activities undertaken as part of the project will be able to continue after the project is concluded.

- Inclusion of minorities and under-represented groups, such as women, in project design and implementation.

- Respect for human rights in all aspects of project design and implementation, especially research with human subjects.

- Environmental soundness. Even projects that are not directly addressing environmental issues are normally required to demonstrate that the environmental impact has been considered, and if it is determined there will be an environmental impact, steps are included to mitigate any negative effects.

You should check to see if the funder you are approaching lists other priority areas.

Conclusion

We have now gone some way to drafting the narrative section for your proposal. Clearly, the ideas you have recorded in your learning journal are only in the rough stages. However, you should be able to use them as a basis for when you need to develop a full and comprehensive project proposal.

In the next section, we look at the development of the financial documentation required of any proposal.

Developing a project budget

Developing a project budget is one of the most time-consuming aspects of preparing a project proposal, because it entails obtaining financial information from all the project partners, estimating costs as much as four or five years in advance, and in many cases, assembling information generated by different financial reporting systems.

Each funding agency has slightly different requirements about how budgets are presented, and applicants must follow the budget formats requested by the funder. This means that budgets will require reworking for each funder. But the time invested in preparing a budget is worth it. As one author says:

> 'A good budget is a critical factor in determining whether your organisation will receive funding. More than any other component, the budget will highlight the quality of your planning. The budget must demonstrate: 1. Your commitment to operate in a cost-effective manner. 2. A realistic assessment of the financial resources required to implement your project.'

Fortunately, funders usually provide very specific directions about the kind of information they need in a budget. Many funders will also answer questions from applicants about budget formats or the meaning of particular terms in their guidelines.

The expense budget

In simple terms, you can estimate the cost range for your project based on these factors: staffing, administration, project activities and evaluation. Throughout the proposal development process, as further details of the project strategies and activities and timelines are developed, this information provides a framework for preparing an expense budget.

There are some basic principles for organising project budget information that are common to many funding agencies. The differences in funders' requirements tend to be in the details. Next, we look at organising categories than are often seen.

Approaches to grouping your expenses

Here, we look at the three main ways of grouping expenses.

1. Project management and project implementation.

    Funding guidelines may require that applicants create two major expense budget segments, one for the costs of project management/administration, and one for the costs of project implementation.

Project management and administration costs are the costs directly associated with coordinating the project. Typically, these costs include staff time and communications costs for:

- communication and meetings with project team members and other stakeholders about project management issues

- overhead costs associated with accounting and record keeping, including utilities and supplies

- travel related to project management.

In many cases, project proponents are asked to contribute to a share of the project cost. In these situations, it is common for project proponents to contribute some or all of the project administration costs, especially if project administration is handled by the regular staff of an organisation. This is sometimes called an 'in-kind' contribution.

Project implementation costs include the costs directly associated with the project activities. These would typically include:

- salary and benefit costs for staff hired especially for the project

- consultancy fees for project work

- training costs; for staff involved in the project, for participants in the project, including the costs of instructors, travel, accommodation and supplies

- costs of production of resource materials or reports

- equipment and supplies required to implement the project. (Many funders place limitations on expenditures for capital equipment for a project.)

When the expense budget must be segmented into project management/administration costs and project implementation costs, it sometimes means setting up duplicate categories for some expense items.

For example, there might be an expense category for 'travel-management' and an expense category for 'travel-implementation'. If you are required to distinguish between project management and project implementation costs, you will need to refer to the funder's definition of what belongs in each category. You should check with the funder if it is not clear to you where a major budget item belongs.

2. The budget on a year-by-year basis

Some funders require that the budget outlines each year's expenses for the duration of the project, and that the totals for each category are also presented in summary form.

The sample budget in Reading 12: 'Project Proposal Template' presents one format for documenting annual expenses under

project management and project implementation categories. It is a summary budget for fairly complex, multi-year projects. The project proposal would usually also include more detailed information about what is included under each budget category than appears in the summary budget. Although the final budget presentation may be in summary form, it is assembled from factual information and reasonable estimates of the costs associated with managing and implementing the project. It is important to keep all of the working documents used to prepare the budget, so that the budget can be readily reviewed and updated if necessary.

3. Capital costs and operating expenses

Some funders will not cover the capital costs, that is, the cost of acquiring major equipment (such as vehicles) in a project budget. Other funders will cover capital costs if it can be demonstrated that acquisition of this capital equipment is essential to the successful operation of the project.

For example, if a project involves computer-based training, and the location for the training is not equipped with the necessary hardware and software, equipment acquisition and some facilities upgrades may be essential to the project.

Activity 4.20

(about 10 minutes)

Look again at the budget document in the DYEO project proposal in Reading 1: 'Intensifying the impact of HIV/AIDS education and training in a natural environment setting.' Briefly describe how the expenses are grouped.

How to research budget information

When you first begin to develop a budget, there may be quite a few 'unknowns'. Particular costs may be unknown for two reasons:

- because some key planning has not yet been completed (for example, perhaps the amount of staff time required for training has not yet been estimated)

- because the costs of a particular item have not yet been gathered (for example, travel to project locations).

Developing the project activities and the project budget often happens concurrently. Identifying a cost item may require clarifying certain aspects of a project activity, in discussions that involve both project design and budget decisions.

A systematic approach is to review the list of project activities year by year, and determine the cost categories associated with each activity.

It's useful to deal with the major expenses first. Typically, the most significant part of a project are the costs for staffing, consultancies, honoraria, and associated benefits. When you are working with partner organisations, you will need to obtain information about salary ranges for staff who will be engaged with the project. Even though it can sometimes be difficult to obtain this information, it is essential. Unless you have information to the contrary, it is prudent to ask for a salary range for the positions involved, and then use the midpoint of that range for determining staff costs for the budget. If staff salaries tend to increase each year, include this increase as a factor in the budget.

Travel and accommodation can also represent a significant proportion of a budget, especially for a project requiring international travel. This will require obtaining information about current costs for travel between the specific locations, and some predictions about the estimated increase in travel costs over the duration of the project. Travel agencies that regularly serve the project partners are usually able to provide this kind of information.

Budgeting the project revenue

As well as having expenses, projects can also have income from various sources. This is known as 'project revenue'. Project revenue can include:

● financial contributions from other sources

● in-kind contributions of services or facilities from project partners or others associated with the project

● income from services the project provides (e.g. tuition fees from participants in training programmes).

The revenue budget should list all confirmed financial contributions from other sources. These serve to indicate broader support for the project. They may include government grants and contributions from corporations, non-government organisations or non-profit societies.

In-kind contributions

In-kind contributions, as already mentioned, include provision of staff time and use of facilities and equipment by organisations involved in the project. In-kind contributions can also include the donation of services by another organisation, for example the use of a long-distance phone network at no charge. Values of in-kind contributions should be calculated as accurately as possible and should be consistent with costs for these services in the expense budget.

Income

If the project is designed to generate income that will be returned to the project, rather than to any of the project partners, this should be

shown in the revenue budget. Income may come from interest paid by financial institutions, from sale of products or licensing fees for the use of materials developed by the project, from tuition fees, and so on. If the revenue generated during the project is an indicator of continuing revenue generation after the project is over, this should be highlighted if it points to continued sustainability of the project initiative.

Requested funding

There is a question about how to account for the requested funding in the revenue budget. If the amount requested is included, will funders feel that their contribution has been taken for granted? In project proposals developed in response to a funder's announcement that it will provide a certain amount of money for specific types of projects, it is quite acceptable to include this amount in the revenue budget, and to identify it as the funder's' contribution. In other situations, the amount requested should simply be designated as 'Requested funding'.

Budget presentation

The total budget shows both the expense and the revenue side, and, of course, they must balance. The budget should be presented so that it is clear that it follows the pattern of activities listed in the proposal. In addition to the spreadsheet that shows the entire budget, most funding applications also have a section entitled 'Notes to accompany budget'. This is where you provide the detailed information (your 'homework', so to speak).

When presenting background information to the budget, it's important to explain the basis for estimated costs and revenues: prior experience, current costs, reasonable estimates, and so on.

Also, the budget presentation should indicate confidence in the information provided. Funders are uneasy with vague budgets, or those that include omnibus categories that do not really identify expenditures (such as 'Contingency', or 'Unforeseen expenses'). Unless there is a separate line item in the funder's budget form for contingency expenses, it is better to leave it out, and instead allocate a small additional margin (between five and ten per cent) to the other expense categories.

Although it is reasonable to expect that not everything will go as planned in a project, the budget is not the place to convey this expectation. In many cases, there are provisions in contracts between funders and project proponents to enable a revision of the budget if there is a significant change in circumstances.

Activity 4.21

(about 1 hour)

Using the budget template provided in Reading 12, fill in the budget information for your project. When you have completed it, have a colleague or associate review it for clarity and consistency. If possible, ask someone with a financial background to assess it to ensure it is in keeping with basic accounting principles.

Sometimes, donors will ask you to provide a document that combines the annual work plan with a budget. For more information on how the logframe matrix can be used to help you do this, turn to Reading 13: 'The Logframe Matrix and the Annual Work Plan and Budget.'

Reviewing the proposal summary

At the beginning of this unit, we asked you to draft a proposal summary. You are now ready to review your project proposal summary, and to revise it in light of the other components you have now written. The proposal summary should:

- identify all the project proponents and stakeholders

- introduce the problem or issue the project is designed to address

- explain why the project will address this problem effectively

- outline the project objectives

- outline in broad terms the project activities and timelines

- list the expected long term outcomes of the project.

In short, your summary will explain to the funder why this project is worth doing, and why your project team are ideally placed to do it.

Activity 4.22

(about 20 minutes)

Review your proposal summary and rewrite it in the light of what you have learned in this unit.

To complete this unit, we would like you to compile a comprehensive draft proposal for your project.

Activity 4.23

(about 1 hour)

Using the information you have gathered during the activities, complete the Project Proposal template provided in Reading 12. Use the various headings and sub-headings as tools to guide you. Be sure to record this activity in your learning journal.

Unit summary

In this unit, you have been introduced to:

- the important elements to cover in the planning document for a project, including narrative and financial information

- procedures for preparing project proposals for funding, including budgets.

You have also been introduced to the kinds of information and data gathering activities that you will need to record during your project activities. These will be used for future reference by you and your colleagues, as well as by donors, funders, partners and evaluators.

We have covered each of the areas of documentation required for the development of a project proposal. You should now be able to develop a project proposal of your own.

To check how you have got on, look back at the learning outcomes for this unit and see if you can now do them. When you have done this, look through your learning journal to remind yourself of what you have learned and the ideas you have generated.

In the next unit we look at getting organised to carry out your project, including organising your staff and liaising with partners.

Unit 4

Answers to self-help questions

Self-help question 4.1

'Four hundred young people will reach destination 'D' by 4:00 p.m. on Saturday, 19th July, after a Peace March, and plant ten peace flags in the square at destination D.'

The effectiveness of this objective (i.e. whether it matches the characteristics that objectives should have) can be checked by answering the following questions:

- Is it specific?

  Yes. The description is specific, not vague. There are, however, limits to how specific we can be. For example, each of the ten flags need not be described in the objective. What is important is that anyone interpreting the objective must get the same meaning from it as anybody else.

- Is it measurable?

  Yes. Measurable indicators included in the objective are 'destination D', '4 p.m.' and 'planting 10 flags'.

- Is it attainable?

  Yes. It is probably well within the capacity of the planners to group 400 young people and to plant 10 flags.

- Is it relevant?

  Yes. The purpose of the project is a peace march by young people, and must be part of a peace initiative, and the objective reflects this.

- Does it have a time frame?

  Yes. The date and timing of the event are stated clearly.

Reference

UNDP Capacity 21 guidelines, available at:
http://www.capacity.undp.org/

Unit 4

Unit 5: Organising for implementation

Unit introduction

In earlier units, we have examined the various steps involved in gathering information and preparing project plans. One further aspect of planning that is very important, but which rarely gets the attention it deserves, is organising the project participants – you, your colleagues, and the primary stakeholders – for implementation of the plan. It is important that everybody is clear about what their roles and responsibilities are, in order that the project work efficiently. This is the focus of Unit 5.

We look at different kinds of infrastructures for organising people's activities, and at how important good infrastructure design is to successful implementation. Examples of good organisation for implementation are given. The composition of groups and how they are set up is also important, and we look at how to choose the right people for different tasks. We discuss how to co-ordinate such groups, and examine the role of external agencies and how to maintain links with them.

The unit ends with a discussion of accountability within organisations, and your part in facilitating transparency and communication between all partners.

Unit 5

Unit learning outcomes

When you have worked through this unit, you should be able to:

● identify the key elements to consider in implementing your project plan

● list the other participants involved in your project, and describe their contributions

● describe how to divide roles and responsibilities for various tasks between the contributors

● assess different alternatives for organising the implementation infrastructure and lines of communication

● make recommendations for appropriate means of implementation, based on set criteria.

Implementation and project design

Implementation is the final process of turning a project plan into action. Project designs that are carefully thought out provide information about action steps to be taken and a schedule or series of schedules of these action steps. You have already done some work towards considering these in your work for Unit 4.

There are many benefits to clarifying action steps. With appropriate schedules, it becomes easier for the implementing group to identify which team members will undertake each activity. Resource needs become clear, leading to an identification of what can be locally provided by the community, and what has to be mobilised from outside. In fact, good project designs and implementation schedules/work plans can make project implementation more straightforward.

Before we go on to explore the details of how to organise groups of people to ensure successful implementation, we would like you to consider some projects that you are familiar with, and identify the relationships between the different groups involved.

Activity 5.1

(about 30 minutes)

During the course of Module 8, you have been referring to documents concerning the project planning procedures of three projects:

● the Nile Shendi project

● the DYEO project

● your own chosen project.

For each of these three projects in turn:

● identify each of the different groups of participants, including the primary stakeholders, the project organisation, donors and consultants

● provide a summary of the relationships between these different groups, including:

   o   what they contribute to the overall project

   o   different areas of responsibility

   o   the lines of communication and information-sharing between them.

It may not be possible to provide all of the information. Where information is not available, outline your own ideas. Record your work in your learning journal.

In the next section, we look at defining some different examples of group structures within projects.

Organising group structures

In Activity 5.1 you identified the different groups of people involved in your own project. The next thing to do is to ascertain the group structure, particular among those people within your organisation who will be involved in your project.

'Group structure' is a term used for the roles of the project team members and the relationships between them. Before your organisation can start to work with other stakeholders, you need to be clear about your internal roles and responsibilities. Each member has a function within the group, and has individual functions and responsibilities to fulfil.

Some project groups enter into assignments too quickly. They run the risk of having gaps and duplications in the work, as well as counterproductive tensions, and the project suffers. So, allocating functions and roles is a crucial step in organising for implementation.

The term 'organising' is usually used to mean allocating specific roles, functions and responsibilities to members of the team, and making sure that the project objectives get accomplished. Another term for this is 'designing infrastructures'.

The term 'infrastructures' refers to the way groups of people and procedures are organised. One example of a structure is a group of equal team members working and making decisions co-operatively. Another structure might be a project leader making all the decisions, directing, and supervising a number of subordinate workers.

So, 'designing infrastructures' concerns the choices that are made about:

● how people in the project team will work together

● the composition of teams and what each one is going to do

● who will be responsible for what activities

● who will report to whom

and so on.

Why organise?

Organising is an important part of project management and is done for the following reasons:

● It helps to clarify the ways that roles and functions overlap and intersect.

● It avoids people working at cross-purposes.

Unit 5

- It ensures that all activities are completed according to the plan.

- It promotes teamwork.

Infrastructures are necessary to manage projects. They are useful for both the planning and implementation phases and are developed with maximum effectiveness in mind.

One way to start establishing the infrastructure within a group is to allocate tasks to the members and identify which members need to co-ordinate with one another. We look at this next.

Initial task allocation

Case study 5.1 illustrates how the interests and abilities of individuals were catered for in the allocation of tasks to the benefit of the group and the project.

Case study 5.1

Project: Skills Development Programme for Youth – 6 months duration

Major activities or tasks

1. Obtaining funds on a regular basis.

2. Acquiring different resources like raw materials, stationery, duplicated class notes and assignments.

3. Arranging transport for outside experts who have agreed to come and demonstrate skills to students.

4. Housekeeping of classrooms, workshops.

5. Ensuring that arrangements and resources for classes are ready on time.

6. Maintaining records of progress of students.

7. Interacting with students and getting feedback from them about what they are learning and their opinion of the arrangements.

Team members' interests

- Member A – Interacting with outside people, developing outside contacts.

- Member B – Keeping accounts and maintaining records.

- Member C – Talking to youth, mixing with young men and women.

- Member D – Organising and arranging functions and programmes.

- Member E – Interacting with adults, marketing ideas to them.

Task allocation

Though the mix of interests appeared confusing, it was quite easy to allocate functions that were acceptable to members of the team. Here is how the tasks were allocated.

- Member A – Task 3: Arranging transport for outside experts.

- Member B – Task 6: Maintaining students' progress records.

- Member C – Task 7: Interacting with students and youth.

- Member D – Task 5: Organising the arrangements and resources for classes.

- Member E – Task 1: Obtaining funds.

There were two tasks left to be allocated after this. Since Members B and D had functions that were regular but not as demanding as the others, they were given the remaining tasks.

- Member B – Task 4: Housekeeping.

- Member D – Task 2: Acquiring resources.

The team members made all the decisions about the allocations themselves. They also decided to review once a month how the tasks were allocated.

Role-taking

As you will have realised from looking at Case study 5.1, getting the right member of the team matched to the right tasks means looking at their interests – but also at their abilities.

Role-taking can be a complicated aspect of organising. Members may not volunteer for some functions. Or too many may volunteer for a choice assignment. Some may like to do the easy work, while others may make a mess because they take on more than they can handle. Though it is impossible to please everyone, it's a good idea to allocate role functions very carefully. If the youth team has a competent leader, this can be one of their main responsibilities.

Unit 5

Table 5.1 shows how you might come to these sorts of decisions.

Table 5.1 Member's ability and willingness to perform task

Low	High
Member's ability If a member's ability to do the task is low, as long as the member wants to learn, the risk is reduced. The answer might be to train or pair them with an experienced and competent person.	**Member's ability** If the member's ability is high, you are not likely to have any difficulty here. Give the person the task. If more than one person is interested in the task, consider rotation or sharing of it.
Member's willingness If the member's willingness to do the job is low, then the risk to the project is high. Avoid assigning the task to the person. Give it to someone else who is more competent and interested.	**Member's willingness** A high willingness to do the job can lead to high performance. If the task is unsuitable for many, rotate or share it.

Activity 5.2

(about 30 minutes)

With reference to your own project, think of a task or function that you might ask someone to do. Now think of five people you know – either staff-members or primary stakeholders – whom you might consider as suitable to do the task.

Using the table above, and drawing on your knowledge of the abilities and interests of the five people, decide who would be best to do the task.

When you have done this, answer the following questions. You might find it helpful to discuss them with friends, family, colleagues or fellow students.

1. What were the key factors you used in selecting the five people who might be suitable for the task?

2. How much weight did you give to the person's ability to do the task?

3. How much weight did you give to the person's probable interest in doing the task?

4. On reflection, which is likely to be more important – ability or interest – in predicting whether a person will do a task well?

Keep notes of all your ideas in your learning journal.

However you decide to match the person to the task, remember that each person must be clear about what they have to do. This means that roles and tasks must be unambiguous, so you must define and clarify each of the functions before you allocate people to them. The use of a logframe matrix (which you looked at Unit 3) might be able to help with this.

Organising activities within the group

Once you have got some sense of how the different project tasks can be divided up between you and your colleagues, you can then go on to think in more detail about how to structure the division of tasks.

Case study 5.2 gives an example of the advantages of organising for implementation (designing infrastructure).

Case study 5.2

Project objective: Conducting an adventure trek for a group of 30 youths starting within three months.

The project team identified that, to complete the project objective, the following activities needed to take place:

Activities (action steps) in the project:

1.   Identify the trek route

2.   Organise arrangements at halting places

3.   Collect funds

4.   Get the materials needed for the trek

5.   Select youths to participate in the trek

6.   Arrange guides

7.   Train the young people selected, if necessary

8.   Conduct the trek

9.   Evaluate the project.

Infrastructure for organising the project

Once they had identified the activities, the project team considered how to go about organising themselves to undertake this work.

Three possible infrastructures for organising the trek were considered by the team. They are given in the diagrams that follow.

Youth worker
Coordination and assessment of
project success
(responsible for 9 activities)

Youth Leader 1
Collection of funds
(3 activities)

Youth Leader 2
Selection of youth
(5 activities)
Preparation of youth trek
(7 activities)

Youth Leader 3
Materials
(4 activities)
Guides (6)
Halts (2)

Youth Leader 4
Identification of route
(1 activity)
Conduct of trek (8)
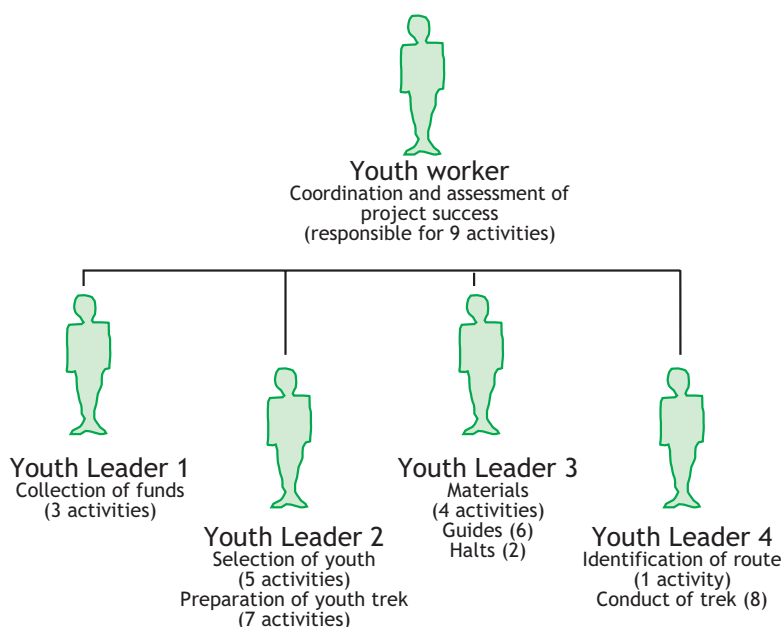
Alternative infrastructure 1

In this alternative infrastructure, one youth worker has overall responsibility and makes decisions, and subordinate youth leaders undertake separate tasks.
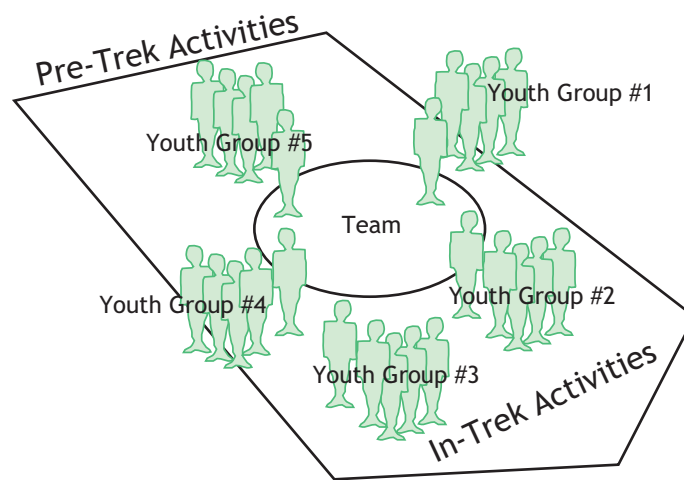
Alternative infrastructure 2

In this alternative structure, five youth leaders each head up a youth group – and all groups are involved in pre-trek and in-trek activities. All groups are represented in the central team which coordinates, makes decisions, allocates roles (to the youth as well as the workers) and ensures all activities are done.
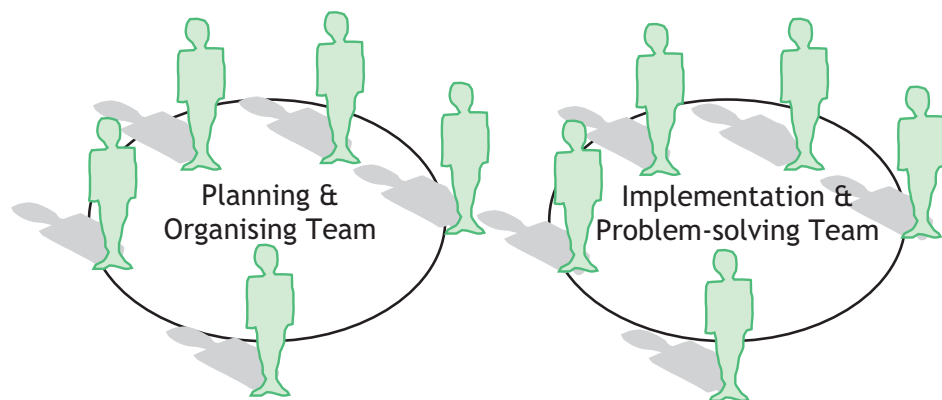
Alternative infrastructure 3

In this alternative, two teams are set up, each one comprising five youth leaders. One team is responsible for planning and organising the trek, the other for implementing it and problem solving.

Selecting the most appropriate infrastructure

After reviewing the options above, the team had to decide which of these was the most appropriate infrastructure. They did this by comparing the alternatives. They listed the criteria for successful infrastructure and set them out in a table. Then the team assessed whether each alternative infrastructure met these criteria or not.

Here is the table they drew up:

Number	Criteria	Alternatives		
		1	2	3
1	Allocation of responsibilities		Yes	Yes
2	Involvement in decision-making		Yes	Yes
3	Co-ordination between different activities	Yes	Yes	Yes
4	Early solution of problems			Yes
5	Equality of status and shared leadership		Yes	Yes
6	Teamwork		Yes	Yes
7	Effectiveness of communication	No data available		
8	Role clarity	Yes	Yes	Yes
9	Contract with trackers		Yes	

Self-help question 5.1

(about 15 minutes)

Based on what you have read so far, study the table at the end of Case study 5.2 and write down which alternative infrastructure you think is the most appropriate for this particular project. Explain why you chose this alternative.

Before reading on, compare your answers with those suggested at the end of the unit.

Avoiding a bureaucratic structure

For most youth work projects, the structure should encourage teamwork, optimum participation of individual members and group decision-making, the use of creative approaches, sensitivity to problems and sharing of responsibilities.

In view of this, you should avoid the kind of bureaucratic approach to organising shown in Alternative 1 in Case study 5.2.

Activity 5.3

(about 30 minutes)

Based on the activities and action steps that you have identified for the implementation of your own project, consider the alternative implementation structures that you might be able to use.

Look at the three alternatives outlined in Case study 5.2. How could they be adapted to suit your needs? What changes would you make to each in order to cover all of your own action steps?

Now, using the table at the end of Case study 5.2, conduct an assessment of the options, and select one for your own project. Explain why you think this is the most appropriate choice in comparison with the alternatives.

Note your work in your learning journal.

Organising for different purposes

The example given in Case study 5.2 shows how infrastructures help get things done. But infrastructures have other purposes as well – for example, problem solving and building links between organisations. These are illustrated in the following case study.

Case study 5.3

Project objective: Providing career guidance to youths from the slums.

Activities (action steps):

This project requires links to be made with a number of different agencies. The youth worker sets up youth groups to help.

Activities required are:

● identifying youth needs

● identifying agencies in the neighbourhood that provide career guidance to youth

● collecting funds

● conducting a career guidance seminar for the youth beneficiaries through invited personnel from different agencies.

To meet the demands of these activities, the project organisers set up two structures for the youth group. These are shown in the following diagrams.

Unit 5
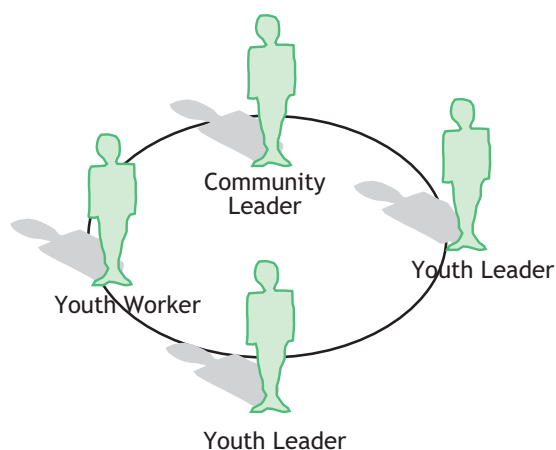
Structure 1 – Problem solving.

This structure was set up mainly to diagnose needs and problems and fulfil/resolve them. The team consists of key players – the worker, a community leader and two youth leaders. It has experienced members plus people in touch with the grassroots level. These features were intended to make the group effective in solving problems that might arise through implementation – and therefore avoid disruptions to the project.

Structure 2 – Making links.

Structure 2 shows the linkages between the organising group and the other groups and agencies involved in the project. These links are intended to promote interaction and cooperation in accomplishing the project activities. Note that the organising group obtained the agreement of the other agencies before attempting to set up this infrastructure.

As Case study 5.3 shows, you may need to devise more than one infrastructure to ensure you achieve your project objectives. Setting up each infrastructure constitutes an action step. Each organising structure will have specific purposes, but, in long-term or in very complex projects, you may need to establish linkages across these different structures.

Co-ordinating group functions

Sometimes, once the group infrastructures are established and the project team members are allocated their responsibilities, they get so involved in their work that they forget to talk to each other. Obviously this totally destroys the possibility of teamwork.

In order to avoid this, you need to consider the different ways in which you can co-ordinate your activities with those of other people.

What is co-ordination?

Co-ordination helps people to work as a team to accomplish activities and project objectives. Projects have a set of interdependent activities, most of which are likely to need support or resources. Good co-ordination achieves three things.

1   Activities occur at the right time and in the right places.

2   Information networks are kept active. This requires constant attention.

3   Less busy team members are diverted to help those in difficulty. This can be tricky and delicate.

How to co-ordinate

Co-ordination is a special set of skills. Often, the team leader arranges it. Team members tend to be more willing to accept decisions made by the leader. Co-ordination is easier when:

● the co-ordinator and team are all clear about their roles

● there is careful planning

● there is a lot of inter-dependence among tasks, so everyone involved knows what's going on.

The co-ordinator sustains the team. It's a complex job and will have an element of trial and error in it.

In some projects, informal co-ordination goes on: for example, if the fund-raiser tells the person responsible for organising resources that he can start to purchase, or if one member tells another that the beneficiaries are resentful about the forceful role adopted by the team. These are the sorts of informal links that operate. However, they are still part of the co-ordination process.

On the whole, the best means of co-ordination is via the feeling of collaboration or team spirit among the members, so it is well worth building.

Unit 5

Linking with external agencies

As you will have discovered during your activities in developing and designing your project, it is highly likely that you will need to work with partners from outside your organisation. These might be stakeholders, donors, consultants or other NGOs.

A project team should not operate in isolation. It has to have links with external agencies. Obviously, with some of these agencies the interaction of the youth team will be much more intense, intimate and regular than with others. Those agencies closest to the team form vital links, which team members have to sustain with special care. This can be done by:

- frequent meetings: both formal and informal

- guidelines and norms for interaction

- designating a special person to liaise with the agency.

Case study 5 gives you an opportunity to reflect on the purposes and benefits of maintaining links between your youth work team and other agencies.

Case study 5.4

Project: Construction of temporary cattle sheds.

The youth team undertook to manage the construction and operation of temporary cattle sheds just outside a village to house all the cattle belonging to a group of villages.

Motives for the project:

There were many motives for this project, including:

- health care for the cattle

- cleanliness in the village

- reducing the burden of some villagers who were struggling to maintain their cattle in their small backyards

- improving mulch and cattle performance.

The agencies which got linked to the youth team were:

- the beneficiaries

- construction contractors

- cattle feed suppliers

- utilities department

- the Government Veterinary Services Department

- milk product cooperatives

- construction material suppliers

- health care officers

- malaria eradication agency

- a research organisation which was engaged in improving the design of bullock carts and cattle-powered agricultural implements.

Purposes of the links

For the construction of the temporary cattle sheds, some of the purposes of the links were:

- to assure the flow of funds and materials as planned

- to make sure expertise was continually available

- to ensure the flow of data/information

- to allow prompt prevention and cure in relation to the health of the people and the cattle

- to allow needs to be assessed

- to allow feedback on performance.

Self-help question 5.2

(about 15 minutes)

Drawing on information in Case study 5.4, identify three more purposes of links with external agencies.

1.

2.

3.

Before reading on, compare your answers with those suggested at the end of the unit.

As you can see, there are many reasons to maintain links between the project team and the external agencies. The team interacts with its environment (external agencies) with these overlapping motives in mind:

- ensuring that the project survives

- bringing about improvement and development

- increasing the credibility and acceptance of the project.

Activity 5.4

(about 10 minutes)

Here is a brief project description. Read it, then answer the questions that follow.

Project

A youth club plans to set up a cooperative sports shop for supplying sports goods to a large number of youth clubs in the neighbourhood. The sports shop is to be run by a team of youths selected by youth club members.

Questions

1. List four external agencies that might be linked with the youth team.

2. Give the main purpose of each linkage.

Note your ideas in your learning journal.

Activity 5.5

(about 15 minutes)

Bearing in mind your own project, identify as far as possible the full range of external links that you and your stakeholders might require in order to ensure maximum effectiveness.

Write in your learning journal a list of actual and potential external links, and identify what they will contribute to the project, in terms of resources, skills and financial support.

In this section, we have examined the purposes of establishing organisational structures and maintaining external linkages. Next, we discuss how to maintain effective communication patterns with the different groups and external agencies.

Communication between groups

As we have seen, a project team is not independent. It has links and interdependence with other groups (beneficiaries, external agencies, etc). Therefore, communication among these groups is important.

There is a great deal of material available on communication, so we won't go into it in detail here. Instead, we take a quick look at common barriers to communication in the youth work context, and look at one model communication strategy that you may find useful in your project work.

Barriers to communication between groups

When communication between groups is very important (as it is in project work) barriers that impede it must be prevented. Here are some common difficulties:

● distortion of messages – this can happen with both verbal and written messages and requests

● ineffective listening

● lack of feedback on communication

● delays in communication or feedback

● lack of any communication

● communication used as an exercise of power between groups.

With these common barriers in mind, the main condition that must be fulfilled for effective communication is that groups collaborate rather than compete with each other.

A strategy for group-to-group communication

The following diagram represents one example of a communication strategy for group-to-group communication. It shows the channels of communication between the core project team and one external group – but of course, this model can be used for any number of external agencies.
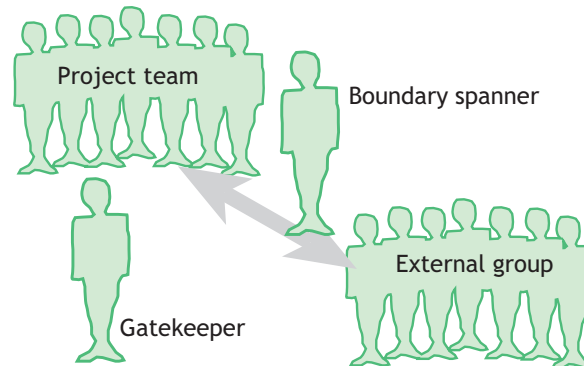
Figure 5.1 A model for group-to-group communication

As you can see, one member of the project team is given the key communication role of 'gatekeeper'. The gatekeeper receives all external information and controls access to it. He or she screens it and gives it to the member concerned. This speeds up communication flow and ensures that the right people receive only the information they need.

The 'boundary spanner' provides a direct link between the project team and the external group. Boundary spanners are like representatives of a team who are housed in the other group to liaise between them – they span the two groups. One of their functions is to collect information from the external group and to send it quickly across to the right person in the project team.

There are many strategies you can use to maintain communication between your team and other groups, but the important thing is to work to keep these two-way channels open. In this way, you can ensure that problems can be headed off, and all those involved in a project can contribute effectively to its success.

Accountability

Once you have established roles and responsibilities for the various project tasks, and have engaged with other partners over the organisational infrastructure and the lines of communication, you need to establish a system of accountability to ensure that the work takes place as expected.

To be accountable means to be answerable, liable and responsible. This implies that you, as a youth worker, should be able to show whether you have behaved responsibly and done your best with the technology, expertise and resources you have available. Accountability is essential – it is also your personal obligation – and it must be automatic.

As project managers, you and your team are also accountable for performance. This is part of what the group accepts when members take up the role. Even if you are not asked about it, it is your duty to report to the people concerned about what you did. This is what makes accountability different from evaluation – it is a personal duty, so requirements need not be written down formally. It is part of a worker's commitment. Those who hide their work and performance from others, or who misuse the opportunity to contribute, are not effective members of the team.

Who are you accountable to?

As a youth worker, you are accountable to various people, including:

- the beneficiaries and other people affected
- the other team members
- the donors
- the Government
- interested parties
- the general public.

Of course, many of these will not be at all interested in any information you have for them about your work. That does not matter – the issue is that you are prepared to account for yourself to any or all of these, should they ask. Nevertheless, you don't want to take up more time reporting than getting on with the job. You need to

meet your reporting obligations selectively, so at different stages of a project, you will report to different agencies.

Accountability reporting

An accountability report should focus on the following areas of your work:

- Maintaining ethical standards

- Making effective decisions

- Performance:

    o   planned

    o   actual

    o   follow-up measures

- Adjusting to the environment

- Commitment to work – with a sense of purpose and seriousness

- Use of resources – funds, materials, equipment and people.

When you make a report, you must present concrete evidence. Don't use phrases like:

- 'I'm doing my best.'

- 'People have not co-operated.'

- 'I do not know why this is so.'

- 'Everything is OK.'

These are too vague: they do not give concrete information.

Measures of accountability

Usually, accountability can be measured in the behaviour and responsiveness of the youth team members. However, some things that you can do in order to demonstrate your commitment to being accountable are outlined in the box below.

Key measures of accountability

- Reporting to colleagues

- Reporting to coordinators

- Detailed planning — going through all steps

- Ensuring role clarity among members

- Keeping accounts

- Frequent checking with beneficiaries

- Responsive follow-up

Unit 5

- Effective problem solving and conflict resolution

- Making consensus decisions on delicate issues

- Being honest about progress reporting

- Allowing interested parties to view progress

- Arranging site visits for agencies involved

- Acknowledging support and contributions

- External audit of performance and accounts (project evaluation)

These are actions you can take to allow others to scrutinise your work and to demonstrate your commitment to being accountable.

Accountability in projects

Accountability requirements must be worked out by the project team itself. This is part of the planning process. Often, project designs contain a preview of what accountability requirements are and how they are going to be fulfilled.

Many youth activities require external funding from government or voluntary agencies or donors. This is when accountability becomes crucial. Project teams must ensure they fulfil accountability requirements.

A general scheme of reporting is often used in projects. Here is one example:

Table 5.2 Scheme of reporting

Action	Agencies
Responsive follow-up.	Donors, other agencies involved, beneficiaries, coordinators.
Keeping accounts.	Donors, auditors, anyone else who is important in the project and who wants to see the accounts.
Ensuring role clarity among team members.	Coordinators, donors, government.

To emphasise once more the last word about accountability – it is not the same as evaluation, though the concepts are quite similar. Accountability is a personal responsibility that all workers – both as individuals and team members – have as part of their professional role and their code of ethics as youth workers. Remember this when you are considering project evaluation.

Drawing it together

We end Unit 5 by drawing together the key factors about organising for implementation and devising infrastructures. Case study 5.6 and Activities 5.6 and 5.7 give you the opportunity to apply what you have learned in this unit.

Here are the factors you have to consider when deciding what infrastructures to use.

Key measures of accountability

Factors to keep in mind when devising infrastructures:

● Project objectives and implementation plan

● The expectations of different stakeholders – i.e. agencies, youth volunteers, beneficiaries, interest groups, etc.

● Division of responsibilities

● Abilities, interests and expertise of youth volunteers

● Time frame of project

● Resources available

● Anticipated uncertainties and problems during implementation.

Case study 5.6

Here is a project description, its plan and an infrastructure for implementing it.

Project: Adult literacy classes in Make – a rural village.

Situation: Make is a village with a population of 5,000, including 300 children below three years of age. Fifty adults have completed middle-school education, and 300 boys and girls are attending various schools in the village and its vicinity.

P. Roy, a youth worker aged 28, has a Bachelor of Arts degree and wants to start an adult literacy campaign.

Here is the plan he has developed for this project.

Objectives:

1. To conduct literacy classes for about 200 adults over a period of three years.

2. To make the illiterate adults capable of reading, writing and understanding simple books.

3. To reduce barriers like unwillingness, adult shyness and adult apathy towards literacy.

Activities:

- Four literacy classes every third day for 30 adults.

- Counselling adults in their homes.

- Organising sports every Sunday.

Potential problem analysis:

Potential problems	Solutions
1. Parents preventing their adult children from attending literacy classes.	1. Create scope for gainful activity, which is dependent on literacy.
2. Some people disrupting the conduct of classes.	2. Form interest groups to oppose such disturbances.
3. Some youth volunteers withdrawing from the project.	3. Keep a reserve force of volunteers.
4. Resources from government agencies not available on time.	4. Obtain resources well in advance.

Infrastructure for implementation:

Here is a diagram, drawn up by the youth worker, of the way the groups and lines of responsibility will operate for this project.
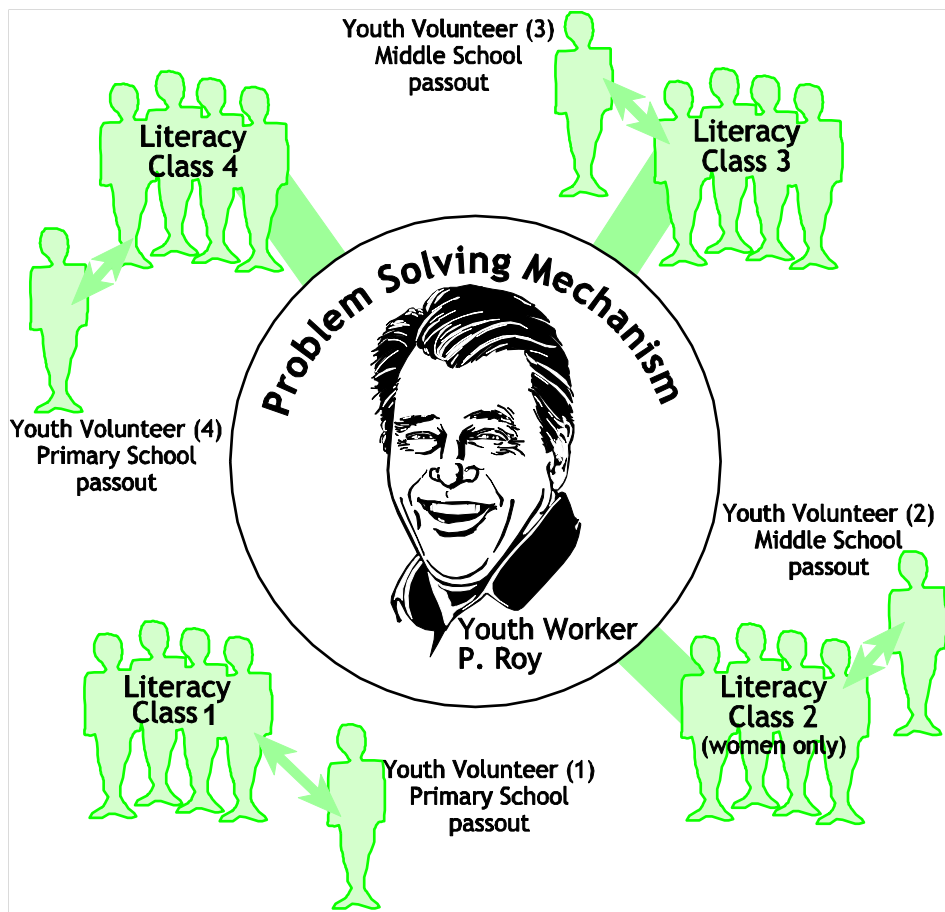
Lines of responsibility.

Activity 5.6

(about 30 minutes, plus time for discussion)

When you have read Case study 5.6, revisit the list of factors for devising infrastructures.

● Make critical comments on the project plan in Case study 5.6, based on your understanding of these factors.

● Explain the reasons for your comments and suggest alternatives that you think would work better.

● If possible, discuss this activity with colleagues or fellow students. You may wish to do it as a group.

Note: Keep detailed notes for this activity in your learning journal. You will use them again in the next activity.

Once again, this unit ends with a long activity to bring together the work you have completed so far.

Activity 5.7

(at least 1 hour)

1. Re-read Case study 5.6 and study the project situation, the plan and the proposed infrastructure.

2. Use this as a sample and develop an implementation infrastructure for your own project.

3. Once you have developed an outline for your plan, write a commentary on the different parts of the project plan, paying particular attention to the way you have organised the infrastructure for implementation. Explain in detail:

   ● why you think this would facilitate implementation

   ● how your infrastructure for the project addresses the factors for devising infrastructures outlined in this unit.

Make sure you record your work for this activity in your learning journal.

Unit summary

In this unit, you have covered the following main points:

- implementation – turning a project plan into action

- organising group structures and what this involves

- the importance of infrastructure design

- maintaining links with external agencies and why this is important

- accountability reporting and measures of accountability.

To check how you have got on, look back at the learning outcomes for this unit and see if you can now do them. When you have done this, look through your learning journal to remind yourself of what you have learned and the ideas you have generated.

In the final unit of this module, we look at monitoring and evaluation.

Unit 5

Answers to self-help questions

Self-help question 5.1

For the adventure trek, the infrastructure shown in Alternative 2 is likely to be more effective than the other two, because it: involves youth leaders and the youth themselves in most of the activities; ensures everyone involved is communicating; gives responsibility to the beneficiaries; and gives them 'ownership' of the project. All this is likely to lead to greater participation at every stage, and overall success.

Remember other alternatives that could be equally as effective as Alternative 2 could be devised.

Self-help question 5.2

Purposes of the links with external agencies are to

- ensure timelines are adhered to
- monitor the quality and efficiency of the construction task
- explore the enterprise possibilities of the project
- monitor and assess the long term health benefits of the project
- ensure the project goes ahead according to the needs of the community
- assess project impact across a range of outcomes
- enlist continuing government support for the project
- increase broad acceptance of and involvement in the project.

You may have thought of others.

Unit 6: Monitoring and evaluation

Unit introduction

This unit explores monitoring and evaluating projects – an important area that we have emphasised throughout. We have spent a lot of time in this module discussing the importance of using models such as the logical framework approach (LFA) for detailed, well-structured planning. The LFA requires monitoring and evaluation (M&E) processes to be built into the structure, in order for you to keep a close watch on how projects are being implemented.

This unit explains some of the ways in which the best planned projects can deviate from projected paths. It discusses these problems and suggests corrective measures – including the sorts of monitoring systems you can put in place to ensure that the project stays on track.

Because such a great deal of time and effort goes into devising, planning, setting up, implementing and monitoring projects, it makes sense to evaluate throughout the implementation process as well as at the end of implementation. This monitoring of progress helps identify what is not worthwhile and what is producing real benefits. This enables you to reshape the project as new situations emerge.

We will look at the nature of M&E and examine appropriate techniques – particularly the use of 'performance indicators' – in a step-by-step guide to the monitoring and evaluation process. The first half of this unit will look at monitoring, and the second half will look at evaluation. Finally we look at the important issue of project impact as the key feature in measuring project success.

Unit learning outcomes

When you have worked through this unit, you should be able to:

● describe the different functions involved in monitoring and evaluation

● develop appropriate methods for monitoring projects

● implement strategies for effective follow-up

● develop appropriate methods for evaluating projects.

Unit 6

What are monitoring and evaluation?

In Units 4 and 5, we have concentrated on developing plans for implementing your project. Here, we are going to look at how you can judge the progress of your project once it is under way. You can do this by using monitoring and evaluation techniques.

Monitoring and evaluation (M&E) are crucial tools in managing implementation. Managing implementation entails controlling and directing the processes by which managers make sure that the activities in the action plan actually happen, and that they happen effectively and on time.

The broad framework of a project's M&E system must be established during the project design phase. Everyone's expectations about what they are responsible for, and the information they will need and have access to, have to be made clear as early as possible. This is a powerful motivator and director of people's energies.

Because each part of the M&E system is driven by the need to evaluate the ultimate effectiveness of the project, that purpose should be built in from the start, and the project vision will be kept in focus.

To start setting up an M&E system, first identify what you will need it to achieve. This includes:

- guiding the project strategy

- making sure that project operations are effective

- meeting the requirements for external reporting to funding bodies and governments

- determining the most effective way to gather this information and how it will be analysed.

In presenting your plans to a donor or project funder, one way of looking at M&E is as an information management system. The information comes partly from keeping track of which outputs, outcomes and impacts are being achieved by the project's activities. For this, effective 'performance indicators' (specific measures you need to use to tell you whether a project has met its objectives) need to be determined. The information also comes from checking what's happening to project activities – whether they are being completed to time, whether the finances are being managed intelligently, and what is happening to the use of other resources.

Some issues to consider in M&E

The design stage of project development is the time to establish a detailed M&E system. The design stage is the point at which the system can become irretrievably damaged. For example, if you don't pay full attention to the aims and objectives of all the stakeholders, then you are unlikely to discover what the project situation is really

like, and unlikely to engage stakeholders' crucial commitment to the monitoring and evaluation processes. To engage their commitment, you must listen to their concerns and build the feedback from them into the M&E system. They will have a very good idea about the kind of performance indicators that will tell you whether the project is succeeding.

In addition, any lack of logic or other design fault in the project, such as unrealistic objectives, is disastrous for M&E because this will generate meaningless performance indicators.

You should use the process of creating the M&E system to make clear and sharpen the design itself. If the design is too rigid, setting up the M&E system will make that clear. As project workers you should decide how much flexibility you can give to your plans and build that into the M&E rationale.

Finally, you need to budget and allocate resources for M&E from the start. The M&E system should not be attempted until you have some idea of how much money and time you can allocate to it, and what is the available expertise for managing it.

Turn to Reading 8: 'A Logframe Matrix for the Nile Shendi Village Project'. Note how the LFM makes clear that there is 'focus group' discussion, 'individual interviewing', 'participant observation' (some of which requires systematic botanical and commercial knowledge), applied science 'testing', and so on.

With regard to your own project, you have to know where all of the expertise is coming from and whether the funding allows for the sustained and expensive M&E time needed.

Activity 6.1

(about 15 minutes)

In the logframe matrix for your own project, you have already given some indication of your plans for monitoring and evaluating your activities. Bearing in mind the issues identified so far in this unit, undertake a short critical review of your plans.

In your learning journal, write some guiding notes on potential areas of concern. You will have the opportunity to address them later in this unit.

We are now going to look at the first major area covered by this unit – monitoring.

Monitoring

One of the first things we need to do is clarify the difference between monitoring and evaluation.

As the name suggests, monitoring is a means of observing and assessing the progress of a project while it is in action. You monitor the activities undertaken by you and your colleagues in order to:

- identify the strengths and weaknesses of your system

- identify problems you had not anticipated

- identify and implement solutions to those problems as quickly as possible.

It is most likely that monitoring will be undertaken by the project team as part of your daily and monthly activities. A monitoring review may be held every two or three months to co-ordinate between the different partners, and the findings would be passed on to donors through reports.

Evaluation, on the other hand, usually takes place at the end of a project cycle. It is a means by which you and the donors are able to assess how successful the project was: Were you able to attain your goals? What were the outcomes? What issues helped or hindered in this process?

Some issues to consider in developing a monitoring process

The danger with formal M&E processes is that they can easily become separated from the day-to-day flow of a project's work. Also, monitoring may become dangerously separated from evaluation. The processes can also be treated as merely formal data-gathering, which can be left to a small specialist external staff.

There is sometimes a good case to be made for leaving monitoring to outside specialists, particularly if they are reporting to a funding body with very specific objectives to meet. However, if that is all the monitoring you do, what then happens is that the qualitative, non-formal monitoring activities still take place among team members, over coffee breaks or in on-site arguments. And, if the formal data collection is not integrated with informal qualitative data retrieval processes, their potential as a system of supportive integrated learning is lost.

Therefore, what is really needed is M&E as an integrated system of data collection, reflection and communication, supporting the implementation process. Monitoring can then be used to generate high-quality learning about what is happening in the project, for all those involved. This should be integrated with the critical stakeholder

meetings that take place in the project design and implementation stages.

In short, you need to ensure the following:

● The monitoring findings must be communicated to those who need to use them, particularly anyone who hasn't been involved in the data collection processes.

● Thorough and frank information needs to go to the funding agencies involved. These have to be well-analysed first and should point to the next phase of actions to be taken.

● Field staff managers need to know how their workers are experiencing the project.

● Participants should share information and solve any problems together.

As described earlier, the project strategy is the plan for what will be achieved and how it will be achieved – the project operations or activities. This is also the starting point for implementing the project and integrating the monitoring part of the M&E system. As the action steps are completed, this generates a series of actual outputs, outcomes and impacts. The monitoring system then compares them with what was planned in the project strategy. It then evaluates the differences between what was planned and what was achieved, in order to identify what changes in strategy and implementation are needed.

How to begin monitoring your project

In developing a monitoring system, the usual approach for M&E co-ordinators is to consider each objective stated in the logframe matrix, and in a second column, list the quantitative indicators, as we have done with the proposed LFM for the Shendi Village project.

Look again at Reading 8: 'A Logframe Matrix for the Nile Shendi Village Project' to remind yourself of how objectives and qualitative indicators can be set out.

While this is usual, you should be aware of possible problems generated by this approach. Often, the stated project output objectives are more complex than they look superficially, and may require a number of quantitative outcome indicators for one objective. Also, even if the indicators show that output objectives are being met, that doesn't always tell you how or why.

Setting output indicators in the LFM is valuable, as it shows you whether the logic and direction of the project are being maintained. However, in developing an M&E system that is more useful for judging project implementation, it may be better to use 'performance questions' (IFAD, A Guide for Project M&E). What performance questions ask you is not merely whether you have achieved the output

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objectives, but 'How?', 'Why?' and 'What has been learned to improve future action?'.

Activity 6.2

(about 15 minutes)

Consider your own project and develop performance questions, based on the indicators that you drafted as part of your logframe matrix. Use the Nile Shendi project documents to help you.

As you write your performance questions, consider what your ideal response to the 'How?', 'Why?' and 'What has been learned?' questions. Write your ideas in your learning journal.

Monitoring could be described as observing and evaluating the degree to which a planned activity deviates from the plan when it is implemented, and deciding what that tells you about what should be happening.

What should happen
(Planned activity)

Deviation

What actually happens
(Implemented activity)
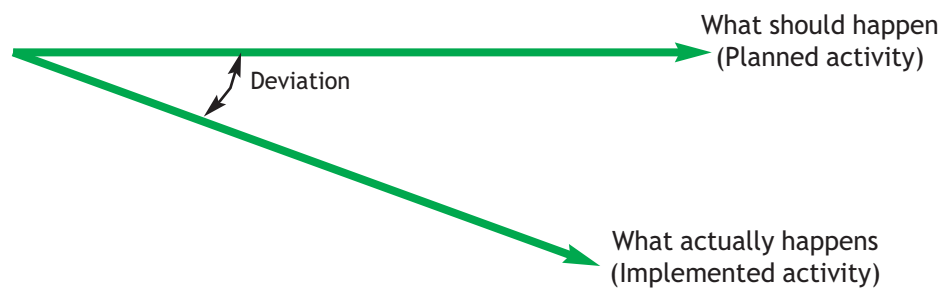
The idea of monitoring

If what happens deviates from what should happen, as in the diagram above, then you need to recognise that some unexpected factor is present and that you have to do something about it. In other words, you have to take 'remedial action' to solve the problem.

To do this, you may have to find the cause of the deviation, though there may not be time to do that and you may have to focus instead on bringing about design re-adjustments to the intended outcomes.

Take the example of Reading 3: 'The Banco Village Solar Energy Project'. By monitoring the time taken to produce the first photovoltaic panel, it may well have been revealed that an initial intention to supply a range of solar-powered wells in the village would take much too long and therefore be too expensive. This would then indicate that the programme should concentrate on only one well.

In a real-life situation, of course, it is impossible to handle all deviations, so minor deviations may be ignored. However, major

deviations need to be tackled or they will throw the plan out of balance and make the objectives impossible to meet.

For example, had there been strong resistance by the men to the project's goal of empowering the women, then the project would have had to be shelved, or changed. So the team would have been very carefully to monitor that major issue and to make minor readjustments continually.

The stages of monitoring

Monitoring involves the following four steps:

Step 1. Closely monitor the implementation processes for deviations from the plan. If there is no deviation, everything is okay.

Step 2. If a significant deviation is observed by the follow-up team, then the team must trace the cause.

Step 3. Once the cause is traced or understood, the follow-up team devises remedies for the problem. Those remedies or corrections, when implemented, will either:

● remove the problem (this will be noted in the evaluation), so that the programme will get back to what the plan prescribes

or:

● the plan will be allowed to shift in a new, more relevant direction.

This monitoring process is expressed in the diagram below.
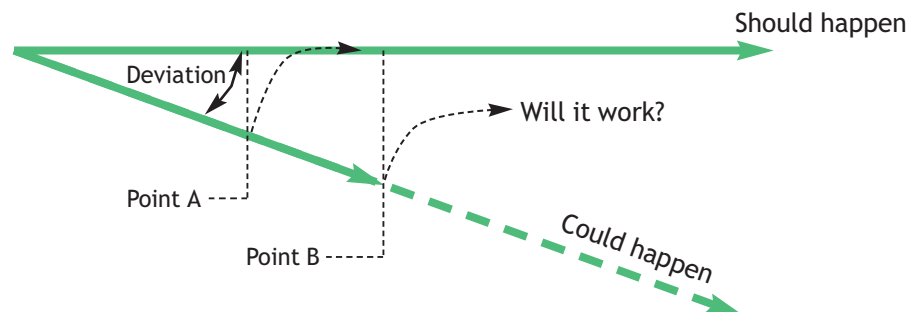
Managing deviation

It is reasonable to expect the deviation to be noticed and corrected at point A (relatively early). If the deviation is noticed and corrections attempted at Point B, it may not work at all, since by now the deviation has existed for a very long time and has become severe.

Step 4.   The follow-up team may not be able to trace the cause of the deviation. The correction or remedy may not work at all and the deviation may persist, by which time serious changes to the plan are needed.

Tracing the precise cause of deviations can be difficult. It is a creative and also logical activity. The most likely cause or causes have to be found, or the project may be lost. Clearly, it will be easier to find the causes of deviations if there is good communication with all the

interested parties, and if the project team works in close consultation with the stakeholders.

The follow-up team has to perform all these functions effectively, on a continuing basis. We will now look at the different issues to consider in effective follow-up.

Following up

In youth work or community development programmes, M&E follow-up must be done effectively. In designing projects you can't afford to rest on the assumption that well-made plans are sufficient for implementation and that M&E is a minor process.

You must establish your follow-up system alongside your M&E system at the design stage. Each activity (action step) must be clearly defined, or follow-up will be difficult. You should know precisely when each activity should start and end. The follow-up team has to monitor the progress of each activity and keep a watch for signs of things going wrong, for example:

- when things don't happen as they should

- when delays occur

- when there are unexpected outcomes.

Once such signs are noticed, the follow-up team swings into action. It identifies causes and then devises remedies.

The follow-up team

One way to ensure success is to select your follow-up team carefully. Members should be appropriate, and trained for the task, and the mix of people in the team should be right. (You may want to look back over Unit 5 Organising for implementation, where we discussed issues of teamwork and responsibility in detail.)

In following-up on the findings of a monitoring cycle, sometimes the follow-up team may miss or ignore a problem (a deviation). Sometimes the project infrastructure is so unwieldy that nothing gets done quickly and corrective action is delayed. Problems get worse if they are ignored, so you must make sure that the follow-up team is sensitive, alert and quick-acting.

Problem solving

The skills involved in tracing the causes of deviations are known as 'problem-solving skills'. Here, we are going to look at the two sides of problem solving: first, identifying the problem, and second, approaches to use in solving the problem.

Identifying the problem

Read this case study to illustrate the process of problem solving in practice.

Case study 6.1 Diagnosing deviation

A youth team, working on a project in an urban slum, was not having a positive impact on the people living there.

The deviation here was soon noticeable, so the youth team went about attempting to diagnose the most likely causes. As a group, they came up with three possible causes:

● resistance by the community to change

● poor planning

● influence of other external agencies.

The team designed and used a research method to identify one most likely cause. However, they uncovered sufficient information to indicate that none of these things had caused the problem. Eighty per cent of the community wanted change; the plan was thoroughly prepared, and no other agency was interested in doing any work in this particular area. Also, the elders of the community had been consulted throughout by the members of the project group.

Finally, they changed their approach to seeking information and conducted interviews with the beneficiaries. The team then discovered that the strategies being employed, even though quite creative, were not acceptable to a majority of the community. It was the leader of the team who was the problem. His forceful approach and his past record of delinquency were unfortunately resulting in many of the elders viewing him with suspicion.

The correction (the remedy) adopted by the group was to change the leader and give the demoted leader an unobtrusive role in the project.

As you can see, it may take several attempts by the project team to find the causes of the deviation between the plan and what is actually happening. Case study 6.2 and Activity 6.3 offer the opportunity to practice your problem solving skills and analyse what went wrong with this team's attempts to correct the problems.

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Case study 6.2 Blood donation

Here is a description of an incident:

Project: A blood donation campaign.

Description:

We, the youth club of Loca, decided we must organise a blood donation campaign in a nearby village. It was set up well. Only the young and able were to donate blood. A team of four doctors agreed to help out. A couple of tents were lent by the local Rotarians. The blood was to be passed on to a blood bank in a nearby town. And it was all organised for a Sunday. The villagers had agreed to all of this.

On Sunday morning at precisely 9.00 a.m. it all took off. It was bright and sunny. The only snag was the dairy owners who were to donate a glass of milk to each blood donor had already sold their milk in the morning. So we said it would be chocolates instead of milk. But then chocolates were not very appropriate substitutes and some people were already unhappy on hearing this.

By 10.00 a.m. two of the doctors had to go back to attend to their normal patients. And by then only three people had lined up for donating blood. Unfortunately, this left us with no female doctor and this made most of the ladies in the village extremely reluctant to come into the tent, even when we asked their husbands to escort them.

By 11.00 a.m. only ten people had come into the tent, of whom two had withdrawn at the sight of blood. Someone spread a rumour that blood donation was painful and this increased the withdrawals.

By 12.00 noon we had folded up the tent with about 12 bottles of blood. Some of the blood was ours.

Activity 6.3

(about 10 minutes)

Several deviations between plan and implementation can be seen in this incident. In some of the events described, the corrective action does not work. Identify six deviations and two ineffective corrective actions and enter them in the tables given below.

Deviations:

Serial No	What should happen	What actually happens
1		
2		
3		
4		
5		
6		

Corrective actions that did not work:

Serial No	Nature of corrective action	Evidence that corrective action did not work
1		
2		

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Approaches to problem-solving

As we saw earlier, tracing the cause of deviation between the planned and the actual events is a crucial step in problem-solving. The key to tracing the cause lies in intelligent, persistent questioning, and getting reliable answers.

Normally, the questions will lie in certain areas, as set out in the table below. The actual questions asked will depend on the situation and your relationship with the subjects that you are questioning. You will need to be less formal in most cases than the questions we have used: these are really only indicative of the ground to be covered by the interview.

Questions to ask according to problem area

Area	Kinds of questions to ask
Identifying the trouble.	• What is happening? • What has happened?
Geographic location.	• Where is it happening?
Time the trouble occurred.	• When did it happen? • At what point in the project did things start to go wrong?
Extent of the problem.	• How far have things gone wrong? • How great is the problem?

This table gives only a rough idea of the general line of questions you might ask. But asking probing questions in each area should bring you closer to the most likely cause or causes. You can also eliminate non-causes by systematically ruling out one cause after another, until you find the most likely one.

Sometimes, questioning will prove inadequate because the relevant information may not be available, or attempts to generate relevant information may not succeed. In such cases, there is no option but to generate a list of causes, and to try out remedies for each cause till the problem gets solved. You may have to resort to the trial-and-error approach when the normal approach fails. Especially when the problems are not very clear, the questioning approach may not help much, and a trial-and-error process may have to be employed. But it is cumbersome and may also fail. It should only be used as a last resort.

Identifying solutions

Problem-solving means finding corrective actions. It helps if you do this systematically. Here is an approach that sets out available solutions in a systematic way.

As we have seen, depending on the project and the situation, problems can be:

• clearly understood

or

• not at all clear.

Similarly, solutions can be:

• clearly understood

or

• not at all clear.

So there are four combinations of problem clarity and solution availability. The follow-up team has to adopt different strategies for each of these combinations. These strategies are indicated in the diagram below.
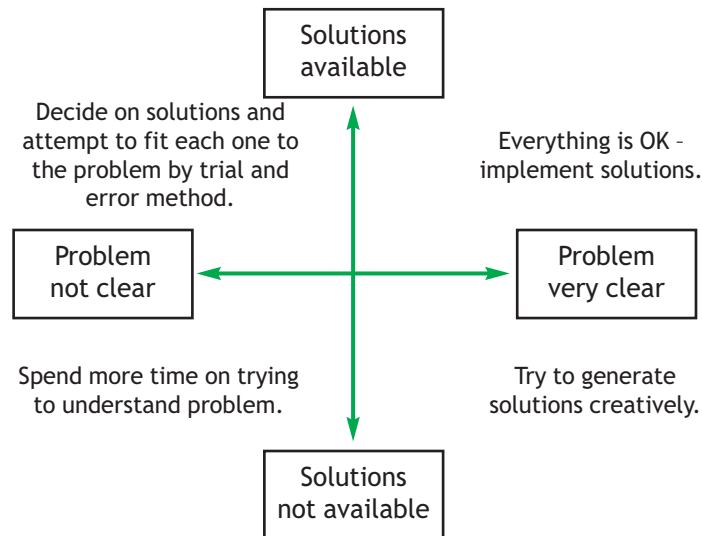
Strategies for finding solutions

Activity 6.4

(about 30 minutes, not including discussion)

Identify a problem in a project that you are familiar with. It need not be a youth work project, you can choose any case where the project did not go as planned.

With reference to the table 'Questions to ask according to problem area' given earlier, and to the diagram above showing 'Strategies for finding solutions', identify possible solutions to the problem.

1. Choose which problem-solving strategy you would use: questioning or trial-and-error.

2. Write down three possible causes of the problem you identified.

3. Identify the most likely cause using the questions in the table.

4. Using the strategies diagram above, decide in which of the four categories the problem you identified belongs.

5. Identify a solution to the problem.

Note: You may wish to do this activity as a group. Use your friends, colleagues, fellow students or tutorial group if you have one.

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Choosing the remedy

Once the cause is traced, devising a remedy is often relatively simple. What is important is that the remedy should be relevant to the cause and should solve the problem. For example, if the cause is a youth leader who is arrogant, then the remedy could be selected from two possibilities:

● change leadership

or

● improve leader behaviour.

Obviously, the second remedy will be time-consuming and it may be more practical to apply the first one.

Here, we have looked at just some of the approaches to take in providing an effective follow-up to the findings of a monitoring process. However, we need to remember that there are quite a few barriers to effective follow-up. We will consider some of these now.

Barriers to effective follow-up

Finding the causes of deviation from what was planned is often quite difficult. Here are a number of the barriers you may come up against:

1. The follow-up team may not notice the deviation at all. There could be various reasons for this:

    ● On the surface, things may appear to be going well. This usually occurs when the thinking used to form the action plan is inadequate to the situation. The result is that the investigators don't have their eyes open, and they don't design the action research well enough to pick up the right information that would tell them that all is not well.

    ● Even if the right sort of information on progress is being collected, the evaluators may not interpret that information quickly enough to warn of a deviation from the plan. If your analysis of the situation is inadequate, you may not be able to pay enough attention to the research issues. The research process in projects can respond much too slowly to deviations, unless you pay special attention to them. Good research design, based on sustained situation analysis (outlined in Unit 2), will indicate likely areas of deviation.

2. Sometimes deviations are observed, but a deliberate attempt is made to suppress this fact. This may be done to present a better image of the project to a key stakeholder, or to hide someone's inefficiency.

3. The follow-up team may notice the deviation too late, by which time a minor problem might have developed into a major distortion of the plan. If you allow the plan to be constructed

flexibly so that it can be adjusted in response to the results of the action research, you should prevent this happening.

Self-help question 6.1

(about 15 minutes)

Here are some examples of projects that have deviated from their plans. Try to work out possible causes for them. The first one, Project A, has been done for you to use as a model.

Project A: In a drain construction project, the digging is slower than expected.

Likely causes:

1. shortage of manpower

2. inappropriate tools

3. rocky soil.

Project B: In a literacy project, the target group doesn't do any homework, even though they agreed to beforehand.

Likely causes:

1.

2.

3.

4.

5.

Project C: A programme officer gets no responses to a call for volunteers for a project.

Likely causes:

1.

2.

3.

4.

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Project D: During a project on promoting gender equity, there is a heavy withdrawal of community involvement.

Likely causes:

1.

2.

3.

4.

Before reading on, compare your answers with those suggested at the end of the unit.

Activity 6.5

(about 10 minutes)

You have been looking at the issues surrounding effective follow-up in monitoring, and we have just looked at some of the problems that can arise in implementing effective follow-up.

Bearing in mind your detailed knowledge of the context in which your own project is working, take a few minutes to jot down your ideas about what might be the potential barriers to follow-up on your project. Might they be based around the stakeholders, the project team, or the resources and capacity available?

Make a note of your ideas in your learning journal.

In the last section of this unit, we look at evaluating the effectiveness of projects.

Evaluation

What is evaluation?

The term 'evaluation' means literally 'determining the value of' something, but this is used to mean different sorts of things to different people in different contexts. In the case of evaluating a project, it may be defined as 'an organised collection and analysis of information on the worth or merit' of:

1. the project as an enterprise

2. the actual performance of the project.

The evaluation of a project must include the views of others as well as those of the project team, and the evaluation criteria should include the input of all the stakeholders. This means seeing the project through the eyes of different people.

Information needed for evaluation is gathered from the monitoring process, from focus groups of stakeholders, from individual interviews and informal discussion with stakeholders and those affected, and from commentators who specialise in the areas involved. Drawing this material together will help determine whether the project is achieving its stated objectives.

Evaluation compares the pattern of planned results with the actual results. This may be for the project as a whole or for a component part, depending on the size and nature of the project. Ongoing evaluation is therefore a crucial part of project management.

The Office of Learning Technologies, Human Resource Development, Canada (2003) explains that project evaluation consists of basically four activities:

● 'Describing the flow of a project and its activities.

● 'Identifying the progress achieved and the results obtained throughout the implementation of the project, by collecting appropriate data and submitting it to a comprehensive and systematic analysis.

● 'Making informed value judgement on the results identified and comparing them with the established objectives, and in accordance with the predetermined criteria (performance indicators).

● 'Using the process to gain a better understanding of the project or its completed activities, and drawing lessons that may change ongoing activities in order to better align them with the project's goals.'

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Why evaluate?

Projects where there is investment of finance, human effort or other resources should be carefully evaluated to check that the resources are invested as productively as possible.

Evaluation can serve different purposes, for example for accountability or for judging the state of progress. Before initiating an evaluation exercise you must be very clear about its specific purposes and keep these in focus as you plan it, carry it out and present the results.

The purposes of evaluation are to:

- find out the extent to which particular project objectives have been achieved (this helps fulfil the accountability requirement)

- provide an opportunity to take a step back, to reflect on the conduct of particular project activities and on the reasons for their state of implementation (this fulfils the requirement to judge the state of progress)

- help a project to progress by providing a clear and specific direction for the necessary changes indicated by the evaluation, to improve the delivery of the project

- maximise what you learn from the experience of implementing the project

- make the information collected throughout the evaluation process during and at the end of the project, available to all stakeholders, team members and those affected, plus anyone for whom such a project might have relevance

- determine with the beneficiaries and those affected what have been the costs and benefits to them

- determine with the key stakeholders, particularly the funding bodies and governments, whether the project has generated adequate returns for the investment

- provide feedback for the project team about the success of the strategies used, the unforeseen factors which have affected the project, the effectiveness of remedial actions adopted during the project's implementation

- assess the social impact of the project

- offer recommendations on how to plan for future activities and to help other groups working in the same area, or those wanting to improve their project designs, through dissemination and public availability of evaluation results.

Who should evaluate?

The issue of who should evaluate has been debated consistently, without firm conclusions. Many projects are evaluated by external teams who are not necessarily a party to implementation. These teams may include experts and representatives of funding and support agencies. It is sometimes argued that internal people may be so influenced by the processes of implementation that they lose their ability to judge objectively. Some evaluations are carried out by both external and internal people, working together.

Activity 6.6

(about 10 minutes)

Consider the advantages and disadvantages of projects being evaluated by external teams. List them in your learning journal.

However it is carried out, the most important thing is that the evaluation should be transparent. It should give the implementing group and the stakeholders confidence that the project is the best that could be achieved for the target community in the circumstances. After all, an investment has taken place, and to check whether this is appropriate value for money is justifiable. Above all, you want to know that all the vision, effort and goodwill that you and your team have put into the project has been worthwhile.

When to evaluate

The concepts of 'formative' and 'summative' evaluation are useful in the design of evaluations. Formative evaluation means evaluation where the results are used to reform or reshape the work of the project. It focuses on ways of improving a project while it is still running and is usually intended only for the attention of the primary stakeholders and the project team. An example of formative evaluation is one that takes place after each monitoring cycle.

Summative evaluation is conducted after the project has been completed and is designed for all stakeholders and external bodies, and used to sum up its overall effectiveness.

Continually adapting project strategy in response to new understanding and to a change in context is the key to optimising a project's effects. This is why evaluation of a project is not necessarily undertaken only after the project is completed. Monitoring and evaluation processes should be built in to the design at the start of the project design process, and employed during the planning and development phases of a project. After project implementation has started, there are two main opportunities for improving the design of a medium to long term project:

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- annually, as part of the annual progress review and planning process

- during the mid-term review (MTR).

Formal evaluation can be undertaken effectively at each of these points, as well as on completion of the project, at which point there should be an evaluation of the project's achievements and outcomes and of the project's impact. In some cases (as in planting an orchard or setting up a business enterprise), it may be necessary to extend the full evaluation to four or five years beyond the project completion time, in order to judge the long-term results.

If you are involved in a short project, you should carry out a review when each of the critical phases is completed.

How to evaluate

Evaluation is done primarily on the basis of performance questions, as described earlier. The answers to these questions should tell you not only whether your project is meeting its output objectives as measured by its outcomes, but how and why that is or is not happening. It should also indicate what to do if things are not working.

This is based around certain measurable or tangible 'performance indicators'. These are also known as 'output/impact indicators' or Objectively Verifiable Indicators (OVIs).

Performance indicators are specific measures you need to use to tell you whether a project has met its objectives at appropriate points in the implementation. As described earlier in the unit, the performance questions and indicators are developed by the project team and a representative group of stakeholders during project planning.

According to the Office of Learning Technologies, Human Resource Development, Canada (2003), performance indicators must be:

- 'linked to available data: ensure that the data required for these indicators can be gathered at the appropriate time: the use of an indicator is determined by the availability of data

- 'objectively verifiable: the assessment of project outcomes must be based on reliable data collection methods

- 'valid: they must produce results that can be demonstrated to represent the real purposes of the project and its activities

- 'specific and independent: they must be appropriate for each aspect of the project's implementation

- 'measurable: the project's implementation levels must be specifically and realistically set out in terms of quantity, quality and time.'

Sometimes, in the interests of ensuring appropriate use of investment money, some process and resource utilisation indicators are also included. These are introduced to check whether the resources are being appropriately used, without too much wastage.

Case studies 6.3 and 6.4 give you practical examples of indicators that can be used for evaluating projects.

Case study 6.3

Carpet-weaving project

A project is planned for setting up a carpet-weaving unit. Carpets would be made from locally available materials. The unit would employ approximately twelve people on production and four more on other services.

The indicators for evaluation after the project is completed could be:

- carpets produced per month
- actual output vs. planned output
- production cost per carpet vs. production cost estimated
- carpets sold vs. carpets produced
- net profit from the enterprise per month
- recovery of funds from customers in a specified time period
- number and costs of youths employed long-term on production, upkeep and marketing
- utilisation of equipment (e.g. looms) in terms of hours per day
- rejects in production, utilisation of raw material (extent of wastage), power consumption, and labour.

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Case study 6.4

Woodworking training

A project is designed to train youths for self-employment in a specific trade: woodworking. The evaluation indicators devised by the project team and participants are:

- trainees who receive competence certificates vs. total trainees

- trainees setting up their own business vs. trainees who received certificates of competence

- number of trainees over one year vs. number of trainees entering business

- business turnover by self-employed trainees

- average income for self-employed trainees over a year

- customer satisfaction reports

- number of problems related to financing agency loans, repayments, raw material supplies, utilisation of hardware

- training gaps as identified from difficulties faced by the trainee-entrepreneurs.

In Self-help 6.2, you have the opportunity to devise a set of indicators.

Self-help question 6.2

(about 20 minutes)

Below is an example of a project that will have to wait several years before its effectiveness can be evaluated. Keep this in mind as you think about appropriate indicators. Devise six performance indicators and write them down in the space provided.

Project: Planting an orchard outside a village. Members of the local community will tend the young trees and manage the orchard when it becomes productive.

Indicators for evaluation:

1.

2.

3.

4.

5.

6.

Before reading on, compare your answers with those suggested at the end of the unit.

The evaluation process

So far in this unit you have learned how M&E must be based on performance questions, the answers to which are based around specific things you can measure – performance indicators – as well as on qualitative measures.

You have also learned that it is best to devise these indicators at the planning stage, and to get them partly generated by and then validated by the stakeholders in the project. You need to do this systematically, step by step, to make sure every part of the M&E process is covered. The diagram below shows the steps to follow when evaluating a project:

Examining project
proposals and plans

Generating evaluation
indicators

Getting indicators
validated

Gathering data on indicators
through site observation, reference
to records and interviews

Analysing data
and conclusions

Presenting reports and
seeking agreement

Making remedial plans
if necessary
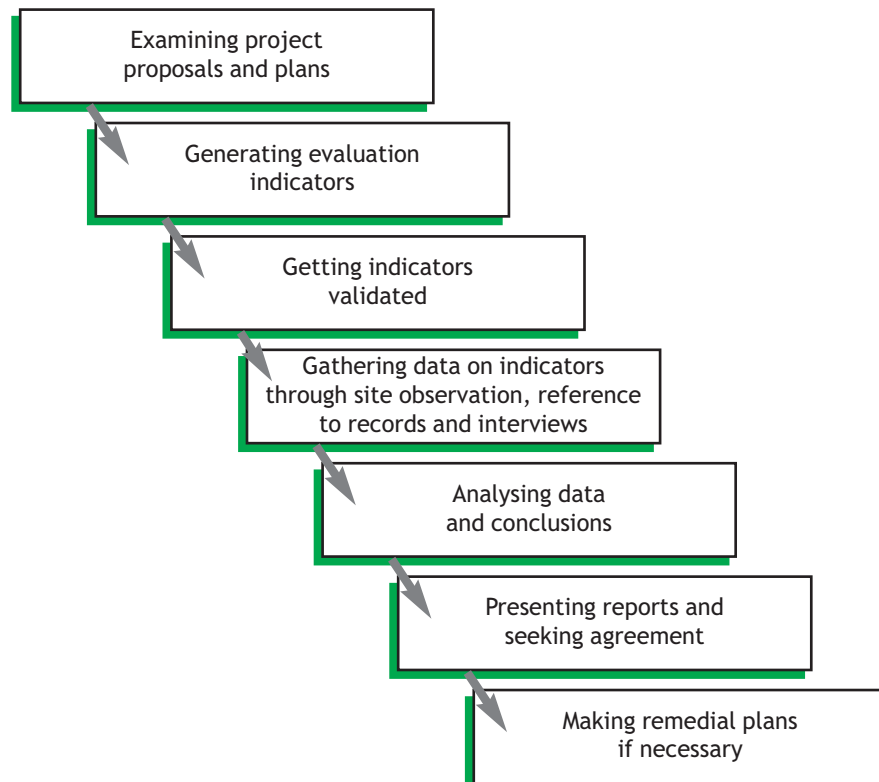
Steps in project evaluation

We will look briefly at these steps in turn.

Examining project proposal and plans

As stated already, no project should be attempted without an appropriate M&E design. As you have seen in earlier units in this module, the project design should include a detailed proposal with a plan of action. The people who evaluate the project will normally focus their attention on this plan, concentrating on the following aspects:

● project objectives, i.e. the intended outcomes

● the gains to the target group

● the resources that went into the project (resource inputs), and how effectively they were used.

The M&E objectives should be part of this.

Generating evaluation indicators

In the first instance, evaluation indicators will be drawn predominantly from those indicators developed for a project's proposal, and in particular the logframe. Other sources might include the project's stated aims and objectives.

As projects develop, particularly those that run over a number of months or years, it is likely that the focus will shift towards new goals in the light of project experiences. Mid-term reviews and reports can be valuable sources for those involved in monitoring and evaluation, especially when it comes to identifying revised goals. These will all contribute to the development of evaluation indicators.

Getting indicators validated

The indicators must be validated by the key and primary stakeholders, and the stakeholders' suggestions should be used for refining them. The views of those who are affected by these indicators should be used to check how realistic they are. At this stage, you should drop the indicators that do not throw light on the impact and outcomes of the project.

Gathering data on indicators

You can gather data from four sources:

● direct observation and measurement

● reference to records

● surveys

● interviews.

The sources of the data must be available, reliable, affordable, and timely. We have already looked at some of the tools you can use to gather data (in Units 2, 3, 4 and 5).

Analysing data and drawing conclusions

Evaluation involves drawing overall conclusions about the results derived from performance-based questions, which use a range of different sources of data. The results help the people carrying out the evaluation to arrive at a judgement about the effects of the project so far. The responses to the questions should be cross-referenced and checked for discrepancies which will need to be explained, or for unevenness in the results.

The evaluation of the data must allow conclusions to be drawn about the success of the project: its impact and outcomes.

Presenting reports and seeking agreement

You should present the analysis of the data and conclusions in the form of a final evaluation report to stakeholders. Stakeholders then respond to the team's conclusions. At this point, it is likely that you will make changes to the report based on their perceptions. Any changes should be agreed collectively.

Final evaluation reports should be in the public domain, unless, for very special reasons, this is not possible. They should therefore be written in a form that is widely understandable and acceptable.

Note that the interim evaluation report(s) should lead to project improvement, or the whole process of evaluation may be a waste of time. Final evaluation reports can be used for future project improvements, but can also be valuable information sources for local and state policy, for private investment, and so on.

Making remedial plans

A project evaluation is no use unless it suggests remedies. Project evaluation must contain remedial steps, if they are needed, so that any inadequacies in the project can be corrected to enable the project to reach its objectives, or change them.

Unit 6

Unit summary

In this unit, you have looked at definitions of monitoring and evaluation. You should now have a clearer idea if what monitoring involves, including:

- identifying deviation and cause

- implement follow-up procedures.

We have also looked at evaluation

- what it is

- how it works

- who should be involved.

To check how you have got on, look back at the learning outcomes for this unit and see if you can now do them.

When you have done this, look through your learning journal to remind yourself of what you have learned and the ideas you have generated.

In the next unit we look at how better to facilitate adult learning and at designing, implementing and evaluating programmes.

Answer to self-help questions

Self-help question 6.1

Here are some suggested answers. You may have thought of others.

Project B Likely causes:

1. poor assignment design

2. no or inadequate feedback for homework

3. no challenge in the tasks

4. no time

5. over-expectation from the target group.

Project C Likely causes:

1. other diversions

2. inability of programme officer to communicate the challenge of the project

3. project not in the field of interest of the young people

4. sabotage by vested interest groups.

Project D Likely causes:

1. volunteer intervention inappropriate

2. project too touchy

3. fear among community of wrong intentions by youth group

4. activities of vested interest groups.

Unit 6

Self-help question 6.2

Here are some performance indicators you could use for the tree-planting project. You may have thought of others.

1. Number of trees that are productive vs. total number of trees.

2. Number of trees that died vs. estimated trees that would die.

3. Number of trees that were replanted vs. estimate of replanted trees (planned).

4. Annual return on investment vs. projected return (or planned return).

5. Fruits sold vs. fruits produced.

6. Proportion of fruits decaying after production and before marketing.

7. Actual turnover vs. projected turnover.

8. Nature of diseases affecting plants and production.

9. Any other weakness in project design that was highlighted in last five years.

References

IFAD, A *Guide for Project M&E.*, International Fund for Agricultural Development. Available from IFAD's publications section at: www.ifad.org/evaluation/guide/

The Office of Learning Technologies, Human Resource Development, Canada (2003)

Unit 6

Summary

Module summary

The aim of Module 8 has been to help you gain confidence and skills in designing, planning, delivering, monitoring and evaluating projects. Now that you have completed it, you should have a good idea of the details of the techniques used in situational analysis, and an understanding of the underlying commitment to participation.

You should also know about the steps involved in project planning, and be able to develop detailed project proposals, write funding bids, and be able to monitor and evaluate your own project. We also hope you have reflected on your own accountability as a project manager or participant.

If you have successfully completed the module, you should now be able to:

- describe the different stages of project planning and implementation

- construct a project design using a logical framework based on situational and problem analysis, utilising different kinds of data collection and analysis

- plan projects on the basis of needs analysis

- prepare a detailed project proposal with clear aims and objectives and realistic methods of achieving them

- create systems for monitoring and evaluating the progress of your project.

Glossary

Accountability	The practice of being answerable, liable and responsible for one's actions.
Action research	A problem-solving technique that continually gathers information about the effects of actions being carried out, in order to improve those actions.
Action steps	A logical sequence of sets of activities carried out to fulfil the project objectives.
Beneficiaries	The people whom a project aims to benefit.
Boundary spanner	Term for a person responsible for maintaining links between two or more groups.
Data	Facts of any kind; information.
Deviation	The difference between what should happen in a project and what does happen.
Evaluation indicators	Precise, measurable indicators agreed on by stakeholders and used to evaluate projects.
Gatekeeper	Term for a group member responsible for fielding information between external agencies and the team.
General plan	The detailed plan of a project.
Goals	General aims.
Group structure	The roles, functions and relationships among team members.
Implementation	Putting the project plan into action; carrying out the activities.

Summary

Implementation cycle	The continuous cycle of action, monitoring, assessing and revising the plan.
Infrastructures	Ways of organising people, groups and procedures during implementation of projects.
Interview scheduling	A set of prepared questions asked during an interview.
Objectives	A precise list of the results you expect from a project.
Opinionnaires	A system of data-gathering that seeks information on respondents' feelings, attitudes and opinions.
Outcomes	Broader, more general objectives.
Parameters	Boundaries; categories.
Participatory Rural Appraisal (PRA)	A method of social research in which the people in the community being surveyed analyse their situation and decide on the development they require.
Performance indicators	Precise, concrete and measurable indicators of effects – used to monitor projects – also termed objectively verifiable indicators (OVIs).
Phasing of resources	Year-by-year breakdown of the financial resource needs of a project (may also be monthly or quarterly for short projects).
Project	A proposal for an undertaking, that is time-bound, with a specific and defined purpose.
Project impact	The long-term social and environmental results of a project.
Project situation	The initial state of affairs in a locality or community before a project begins.
Reconnaissance	The practice of gathering initial general information.

Resource mobilisation	The act of seeking and gathering together resources for a project.
Stakeholders	Individuals who are directly and indirectly involved or affected by a project.
Survey of needs	Research to find out the developmental and other needs of a community or locality (also termed 'needs diagnosis').
Targets	Mathematically exact objectives.
Triangulation principle	A technique for cross-checking data gathered through PRA.

Summary

Further reading and websites

We suggest you read widely from the internet and look at some of the material in this list to enrich your understanding of the subject. If you are unable to obtain any of these books or access the internet, the material in the module should be enough for you to complete it successfully.

Axel Shell (1991) *Project Evaluation: an integrated financial and economic analysis*, Aldershot, Avebury, UK.

Birley, M. and Peralta, G. (1992) *Guidelines for the Health Impact Assessment of Development Projects*, Asian Development Bank, Manila.

Commonwealth Secretariat (1996) *Women and Natural Resource Management – manuals for the Africa Region, the Asia Region, the Caribbean Region and the South Pacific Region*, Commonwealth Secretariat, London.

Commonwealth Youth Programme (Asia Centre) *Project Management: a learning package*, Commonwealth Secretariat, Chandigarh, India.

Lockyer, K.G. (1991) *Critical Path Analysis and Other Project Network Techniques*, Pitman, London.

Madeley, J. with Robinson, M. (1991) *When Aid is no Help: how projects fail and how they succeed*, Intermediate Technology Publications, London.

Morss, Elliott R. and Gow, David D. (eds.) (1985) *Implementing Rural Development Projects: lessons from AID and World Bank experiences*, Westview, Boulder, CO.

United Nations Development Programme (1996) *Compendium of Ongoing Projects, as of 31 December 1996*, UN Documents and Statistics Office, New York.

Weiss, J. (ed.) (1994) *The Economics of Project Appraisal and the Environment*, Elgar, Aldershot, UK.

Websites

Australian Centre for International Agricultural Research
www.aciar.gov.au

Actionaid International
www.actionaid.org

Australian Agency for International Development (AusAID)
www.ausaid.gov.au/ausguide/default/cfm

Australian Development Gateway: Development practice/ effectiveness
www.developmentgateway.com.au/jahia/Jahia/pid/3011

Department for International Development, UK (DFID)
www.dfid.gov.uk/

Mosaic.net International Inc. – 'Providing innovative solutions to development issues'
www.mosaic-net-intl.ca/

Community Empowerment site: workshop handout by Phil Bartle on 'Monitoring, Planning and Implementation: Integrating the monitoring at all stages'
www.scn.org/cmp/modules/mon-imp.htm

United Nations Development Programme (UNDP) *Handbook on Monitoring and Evaluating for Results*
stone.undp.org/undpweb/eo/evalnet/docstore3/yellowbook

Summary

Assignments

A final reminder about the assessment requirements for this module. Your work in this module will be assessed in the following ways:

1. A major research assignment of approximately 2,000 words (worth 50 per cent of the final mark)

2. A review of the learning journal you keep (worth 20 per cent of the final mark).

3. A written examination set by the institution in which you are enrolled for this Diploma programme (worth 30 per cent of the final mark)

Assignment 1

This assignment counts towards your final assessment in this module and is worth 50 per cent of the final mark.

Length: Up to 2,000 words.

Using the guidelines and information on planning, implementation and evaluation techniques covered in this module, develop a full project proposal for your own project. You will draw heavily on the notes and comments you gathered in relation to the various activities in this Module.

Using the skills you developed as part of this module, comment critically on your original plans, identify their strengths and weaknesses, and review them based on your findings.

Areas you should be careful to include in your plans and critical comments are:

- research techniques used in the reconnaissance stage and their appropriateness

- objectives, outcomes and project impact: how realistic and achievable are they?

- the action plan – how well the project was set up and the logic of the links between outcomes and activities

- resource mobilisation strategies and how successful they were

- techniques in place for organising for implementation – how effective?

- implementation strategies – to what extent they were effective

- monitoring and problem solving techniques – how well deviations were corrected and the extent of problem solving success

- evaluation techniques in place.

Use the project proposal template to guide you, and also refer to the various samples and case studies we have included as part of this Module.

Assignment 2

This assignment counts towards your final assessment in this module and is worth 20 per cent of the final mark. You should discuss with your tutor the exact requirement for your institution.

You are expected to keep a learning journal throughout your work on this module. You will use this to record your thoughts and feelings as you are learning and also to write your responses to the study guide activities. The journal is worth 20 per cent of the final assessment.

Assignment 3

This assignment counts towards your final assessment in this module and is worth 30 per cent of the final mark. You should discuss with your tutor the exact requirement for your institution.

The final examination may come in any form to assess your understanding of the whole module. This could be in the form of sit-in, closed-book examination, open-book examination, take home examination, and/or oral examination. The examination questions could also vary from objective questions to open ended essay type questions etc. Your instructor will design the examination to suit your particular learning objectives. Some partner institutions may offer a further assignment instead of an examination. Your tutor will confirm which option you have to take.

Note: We recommend you discuss the assessment requirements with your tutor before you begin, including how your learning journal will be assessed.

Summary

Readings

The readings in this section will help you develop your understanding of Module 8 Project Planning, Monitoring and Evaluation. The reading numbers, their titles and the unit in which they appear are listed below.

Readings

Reading 1: A Project Proposal

Intensifying the Impact of HIV/AIDS Education and Training in a Natural Environment Setting

Training of Trainers

By: Dominica Youth Environment Organization Inc (DYEO)

Submitted to: Commonwealth Youth Programme Caribbean Centre

>Mr. Henry Charles
>
>Regional Director
>
>Regional Coordination Mechanism
>
>Commonwealth Youth Programme
>
>Caribbean Centre
>
>Guyana

Applying agency profile

Name of organisation:	Dominica Youth Environment Organisation Inc
Registration number:	1121 (Registered 22/07/2002)
Address:	P.O Box 780, Roseau, Commonwealth of Dominica
Tel/Fax:	Tel :(767) 245 3040/ 449 8012 Fax:(767) 448 5235
Email:	dyeo@cwdom.dm
Project location:	Dominica
Management and co-ordination mechanism in place:	The Executive Director who will oversee all aspects of the project and will report to the Executive and funding agency on project progress.
Contact persons:	Terry Orlando Raymond/Daren Esprit
Recording mechanism:	Progress report will be prepared for submission to the funding agencies.
Budget:	Total $50,110.00 DYEO $35,530.00 Commonwealth Youth Programme$14,580.00 $50,110.00

Executive Summary

The Dominica Youth Environment Organisation Inc. proposes to undertake an HIV/AIDS education programme for young people aged 16–25. The programme will seek to utilize the natural environment as a training ground to sensitise young people about the dangers posed by HIV/AIDS.

The major activities of the programme are:

1. Two week-ends educational camps.

2. A two months educational radio campaign.

3. Documentation of activities.

The programme will be implemented over a period of three (3) months, commencing immediately after funding is released.

The total cost of the project is $50,110.00, and we are requesting $14,580.00 from the CYP funding Agency.

Dominica's population of 71,000 will benefit from the Project.

However a total of 60 young persons between the ages of 16–25 years will be directly exposed to the project.

Organisation background

The Dominica Youth Environment Organisation Inc (DYEO) (#1121), a registered, not for profit company of the Commonwealth of Dominica (22nd July 2002), is a local organisation whose membership comprises youth groups and individual youths between the ages of 16–35. It aims to improve the quality of life among youths by facilitating their personal development and promoting their full involvement in all physical and social environmental matters.

The Motto of this organization is 'Fostering Care for a Healthy and Safe Environment'.

Some of the objectives of DYEO are:

- To coordinate activities and network with other organizations to address the social needs of young people in Dominica.

- To encourage and enhance the involvement of its members and society in general (local, regional and international) in the preservation of the natural environment. In that regard, the organization will support and foster education and training of youth where necessary.

DYEO is a non-profit and non-governmental organization. Since its creation in 1993, the organization has experienced significant growth and has been involved in or has coordinated a number of activities/projects at the national, regional and international levels. Significantly, the organization has conducted, and has assisted youths in attending, leadership and other training courses. DYEO is an

associate member of the Caribbean Youth Environment, member of the National Youth Council of Dominica.

Some of the Local, Regional and International events and activities in which DYEO has participated:

- Coordinated the Petite Savanne Cultural Program.

- Hosted the Caribbean Youth Environment and Development Congress in Montserrat (1993) and Dominica (1995).

- Facilitated Dominica's participation in the 14th World Festival of Youth and Students in Cuba (1997).

- Coordinated the Annual Beach and Waterways Cleanup Campaign in Dominica 1996–2005

- Part of a Fifteen-person delegation, which attended the 14th World Festival of Youth and Students in Cuba (1997).

- Hosted Earth Matters Exhibitions in Dominica with the Dominica Conservation Association (1997, 1998, 1999).

- Assisted in organizing the Caribbean Youth Festival in Dominica (1999).

- Two members participated in the World Festival of Youth in Portugal (1998).

- Coordinated Dominica's participation in the Millennium Young People's Congress, Hawaii (1999).

- Coordinated the Global Youth Service Day Activities in Dominica (2000–2005)

- Coordinated 15 HIV/AIDS environmental Camps.

- Coordinated 4 Drug awareness camps.

- Coordinated national workshop 'Youth role in the protection of the Environment'.

- Coordinated Workshops on HIV/AIDS.

- Attended Behavioral Change workshops in Jamaica.

Networking:

In the last five years the organization has worked with the following regional and international organizations.

- UNESCO

- Caribbean Youth Environment Organisation

- Ocean Conservancy

- Pinelands Creative Workshop

- Texaco

- Caribbean Environmental Health Institute

- Caricom
- CAREC
- Commonwealth Youth Programme
- CFLI
- Peace Child International
- Caribbean Federation of Youth
- Youth Service America
- Caribbean Conservation Association
- UNICEF
- OECS RCM

Structure of the Dominica Youth Environment Organisation

General Membership

Board of Directors – Executive Director

↕

Staff (Secretary)

↕

Volunteers

↕

Board of Directors

President ↔ Executive Director

↕

Vice President

↕

Director   Director   Director

Secretary   Treasurer   Public Relation Officer   Internal Officer

Assistant Secretary Treasurer
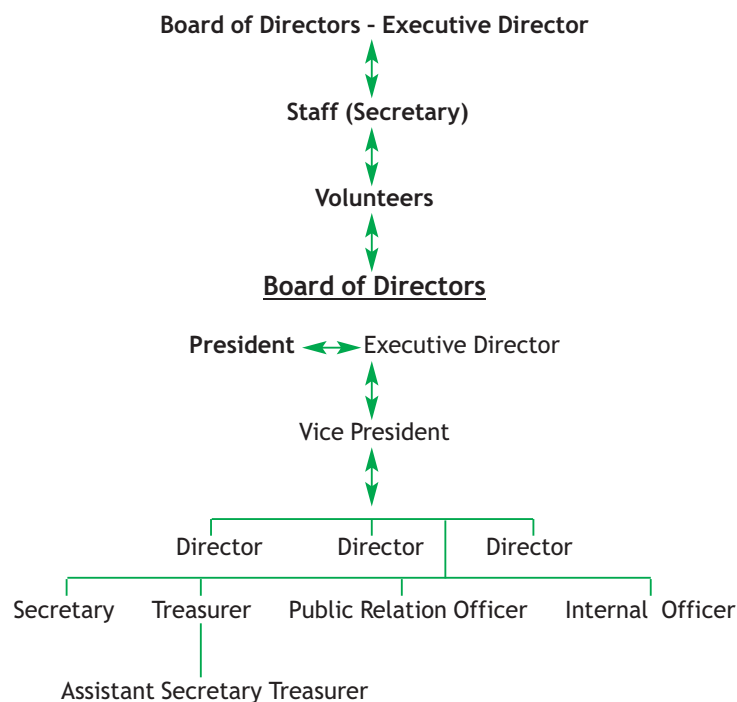
Rationale

Although there exist varying levels of environmental and HIV/AIDS awareness and a mild degree of activism among the general population, the environment has played and will continue to play an increasingly important role in Dominica's development.

As the banana industry declines, tourism becomes an increasingly attractive sector to develop. The tourism product is environmentally based, since Dominica is endowed with a resource base that distinguishes it from other 'Sun, Sand, and Sea' Caribbean

destinations. The island is widely accepted and respected throughout the Caribbean as one which remains in its pristine state.

Sadly, the training of our human resource base has not been matched to these natural resources.

Young people represent a significant proportion of the Dominican population. According to the 1991 Census, youth aged 15 to 29 composed 28.3% of the population. This figure swells to approximately 60% if all persons under 30 are included. They are the future of Dominica – the leaders, teachers, politicians, policy makers, and environmental stewards. There is a need to ensure that this group is environmentally aware, and to ensure that this awareness is harnessed into action. By their sheer numbers, they will be able to influence other segments of the population. Both governmental and non-governmental sectors have recognized the importance of youth to Dominica's future.

Underemployment or a lack of employment plagues many youth. This has resulted in a movement away from traditional sectors, especially agriculture, into vending, tour guiding and other activities related to tourism. Migration is also commonplace and takes on two forms: migration from rural areas to the centre of Roseau, and out-migration to other islands such as Antigua, Guadeloupe, and St. Martin and beyond. Coupled with this is an increase in crime and violence, and a strong presence of drug abuse and trafficking. A large portion of the prison population is youth between the ages 17–25 years.

The first case of AIDS was reported in 1987. Over the period to date more than two hundred and fifty cases of HIV have been reported, with over one hundred and forty of these cases becoming AIDS cases: over ninety of these have died.

The majority of HIV/AIDS cases reported are in the 25–44 age group. Eleven (11) Youth, six (6) males and five (5) females aged 10–24, have been diagnosed with AIDS from 1987–1999. HIV infection among young people within the 15–19 age group is also evident.

Coupled with the above problems this has far more implications for social and economic development and productive lives due to premature death and loss of working time. Other factors are of significant importance and will have to be addressed to reduce the risk of acquiring HIV infection.

Addressing the Epidemic

AIDS today is widely seen as a social crisis as well as a problem of individual behavior. The AIDS epidemic is complex, and thus only a combination of approaches can succeed. It is increasingly clear, however, that youth must be at the center of strategies to control HIV/AIDS. To ensure a decline in the incidence of HIV/AIDS and to see signs that young people are changing their risk-taking behavior we must look at the following strategies.

Readings

1. **Building support for AIDS prevention**. Until more leaders speak out about the AIDS crisis among youth and give it top priority for funding and action, there is little hope of a solution.

2. **Offering education and communication**. Young people need help to become aware of risks for HIV/AIDS and how to avoid them. Education and communication programs must go beyond merely offering information, to fostering risk-avoidance skills as well, such as delay of sexual debut, abstinence and negotiation with sex partners. HIV/AIDS education should begin early, even before children become sexually active.

3. **Promoting condoms for dual protection**. Condoms – the only contraceptive method that can protect against HIV as well as against pregnancy – are vital to controlling HIV/AIDS among youth. Condoms should be widely accessible, and their proper use promoted among sexually active people.

4. **Making services youth-friendly**. To serve young people better, health care providers must do more to make young people feel welcome and comfortable. Services, including treatment of STD's and voluntary HIV counselling, testing and referral, should be provided confidentially and sensitively.

5. **Reaching out**. Programs need to reach out to young people, especially vulnerable youth, including the increasing number of young people orphaned by AIDS.

Objectives

To equip participants with the skills to assist with the personal development of youths.

Major Objectives

To

*   use the natural environment to bring greater sensitization to safe sexual practices among youth.

*   Help participants develop their self esteem.

*   Provide participants with the four sets of skills for mastery of emotional intelligence.

*   Provide participants with the 4 tools of discipline – delaying gratification, acceptance of responsibility, dedication to truth and balancing.

*   Develop a healthy value system.

*   Develop a life plan (including family life, career and finances).

*   To train peer educators.

*   To reduce the risks of young people aged 16–25 contracting HIV/AIDS.

- To conduct environmental training sessions.

Specific Objectives

- To sensitize one hundred and sixty (160) young persons on HIV/AIDS.

- To convene two (2) environmental training camps for youth aged 16–25 years.

- To review existing HIV/AIDS information for young persons.

- To sensitize young persons via radio about issues pertaining to HIV/AIDS and young people.

- To educate young people on the importance of protecting their environment for future generations.

- Documentation of activities conducted throughout the project.

Methodology: interactive and participatory

Implementation plan

The Dominica Youth Environment Organisation Inc. (DYEO) is proposing to coordinate a project for young people aged 16–25, male and female, to sensitize them on HIV/AIDS and its implications for their lives. The strategy being employed is to remove young participants from their community where traditional societal pressures and distractions exist and place them within their natural environment. It is believed that such a strategy would enhance the learning process as there exist no other routine commitments or obligations for the two days of camp and participants will be able to more openly discuss the sensitive issues relating to HIV/AIDS and the Environment.

To ensure that activities are interesting to young people in attendance, the camp will provide the opportunity to partake in a number of environmental activities such as hiking and camping, and group activities. However, the bulk of the time will be spent on HIV/AIDS education.

Specifically, we propose to convene two (2) Youth Environmental Training Camps over a period of two (2) months, i.e. one (1) training camp every last weekend in the month. Camps will commence on Friday evenings and end on Sunday evenings. The Camps will meet the expenses of its participants for e.g. food, equipment, tents, sleeping bags, stationery etc. Participants will be provided with resource material.

Target Group

The DYEO will target both males and females between the ages 16–25 years that have not done any of the sessions (HIV/AIDS)

Readings

conducted by other organizations, also out of school youth, unattached youth and members of established groups.

Networking and collaboration

DYEO will undertake to implement the project in collaboration with the Ministries of Health (AIDS Prevention Unit) the Ministries of Education Sports and Youth Affairs – the Youth Development Division, the Ministry of Agriculture and the Environment, the National Youth Council, Dominica Red Cross and Health promotion Resource Center. Additionally, the Archibald Tropical Research and Education Centre (ATREC) at Springfield has provided the camping grounds.

Workshops

Workshops will be conducted at the Camps indoors and outdoors. These workshops will utilize three (3) Resource persons who will be Health professionals, Educators and Family Planning practitioners experienced in the area of HIV/AIDS education.

Public Relations

A radio media campaign will be undertaken over a three-month period. The campaign will be aired during radio programmes that are popular among the proposed target group.

Implementation schedule

Activities	Months		
	Jun	Jul	Aug
Documentation	███		███
Public Relations	███		███
HIV/AIDS Environmental Youth Camps			███

Proposed budget

Expenses	Cost	Total Cost
Project Administration	EC$$$$	EC$$$$
HIV AIDS Environmental Youth Camp	DYEO Inc.	Commonwealth Youth Programme – Caribbean Centre
Preparation of Materials ● Photo coping ● Stationery ● Markers/pencils/folders/flip charts		550 400 1,000 **2,100.00**
Equipment ● Tents 10 tents @ $600 ● Sleeping Bags 30 @ $ 75 ● Lap Top computer ● Desk Top Computer (Gateway system) ● LCD projector (Sony)	6,000 3,750 5,500 3,000 6,500 **27,450.00**	
Resource Persons ● 4 persons @ $130 @ 2 camps	**1,040.00**	
Transportation ● 2 camps @ $800		**1,600.00**
Workshops ● 37 persons @ 2 camps @ $60 x 2 days (Meals for participants/ facilitators / Camp leaders / organizers)		**8,880.00**
Camp Leaders ● 3 persons @ $90 @ 12 camps	**3,240.00**	
Public Relations ● Fees ● Radio ads 2 months x $30 x 10 ● Radio Shows 4 x $500.00	200 600 **800.00**	**2,000.00**
Sanitary Facilities	2 000	
Site Preparation	1 000	
Total	**$35,530.00**	**$14,580.00**

Readings

Logframe

Objectives	Indicators	Means of verification	Assumptions
Goal To utilize the natural environment to facilitate a reduction in the number of HIV/AIDS cases in Dominica aged 16-25.			
Purpose To convene two (2) camp/workshops to train 60 young persons about the environment and the dangers of HIV/AIDS.	● At least 80% of those trained would practice safer sexual lifestyles. ● A greater appreciation for the Environment.	● Evaluation of Participants ● Report from Ministry Of Health ● Greater participation on environmental issues	● Young people utilize training and practice safer sexual habits ● Young people become more environmentally aware
Outputs 1. Sensitize 60 young persons 2. Develop new Resource material 3. Sensitize via radio 4. Documentation	● Two training camp/workshops ● Use of Manual by trainees ● More awareness of issues on Program. ● To be able to be used by other agencies.	● Reports from Workshops (Narrative & Financial Reports) ● Production & printing of Resource Manual ● Survey of young people ● Number of enrolments ● Video presentation/pictures	● Young people will want to be trained and educated on HIV/AIDS and the environment ● Material will effectively communicate to its audience ● Young people will listen to information communicated ● Video will be shown to other interest groups and agencies

Evaluation

The project will be evaluated by meeting the set objectives through the following means:

1) Evaluation forms – participants will fill out forms at the end of the program

2) Number of participants registering for the camps

3) Tracer studies of participants (finding out if they are using the skills acquired)

4) Number of call-ins during the various radio programs

5) Number of persons completing camp

6) Number of successful camps

Basic rules and regulations for HIV/AIDS education programme

1. Participants should follow all directions given to them from their supervisors.

2. No illegal weapons are allowed in the compounds.

3. Respect should be strongly exercised towards tutors, fellow participants and the property thereof.

4. Participants should not deface any of the compound's facilities or equipment. If help is required with anything please contact the supervisor.

5. Try to stick to time regulations. Rise and shine 5:30 am and lights out 10:30 pm.

6. No fighting.

7. Participants should be modestly attired.

8. No indecent language will be tolerated.

Other rules will be collectively drawn up for each camp.

Timetable for weekend camp programme

Day 1 (Friday)	
3:00-4:00	Arrival
4:00-5:00	Brief orientation and introductions
5:00-7:00	Setting up of tents – unpacking and settling in
7:00-8:00	Dinner
8:00-9:00	Establishing teams leaders and drawing up rules
9:00-10:00	Discussions of expectations

10:00–10:30	Preparing for bed
10:30	Lights out
Day 2 (Saturday)	
6:00	Rise and shine
6:00–7:00	Short hike to explore the immediate environment
7:00–8:00	River bath/shower and dress
8:00–8:45	Devotion and breakfast
8:45–10:00	Basic First Aid training and safety requirements
10:00–1:00	Interactive educational sessions by trained personnel on: • Effective Communication • The facts on STI/HIV/AIDS/The risks of HIV/AIDS • Living with HIV/AIDS by a PLWHA
1:00–2:15	Lunch
2:15–3:15	Presentations by representatives of the Ministry of the Environment
3:30–5:30	Educational sessions on: • Sexuality and Promiscuity • Avoiding Unwanted Pregnancy and STIs • Managing Risky Situations and Negotiating for Safe Sex • Safe Sex Practices • The environment as a means for employment
5.30 – 7.00	Free time to explore the immediate environment
7:00–8:00	Dinner
8:00–10:00	Camp fire discussions ('Knowing and Accepting Others and Myself')
10:00–10:30	Preparing for bed
10:30	Lights out
Day 3 (Sunday)	
6:00	Rise and shine
6:00–7:00	Physical exercises/short hike
7:00–8:00	River bath/shower and dress
8:00–8:45	Devotion and breakfast
8:45–10:45	Educational sessions on:

	• Teaching Techniques • Materials for teaching about HIV/AIDS
10:45–11:30	Break
11:30–1:00	Demonstrations of teaching techniques by participants
1:00–2:30	Lunch
2:30–4:30	Hike to natural site
4:00–5:00	Packing up
5:00–6:00	Break/evaluation of camp
6:00	Departure to homes

Methodology

The method that will be used to help young people internalize the knowledge is to take them out of their familiar environment and expose them to new ideas. Research has shown that when people are excited and happy they learn better. Dominica has a very attractive and exciting hinterland which should heighten the willingness of participants to absorb new ideas.

The camp will therefore be:

1. Highly participative

2. Use lectures, presentations (PowerPoint, indoors) and discussions to transmit knowledge

3. Offer camping, hiking and nature trips to:

    • Communities

    • Natural tourist sites

    • Forest reserves.

Broad objectives

1. Demonstrate self acceptance and awareness

2. Accept others as they are

3. Acquire training to serve as counsellors and peers re HIV/AIDS

4. Practice making informed decisions on HIV/AIDS issues

5. Facilitate the acquisition of knowledge and skills (physically, socially and spiritually) in the development of participants as leaders for the fight against HIV/AIDS

6. Resolve simple interpersonal conflicts

7. Practice first aid

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8. Develop an awareness of the human environment and its impact on the physical environment

9. Demonstrate cooperation and team spirit

10. Foster the overall development of the young people thereby creating better individuals in society

11. Help young people to appreciate the natural environment as a national asset.

Reading 2: CARE International Programme Standards Framework

The CARE International Programme Standards Framework relates the CI Vision and Mission to selected Principles, Standards and guidelines that CI Members agree should inform and shape all our work. Its components are shown graphically in this pyramid; the top three levels are then presented in abbreviated fashion below.

- CI Vision and Mission
- CI Programming Principles
- CI Project Standards
- Core Guidelines
- Sector / technical Guidelines
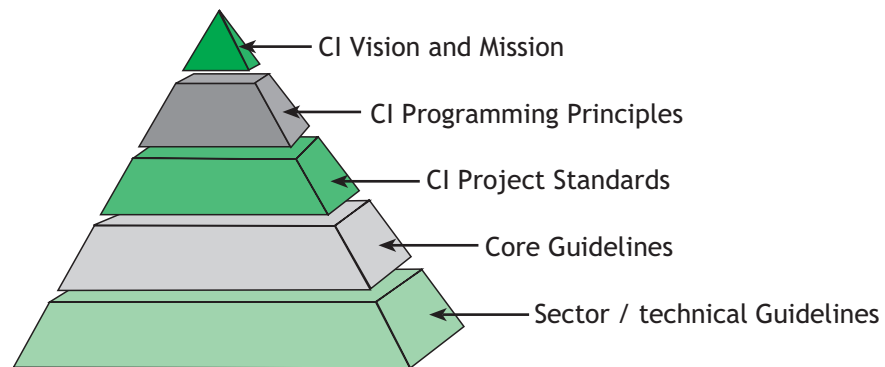
CARE programmes and projects should propose strategies that lead to lasting impact on the lives of poor people and communities. They should do so in a way that conforms with the purpose CI describes for itself in its vision and mission.

Vision Statement

We seek a world of hope, tolerance and social justice, where poverty has been overcome and people live in dignity and security.

CARE International will be a global force and partner of choice within a world-wide movement dedicated to ending poverty. We will be known everywhere for our unshakeable commitment to the dignity of people.

Mission Statement

CARE International's mission is to serve individuals and families in the poorest communities in the world. Drawing strength from our global diversity, resources and experience, we promote innovative solutions and are advocates for global responsibility. We facilitate lasting change by:

- Strengthening capacity for self-help

- Providing economic opportunity

- Delivering relief in emergencies

- Influencing policy decisions at all levels

- Addressing discrimination in all its forms

Guided by the aspirations of local communities, we pursue our mission with both excellence and compassion because the people whom we serve deserve nothing less.

Programming Principles

To fulfil CARE's vision and mission, all our programming should conform to the Programming Principles, contained within the CI Code. These Principles are characteristics that should inform and guide, at a fundamental level, the way we work.

They are not optional.

- Principle 1: Promote Empowerment

  We stand in solidarity with poor and marginalized people, and support their efforts to take control of their own lives and fulfil their rights, responsibilities and aspirations. We ensure that key participants and organisations representing affected people are partners in the design, implementation, monitoring and evaluation of our programs.

- Principle 2: Work with partners

  We work with others to maximize the impact of our programs, building alliances and partnerships with those who offer complementary approaches, are able to adopt effective programming approaches on a larger scale, and/or who have responsibility to fulfil rights and reduce poverty through policy change and enforcement.

- Principle 3: Ensure Accountability and Promote Responsibility

  We seek ways to be held accountable to poor and marginalized people whose rights are denied. We identify individuals and institutions with an obligation toward poor and marginalized people, and support and encourage their efforts to fulfil their responsibilities.

- Principle 4: Address Discrimination

  In our programs and offices we address discrimination and the denial of rights based on sex, race, nationality, ethnicity, class, religion, age, physical ability, caste, opinion or sexual orientation.

- Principle 5: Promote the non-violent resolution of conflicts

  We promote just and non-violent means for preventing and resolving conflicts at all levels, noting that such conflicts contribute to poverty and the denial of rights.

- Principle 6: Seek Sustainable Results

  As we address underlying causes of poverty and rights denial, we develop and use approaches that ensure our programmes result in

lasting and fundamental improvements in the lives of the poor and marginalized with whom we work.

We hold ourselves accountable for enacting behaviours consistent with these principles, and ask others to help us do so, not only in our programming, but in all that we do.

Project Standards

These standards apply to all CARE programming (including emergencies, rehabilitation and development) and all forms of interventions (direct service delivery, working with or through partners, and policy advocacy).

These standards should be used to guide the work of project designers; as a checklist for approval of project proposals; as a tool for periodic project self-appraisal; and as a part of project evaluation. The emphasis should not be only on enforcement but also on strengthening capacity to be able to meet these standards for program quality.

Each CARE project should:

1. Be consistent with the CARE International **Programming Principles**.

2. Be clearly linked to a **Country Office strategy** and/or long term programme goals.

3. Ensure the active **participation** and influence of stakeholders in its analysis, design, implementation, monitoring and evaluation processes.

4. Have a design that is based on a **holistic analysis** of the needs and rights of the target population and the underlying causes of their conditions of poverty and social injustice. It should also examine the opportunities and risks inherent in the potential interventions.

5. Use a **logical framework** that explains how the project will contribute to an ultimate impact upon the lives of members of a defined target population.

6. Set a **significant** yet **achievable** and measurable **final goal**.

7. Be **technically, environmentally, and socially appropriate**. Interventions should be based upon best current practice and on an understanding of the social context and the needs, rights and responsibilities of the stakeholders.

8. Indicate the **appropriateness of project costs**, in light of the selected project strategies and expected outputs and outcomes.

9. Develop and implement a **monitoring and evaluation plan** and system based on the logical framework that ensures the collection of baseline, monitoring, and final evaluation data, and anticipates how the information will be used for decision making; with a

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budget that includes adequate amounts for implementing the monitoring and evaluation plan.

10. Establish a **baseline** for measuring change in indicators of impact and effect, by conducting a study or survey prior to implementation of project activities.

11. Use **indicators** that are relevant, measurable, verifiable and reliable.

12. Employ a balance of **evaluation methodologies**, assure an appropriate level of rigor, and adhere to recognized ethical standards.

13. Be informed by and contribute to **ongoing learning** within and outside CARE.

Reading 3: The Banco Village Solar Energy Project

Part A: Project summary

PSP: Bringing Solar Energy to a village in Mali

Mali is one of the world's poorest countries, with 72% of its people making less than a $1 a day. The United Nations Human Development Report in 2005 estimated that Mali had only about a 20% literacy rate. Much of the water is contaminated and the country is plagued by water-borne disease.

In Banco village there is a major problem of accessing energy, and villagers have to rely on diminishing supplies of wood, charcoal and animal waste. Women gather fuel and carry cans of contaminated water starting at dawn each day, travelling long distances on foot. The village has a lot of unemployment, little clean water and poor education.

Practical Small Projects' Project Goals:

● educate people in Banco about solar energy

● enable local people to design, fabricate and install a photovoltaic solar system onsite in Mali.

Technical expertise in team (foreign and local):

● Dr Richard Komp of Skyheat Associates – physicist and expert in developing affordable solar energy.

● Carolina Barreto Cajina, from Nicaragua, engineer considered to be a world leader in solar irrigation, also of Skyheat Associates.

● Loriana Dembele, Italian Consul to Mali and President and founder of the very successful NGO, Ji Duma. Her cultural and managerial expertise has helped to establish 150 wells in Malian villages.

● Afriq-Power, now run by Malians, which has developed new methods of making cheap solar panels and solar ovens, mainly with local materials.

The project process

1. Meetings of core team to develop the project design.

2. Informational meetings held with villagers to determine the best use of solar energy in Banco. Villagers were enabled to understand the nature and benefits of solar energy. They decided:

- to use solar energy to bring power to the local school

- to use solar energy to drive a pump for extracting water from the well

3. PSP now trained 15 local people as solar technicians until they could build, install and maintain 35-watt solar modules and a solar pump.

Results

1. The Banco technicians built Mali's first locally made and sourced solar panel.

2. They supplied Banco School with 100% of its energy needs through solar generated electricity.

3. The school now has lights and can easily access clean water.

4. There has been a dramatic improvement in educational achievement because the school's electric lighting has enabled evening study to take place after family chores have been done.

(Abstracted from a recent Internet report published by Practical Small Projects)

Part B: Draft analysis of planning principles

The Banco Village Solar Energy Project was not necessarily initiated locally but possibly as a result of the recognition by major funding agencies of the extreme poverty in Mali: in 2003 USAID said: 'Mali's level of poverty makes it one of the most compelling cases for development assistance.'

Planning would have begun with the project team selecting the Banco Village and then identifying the main problems in the village that the project deals with (poor education, diminishing supplies of energy, contaminated and inaccessible water). These could have been identified readily from survey investigations by the Mali government and/or aid agencies, but would have had to be confirmed by research at the local level.

The NGO, Ji Duma, because of its successful record of providing wells in the region, is likely to have been involved with the team in the early planning and then the investigation of the situation locally. Looking for a way to cut through the main problems would have led the team logically to the idea of using solar energy, at which point the plan would obviously have needed technical expertise to develop further.

From the stage of local investigation, the planning clearly needed to have on board an expert in local cultural knowledge. And at this point it would also have required the full involvement of the leaders of the village community plus a small, representative group of the villagers who would be affected by the project. The initial, desk based survey and general technical planning could possibly have taken place

without community involvement, but everything else, including approval of the design, is likely to have been planned with close community involvement.

The project team for the Banco Village Project must have consisted initially of the core group of people who put together the project proposal. This will probably have included the founder of the NGO, Ji Duma, Loriana Dembele, who has significant cultural knowledge and management skills, and will have known a great deal about how to involve the local community.

This core group will have studied the available recorded research and conducted their own survey of the village before finally coming up with the specific suggestions about the use of solar energy. It is unthinkable that they will not have involved several senior, relevant people from the village prior to this process. So these people will very early on have been included in the team.

When the idea of using solar energy was considered, the core team will have co-opted the two people with specialist solar energy knowledge and skills, for advice. When the decision was taken to use solar energy, the solar experts will have joined the core team.

Before the basic ideas have been finalised into a clear plan they will have enhanced the core group with a larger advisory group of stakeholders, including a representative body of local people likely to be affected by the project, some of whom are to become direct beneficiaries, though the whole community will be indirect beneficiaries of the project, in that raising educational levels will be a key factor in village development. When the training of solar technicians has taken place, the team will have included one or more of these technicians as technical representatives.

Readings

Reading 4: Tools for presenting stakeholder analysis

1. Map of Interaction:

It is possible to describe this analysis in terms of a flow diagram or 'map' of the relationships involved among the stakeholders. In the Nile Shendi project, the 'map' of primary stakeholder relationships might look like this (the arrows are meant to suggest which way the communication flows are likely to go.
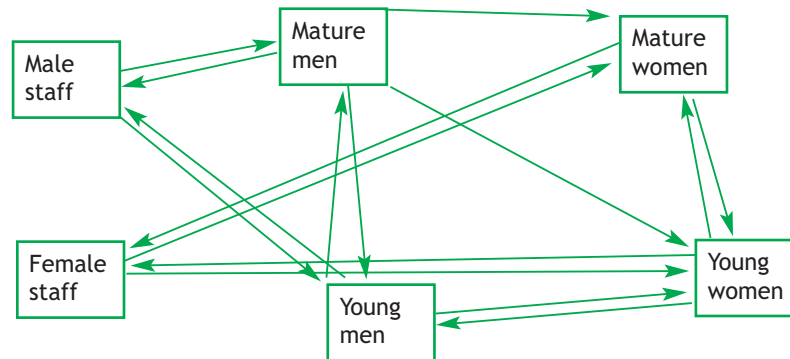
The Stakeholder Matrix

For a more detailed description of the individual characteristics of the main primary stakeholders, it is possible to create a matrix which shows the nature of the stakes involved and their implications for the project.

Analyse the matrix set out below. It is filled out with details about the stakeholders in the Shendi Village project, used in the Case Studies in Unit 2.

Stakeholder	Characteristics Social and economic structure; Organisation; Status; Attitudes	Potentials and deficiencies Resource endowment; Knowledge; Experience	Problems and interest Unsatisfied needs; Interests; Objectives	Implications for project Support; Resistance.
Mature men	Heads of economic organisation of families. Accorded high social status. Eager to extend their skills and knowledge of traditional roles. Unwilling to allow women to increase skills in male areas of expertise. Likely to accept development of complementary female roles if this improves family status.	Great expertise in raising and planting trees. Traditional skills in the organisation of farming work in desert situations. Lack of knowledge of scientific issues involved in desertification. Physical work capacities influenced by ages of men.	Fear of gradual deterioration of rural economy. Desire to improve prospects for children. Willingness to embrace a degree of technical change, providing no threat to family and community structure.	Potentially high level of support for understandable and clearly effective development of work organisation. Likely resistance to any social changes that threaten male economic decision-making, male authority and personal status.
Mature women	Women have pivotal roles in the community but these are culturally assumed to be located in the organisation of family life. Families are extended and the senior women make the decisions within the family. Control the organisation of domestic work which is mainly carried out by the younger women. Mature women do significant amounts of farm work but this is organised and controlled mainly by men.	Considerable expertise in the organisation of other women. Significant manual and organisational skills in the management of domestic work and the growing of vegetables. Expertise in managing money and other resources. Lack of technical and scientific knowledge of the growth and care of plants and trees.	Eagerness to learn how to grow, plant and manage trees. Eagerness to enhance and use their own knowledge, expertise and social status. Unwilling to risk family relationships by appearing immodest and challenging to the authority of men.	Likely strong support for any change that fulfils personal and social potential but does not generate male/female tension or upset the balance of family and community life. If expertise in vegetable growing is enhanced, this can lead to major breakthrough in upgrading quality of family and community life. Growing and developing trees the crucial basis for supporting male work in creating soil barriers.

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Stakeholder	Characteristics Social and economic structure; Organisation; Status; Attitudes	Potentials and deficiencies Resource endowment; Knowledge; Experience	Problems and interest Unsatisfied needs; Interests; Objectives	Implications for project Support; Resistance.
Young men	Have assured status in the village and the security of arranged marriages. Their attitudes tend to reflect those of the mature men. An underlying implicit conflict with elders in that they will be taking the places of their fathers. An attitude more accepting of change and willingness to see the advantage of change to themselves.	Their schooling is of recent date, so they have positive attitudes to learning new technical principles and methods. Significant knowledge of the traditional male work practices. An understanding of female work from childhood experience. Plenty of energy and enthusiasm.	Keen to aspire to family and community leadership. Recognise the dangers presented by the encroaching desert. Ready to accept changed roles for women if that will enhance the potential for survival and development.	Strong potential support for the project, provided that the challenge of female development is not over-emphasised. Likely to want to learn scientific and technical principles as well as new work practices. Probably prepared to work closely with the younger women with whom they have grown up as cousins – a useful basis for future social organisation of the village.
Young women	Relatively low social status. Servicers of the family. Very hard working. Underlying resentment of their position in the women's group. Crucial to the performance of the domestic work of the family	Very good understanding of the structure of family and community life, including an awareness of the deficiencies. Energetic and skilled manually and organisationally. Lack of formal education.	Problems with their social status until married with children. Considerable desire to improve their social standing and personal wealth.	Very strong potential support for project. Require considerable tutoring help from female staff. Prepared to work and learn with young men as well as mature women.

Reading 5: Some examples of survey forms

Read through each of these forms and identify how they are filled in. Also think about which might be most useful for your own situation.

Sample Survey Form 1

Village name _____   Village council _____

Family name _____   Survey conducted by _____

Date _____

1. What education level have you achieved?

2. (a) What work do you do?

    (b) What is your monthly income? _____

3. (a) Are you interested in learning a practical trade?   Yes/No

    (b) If yes, what trade and why?

4. (a) Are you interested in setting up a village/cottage industry?
                                                            Yes/No

    (b) If yes, what type of industry?

5. How much can you invest from your own sources?

6. If financial help is provided, what would you like to set up?

(i)	Dairy	
(ii)	Poultry farm	
(iii)	Shop	
(iv)	Garage	
(v)	Carpentry shop	
(vi)	Cycle repair shop	
(vii)	Handcrafts shop	
(viii)	Flour mill	
(ix)	Any other	

7. Would you like to start or join a cooperative enterprise? Yes/No

8. (a) Which are the development agencies working in your village?

       1. _____

       2. _____

       3. _____

       4. _____

(b) Do you have knowledge of their development programmes?

Yes/No

Sample Survey Form 2

*For farmers only

Village name _____   Village council _____

Family name _____   Survey conducted by _____

Date _____

1. Cropping pattern used

2. (a) If the irrigation facilities were improved, what changes would
    you make?

    (i)   Number of crops _____

    (ii) Crop variety _____

    (iii) Fertilisers used _____

    (iv) Pesticides used _____

    (b) What are your agricultural waste materials?

    (c) How do you utilise these?

3. (a) Can you get the type of fertiliser you need in the village?
                                                          Yes/No

    (b) Have you had your soil tested?   Yes/No

    (c) If not, what are the reasons?

4. Do you have facilities for:

    (i)   hiring agricultural equipment?   Yes/No

    (ii) servicing agricultural equipment?   Yes/No

    (iii) repairing other mechanised equipment?   Yes/No

5. (a) Do you feel that you would make use of a windmill pumping water for drinking/agricultural purposes?   Yes/No

   (b) If yes, would you like to own one?   Yes/No

6. (a) Have you got a gas plant?   Yes/No

   (b) If yes, how do you utilise the gas?

Sample Survey Form – 3

1. (a) Do your children go to school?   Yes/No

    (b) Do you think the facilities for schooling here are proper and adequate?   Yes/No

    (c) If no, what might be your suggestions for improving them?

2. (a) Do you think that there needs to be any improvement in overall living conditions in the village?   Yes/No

    (b) If yes, how do you think it can be done?

3. (a) Would you like to work for the development of your own village?   Yes/No

    (b) If yes, how?

    (c) When you get an idea about how to improve your situation, who do you tend to share it with?

4. How do you spend your leisure time?

5. What recreation facilities are available in your locality?

Readings

Sample Survey Form – 4

For farmers

A. Family details

Age group in years	0-5	6-12	13-20	21-40	41-60	Above 60	Total
1. Male							
2. Female							

B. Land holdings

Size up to	Irrigated	Semi-irrigated	Not-irrigated	Irrigation source	Unproductive
3 Hectares.					
3–5 Hectares.					
5–10 Hectares.					
10–20 Hectares.					
Above 20 Hectares.					

C. Average family income

(i) From agricultural source _____

(ii) From other sources _____

D. Livestock details

(i) Cows _____ (ii) Buffaloes _____

(iii) Goats _____ (iv) Pigs _____

(v) Horses _____ (vi) Any other _____

E. Agricultural produce

Crop	Yield	Fertiliser consumption
a.		
b.		
c.		
d.		
e.		
f.		

F.   Ownership of mechanised equipment

Tractors

Threshers

Pump sets

Chaff cutters

Any other

G.   Housing

(i)   Do you own your house?   Yes/No

Type of House

Type	Number of rooms	Ventilation	Latrines	Electricity	Other remarks

(ii)   Where do you keep your livestock?

Reading 6: Participatory Rural Appraisal (PRA) Tools

Project teams need to be trained for PRA. It is not easy introducing PRA without any expertise in dealing with the method. However, its usefulness is beyond question for small projects. It presents an accessible and interesting alternative to standard surveys and research.

Here, we are going to introduce you to the key techniques involved. They are:

- semi-structured interviews
- focus groups
- preference ranking
- mapping and modelling
- seasonal and historical diagramming
- the triangulation method
- transect walks.

1. Semi structured interviews

Semi-structured interviews are conversational interviews, in that they are very loosely structured around a prepared interview schedule, which is a series of structured questions. These structured questions are used to make sure that all the key issues are covered.

At the same time, this method is flexible enough to encourage the interviewees to give their own interpretations of the questions. In doing this, the interviewers can see how the interviewees interpret the situations in which they are living.

Understanding how people interpret their own situations is important – it gives outsiders a significant insight into how those situations have developed and how they are being maintained. People tend to act on the basis of the way they see things, and in that way they influence a situation to fit their view of it. So the views of the people directly affected are your most important source of information.

They are also the key to project implementation, because the people interviewed can be the most powerful agents of change if they come to understand and accept the project proposals. That understanding and acceptance is most effectively done through letting them explain things in depth to you.

2. Focus groups

The focus group is a low-cost, semi-structured discussion group, consisting of a small number of people. It is used to explore such

group definitions with a facilitator from a project team, so that the likely basis for group attitudes and willingness or unwillingness to take part in a project can be estimated, and consensus and commitment can be built. The group discussion is best constructed around an agreed set of questions, preferably based on the results of previous investigation. These should be given to the focus group participants to think about, prior to the focus group meeting.

Like individuals, groups tend to act on the basis of the way they see things. And the way a community understands and acts towards a social or environmental problem is socially constructed: groups of interactors in the community discuss the issues and most of them arrive at a group definition of what is going on. That then affects what they will be prepared to do about the situation.

3. Preference ranking

When participants have identified potential courses of action in response to particular problems or issues, there is then a need to identify which is the most popular course of action.

One way to do this is to encourage the participants to debate the relative advantages and disadvantages of the possible solutions against each other, and to rank them accordingly. One technique for this involves writing the options on separate pieces of card, allowing them to be moved around during the debate (e.g. placing one option above another).

This allows people to consider all of the various options in relation to each other, rather then narrowing the debate to one or two options and excluding all the rest.

4. Mapping and modelling

The social map is one of the defining elements in PRA methodology. In this reading, we are going to look at it in some detail.

Benefits of participatory or social mapping

Mapping is a surprisingly easy way of getting hold of the local underlying patterns of social and economic life in a region. Social maps are therefore a prerequisite of any project planning, especially in projects where the local community is to be involved. They provide first-hand information regarding the community and its way of life.

They give geographic details such as:

- an overview of clusters of housing

- the location of natural resources

- the location of important places such as the local weekly markets, school, health centre, meeting places for village councils and village women's council, houses of important opinion leaders, etc.

Readings

In summary, a carefully drawn social map gives an overview not just of the target groups of beneficiaries, but also of various important places and influential people in the area. This in turn helps you design a proper communication strategy. The design of a communication strategy, which is an essential aspect of project development, requires strategic information, which the social map provides. Using this, you can reach the real beneficiaries who might well have to be accessed by, for example, the local church or landowners.

Identifying influential people

Another reason to draw a social map is that it allows you to trace the social relationships between the members of the community. These are best viewed as a series of separate social webs. Each web is likely to be under the at least partial influence of an influential group or influential individual.

It's important to understand the nature of this influence on the various groups of beneficiaries. You draw a social map in such a way as to understand how the information flows from these influential people or groups to individuals in the target group of beneficiaries. You need to know which path is most suitable for the project directors to communicate effectively and efficiently.

As stated earlier, you often need to know about people who are not beneficiaries of the project but who may influence its outcomes or be important in the communication strategy of the project. They might be people that you have to influence first before you can make contact with poor people – for example, a landowners' association, which employs seasonal workers. The social map should tell you who these people are. It gives you important information about the locality, the people in it, and the webs of influence and communication among them.

What a social map should contain

A social map should contain all the socially relevant information collected. The information can be divided into two parts: general information and specific information.

Part 1: General information

This can include:

- geographical region
- project region or boundary
- population distribution
- clusters of houses
- roads and pathways – metalled or dirt
- sources of water – rivers, ponds, wells, hand pumps, etc.

Module 8: Project Planning, Monitoring and Evaluation

- religious places

- schools

- health centres

- social service centres – including such places as the Village Women's Councils

- local government offices – like the Village Council

- banks

- village markets

- location of important opinion leaders and other influential people.

Part 2: Specific information

This part can include:

- age and gender distribution of population

- available transport – and what kinds

- literacy rates

- patterns of diseases

- socio-economic and status distribution

- death rates.

A social map should not be too complex. If you need more detailed information, you can draw up more than one social map.

Who can help in drawing up a social map?

The responsibility for accurate drawing of the social map lies with the people carrying out the project. However, they must get help from:

- local people

- social workers and NGO representatives

- other stakeholders in the project

- other agencies in the area.

How to draw up a social map

The diagram below summarises the steps involved in drawing up and using a social map. Start at the bottom of the diagram.

Readings

Use social map

Draw social map

Validation of
information gathered

Gather information

Locate source of
information

Identify information
needed

Start here ▪▪▪▶
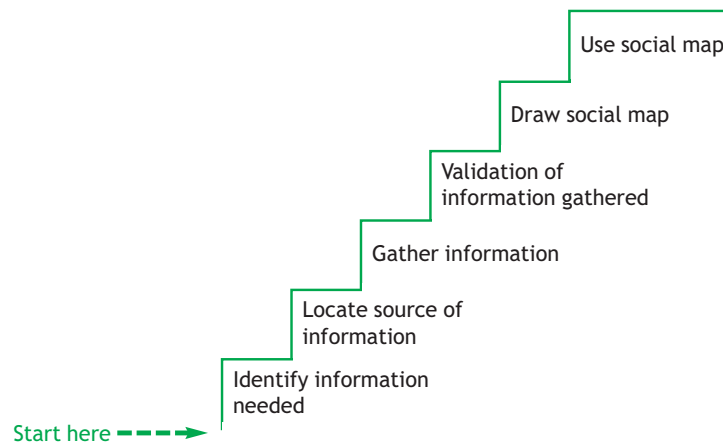
Steps in drawing a social map

- You can experiment with methods until you strike the right note. For example, one group walked on the map itself to help people 'see' whether certain buildings came on the right side of the road or the left.

- Working with a group of participants rather than individuals helps to correct information.

- In timing the exercise, you have to consider the convenience of the people. For example, if you want women to participate, then the morning (when they are usually very busy) is obviously not the right time.

- Having produced a map, it is necessary to subject it to some verification. In one case, the group picked out people at random and asked them if they could find their own houses on the map. At the end of another exercise, a group of farmers was also asked to look at the map to see if anything had been left out. In one of the social maps, it turned out that a whole group of migrants who had moved into a new set of houses constructed by the government had been left out.

To summarise: mapping builds up a detailed picture of what is happening in a locality, and where. Participatory mapping means that local people join researchers to do this. The technique serves two purposes. It helps you to understand how people and resources are organised: for example, social mapping of a village provides a picture of the way houses, water taps, and so on are organised, and can help you work out the social status and occupational patterns of the people. It also helps diagnose social relationships. Similarly, natural resource mapping can give you details of land, water, trees, and other such resources and their locations in relation to the village, and therefore an indication of how and by whom they are used.

Key features of mapping and modelling

- If people are going to participate in the exercise, they have to understand first what it is all about. It takes a long time to get started, but once participants understand it, the map emerges rather quickly.

- In order to understand the mapping, people first need to locate themselves in relation to the map (i.e. get oriented in the physical sense). They have to imagine themselves as being physically in the locality that they are mapping. For example, once they have imagined how a village is physically located in relation to the main road and successfully placed the first couple of buildings on the map, the rest is quite easy.

- It is important to find a suitable location to carry out the mapping exercise. The location must allow people to participate and express their ideas easily. For example, in one case, trying to work indoors made the process difficult. Working outdoors and using a patch of earth on which to scratch the map with a stick permitted participants both to guide the mapmaker and also to take turns with the stick.

- Available materials can be used creatively to represent objects and make the exercise more visible – for example, the use of ash or different coloured powders to draw the map, the use of straw to depict roads, and so on.

- Keep in mind the two parts:

- General information about the physical locality (houses, roads, service centres etc.)

- Specific information about the people and their social conditions (literacy/health rates etc.).

Example: The SWELL project.

Mapping is a stimulating way of gathering data about particular social indicators relevant to a project and an important way of representing data pictorially. In its guidelines for the 'SWELL' project, AWARD (2004) describes three different kinds of mapping.

> 'Community Mapping. Initially, separate local groups made separate maps based on their preferred rankings of places in the community. Then mixed groups – men, women, poor people, better-off people – worked together to produce a map of what they considered to be important in their community, such as communal meeting points, public facilities, places of special significance. This helped to gather basic social information; it also helped community members to see the range of resources they had available, and helped them to share their different perceptions of the community with each other. This became important for the implementation of the project.'

Readings

'Future Mapping for Visioning. This was a further development of community mapping. In this process SWELL asked participants to draw a map of how they would like their community to be developed in order to improve their social situation: this was done with particular reference to water supply and disposal. This process was used for the team to get a more insightful perspective on the problems of water supply faced by the community. It was also used to get the community thinking collectively about having a common goal for water development, which would be important in implementing the water project.'

'Social mapping. SWELL divided the community into equal portions, and a different group was set to work to create a map of each portion. This method gave the team an understanding of the differences between households in different parts of the community; it began to identify which households were more vulnerable than others, and would eventually be used for ranking the differences in well-being. The main characteristics, such as roads, village boundaries, main buildings and natural features, were first drawn in, then houses with family names and the occupations of individuals.'

'Well-being ranking. The purpose of this for SWELL was to identify categories of households having 'better or worse levels of well-being'. The method was to construct a matrix of rows and columns. The columns represented different social categories of people in the community (e.g. small farmers, farm workers, single parents), and the rows represented different groups of indicators of well-being (such as income source, land use, livestock, education/skills, health, food eaten and its frequency, transport available, clothing, housing and types of fuel used).'

'The method for constructing the matrix was to create cards with the names of households taken from the social map, then to create another set of cards each with an indicator of 'well-being' written on it. These well-being cards were set out separately, and the participants were asked to allocate the household cards into generic social categories and then place them under the 'well-being' categories. The team was able to draw up the results into a matrix of columns and rows while this was going on. So the matrix would show how many farm workers there were in the community, how many single parents, how many rich farmers and so on, and what quality of life each of those groups tended to have. During this process the investigators were able to explore the key issues of the project related to access to water and disposal of waste. This enabled them to set up the appropriate interviews from each category of household, for in-depth, semi-structured interviews.'

5. Seasonal and historical diagramming

Seasonal and historical diagramming works in a similar way to social mapping. However, rather than presenting community relations, it details key community events that have influenced the development and well-being of the community, whether economically, culturally or socially.

It does so by using tools such as the 'time line' and the 'seasonal calendar'.

The time line is a visual calendar of historical events from as far back as people can remember, up to the present time. Events can be in the life of a person, community, village, area or institution, depending on what you wish to investigate. This time line can help you trace trends through history, and study the nature of changes in the community.

Examples of events might be:

● the year when we had to leave the village for three months because of the outbreak of an epidemic

● the decade when the two large chemical factories started operations.

Since these events are reconstructed from the memories of people, the best informants are the old and experienced people of the village. Giving dates to events may have to be done by asking more questions.

The seasonal calendar refers to the calendar of the people. It helps us to understand time as the local people understand it. Drawing up such a calendar helps in locating recurring events, linking them up to the seasons, planning our programmes on the basis of the patterns that emerge, and relating to people in a way they understand.

Examples of patterns could include:

● the local people's calendar of agricultural operations

● busiest and slackest months in the year

● periods of maximum stress

● price fluctuations across the seasons

● the seasonal pattern of disease outbreaks

● periods of maximum and minimum fuel availability

● patterns of migration.

Patterns, trends, cycles of any kind can be charted, providing always that they are meaningful to the local people.

6. The triangulation method.

The diagram below explains the method:

Readings

Breadth
(number of people to be
interviewed or interacted with)

Depth
(number of aspects of situation
on which data is sought)

Accuracy
(provision of comparable
data form another source)
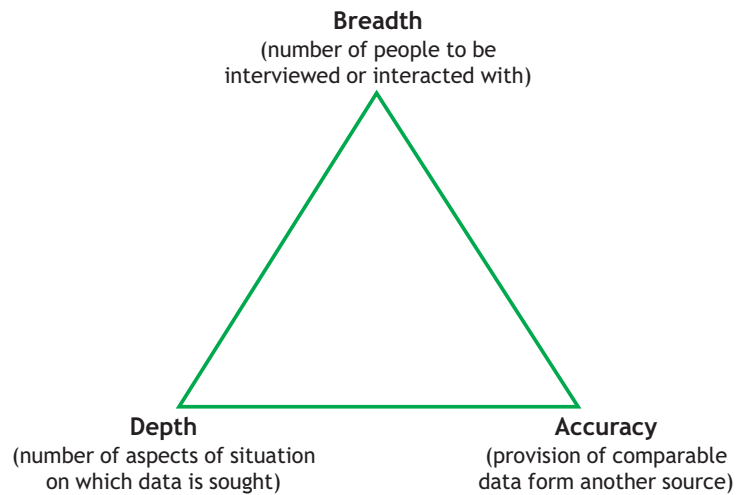
The triangulation method

There are three parameters in triangulation, as indicated by the three points of the triangle. The idea is that the project team members make sure they seek and compare data about a specific issue or phenomenon using all three parameters. Dominance of the views of too few people or an unbalanced mix of sources is likely to provide biased or incomplete data.

The way to deal with this problem is to cross check the data on all three parameters i.e. to compare the findings taken from interacting with key respondents with:

- the findings from objective observation of the situation (accuracy)

- the findings from exploratory interviewing of different groups of people (breadth)

- on a range of related issues (depth).

In this way, the interviewer must cross reference data gathered from the three parameters, cross-checking whether the data correspond, whether all groups have had an opportunity to participate, and whether all issues have been explored. This process must be designed to help the investigator to explore what people think about:

- the relevance of the project to the problems identified

- the precise benefits of the project

- who and how many will benefit

- likely problems in running the project

- how many people confirm the validity of the data (verification).

Verifying data is a way of separating facts from opinions. The method of questioning respondents has to be penetrating enough to probe the underlying issues. However, too many narrow, loaded questions will incorporate the interviewer's bias. Therefore the people interviewed must be helped to provide information in a voluntary and open manner.

7. Transect walks

A typical transect is a path along which the researcher walks and counts and/or records occurrences of whatever is being investigated. In the case of the SWELL project, this was the location of any water source and of any aspect of water and sanitary disposal, either for human beings or animals. The observer moves along a fixed path, at the same time measuring the distance of the objects under observation from the path.

The end result is that the observer learns to estimate how likely it is to find the things that are under observation as she moves away from the path, thus enabling her to estimate the actual density of these objects in the environment. Such a map gives you an idea of what the land is presently supporting and what it might support if certain interventions are made.

On its own, this mapping technique could not give you an idea of the changing agricultural zones in the countryside, nor the nature, causes, and direction of such changes: that requires a broader overview.

Reference:

Award/NRI (2004) 'Guidelines for Implementing a Water and Livelihoods Planning Process' for the project 'Securing Water to Enhance Local Livelihoods (SWELL)', The Association for Water and Rural Development

Reading 7 Further information about ACIAR's principles and project standards

Like most of the main funding agencies, the Australian Centre for International Agricultural Research (ACIAR) claims that its project development, monitoring and evaluation processes are aimed at ensuring that its projects 'deliver tangible benefits to target end-user groups in a reasonable timeframe' (Dec. 2004). They must be designed to make an **impact** by creating change at the **community** level, in a **research or development** and **extension** capacity, and/or at the **scientific level.**

- By '**community impact'** ACIAR is referring to 'any change in social, economic or environmental conditions due to the uptake of information or technology by individuals or groups (including government) as a result of the project'.

- **'Social impacts'** refer to 'changes in equity, gender roles, and the religious, political, ethnic or demographic status of an individual or community'.

- **'Economic impacts'** refer to 'changes in an individual's, a community's or a country's wellbeing'.

- **'Environmental impacts'** refer to 'changes in natural resources.'

The changes may be positive or negative and may be expected or unexpected, but nevertheless need to be **monitored and evaluated**.

Positive changes need to be **sustainable,** in that they will carry forward and maintain their effectiveness long after the project team and most of the project resources have left. An important aspect of sustainability is '**capacity building'**. ACIAR defines this as 'positive change in the knowledge and skills of the beneficiaries and key stakeholders which have occurred through taking part in the project'. To be evidence of true capacity building, these skills and this knowledge need to be seen to be applicable in other aspects of development outside the project, so that it is evident that they are then available for any new challenges the target community faces. Capacity building can also refer to any materials and tools used in the project that are made available for other development needs of the stakeholders.

There is a wide ranging literature about capacity building available on the Internet, by agencies such as the Canadian International Development Agency. It's clear in the Mali Banco Village project that the basis of the final project delivery was sustainable in a number of ways, and that **human resource capacity** had been built up significantly.

- The solar pump for the school well was a model that could be developed as a water access system throughout the village, eliminating much wasted energy and time, and the photovoltaic

panels would be available for solar energy ovens, slowing the environmental degradation caused by burning biomass.

- The solar technicians were now able to set up an advanced technical business enterprise, using mainly local materials, which presumably they would be able to adapt for other uses on a local and even regional basis.

- The significant educational gains of the village children mean that they would become easy to train for more advanced technical and intellectual work, raising the level of cultural as well as material life in the village.

In its *AusGuidelines,* AusAid urges strongly that, prior to project design, the existing problem situation should be analysed and defined by a group of stakeholders, including those who can contribute the relevant local and also technical information. In the case of the Mali project, this may have been a two stage process, in which the project team worked first with Practical Small Project advisers, Ji Duma and village leaders, then incorporated the technical experts and those villagers and others affected by the project, in a second stage of problem definition. The joint participation of all the stakeholders in this process is essential in order to establish mutual ownership of the project.

References

ACIAR *Guidelines for the Development of Project Proposals*. Internet (www.aciar.gov.au) (December 2004) Available from http://www.aciar.gov.au/web.nsf/att/ACIA-5N82CZ/$file/Project%20Development%20Guidelines.doc

Reading 8: A Logframe Matrix for the Nile Shendi Village Project

Activity Description	Indicators	Means of Verification	Assumptions
Goal The project will: 1. Set up a sustainable programme of tree and bio-mass production 2. Result in a new and profitable business enterprise in Shendi Village 3. Decrease reliance on grazing animals.	1. The presence of ecologically significant numbers of fast-growing new plantations of trees and bushes 2. Marketable home-grown produce for sale. 3. Herds of goats/cows smaller and of higher quality than formerly.	1. Participant observation. 2. Focus group analysis.	
Purpose or outcome 1. The women will achieve new, more enhanced work and social status along with acquiring scientific knowledge and technical skill. 2. The women will develop significant insight into the practice of entrepreneurial business. 3. The family, including the men, will experience reduced pressure of work in creating forest barriers and finding wood fuel, and will develop new hope for the future.	1. This outcome is normally entailed in the work process, but will show in the confidence of the way the women behave in public. 2. This will show in the women's ability to participate in the entrepreneurial training. 3. This will be indicated in what the families do and say.	1. This will be verified by participant observation and individual, open-ended interviewing. 2. Tests and observation performed in the training sessions. 3. Focus group discussion and individual interviews.	1. That they will be successful in acquiring the new techniques. 2. That there will be very quick and high quality results from the training.

Activity Description	Indicators	Means of Verification	Assumptions
Component objectives or intermediate results 1. Older women develop a suitable and sustainable level of achievement of knowledge and skills in tree and plant rearing, and tree and bio-mass management. 2. Men or women will set up marketing enterprises for selling tree saplings and vegetables.	1. Testing of knowledge and skill levels during and at the end of the training period. 2. Participant observation. 3. Focus group discussion. 4. Structured interviews.	1. Test results checked for ethnic bias re. known norms. 2. Participant observation methods developed to adjust for ethnic and social variation. 3. Focus group sessions recorded and analysed 4. Interviews prepared with regard to ethnic bias.	1. That the women will be able to adjust to new ideas and possibly new methods of learning, and that project staff can establish good working relationships with the women and men. 2. That the men and women can develop new motivations and new entrepreneurial skills.
Outputs Shendi Village community will set up a joint profitable family work pattern to help solve the problem of increasing desertification and low family incomes.	Women take the lead in using scientific methods for growing and managing trees; men will take the trees from the women and plant windbreaks. Men or women will sell their surplus production in local and regional markets.	A representative sample of families will be investigated using participant observation in homes and local markets. This will be complemented by a survey based on face-to-face interviews, and focus groups.	The men in the local community will accept changed and raised status for women. The women will accept the challenge of role-change and learning new skills.

Readings

Reading 9: Specific Objectives for the Nile Shendi Project

As a plan of work develops, you need to clarify exactly what should be happening at each point in the process. So it is necessary that general objectives are broken down into sequences of smaller, more specific objectives. Each one can then be translated into a very specific, manageable 'action step' (activity) designed to achieve it. You will also need to show how each action step can be monitored, to ensure that the objective has been achieved.

These objectives will be **SMART**: Specific, Measurable, Achievable, Realistic, Time-bound. If an objective is to be specific, it has to tell you exactly what is going to happen. To be measurable, there has to be some quantifiable method of measuring that the objective has succeeded. To be achievable, it has to be clear that, given the nature of the situation you are facing, it is still possible to meet the objectives (in the case of Shendi Village, you have to show that the problems caused by the very sharp division between men and women can be overcome). An objective will be aimed at making a change: to be realistic that change has to be shown to be possible in the given circumstances. Because objectives are required to be time-bound, you have to show what time you can allow your team to meet them, since time is expensive, and since meeting your objectives on time makes managing the sequence of stages of a project possible.

In the case of the Shendi project, the first general objective at the highest level of the objectives tree said:

> 'the project will create socially acceptable conditions for women to perform economically complementary work with men, and encourage women to develop organisations for this purpose.'

To be part of a work plan, this must be converted into more specific objectives that will suggest the necessary activities or action steps. Consider to what extent the following specific objectives do this.

- Establish an all-women's extension programme of two hours training a day for a month.

- Train the women in the process of raising and caring for seedlings; help them to understand how to apply this process when at home, working in support of their husbands.

- As part of the extension programme, train the women in the management of the trees that are planted at home, so that they are in good condition for their menfolk to plant them out at the most appropriate time in the fields.

- As part of the extension programme, teach the women the essential, up to date principles and practice of tree and plant conservation out in the field.

- As part of the conservation programme teach the women the acknowledged best practices for managing natural and planted trees and bio-mass out in the field.

- Encourage the women to consider forming a women's committee to develop their overall expertise and to work cooperatively.

- Where the women do form women's committees, provide them with training in formal committee methods.

- If women's committees have been developed, after they have been meeting for a month, use them to teach the women the principles and up to date practices of small business development, interspersed with the women's actual market activities of selling home produced tree saplings, tree products and bio-mass.

Apart from the last three in the list, these objectives are specific enough to indicate the pattern of activities that will be needed to achieve them. They are also all presumably achievable within the time boundaries of two hours a day training for a month. Whether they are likely to be realistic should emerge from a stakeholders' participative meeting. If they are going to make these objectives measurable, the project team will have to develop very clear 'output indicators' of each of the sets of skills that will be acquired.

The stakeholders' meetings are used to iron out whether these are exactly the right objectives and exactly what the criteria will be for evaluating, whether or not they have been met. Because the process is participative and iterative, then this allows a degree of flexibility in reshaping the objectives and the criteria for meeting them.

The last three objectives are still very general and will need considerable refinement and specification in the stakeholder meetings. Nevertheless, they point to a clear programme of action.

Although this is designed to meet the requirements of the first of the highest level general objectives, you can see that all the lowest level objectives will be met, except for the training in market gardening (vegetable growing), which may eventually become extremely important as a source of income, so will need special attention. The second level objectives will also be met, as will the third of the highest level objectives. The second of the highest level objectives ('develop economic activities where men, women and young people work in more productive and cooperative enterprises than they do at present') has not been dealt with, though our more specific objectives for the first of the highest level general objectives will create the basis for that.

This goal and these objectives give the team the basis for monitoring and evaluating the project. If the output indicators of the objectives show that the objectives have been met, then the project has succeeded in that component of the project. Even if they are not fully met, the specification of the output indicators will enable the stakeholders to evaluate the degree of success and failure.

Readings

Reading 10: Indicators for the Nile Shendi Project

Input indicators

For the specific objective:

> 'Establish an all-women's extension programme of two hours training a day for a month.'

the input indicator might be:

> 'Provision of a mobile greenhouse which will be made available for a month, staffed by three plant specialists as trainers.'

This indicates that the costs will include that of the greenhouse and all equipment hire and use for a month (including instructional materials), and the hiring costs of the three specialist trainers for about 60 hours.

Output indicators

For the above objective, the output indicator would be:

> 'At least one older woman from each of the 20 main village families will engage in two hours tree and plant development training each afternoon.'

This indicator will point to the need and costs of an instructional design package, but will also indicate the degree of project penetration into the culture of the village.

Outcome indicators

The outcome indicator would be:

> 'The trainee women will show, in a series of programmed activities and under questioning, that they understand the biological principles of plant development, and also that they can develop and use the routines of sapling preparation, planting and maintenance.'

This will involve setting up a system for testing these skills, which will also need costing.

Impact indicators

For the last objective. The impact indicator is usually the final indicator presented in any list. In this case, the impact indicator will be:

> 'Each of the trainee women will set up an ongoing system at home for raising and planting tree saplings. Anyone who does not manage this will be given further training.'

This will provide a measure that the team can use to analyse the effectiveness of the project in terms of one of its major goals, that of providing a skills basis and set of routines for developing environmental protection and improvement methods. It will also require the employment of observation monitors who can follow the women into their own field situations.

This process of developing the plan of work (or activity design), as you can see, needs to be very detailed. There is a significant amount of work to be done even for quite small projects. But at the end of the process you should have a very clear, logical statement that shows:

- exactly what you will be doing

- how you will be doing it

- how expensive it is

- why you will be doing it,

- how you will know whether you have achieved what you set out to do.

All this needs to be in a unitary and logical framework which can be presented to the stakeholders, funders and team members and helpers. It should enable them to see exactly what they are involved in and their role within it.

Readings

Reading 11: Developing action steps (activities)

Once you have set the objectives and activities for your project, the next task is to work out a set of action steps that clarify how the tasks can be achieved. These will help you (and the other people involved) carry out the project systematically.

Action steps must follow a logical sequence. Here is how the logic works:

(a) Sets of activities (called 'action steps') are needed to move from start to finish.

(b) Some activities come first, some must follow others, and some can occur at the same time. (You must work out the most logical sequence of action steps.)

(c) Unless all these activities are completed – usually in sequence – the project will not reach its objectives.

Guidelines for developing action steps

● Make sure that the planned action steps contain all the essential activities needed to complete the project.

● Work out the logic of the action steps during the planning process and follow this logic during the implementation stage.

● You can re-plan the action steps after the later reconnaissance stages — if necessary.

Remember that some activities cannot be implemented unless you do other things first. In other cases, two or more steps can be done at the same time. These cause-and-effect relationships between actions are sometimes called 'dependency relationships' – because one step depends on another. You must take the time and thought to work out these relationships in the action steps and reflect them in the plan.

Here is a case study to give you a concrete example of how one group developed a series of action steps for a literacy project.

Case study

A literacy project.

Project objective:

Develop the capacity of a youth group to the point where it undertakes a specific development activity like running an adult literacy camp.

Current situation:

● the community consists of 120 families

- 60 adults need functional literacy and are willing to attend evening classes during summer

- the youth group consists of eight volunteers.

Resources available:

- school building

- printed resources from a voluntary agency

- trainer for the youth group from Government.

Step 1
Detailed assessment of literacy needs by youth co-ordinator

Step 2
Youth group trained in adult literacy techniques

Step 3
Youth group meetings to allocate roles and responsibilities to members

Step 4
Community members given necessary information

Step 5
Organise resources and classrooms

Step 6
Literacy camp conducted

Step 7
Review of impact of project

Action steps (sets of activities)

Action steps.

The example in this case study shows a sequence of action steps that satisfies all the conditions mentioned earlier.

- There is a sequence with a logical progression of action steps from start to finish.

- These sets of activities are linked with each other. For example, Step 1 is followed by Step 2, then by Step 3 and so on. Only Steps 4 and 5 are concurrent action steps.

- The logic of the sequencing of the sets of activities is clear, since their order will allow the development processes inside the project to take place. The sequence is also relevant to both the project objective and the description of the initial situation.

Reading 12: Project Proposal Template

Please note: the following is not intended to be a 'fill in the blanks' form, but a set of titles to help organise essential information for a project proposal. Use this template as the basis for a customised project proposal and expand each section to meet your needs. Refer to the relevant sections of Unit 4 while using this form.

1. Basic information

Information about your organisation

Organisation Name

Address

Date established

Hours of operation: Website:

Contact information:

Name of primary contact: Job title:

Phone: Fax: Email:

Name of additional contact   Job title:

Phone: Fax: Email:

Basic Information about the Proposed Project:

Project Title:

2. Project overview or summary

Provide a one-page overview or summary.

3. Introductory sections of the proposal

Project context:

Provide information about the circumstances of the situation relevant to the project, including information about the project beneficiaries

Issue:

Project rationale:

Project goals:

Project objectives:

4. Project Methodology

Provide narrative information about the plans for delivery of the project, including information covering matters such as the project's proposed:

- strategies

- activities

- timeframe.

The following chart may be expanded and used to develop an outline of activities and timelines.

Actions	Responsibility of	Date	Comments/to be informed
Project management			
Project implementation			

5. Project Budget

Following is a sample outline for a project budget. If you are working with a specific funder's guidelines, use that funder's budget format.

The template given here is an expense budget for projects that involve project co-ordination, technical assistance, training and student participation. Expenses are grouped for each category of activity, and contributions are listed for each partner. It illustrates how budget information is organised and presented in categories.

Readings

Total Budget 2000/2005	Total Budget 2000/2001	Total Budget 2001/2002	Total Budget 2003/2004	Total Budget 2004/2005	In Kind Contribution		
					Partner 1 2000/2005	Partner 2 2000/2005	TOTAL 2000/2005
Project Coordination							
Human Resources							
Overhead							
Travel							
Per Diem							
Direct Costs							
Total Coordination							
Technical Assistance							
Human Resources							
Overhead							
Local Human Resources							
Allowances							
Travel							
Per Diem							
Direct Costs							
Total Technical Assistance							
Training Programme							
Human Resources							
Overhead							
Local Human Resources							
Allowances							
Travel							
Training Costs							
Direct Costs							
Total Training Programme							
Student Participation							
Human Resources							
Overhead							
Other expenses							
Total Student Participation							

Total Budget 2000/2005	Total Budget 2000/2001	Total Budget 2001/2002	Total Budget 2003/2004	Total Budget 2004/2005	In Kind Contribution		
					Partner 1 2000/2005	Partner 2 2000/2005	TOTAL 2000/2005
Capital Items							
Equipment							
Total Budget							

6. Staffing and organisational information

Project partners

For each project partner, provide the following information:

- Name of organisation

- Outline of the organisational mission and goals

- Information on its size, in terms of staffing, budget and other aspects relevant to the project.

- Describe the organisation's main activities.

- Briefly describe the region and populations the organisation serves.

- List experience relevant to the project

After listing information for each partner, add a section on the organisational partners' experience in working together. Briefly outline previous initiatives undertaken jointly by partners.

Project personnel

Provide information about the individuals who will be involved in the project.

(Note that these are staff who have a key role in project management and/or implementation. They may not necessarily be the same people as the contact names listed at the beginning of the proposal.)

For each key staff person, provide an outline of qualifications relevant to the project, in two or three sentences:

- name

- position/title

- qualifications relevant to the project

- experience relevant to the project.

Identify each stakeholder group or organisation involved in the project:

● name or group of organisation

● contact information

● brief profile of stakeholder

● rationale for association with project

● contributions to the project: outline the ways in which the stakeholder will be involved in the project planning and implementation, and other contributions the stakeholder will make

● stakeholder resources available for the project.

Responsibility matrix

The responsibility matrix can be used to outline how each partner and stakeholder is involved in the project. Expand it if necessary to accommodate your project information.

Activity	Responsibility					
	Partners				Stakeholders	
Project Admin						
Project Management						
Programme Development						
Project Monitoring						
Project Evaluation						
L=Lead **J**=Joint Responsibility **I**=Implement **S**= Support **A**=Advise						

7. Project results sections

● Results: list the major project results and link them to project goals and activities.

● Assumptions, conditions and risks: list the major assumptions and required conditions for the project activities to proceed as planned.

● List any foreseeable situations that could potentially prevent the project from achieving its goals.

Results chart

You may want to expand and use the results/critical conditions chart listed below.

Activities	Expected Results	Performance Indicators	Critical Conditions (Assumptions and Risks)

Project outcomes

● Review the outcomes statement prepared for Unit 1 and for Unit 3.

● Describe how the situation will change as a result of the project.

● List two or three longer term effects of the project.

8. Project evaluation

Describe how the project will be evaluated, by whom, and at what stages of the project. The following chart can be used to develop evaluation plans in an outline form. The evaluation plan can then be expanded with more detailed explanations.

Project monitoring activities	Responsibility of	Timelines	Comments/to be informed
Project evaluation activities	**Responsibility of**	**Timelines**	**Comments/to be informed**

Project evaluation activities	Responsibility of	Timelines	Comments/to be informed

9. The project's relationship to partners' goals and funders' goals

- Describe how the project meets broader goals of each of the partners.

- Describe how the project meets broader goals of the funding organisation.

10. Appendices

Some funders recommend against the use of appendices. Others stipulate that this is the appropriate location for supplementary materials, such as indications of support from other agencies – donors, government, etc. The main project document should list any appendices.

Reading 13: The Logframe Matrix and the Annual Work Plan and Budget

The International Fund for Agricultural Development (IFAD) describe the relationship between the LFM and the AWPB in the following way:

> 'Translating a project strategy, as worded in the logframe matrix, into an operational annual work plan that is clear to project staff and partner organisations transforms ideas into actions. An operational plan is detailed enough when staff and implementing organisations know what they are expected to do, when and how.'

IFAD's projects tend to be large and long term, and you may well be involved in mainly short term, quite small projects, but the principles outlined by IFAD will usually be relevant. The AWPB controls the day-to-day implementation of the project. For IFAD, it includes the following elements:

● The Work Plan – a logframe-based description of each activity/output/ indicator for each of the project's component parts.

● The Resource Schedule – a time plan which specifies when activities will take place and in what order.

● The Personnel Plan – which identifies who has what responsibilities, the staff training needed, and any additional staff needs.

● The Material/Equipment Plan – which concerns what is required for each output and each activity in each of the project's component parts. It includes procurement.

● The Budget – which identifies the cost of each output and activity per project component.

There is an example of a Budget Sheet in Reading 1: 'Intensifying the impact of HIV/AIDS education and training in a natural environment setting.'

Alan Walsch (2000) simplifies this arrangement in that the Implementation process is broken down into two main structures: Activity and Resource Schedules. Whereas the LFM summarises the key project information and does not elaborate on the operational details necessary for implementation, this is done by the two schedules. The activity schedule is designed on the basis of the LFM, specifying the project's activities in operational detail. When that has been done, a resource schedule can be drawn up to elaborate on the cost of the resources needed.

Readings

The Activity Schedule

This sets out the details of each component of the project in sequence. It shows which activities relate to and depend on each other. In very detailed projects, it is useful to employ *critical path analysis* to estimate the range of activity sequences possible, and to indicate the most time-effective and cost-effective sequences. The activity schedule therefore makes clear what the sequence, duration and precedence of the activities are. In order to control this, it establishes the key milestones to be achieved. It is also used to assign management and implementation responsibilities to identified personnel.

In the LFM the activities are specified in the first column. Each of the activities is a summary of an action step, and each action step normally consists of many sub-activities and small manageable tasks. If a matrix is used, in the activity schedule the left-hand column shows each activity broken down into sequences of sub-activities. These should be specified in enough detail to tell the person responsible for implementing the activity exactly what she needs to do. It should also make clear what time and resources are needed to complete the action steps and to build these estimates into the schedule.

However, it is not easy to estimate the time required, and things always seem to take much longer than they should. Therefore you need to establish what the usual norms are for the sub tasks, and that may well mean asking people who are expert in that particular field. By getting expert advice you will be able to do a detailed breakdown of the activities and accurately estimate the times that will be taken.

Moreover, the process of allocating tasks is critical. Because the people responsible have to have specific expertise and commitment, that requirement should be built into the activity schedule, and this should be combined with a specification of the resources needed. An activity schedule can be presented via a Gantt Chart which conveys a rapid overview of what's involved.

Resource schedules

These are constructed in steps:

- The list of activities, sub-activities and tasks set out in the activity schedule are copied into the first column of a resource schedule form.

- The human and material resources are specified against these activities in the second column.

- The costs are estimated and set out out against the resources, in terms of simple costing procedures in the third column.

- Cost per component and/or time stage, and total project costs, are worked out simply from this information.

● In a fourth column, the names of the funders can be set against the costs, indicating their precise financial commitments.

The budgeting and accounting processes can now be set up clearly against these commitments.

References

IFAD (2006): 'A Guide for Project M&E: Linking Project Design, Annual Planning and M&E.' *Section 3* (August 2006). International Fund for Agricultural Development at: www.ifad.org/

Walsch, A. (2000) *Reader, Introduction to the LFA,* German Foundation for International Development (DSE), Berlin

Readings