Graduate School of Public and International Affairs
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Project Design Manual

Prepared by the International Management Development Institute (IMDI)

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Chapter 1
Overview

The purpose of the Project Design Manual is to guide you through the planning and preparation of a project design and funding proposal for a grassroots-based development project. The manual adopts the perspective of a small to medium-size, indigenous NGO in a developing/transition country which is seeking funding from an external donor.

In the approach used in this course, the external donor is the United States Agency for International Development (USAID). However, almost all funding agencies – bilateral, multilateral, foundations, Northern-based NGOs operating in developing/transition countries, Southern-based NGOs – require a funding proposal similar to the one you will prepare in this course. USAID was chosen for this course because the agency has the reputation of being a 'hard' donor – a donor that operates with many requirements and accountability procedures.

As a development practitioner, you will encounter many different funding agencies in your career. If you can become proficient in planning and preparing a project design and funding proposal that meets USAID's requirements, you will have mastered a set of skills that will prepare you for a variety of proposal development environments.

Request for Proposals (RFP)

All funding agencies have a limited pool of resources to distribute each year. To maximize this limited pool of resources, every funding agency establishes a set of criteria, which the agency (and its project or grant officers) uses in its decisionmaking process about which proposals will be funded. Broadly speaking, the proposal funding process begins with a formal Request for Proposals, issued by the funding agency.

To varying degrees, all Requests for Proposals contain the following: 1) the agency's goals and objectives, and the purposes for which the funding may be used; 2) the kinds of organizations that may apply for the funding; 3) the components of the proposal; 4) guidelines on how to prepare each component; 5) key dates and deadlines of the funding process; 6) the amount of each award; 7) instructions on how to prepare the budget; and 8) the criteria by which each proposal will be evaluated or reviewed.

Generally speaking, the format of most funding proposals are very similar, and typically include the following components: 1) the statement of the problem, or the need that will be addressed; 2) justification for why a particular organization is competent to address the problem or need; 3) the kinds of results the funding is anticipated to achieve; 4) a plan of activities that will achieve the stated results and who will benefit; 5) a plan for monitoring and evaluating the proposed results; and 6) the budget for accomplishing all of the above.

As part of this course, you will assume the role of a person working or volunteering at an indigenous NGO, and plan and prepare a funding proposal in response to a Request for Proposals issued by USAID. In the real world, proposal planning and writing is typically carried out by a team. We will use this approach in the course. The teams will self-select, based on student interests, and each team will identify a country, and a real NGO operating in that country. Each week, we will work on a different component of the project design. Near the end of the term, your team will have completed draft versions of each component of the funding proposal, which the team will then finalize into one proposal for funding.

The Role of Programs and Projects

At the heart of every funding proposal is the effort by a particular organization to solve a problem – to reduce the incidence of HIV/AIDS, enroll more children in primary school, raise agricultural production, generate employment, reduce environmental degradation, etc. In most instances, these problems cannot be addressed without building the capacity of the organizations that work on these problems, or without building the capacity of the individuals who experience these problems.

In international development, both the funding agencies and the organizations seeking funding carry out problem-solving through programs and projects. Programs attempt to solve problems at the macro and intermediate levels, and projects attempt to solve problems at the local level. For example, many projects carrying out micro-credit activities in several towns and villages may be funded under a larger program, whose goals are to enhance women-owned businesses within a region, or to increase small business development in the country. Through the use of programs and projects as vehicles for problem-solving, complex problems can be addressed at various levels (national, regional, local), applying different approaches, and through a diverse range of actors (NGOs, local governments, central government units, etc).

Over the years, many tools and techniques have been developed to support the planning, implementation, monitoring and evaluation of programs and projects. In this course, we will focus on learning to use some of the most common tools and techniques used in project-level management, since we are working with grassroots organizations operating at the micro or local level.

All of the above discussion points to the close connection between funding proposals and projects. In essence, each funding proposal is a project design. And, each project design is an attempt to solve a problem. **We plan for and prepare a funding proposal by designing a project that attempts to solve or address one or more problems.**

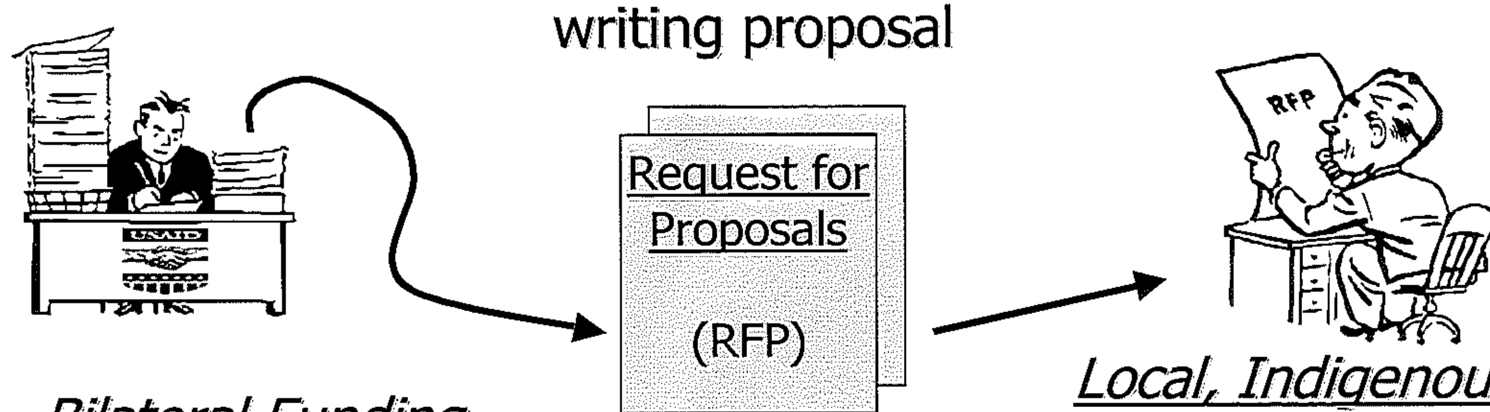
From the perspective of an NGO, the problems it is trying to address are the issues confronting the people they work with (the NGO's beneficiaries – children, women, the community, young people, etc). The planning and design of the project the NGO wants to develop will need to incorporate the active participation of the NGO's beneficiaries. The funding proposal that emerges from planning and designing this project will need to reflect the goals and objectives of the NGO staff, the beneficiaries, and the funding agency in trying to resolve these problems. Most importantly, the funding proposal will need to attract resources sufficient to build the capacity of both the NGO and its beneficiaries to become less dependent on external resources.

Project planning and design is more an 'art' than a science. Development practitioners can learn the tools and techniques of project management and proposal writing – but the real 'art' lies in learning how to adapt these methods to real-world situations – where uncertainty is high, information is limited and constantly changing, and conditions are often hostile and fluid. The tools and techniques we will use in this course offer a set of concepts and frameworks to help translate real-world problems and needs into feasible courses of action that result in positive outcomes for the host organization, as well as the communities they serve.

Figure 1.1

Request for Proposals (RFP)

Instructions for writing proposal



Bilateral Funding Agency

US Agency for Int'l Development (USAID)

Local, Indigenous Organization

An NGO in a developing or transitional country

Chapter 2
Solving Problems Through Change Interventions

Projects are just another name for change interventions. A *change intervention* implies that there is a current condition (the status quo), which is problematic – for example, too few children enrolled in school, or a lack of safe drinking water. An organization *intervenes* in the current situation in order to effect a change that will result in a different future condition – more children enrolled in school, or safer drinking water. Essentially, change interventions (or projects) are an attempt at problem-solving by an organization.

A word of caution. Development problems are inherently difficult, complex and messy. Rarely is it easy to determine direct cause-effect relationships. While we claim we understand a problem and what causes the problem (cause-effect relationships) – what is more likely is that rather than identifying a 'cause' for the problem, we are identifying the 'significant influencing factors' whose effects seems to result in this problem.

For NGOs, effective project planning begins by focusing on several questions: What is our mission? Who do we serve, or who currently benefits from our programs/activities? What problems are our programs and activities trying to solve? What is causing, or what is the source of these problems? How well are we doing at solving these problems? What else could we be doing to solve these problems? If we need to be doing more to solve these problems, what additional resources do we need? What additional resources do our beneficiaries need? Are there problems beyond our control or mandate to solve?

All of these questions are attempting to explore the linkages that exist between several key factors: 1) what are the needs and problems of the people we serve (our beneficiaries)? 2) what are the organization's strengths (mission) and competencies (programs, activities, services, etc) in addressing beneficiary needs and problems? 3) are there ways in which we could expand upon or improve upon our strengths and competencies which would help us to more effectively address the current needs of our beneficiaries, or solve other problems our beneficiaries are experiencing? What about the other key actors in our environment – are they part of the problems we see – or could they play a positive role in effecting change?

All of the above issues can be consolidated into four questions which are at the heart of the project planning and design process:

- What must change?
- What are the intended results?
- How will chance occur, and who must change?
- What constitutes success?

Our task in this course will be to plan and design an NGO-sponsored change intervention (project) that addresses each of these questions.

Figure 2.1

4 Project Design Questions

- What must change?
- What are the intended results?
- How will change occur, and who must change?
- What constitutes success?

Chapter 3
The Change Management Process

International development projects often involve a wide range of actors – often with conflicting or competing notions of what needs to change and how change will occur in order to improve a problematic situation (for example, poverty alleviation, employment generation, environmental degradation).

Four principal actors dominate the change management process in externally-funded grassroots international development projects: 1) the 'donor' community; 2) local NGOs (or civil society organizations); 3) the beneficiaries; and 4) interested stakeholders. Relations between and among the actors are often complex and heavily influenced by factors such as asymmetrical power relationships, foreign policy considerations and current development paradigms, local politics, and socio-cultural dynamics.

The Aid Chain

For an NGO, an externally-funded project or change intervention means that the resources for effecting change do not exist within the NGO. These resources could include lack of skilled people, the lack of equipment, technology and physical facilities, insufficient information for making informed decisions, or poor knowledge about best practices used in other similar situations.

The NGO's beneficiaries are often experiencing the same issues, and the relationship between the NGO and its beneficiaries is fundamentally based on providing access, support and technical assistance to its beneficiaries.

The donor community represents all those actors which hold resources (skills, knowledge, information, access), and who desire to share those resources with an NGO and its beneficiaries.

Interested stakeholders represent any individuals, groups, or organizations which also have a 'stake' in the change management process. These could include the president of the country who has promised to reduce poverty, the locally-elected mayor who has promised to provide safe drinking water, religious leaders and traditional authorities who either support or oppose the change efforts proposed, teachers and school administrators, or local health practitioners.

Taken together, we are presented with those who have a pressing and immediate need for resources in order to effect sustainable, positive changes in people's lives and conditions (the NGO and its beneficiaries); those who hold the resources for making change possible (the donors), and those who have a 'stake' or 'interest' in the kinds of changes being proposed (the stakeholders).

The framework often used to portray this situation is the Aid Chain – where resources (aid) are viewed as 'flowing' from the donors to the recipients, and indirectly to the stakeholders. Each link in the chain of aid (the various actors) can hold very different views about what needs to change, how change will occur and who must change, and what resources will best effect change. All of these perspectives must be reconciled in any project design in order for the necessary resources to flow through the aid chain from donor to recipient. How these differing perspectives are reconciled is the essence of project planning and design.

Measuring, Monitoring and Managing Change – The Project Cycle

How do problems or needs get identified? Who decides how a particular problem or need will be resolved? When and how do we know if we are successful at effecting change? What do we do when the problems we are trying to solve create their own problems that have to be solved? Change interventions are inherently messy, difficult and complex.

A successful change intervention (or project) occurs when an NGO masters the art of continuous problem-solving over time. Project planning and design activities must consider and prepare for ensuring that the intended changes actually happen. An award of resources is not a guarantee that access to safe drinking water will occur, that the environment will be cleaner, that all members of the community will equally share in the benefits of the project, or that a change in the current situation (or status quo) will be positively accepted by all the stakeholders.

Thus, change interventions must be well-planned, effectively implemented, continuously monitored, and frequently evaluated. A cycle of continuous learning and adaptation drives project planning and design so that planning activity considers how to address implementation problems, monitoring activity measures the extent to which is change is occurring, and evaluation activity provides decision makers with timely feedback that can be incorporated into the next round of planning and design activity.

A Final Consideration on Actors and Their Roles in the Change Management Process

The above discussion about the aid chain and the project cycle clearly indicates the challenges for an NGO in planning and designing a change intervention (or project). Forty years of international development experience have yielded some promising lessons learned for NGO managers, including:

The need to adopt participatory tools and techniques for problem-solving. NGOs exist to serve their constituency groups or beneficiaries. The more effective an NGO is in involving their beneficiaries in planning, design, implementation, monitoring and evaluation activities, the more successful the NGO will become at problem-solving. Ownership of ideas and processes promotes commitment and enhances motivation. Beneficiaries who are 'told' what changes must occur, will resist making these changes. Similarly, beneficiaries who see their problems being defined by others are highly unlikely to become supportive partners in solving these problems.

The need to approach funding agencies as partners in the development process. The aid chain suggests a set of relations where there are 'gracious donors' and 'grateful recipients'. In truth, the funding agencies have a mandate to allocate their resources – this is their reason for being and primary function as an organization. NGOs, on the other hand, have a legitimate right to make a claim on these resources – as long as they have plans and strategies for using these resources in a responsible manner. Many NGOs believe they are doomed to 'dancing the donor's dance' – that those who pay for the song, get to call the tune. This is a mind-set, and minds can be, and are being changed in this regard.

The need to involve stakeholders in meaningful ways. Stakeholder interests represent both serious threats and real opportunities in the planning and management of change interventions. NGOs often prefer to operate in isolation – largely indifferent to the larger political, economic, and social influences swirling around them and the communities they serve. Stakeholders matter, however. More young girls will not attend school if their parents are not convinced about why school attendance is important, and supported in making this happen. Religious leaders, traditional authorities, and town officials seeking to be re-elected will not support innovative changes in the community if they are not a part of making these changes occur.

The need to recognize that change management is about capacity building. A successful NGO is an effective problem-solver. And problem solving begins with recognizing both the strengths and weaknesses the organization brings to solving problems. An NGO cannot engage in successful change management activities without considering how the NGO itself may need to change. NGOs often talk in terms of beneficiary needs and problems, with little attention given to NGO needs and problems. Micro-credit opportunities cannot be expanded in a village if the NGO has limited skills and technical knowledge in micro-credit. Building the capacity of the NGO to more effectively support and initiate change is the first step in improving the capacity of the beneficiaries to change in positive ways. Both the funding agencies and NGOs have come to appreciate that training, skills building, and technical assistance need to happen within the NGO, as well as for the NGO's beneficiaries.

Change is a complex and contentious process, and initiating, managing and sustaining change has been at the heart of international developments efforts throughout its history. We continue to refine our definitions of this most elusive of concepts, and to better understand the complex ways in which change can lead to positive improvements in people's everyday lives. For example, what is preventing more young girls from attending school? What is the problem – lack of information, lack of incentives, norms and values about the role of women in society, lack of transportation, not enough schools? What needs to change – attitudes, behaviors, skills, knowledge, values? Who needs to change – parents, teachers, elected officials, community and religious leaders? How should change occur – information sessions, awareness training, monetary awards and subsidies, building more schools, hiring better trained teachers and school administrators, advocacy campaigns to change the status of women in society?

Planning and designing a change intervention must incorporate all of the above.

Figure 3.1

NGOs and the Aid Chain

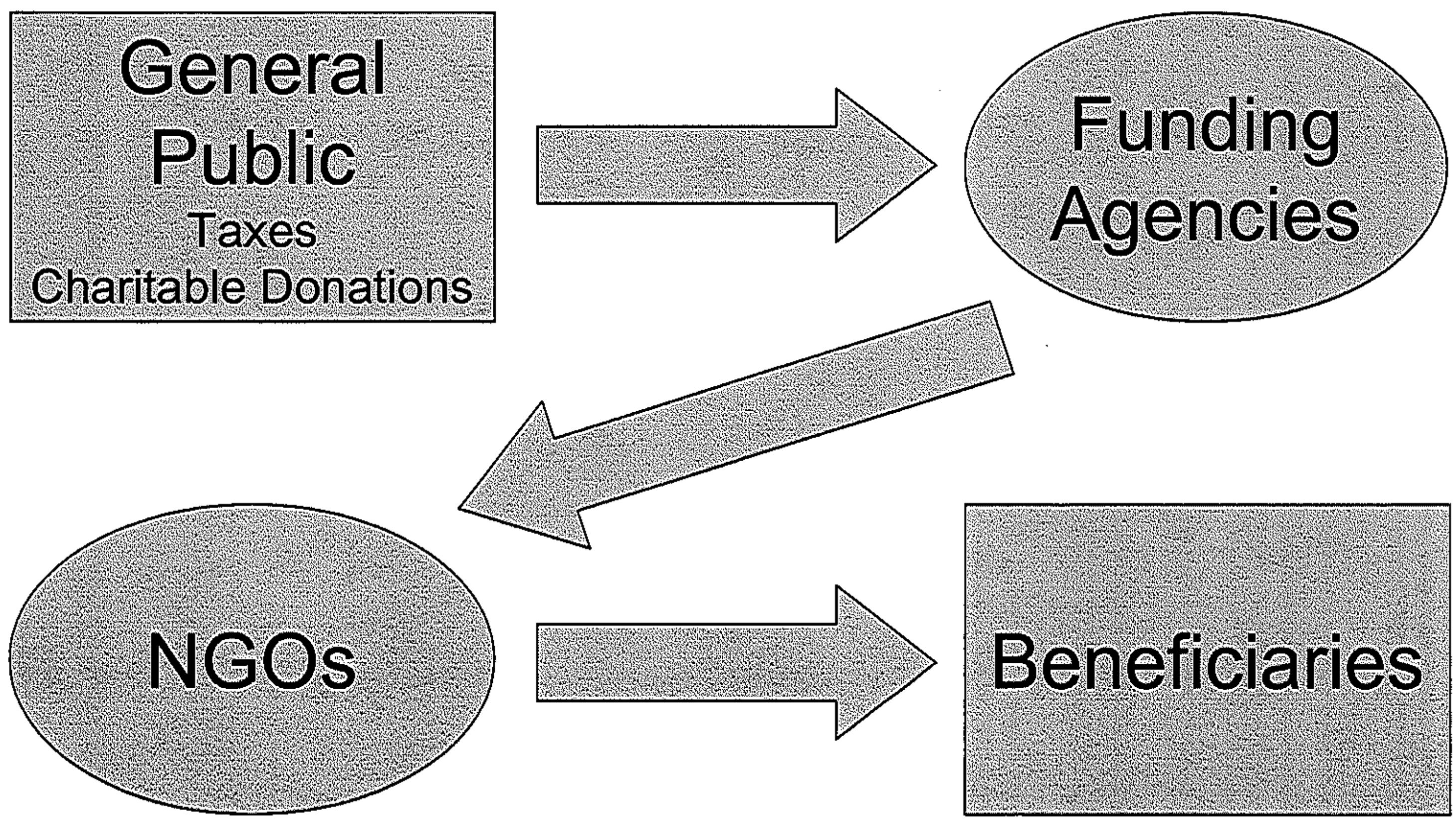


Figure 3.2

The Donor Community

	Multi-Lateral Donors	Bi-Lateral Donors	Private Donors	NGO - "Residual" Donors
Some of the Major Actors	World Bank Regional Development Banks UN Agencies: UNDP UNICEF UNHCR European Union	National Governments Official Aid Agencies: US - USAID UK - DFID (formerly ODA) Canada CIDA Sweden - SIDA Denmark - DANIDA Germany - GTZ	Ford Foundation Kellogg Foundation Mott Foundation Soros Foundation Social Responsibility Divisions of Multinational Corporations	CARE Oxfam Save the Children US Chamber of Commerce - Center for International Private Enterprise (CIPE) Bangladesh Rural Advancement Committee (BRAC)

Figure 3.2 (continued)

The Donor Community

	Multi-Lateral Donors	Bi-Lateral Donors	Private Donors	NGO - "Residual" Donors
Major Factors Influencing the Donor Agenda	International Relations Issues Global Paradigms	Foreign Policy Goals Public Opinion	Organizational Mission and Objectives?	Organizational Mission and Objectives
Examples of Funding Sources	Member Governments	Taxpayers	"Family" Endowments Charitable Contributions Corporate Profits	Multilateral Bilateral Other Residuals Charitable Contributions Corporate Profits

Figure 3.2 (continued)

The Donor Community

	Host Country Governments
Major Factors Influencing the Donor Agenda	Political Mandates Party Platform Policy Initiatives Constitutional Requirements Structural Adjustment Programs Foreign Policy Agenda
Examples of Funding Sources	Multinational Donors Bilateral Donors

Chapter 4
Project Design Question #1: What Must Change?
Problem Identification and Definition

Project Tools: Problem Trees

In this session, we will use problem trees to assess the strengths and weaknesses of your NGO in meeting the needs of its beneficiaries. For project planning and design purposes, problem identification is the first step in crafting an effective change intervention.

If we can't identify the problem – the solution probably won't work!

Remember that your role in the course is to imagine that you are a member of the staff or a volunteer at your selected NGO. You have given the assignment to work on a project design team that will develop a project (change intervention), and then write this project up as a funding proposal in response to the Request for Proposals issued by USAID.

One of the first things your team has to consider is what problem(s) or need(s) will be addressed in the project design. You know from your experience that your NGO works offers many programs and activities which support and assist the NGO's beneficiaries in different ways. For example, the NGO may provide direct assistance (access to loans or seeds and fertilizers), or your NGO may provide services to the beneficiaries (family planning counseling or legal assistance). Your NGO may also provide skills or vocational training. Finally your NGO may carry out programs and activities that help the beneficiaries in indirect ways – such as human rights campaigns, writing articles, or holding public meetings, to raise the public's awareness about important issues (child labor, prostitution, environmental pollution).

The concern of the design team is to explore the extent to which the NGO's current programs, services and activities are meeting the needs of the beneficiaries. Problem trees and why-why diagrams can help in answering this question by providing a method that links a problem or need with what is currently being done to address the problem or need.

Review the example provided. Notice that the first tree trunk describes the development area the NGO works in (democracy and governance). The roots of the tree describe the programs, services and activities that the NGO provides. The branches of the tree describe the need or problem that the programs, services and activities address. Notice that the second tree trunk describes the overall or general problem with democracy and governance that the NGO is attempting to address with its programs, services and activities (a weak NGO sector). The tree branches identify some causes (or why) there exists a weak NGO in this country.

Compare the two problem trees presented in this chapter. In your assessment, to what extent is the NGO's current programs, services and activities meeting the needs/addressing the problems

Figure 4.1

What is a Problem or Need?

Definition: A situation or condition the NGO and its beneficiaries would like to change.

The problem is a statement of a condition or situation, and is described in negative, or undesirable terms:

Lack of maternal health clinics
Weak soil fertility
Inadequate housing conditions
Poorly trained staff
Insufficient information

Figure 4.2

Some Common Types of Problems/Needs

Product Problem	**The problem is about an end product or service**
	A training program that does not seem to meet the needs of the trainees.
	A curriculum/course that does not address the appropriate topics.
	Manuals, Guidelines, Handbooks, Webpages, etc. are inadequate or missing.
Service Problem	**The problem is about the ways in which the service or product is delivered or provided.**
	A training program is too short, too long, not offered enough.
	The curriculum or course requires more interaction between student and teacher, or more hands-on work.
	NGO field officers need to adopt a more participatory approach when working with the beneficiaries.
	There are no referral services or they do not work very well Counseling services are non-existent, insufficient, or do not work very well.
Systems Problem	**The problem concerns internal ways of doing things – procedures, methods, policies, etc. are not working, are insufficient, or do not exist.**
	The NGO does not have a monitoring and/or evaluation system, or the systems are insufficient, or not working well.
	The NGO staff lacks knowledge or information about community needs or priorities.
	The methods by which the NGO consults with the beneficiaries or other stakeholders is dysfunctional, or non-existent.

Figure 4.3-a

MISSION: To Support the strengthening of civil society and promote democracy in our country through building the capacity of the NGO sector to more effectively advocate for change, and address citizen needs.

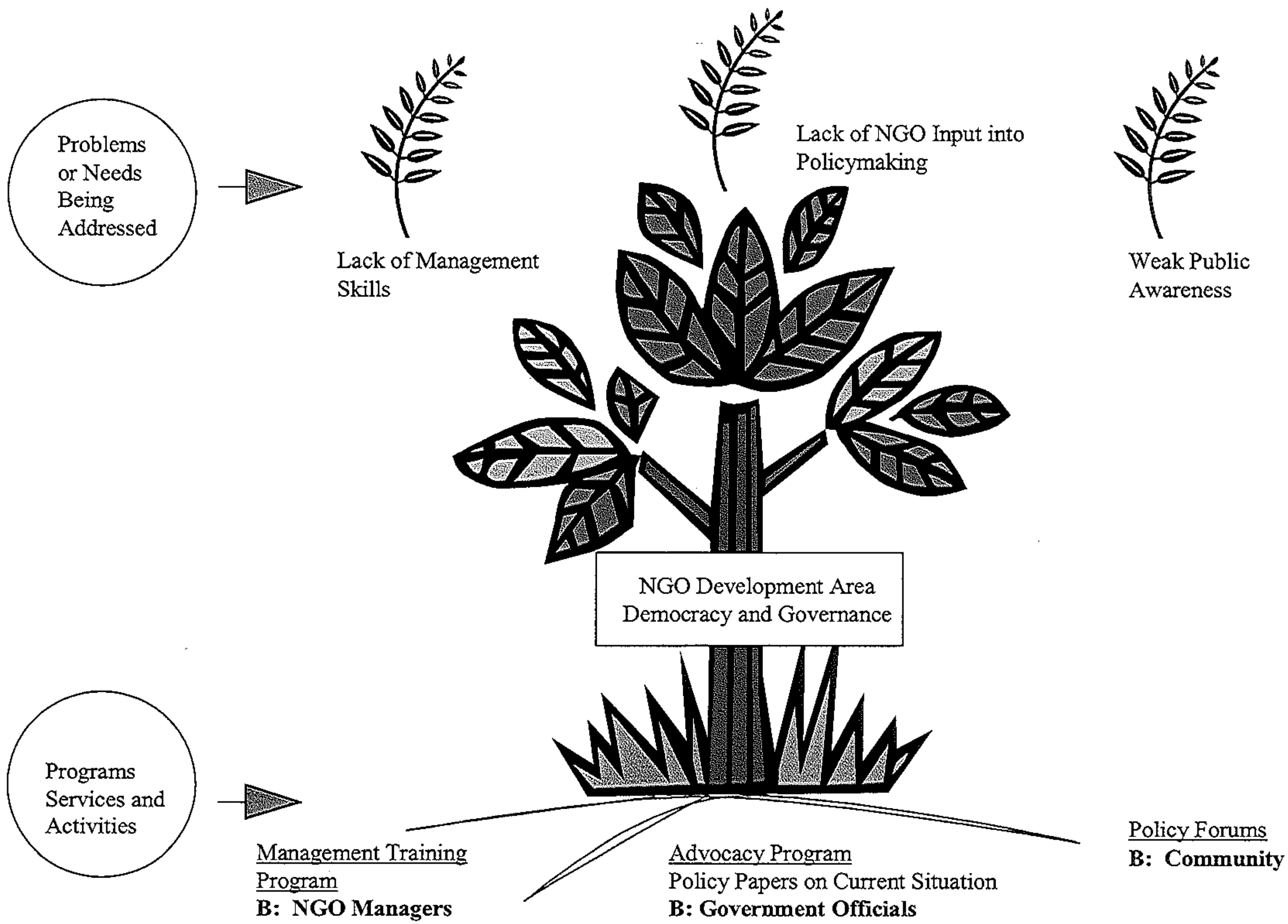


Figure 4.3-b

MISSION: To Support the strengthening of civil society and promote democracy in our country through building the capacity of the NGO sector to more effectively advocate for change, and address citizen needs.

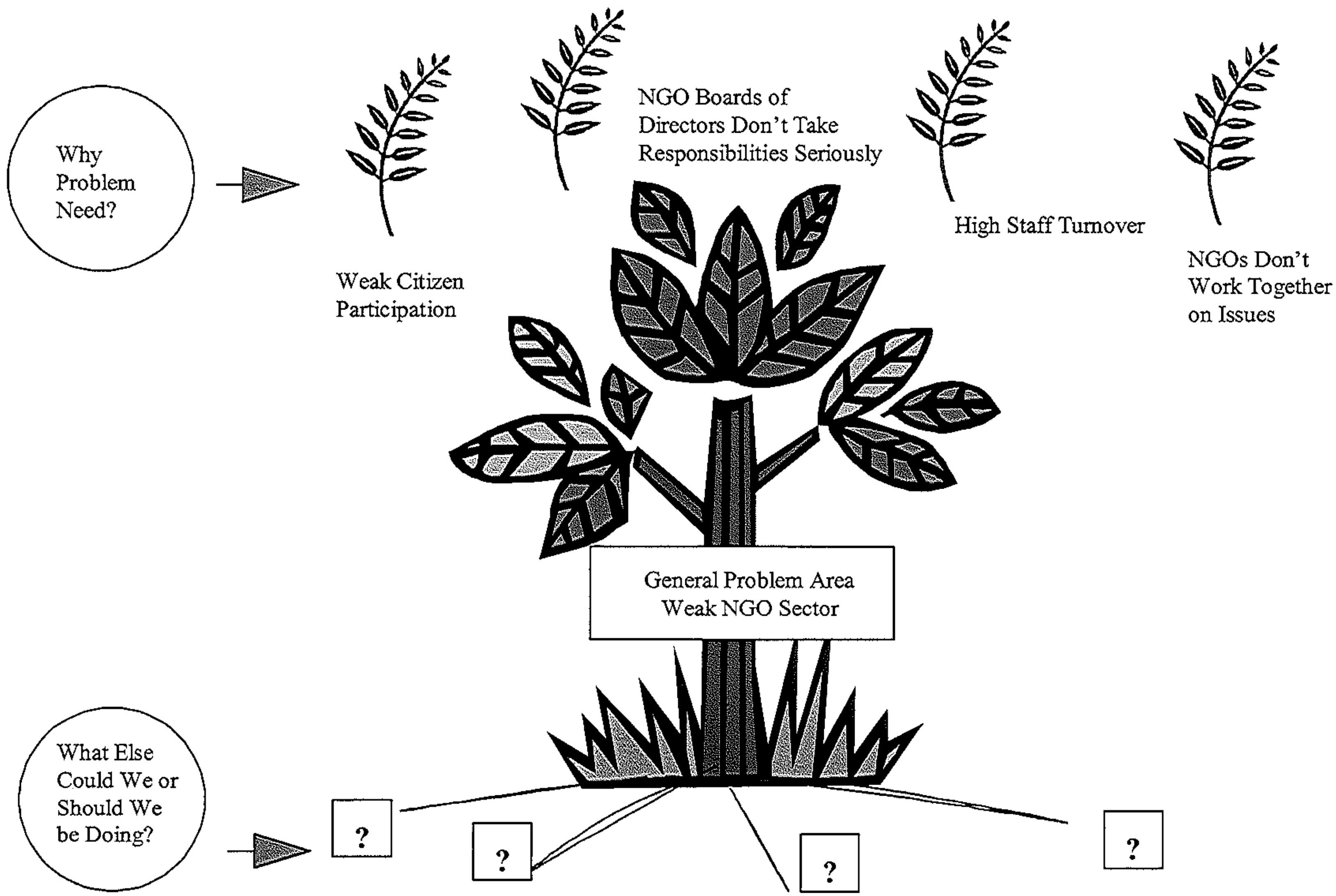


Figure 4.4

Alternative Ways of Using Tree Diagrams or Why-Why Diagrams

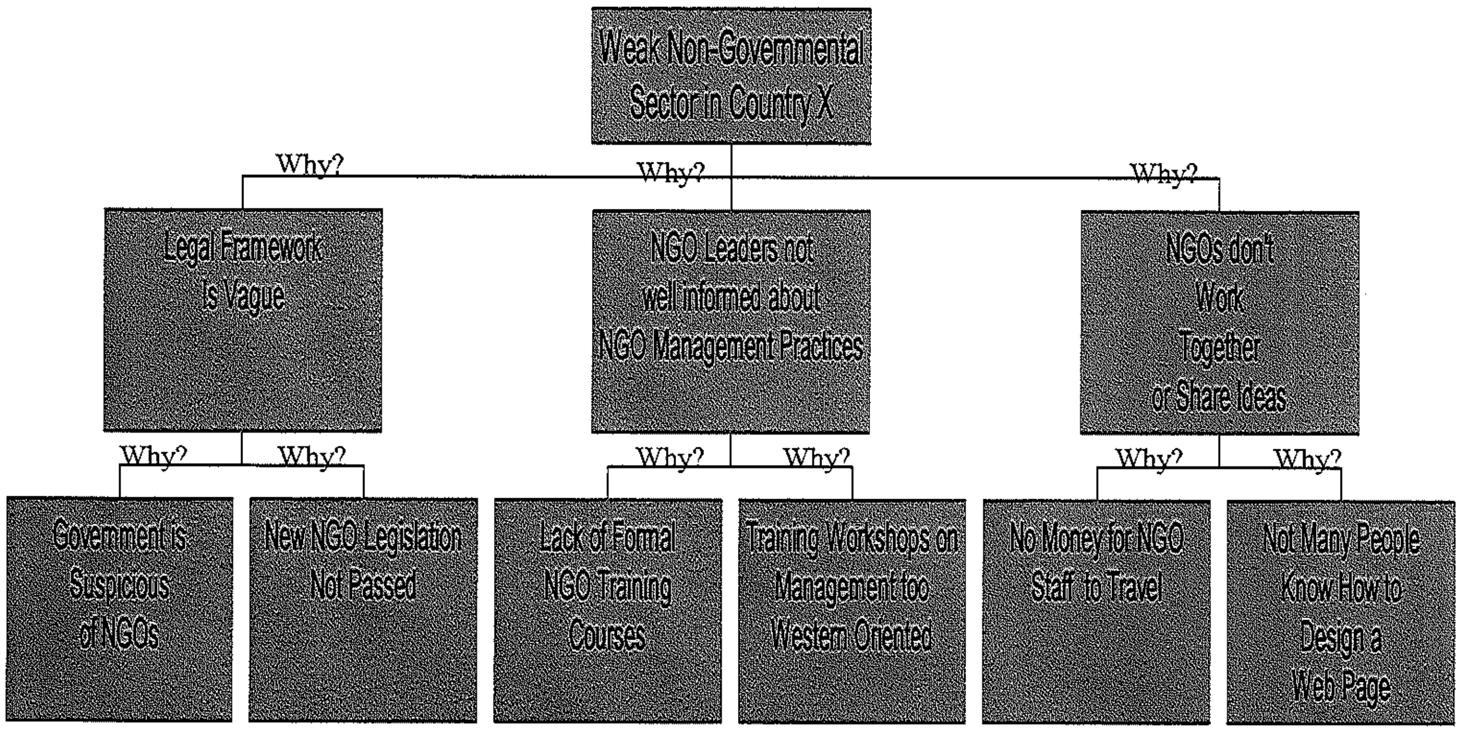
Tree diagramming (or why-why diagrams) is a process that can be used to specify components of a problem. It focuses on how elements of a system are interdependent and are best understood in terms of a network of relationships. Thus, using a branching tree diagram can help to show how the parts of a problem are related, or connected at various levels of analysis

Any project design embodies a series of hypotheses. For example, Situation A (poor health of many people in region X) exists, and so we hypothesize that it is generated by problems B, C, D, and so forth. By extension, we can also hypothesize that a project Q could affect (or change) some aspects of the situation. Any problem area suggests a multitude of such hypotheses about the key factors, and being explicit about these factors is a first step in project design and problem analysis.

Tree diagrams are also referred to as 'why-why' diagrams because at each stage of problem analysis, we are asking the question, "Why?" For example, if the problem is unsafe drinking water, we would ask "Why is the water unsafe?" and those reasons become the next level of problem analysis.

Figure 4.5

Why-Why (or Tree) Diagram



Chapter 5
Project Design Question #1: What Must Change? (*continued*)
Using Multiple Levels of Analysis to Define the Scope and Context of the Problem

Project Tools: Situational Analyses

The situational analysis is a 'practice session' at more fully describing or explaining the problems (and variations of the problems) that emerged during the problem tree exercise. The goal of the exercise is to describe the context of the problem(s) at multiple levels of analysis. The kinds of data and information the team will need, and some examples are described below.

Using the example of unsafe drinking water – at the country level of analysis, it will be important to gather information about the scope or magnitude of access to unsafe drinking water (how many people, or the percentage of the population, etc.). The example also suggests that it would be important to gather information about the effects on the population of this problem, and any *government programs or policies* that are attempting to correct this problem. The example suggests that data and information about the health of the country's population, in general, would be able to provide the 'context' of this problem. When thinking about general health issues, it may be more helpful and convenient to discuss the problem at the sector level, as the government and donors will most likely be implementing health sector program and policy reforms, etc. Finally, for some countries, there also may be important information at the subnational level (regionally, in a particular state or district, etc) that would need to be described.

Another level of analysis is at the organizational level. Again, focusing on the context of the problem, it will be important to describe what the NGO is currently doing (programs, services, activities, etc) in terms of this problem. But the analysis must also include what is NOT being done by the NGO about this problem(s). Again, this is information that the team generated from the problem tree analysis.

Lastly, the situational analysis explains the problems at the beneficiary level. This is often referred to as a *beneficiary profile.* To make a compelling argument for need, the readers or reviewers of your project design proposal need to understand the dimension of the problem at a more direct and personal level. For example, 45% of the population may not have access to safe drinking in this country at the country or sectoral-level of analysis. At the beneficiary level, however, the data and information will discuss this problem in terms of sub-populations (i.e. – pregnant women, children, the villages in the northern part of the country, the rural areas in the south of the country.

How you decide to develop the beneficiary profile will depend on where your NGO works, and with which population groups the NGO works (or desires to work with). For example, the NGO may work with 500 villages in the northern highlands, or with pregnant and nursing women, or with street children in 3 large cities. **The beneficiary level analysis confines itself to the population(s) or sub-populations that the NGO is currently working with, or desires to work with in the future.**

Preparing for Class

Collect and review as much **relevant** information as possible about the country, the sector or development area, and the populations and sub-populations that your NGO is working with or may desire to work with in the future – in terms of the problem(s) you have identified. Individually or together, try to identify or summarize your information.

During class, we will work on developing these situational analyses through trying to answer several questions:

1) What is the status quo or current situation at the country, sectoral or subnational levels?

For example, this country ranks third in the abuse of human rights and in the northern highlands, indigenous communities are regularly denied due process.

2) What are the beneficiary needs?

For example, among the indigenous communities where our NGO works, some 30% of the population is regularly denied their rights – they are detained and denied access to lawyers, families are not permitted to see their relatives and are often harassed by the authorities. . .

3) What is the status quo or current situation at the organizational level?

For example, our NGO provides free legal clinics in 5 rural towns which provide services such as . . .

4) What is missing/lacking – what needs to change, or what else needs to be done?

For example, while the legal clinics are a valuable resource for the communities we serve, they are an insufficient response to the continuing needs of our communities. There are several problems we need to address: not enough investigators, especially investigators with training in forensics; our computer is very old and we often lose track of our cases in progress; many families continue to be unaware of their rights under the new constitution and as a result they do not know to contact us. . .

5) Who would benefit from solving/addressing these problems?

For example, 1) <u>the judicial system</u> would become more accountable by being able to document the reasons why people died during detention; 2) <u>families</u> of the victims of rights abuses would be empowered if they had information about the new laws in effect; 3) the capacity of <u>our staff</u> would be improved if we were better able to monitor our caseload.

Note how the 'who benefits' statements are directly linked to the problems stated in #4 above.

How This Part of the Course Relates to the Final Project Design Proposal

Remember that a **change intervention** is directed at changing **the current or existing condition** (for example, unsafe drinking water), to a **more favorable future condition** (safe drinking water). Because the analysis is 'situational' or 'contextual,' it must be done on several levels or dimensions. The situational analyses requires information gathering about the problem. The data and information identified at this stage and in this exercise will be used to build the foundation for your argument for need. The situational analyses will follow the Statement of the Problem discussion in the Development Challenge section of the funding proposal.

Chapter 6
Project Design Question #2: What are the Intended Results?

Project Tool: Hierarchy of Results (Results Framework)

In this session we will begin to identify the solutions intended to address or solve the problems and needs we have been working to identify and analyze, and to practice developing a results framework.

Focusing on results is the next state in planning and designing the change intervention. Remember that the change intervention being planned and designed is about moving from a problematic existing situation to a more favorable future situation or condition. We are now ready to take the problems we have identified, and turn them into solutions. **A 'result' is basically the same as a solution**. And, a solution is framed as the reverse of the problem. Consider some examples:

Problem:	lack of safe drinking water
Solution/Result:	increased access to safe drinking water
Problem:	citizens being denied due process under the law
Solution/Result:	enhanced operation of the judicial system

Notice that the result states an attempt or way to 'solve' the problem. The result also describes a future condition that is different from the existing condition. For example, where there is currently a lack of safe drinking water, in the future better access to safe drinking water will be increased. **Focusing on results is thinking about the future.** As we consider the problems that currently exist – the key question to consider is – What would the future look like if this problem were solved (or more effectively addressed)?

Converting Solutions into a Hierarchy of Results (or Results Framework)

The Hierarchy of Results is a method for establishing the logical relationships among solutions, and is often referred to as the Results Framework. The Hierarchy also is a valuable project tool for organizing the change intervention's vision of the future in that it identifies: 1) what the project intends to accomplish in the short-medium term and in the long-term; 2) what must change, who must change, and where the change will occur; and 3) how the change will occur. Finally, the Results Framework provides a map for planning the activities that will achieve the results, offers clues about how the proposed change intervention can be monitored and evaluated, and provides the foundation for preparing the project budget.

Preparing for Class

Review the materials and example provided in the Project Design Manual so that you are familiar with the definitions of Impact, Outcome, Output and Input results.

How This Part of the Course Relates to the Final Project Design Proposal

The Hierarchy of Results framework will be included in the Results section of the proposal. The Results Framework is the proposal's argument for a particular vision of the future. It must convince the reader of the proposal that the NGO has a clear vision of what the NGO intends to accomplish at various points in time, who will benefit from the proposed change intervention and how they benefit. The previous Development Challenge section of the proposal identified the problems of the country, sector, NGO and beneficiaries. This section looks toward the future and restates these problems as a set of coherent, logical solutions or accomplishments intended to address or solve the problems. In particular, the reader of the proposal will be assessing the extent to which the framework sets out a series of logical relationships among the various results.

Figure 6.1

Hierarchy of Results (or Results Framework)

<u>Definition</u>: A project design tool that describes the change intervention as a series of statements describing the results (or changes) the project desires to accomplish at various levels. It can also be used as a tool for identifying and testing the 'logic' of the project's planned results – or testing the extent to which there is a logical relationship between the various levels of results desired.

IMPACT Result

The long-term change or result (<u>beyond the end of the project</u>) to which the project will make a significant contribution to achieving.

Sometimes referred to as the project Goal or Purpose.

OUTCOME Result

One or more statements about the nature of the change or results to be achieved <u>by the completion of the project</u> (EOP - end of project status).

Sometimes referred to as the project Objectives.

OUTPUT Result

The programs, systems, services, resource materials, or other resources that the project will provide, deliver and/or produce.

Also referred to as the project Activities.

INPUT Result

The financial resources necessary to achieve the output results (the budget amounts required).

The 'logic test': (Reading from the bottom of the Hierarchy)

IF the Inputs provided – THEN the Outputs (can occur)
IF the Outputs (occur) – THEN the Outcomes (can be achieved)
IF the Outcomes (occur) – THEN the Impact (can be achieved)

Each level of results must contribute to achieving the next (higher) level of results.

EXAMPLE – Results Statements

The Micro-Credit project in Northern Province, South Africa

The following pages present an example of results statements from a micro-credit project. Some General Observations about the following example:

1. **The proposed change intervention has only ONE Impact result statement.**

   The Impact statement should relate to the NGO's mission or vision. For example, if the NGO's mission/vision is to improve the health of women and their children - then the Impact statement should identify a long-term goal (beyond the life of the proposed change intervention) about the health of women and their children. An NGO should not be proposing change interventions that do not support their mission or vision.

2. **The change intervention should identify 3-4 Outcome results.**

   Each Outcome should describe what the future would look like, by the end of the project, if a particular problem was solved/addressed. Typically, a change intervention is attempting to address/solve 3-4 related problems.

   In the following example, the related problems are: 1) the capacity of low income women to participate in the economy; 2) the outreach and support services the NGO is providing to these women; and 3) the lack of participation of these women in community development efforts. Each Outcome addresses one of these problems, and reflects the NGO's hypothesis that if all 3 problems were addressed, then a change would occur, or the result would be that low income women in the Northern Province would have expanded access and increased opportunities in the economic development of South Africa.

3. **Each Outcome result typically requires 3-4 Outputs to accomplish.**

   In the following example, the NGO will attempt to enhance the capacity of low income women (the Outcome result) by: 1) providing a mentoring program; 2) providing basic and advanced skills training; and 3) providing a literacy training program. The Output results are answering the question: How does the NGO plan to enhance the capacity of low income women?

4. **The Input result statements identify the funding (or resources) required to achieve the Outputs.**

   Input results are the budgeting requirements.

EXAMPLE – Results Framework

The Micro-Credit Project in Northern Province, South Africa

IMPACT Result – The long-term change (BEYOND the end of the project) to which this project will make a significant contribution).

Impact #1 ***To expand access and increase opportunities for women in the economic development of South Africa.***

OUTCOME Results - What the future should look like, or the results (changes) to be accomplished by the END OF THE PROJECT.

Outcome #1 ***To enhance the capacity of low income women in Northern Province to participate in the economy.***

Outcome #2 ***To improve and expand the outreach and support services available in Northern Province to low income women.***

Outcome #3 ***To expand the participation of low income women in the community development efforts of seven small municipalities in Northern Province.***

Note: Notice that IMPACT and OUTCOME statements describe WHAT changes, WHO changes and WHERE change occurs.

OUTPUT Results - The tangible or concrete results (programs, services, systems, resources) that will be produced, provided or delivered to achieve the stated Outcome results.

<u>Enhancing the capacity of low income women</u>:

Output #1 ***Mentoring program designed and delivered.***
Output #2 ***Basic skills building training program designed and delivered.***
Output #3 ***Advanced skills building training program designed and delivered.***
Output #4 ***Literacy program designed and delivered.***

<u>Improving and expanding outreach and support services</u>:

Output #1 ***Literacy program development training for staff designed and delivered.***
Output #2 ***Mentoring program development training for staff designed and delivered.***
Output #3 ***Skills training program for field officers designed and delivered.***
Output #4 ***Study tours to regional sites conducted.***
Output #5 ***Monitoring and evaluation system designed and implemented.***

Expanding the participation of low income women in community development efforts:

Output #1 ***Action planning sessions for low income women designed and implemented.***
Output #2 ***Town forums with local government conducted.***
Output #3 ***Linkage program with Women's Unit/Ministry of Education established.***
Output #4 ***Media strategy plan is developed and implemented.***

Note: Notice that OUTPUT statements describe programs, systems, services, resources, etc., that will be produced, delivered and/or provided to accomplish each Outcome.

INPUT Results (the results are the budget amounts). Do not worry about the budget amounts at this point in time.

Enhancing the capacity of low income women: ($18,500).

Input #1 ***Mentoring program designed and delivered. ($5,500)***
Input #2 ***Basic skills building training program designed and delivered. ($4,000)***
Input #3 ***Advanced skills building training program designed and delivered. ($4,000)***
Input #4 ***Literacy program designed and delivered. ($5,000)***

Improving and expanding outreach and support services: ($32,000)

Input #1 ***Literacy program development training for staff designed and delivered. ($3,000)***
Input #2 ***Mentoring program development training for staff designed and delivered. ($3,000)***
Input #3 ***Skills training program for field officers designed and delivered. ($3,000)***
Input #4 ***Study tours to regional sites conducted. ($15,000)***
Input #5 ***Monitoring and evaluation system designed and implemented. ($8,000)***

Expanding the participation of low income women in community development efforts: ($6,800)

Input #1 ***Action planning sessions for low income women designed implemented. ($1,500)***
Input #2 ***Town forums with local government conducted. ($300)***
Input #3 ***Linkage program with Women's Unit/Ministry of Education established. ($1,000)***
Input #4 ***Media strategy plan is developed and implemented. ($4,000)***

EXAMPLE – If-Then Logic

The Micro-Credit Project in Northern Province, South Africa

NOTE: Notice how the IF-THEN logic 'tests' the extent to which the various levels of results (or proposed changes) relate to one another. The more there is a good 'fit' between the various levels of results, the more the project presents a convincing and compelling story or narrative about the need for this project (or presents the logic or rationale for the change intervention).

How Inputs Relate to Output Results

IF $171,900 (over 3 years),
THEN the stated Outputs will be produced, provided or delivered.

How Output Results Relate to each Outcome Result

IF the mentoring and literacy programs, and the skills training programs are designed and implemented,
THEN the capacities of low income women in Northern Province to participate in the economy will be enhanced.

IF the literacy, mentoring and skills training programs for staff are designed and delivered, and the study tours conducted, and the M&E system designed and implemented,
THEN our outreach and support services will be improved and expanded.

IF the action planning sessions, town forums, linkage program and media plan are accomplished,
THEN the participation of low income women in community development efforts will be expanded.

How the Outcome Results Relate to the Impact Result

IF the capacities of low income women to participate in the economy are enhanced, and our outreach and support services are improved and expanded, and the participation of low income women in community development efforts are expanded,
THEN the project will make a significant contribution toward expanding access and increasing the opportunities for women in the economic development of South Africa.

Chapter 7
Writing Results Statements

Project Tool: Results Statements

In this session, we will practice writing results statements. Carefully review the examples provided, and notice the format of the statements. For example,

Impact and Outcome statements describe the results to be achieved in the long term (Impact), and by the completion of the project (Outcomes). Impact and Outcome statements begin with the word, 'to', and are followed by an action verb, and each statement must include:

what changes – who changes – where does the change occur

Output statements describe an accomplishment – something that will occur by the end of the project (programs, systems, services, goods or products). Output statements are written in the past tense.

Input statements are the budget requirements for each of the project results.

Preparing for Class

An example is provided from a micro-credit project in Northern Province, South Africa. Carefully review the example, and begin to think about how you will write the results statements for your project.

Figure 7.1

Writing IMPACT and OUTCOME Result Statements

Characteristics Of Effective
IMPACT or OUTCOME Statements

Begins with the word To followed by an action verb. For example

To enhance
To strengthen
To reduce
To improve
To raise
To lower
To promote

States a single, key result.

Describes a future state or condition.

Each IMPACT or OUTCOME result statement should describe the nature of the change, or kind of change (the future condition) that the project desires to achieve <u>beyond the life of the project (IMPACT) and by the end of the project (OUTCOME)</u>.

IMPACT or OUTCOME result statements describe the **WHAT**, **WHO**, and **WHERE** of the change. Each statement should answer the questions:

WHAT changes? – WHO changes? – WHERE does change occur?

<u>Some examples of IMPACT and OUTCOME result statements</u>

Impact: **To reduce the transmission of HIV/AIDS in Cambodia.*
Outcome: **To reduce HIV high-risk behaviors among Phnom Penh populations.*

Impact: **To expand opportunities for the advancement of women in South African higher education.*
Outcome: **To empower women faculty in historically disadvantaged institutions of higher education in South Africa.*

Impact: **To improve the health and well-being of Bolivia's indigenous peoples.*
Outcome: **To enhance basic health services of rural indigenous Amazon communities in Beni.*

1) Each Impact result describes a future that is more general and longer term than the Outcome result. Thus, the Impact result describes a future BEYOND the term of the proposed project; the Outcome result describes a future when the project is completed.

2) There is a relationship between Impact and Outcome – each Outcome, if achieved, will make a contribution to achieving the Impact result.

Figure 7.2

OUTPUT Result Statements

OUTPUT results identify HOW the change will occur:

How project monies will be utilized or spent to produce, deliver, provide or gain access to programs, systems, services, and resources that will ultimately effect a change in the current situation/condition.

OUTPUTS = What the project needs to PRODUCE – DELIVER – PROVIDE to bring about the desired change. Some ways to think of OUTPUTS are described below:

PROGRAMS – Outputs that teach, train, organize, or coordinate, people/organizations to accomplish or carry out something:

For Example – courses, curriculum, seminars, workshops, conferences, strategic planning sessions, networks, committees, coalitions and partnerships, advisory councils, commissions

SYSTEMS – Outputs that result in systematic, comprehensive and measurable 'ways of doing things':

For Example – management information systems, financial management systems, human resource development systems (professional development), data collection, analysis and dissemination systems, baseline studies, monitoring and evaluation systems

SERVICES – the transmission of or provision of expertise, information, goods/products or other resources that increase the well-being or empower individuals, groups or communities:

For Example – counseling, advice, referral, testing, evaluation, support, technical assistance, (also includes Internet connections, homepages, etc.)

RESOURCE MATERIALS – Outputs that result in 'stores of knowledge':

For Example – publications, books or journals, pamphlets, handbooks, guidelines, policy papers, audio-visual aids, videos, posters, reports, studies, analyses, newspaper articles/editorials, monographs

OTHER RESOURCES – other tangible or intangible resources that the project's access to would enhance the overall performance of the project:

For Example – credit, subsidies, highly-specialized expertise (doctors/nurses, lawyers, engineers, scientists, systems analysts, statisticians), ministerial support, national, regional or international organizational support (i.e. UN Commission on Human Rights).

Figure 7.3

Writing OUTPUT Result Statements

OUTPUT result statements clearly identify what will be produced, delivered, or provided – such as a service, a system, a program, goods or products. For example:

***Information technology infrastructure upgraded**
***Staff training program designed and delivered**
***4th grade science curriculum designed and translated**
***AIDS counseling services instituted**

Note that each OUTPUT result statement describes an accomplishment – something that will occur or be accomplished/achieved BY THE END OF THE PROJECT.

Some OUTPUT results require a 'design' stage before they can occur.

There is a relationship between Outputs and Outcome – each Output, if achieved, will make a contribution to achieving the Outcome result.

<u>Example of IMPACT, OUTCOME and OUTPUT result statements</u>

Impact:	**To reduce the transmission of HIV/AIDS in Cambodia.*
Outcome:	**To reduce HIV high-risk behaviors among Phnom Penh populations.*
Outputs:	**Peer mentoring program for sex workers designed and delivered.*
	**Informational brochures prepared and disseminated.*
	**Training program for policemen designed and delivered.*
	**Radio ads designed and aired in different languages.*

1) Note how <u>one</u> Outcome result generates several Output result statements. In other words, the 'problem' of HIV high-risk behaviors, will be addressed by trying several 'solutions'. Each 'solution' or Output is expected to make a contribution toward solving the problem (reducing HIV high-risk behaviors).

2) Note also the hypothesis testing in the project – **If** all of the Outputs are achieved, **then** high-risk behaviors in Phnom Penh should be reduced. A reduction in Phnom Penh high-risk behaviors should assist in reducing the transmission of HIV/AIDS in Cambodia. Keep in mind this is one NGO project; other NGOs, and probably the government also could be engaged in other change interventions on this issue (testing other hypotheses).

3) Output result statements also establish a framework within which <u>more specific activities</u> can be planned and budgeted. For example – "Informational brochures prepared and disseminated" – suggests the kinds of activities or tasks will need to occur, at the next stage in planning, in order to achieve this Output. For example, a nurse may be needed to write the informational brochure, and volunteers may be needed to disseminate the brochures.

EXAMPLE for the Micro-Credit Project
Results Framework (OUTCOME #1)

IMPACT Result To **expand access** and **increase opportunities** for women in the economic development of South Africa.
OUTCOME Results To enhance the **capacity** of low income women in Northern Province to participate in the economy.
OUTPUT Results (Programs, Services, Products, etc. by the End of the Project) Mentoring program designed and delivered Basic skills building training program designed and delivered Advanced skills building training program designed and delivered Literacy program designed and delivered
INPUT Results (Costs of each program, service, product, etc.) $18,500 $5500 – Mentoring program $4000 – Basic skills building training program $4000 – Advanced skills building training program $5000 – Literacy program

EXAMPLE for the Micro-Credit Project
Results Framework (OUTCOME #2)

IMPACT Result To **expand access** and **increase opportunities** for women in the economic development of South Africa.
OUTCOME Results To improve and expand the **outreach and support services** available in Northern Province to low income women.
OUTPUT Results (Programs, Services, Products, etc. by the End of the Project) Literacy program staff development training designed and delivered Mentoring program staff development training designed and delivered Skills building training for field officers designed and delivered Study tours to regional sites for staff conducted Monitoring and evaluation system designed and implemented
INPUT Results (Costs of each program, service, product, etc.) $32,000 $3000 – Literacy program $3000 – Mentoring program $3000 – Skills training $15,000 – Study tours $8000 – Monitoring and evaluation system

EXAMPLE for the Micro-Credit Project
Results Framework (OUTCOME #3)

IMPACT Result To **expand access** and **increase opportunities** for women in the economic development of South Africa.
OUTCOME Results To expand the **participation** of low income women in the community development efforts of seven small municipalities in Northern Province.
OUTPUT Results (Programs, Services, Products, etc. by the End of the Project) Action planning sessions for low income women designed and implemented Town forums with local government conducted Linkage program with Women's Unit/Ministry of Education established Media strategy plan is developed and implemented
INPUT Results (Costs of each program, service, product, etc.) $6,800 $1500 – Action planning sessions $300 – Town forums $1000 – Linkage program $4000 – Media strategy plan

EXAMPLE for the Micro-Credit Project
Results Framework (Hierarchy of Results)

IMPACT Result

To expand access and increase opportunities for women in the economic development of South Africa.

OUTCOME Results

- **To enhance the CAPACITY of low income women in Northern Province to participate in the economy.**
- **To improve and expand the OUTREACH AND SUPPORT SERVICES available in Northern Province to low income women.**
- **To expand the PARTICIPATION of low income women in the community development efforts of seven small municipalities in Northern Province.**

OUTPUT Results (Programs, Services, Products, etc. by the End of the Project)

OUTPUTS for Outcome #1 on CAPACITY:
Mentoring program designed and delivered
Basic skills building training program designed and delivered
Advanced skills building training program designed and delivered
Literacy program designed and delivered

OUTPUTS for Outcome #2 on OUTREACH AND SUPPORT SERVICES:
Literacy program staff development training designed and delivered
Mentoring program staff development training designed and delivered
Skills building training for field officers designed and delivered
Study tours to regional sites for staff conducted
Monitoring and evaluation system designed and implemented

OUTPUTS for Outcome #3 on PARTICIPATION:
Action planning sessions for low income women designed and implemented
Town forums with local government conducted
Linkage program with Women's Unit/Ministry of Education established
Media strategy plan is developed and implemented

INPUT Results (Costs of each program, service, product, etc.) **$57,300**

$5500 – Mentoring program
$4000 – Basic skills building training program
$4000 – Advanced skills building training program
$5000 – Literacy program

$3000 – Literacy program
$3000 – Mentoring program
$3000 – Skills training
$15,000 – Study tours
$8000 – Monitoring and evaluation system

$1500 – Action planning sessions
$300 – Town forums
$1000 – Linkage program
$4000 – Media strategy plan

Chapter 8
Project Design Questions #3: How Will Change Occur and Who Will Change?

Project Tool: Activities Planning

Project activities planning should tell a 'story' about the change intervention in terms of time, place, people and budget considerations. At this stage, the change intervention becomes a dynamic (action-oriented) narrative about how each OUTPUT result will be provided, produced or delivered, over time, and what resources may be needed.

Activities Planning identifies and describes major actions/events or resource issues that are necessary for achieving each OUTPUT result. One of the key goals of Activities Planning is to identify events, actions, and resources that have important budget implications. Even though we will not be producing budgets for this project, it is important that you begin thinking about Activities in budgetary terms.

Activities Planning often becomes confused with the writing of workplans and action plans. The difference between the two is that workplans and action plans are very detailed plans of work, whereas activities planning occurs at a higher level of thinking and conceptualizing. Typically, workplans and action plans are required once a funding award has been made.

Consider the following example of Activities Planning, where one of the project's OUTPUT results includes:

Participatory monitoring and evaluation system designed and implemented.

Some suggested activities that budget implications could include:

- One or more training programs for the NGO senior staff or managers on the role of monitoring and evaluation for project management;
- Hiring trainers (payment for each day the trainers are running the program);
- Designing the training materials;
- Purchasing database software;
- One or more information dissemination workshops so that the staff can periodically disseminate and discuss the data and information generated from the monitoring and evaluation system. 'Interested' stakeholders may also need to be included in these workshops.

The project officers working in the field also may need to receive training on participatory monitoring and evaluation techniques to be able to work more closely with and involve the beneficiaries in collecting data. Some possible activities could include:

- One or more training programs for field officers on the tools and techniques of participatory monitoring and evaluation;
- Hiring of trainers (payment for each day the trainers are running the program);
- Designing the training materials;
- Quarterly community meetings (perhaps in different locations) to generate or share the monitoring and evaluation information with community members (project beneficiaries).

Finally, the beneficiaries themselves may be involved in collecting data/information, and reporting their findings to the NGO staff (managers and field officers). Some possible activities could include:

- One or more training prograams for community members on topics such as how to be an effective facilitator, and the tools and techniques of participatory monitoring and evaluation.

Note that the NGO field officers and the community facilitators also could be trained together as a participatory monitoring and evaluation 'team', and could also include on the team one or more NGO managers so that they understand how participatory tools and techniques will be applied.

Key Points to Consider When Doing Activities Planning

1. **As noted in the above example, the goal in Activities Planning is to consider each OUTPUT, and what major events, actions or resources tare needed in order to accomplish/achieve the OUTPUT.**

As described above, some of the activities focus on training various groups of people, and on designing the materials for training, while other activities focus on the dissemination of information that will be generated as a consequence of implementing the monitoring and evaluation (M&E) system.

2. **Most of the 'activities' identified above are in a real sense – action events. They plan, organize, prepare, and often bring people together key participants to share experiences and exchange information. This is an important point to keep in mind when identifying activities, because these kinds of activities also enhance participation and build the capacity of the project participants to sustain activities after the project ends.**

3. **Activities Planning also emphasizes group or teamwork – which is a critical issue in building capacity among the NGO staff, as well as the beneficiaries and other stakeholders. Thinking in terms of teams or group work also keeps the focus on participation issues. The more NGO staff, managers, NGO members of the boards of directors, the beneficiaries, and other stakeholders have opportunities to participate in activities, the more likely the activities will reflect their needs and concerns.**

When planning a series of related activities – try as much as possible to have the same 'team' involved in all of the activities. For example, if the NGO needs to hire trainers to design and implement the training programs – one or more NGO staff should join the 'training team' so that learning how to plan, organize and implement training programs remains within the organization when the trainers contract is completed. In some projects, the beneficiaries select representatives that also join the team. Using a team approach has both financial and management benefits: both the NGO staff and the beneficiaries 'learn by doing' and increase their capacity to develop future training programs, which will ultimately reduce the cost of designing and delivering training programs in the future.

Using consultants or outside expertise on project activities. Many NGOs are reluctant to include outside consultants on project activities (teachers, lawyers, engineers, planners, professional trainers, university professors, accountants, computer analysts, etc) because they are both expensive and often perform work that is inappropriate or too sophisticated for the project participants to use on their own. However, there are many times when outside expertise is necessary for the project's success.

One solution to ensure that consultants do not work on their own is to plan activities so that the consultants are working <u>with</u> NGO personnel, the beneficiaries or stakeholders as collaborative team members. Adopting a collaborative approach to using consultants justifies the additional expense in hiring a consultant: in working with the consultants, NGO personnel, the beneficiaries, or other stakeholders learn new tools, techniques and approaches. The project benefits from both the consultant's expertise, and from the informal training of key participants as they work closely with the consultant.

Preparing for Class

Review the Typology of Some Project Activities, the Activities Planning Matrix example, and the Typology of Participation.

Consider the team's OUTPUT result statements. For each OUTPUT result, think about:

1) What needs to occur to produce, deliver or provide this result? (workshops, planning sessions, training programs, information collection, etc)

2) What resources are needed? (Advice, information, computers, vehicles, textbooks and manuals, new systems of operation, etc), and how can this resource be brought into the project?

2) Who needs to be involved?

3) What are the participation and capacity building issues?

How This Part of the Course Relates to the Final Project Design Proposal

The Activities Planning Matrix will be included in the Plan for Achieving Results section of the funding proposal. Summary narratives also will accompany these charts. The argument the proposal will make in this section must convince the reader of the proposal that the NGO has a realistic plan of action which will achieve each of the project design results. In addition, the reader will be looking for how the proposed activities will include key stakeholders, and build capacity at the NGO, and among the beneficiaries and the stakeholders. The summary narratives are used to draw attention to the ways in which participation and capacity building will be enhanced through the project. The next chapter in the Manual addresses stakeholder analysis and participation in more detail.

Figure 8.1

Typology of Some Project Activities*
By Function/Purpose

*All of the activities mentioned below are described in the Glossary at the end of the Manual.

Purpose/Function:	***DATA or INFORMATION COLLECTION-GENERATION***

Baseline Surveys
Satisfaction or Opinion Surveys
Social Assessments
- Stakeholder Analysis
- Gender Analysis

Needs Assessments
- Beneficiary Needs Assessment
- Training Needs Assessment
- Organizational Needs Assessment

Note: What or Why information is collected or generated is different from HOW information is collected or generated. Each of the above activities can be carried out through formal methods, informal methods, or something in-between. For example, surveys can be highly scientific and designed, implemented and analyzed by statisticians, etc., or they can be carried out more informally by using Rapid Rural Appraisals (RRA) or Participatory Rural Appraisal (PRA) methodologies, which focus on simpler data collection and analysis methods, yet still yield accurate, timely and valuable information.

Purpose/Function:	***INFORMATION SHARING-DISSEMINATION***

Materials Development
- (manuals, handbooks, guidelines, multi-media presentations)

Seminars
Conferences
Workshops

Purpose/Function:	***TRAINING AND EDUCATION for Knowledge or Skills Transfer***

Training of Trainers
Short-Term or Participant Training (short courses/programs)
Formal Courses of Instruction
Study Tours
Training and Visit Systems
Workshops

Purpose/Function:	***PLANNING AND PROBLEM-SOLVING***

Strategic planning sessions
Retreats
Meetings and Workshops

Figure 8.2

Definitions from the World Bank documents
Participation and Social Assessment: Tools and Techniques

Participation
A process through which stakeholders influence and share control over development initiatives, decisions and resources which affect them. Participation can take many forms, ranging from information-sharing and consultation methods, to mechanisms for collaboration and empowerment that give stakeholders more influence and control.

Stakeholder Analysis
- To identify stakeholders' interests in, importance to, and influence over the operation;
- To identify local institutions and processes upon which to build; and
- To provide a foundation and strategy for participation.

Participatory Rural Appraisal (PRA)
An approach (and family of methodologies for shared learning between local people and outsiders to enable development practitioners, government officials, and local people to plan together appropriate interventions.

Participatory Monitoring and Evaluation
A process of collaborative problem-solving through the generation and use of knowledge. It is a process that leads to corrective action by involving all levels of stakeholders in shared decision making.

Beneficiary Assessment
A qualitative method of information-gathering which assesses the value of an activity as it is perceived by its principal users.

SARAR
A participatory methodology for empowering stakeholders at different levels to assess, prioritize, plan, create, and evaluate initiatives. Based on:
- Self-esteem
- Associative Strength
- Resourcefulness
- Action Planning
- Responsibility

Social Assessment
A process that provides a framework for prioritizing, gathering, analyzing, and incorporating *social information and participation* into the design and delivery of development operations.

www.worldbank.org/poverty/impact/resources/toolkit.pdf

EXAMPLE – Activities Planning Matrix

OUTPUT and Activities	Number & Nature of Participants	Location of Activity	Time Frame of Activity	Remarks & Budgeting Notes
Output: Curriculum designed and translated				
Design curriculum	*2 primary school science teachers hired*	*NGO office*	*3 weeks*	*teachers hired as consultants*
Translation	*3 Swahili-speaking secondary school teachers hired*	*NGO office*	*2 weeks*	*teachers hired as consultants*
Output: Best Practices Workshops Designed and Delivered				
Workshop Design	*Design Team* *2 NGO Staff* *1 Local Gov't. Staff* *5 Community Leaders*	*NGO office*	*2 days*	*1 community leader from each site. 5 community leaders will need transport, lodging, meals.*
5 Workshops Delivered	*Workshop Team* *2 NGO Staff* *1 Local Gov't. Staff* *1 Community Leader* *Community participants (anticipate 30 attendees)*	*5 Community Sites*	*3-hour late afternoon session to be held at each community site over a 5-week period*	*Van rental needed to transport staff and equipment to each site (1 day)*

Note: When completed and edited, these worksheets will become the proposal's Activities Chart.

Activities Planning Worksheet

Activity	Number & Nature of Participants	Location of Activity	Time Frame of Activity	Remarks

Chapter 9
Project Design Questions #3: How Will Change Occur and Who Will Change? (*continued*)

Project Tool: Stakeholder Analysis

In this session, we will conduct a stakeholder analysis to identify actors in the wider environment who have the potential to either help the project achieve its results, or to possibly hinder the project from achieving its results.

Those with a stake or interest in the proposed project are called the **Stakeholders**, and they can include individuals, groups, other organizations, etc.

For example, water is a public good. If we propose that our change intervention is to increase access to safe drinking water for the villagers living in the northern highlands – then we must now begin to think about how we will increase access. One key consideration is who in the wider environment may have a stake (or interest) in **helping the project** (the NGO and/or the beneficiaries) **or hindering the project** in increasing access to safe drinking water. Because water is a public good, local government officials (and perhaps regional/provincial authorities) will most likely have an interest or stake in this project. As such, these sub-national officials may need to be included in some of the activities in order for the project to succeed at increasing access to safe drinking water.

The stakeholder analysis supplements activities planning, and alerts us to additional activities or participants that may need to be included in the project design. It is important to remember that in many projects, stakeholders withhold their support because they have not been consulted on or involved in project activities. **Stakeholders can perform many functions in a project**: they may provide access to additional resources; they are in a position to generate support and the goodwill toward the project among other key actors; their participation may be critical in making informed decisions about planning and implementation issues, etc.

Grassroots projects, in particular, encounter visibility and sustainability problems. Few people know about their successes, and so this translates into low levels of support for the continuation, expansion or replication of NGO successes. Stakeholder involvement/participation in projects also needs to be considered wisely.

For example, 'political' stakeholders – those holding leadership and authority positions (whether elected or not) – need to considered in terms of their status enhancement. The mayor, the high-ranking ministry official, or the village/town elders may need to be consulted in advance, informed periodically, or involved in major decision making. These stakeholders will most likely be supportive of the project if they participate infrequently, but at key points in the project (prior consultation, approval, key decisions). Because of their authority positions, and their access to other key authority figures, these stakeholders have high potential to either help or hinder the project's success if their stakes and interests are not taken into consideration.

On the other hand, technical and professional people, such as engineers, professors, teachers, physicians, high-level administrators, planners, etc., will most likely be supportive of the project when given a more hands-on role in the project. For example, they could be assigned a regular role in implementation activities, or be involved in monitoring activities such as data collection and analysis, or participate in information dissemination activities that evaluate and assess progress. Because of their technical, specialized, and management expertise, these stakeholders have high potential to keep the project on track and running smoothly, especially when problems develop.

Finally, the most difficult group of stakeholders to involve are those that are opposed to the project. However, many such stakeholders oppose the project due to lack of good information, or a sense of alienation. The most obvious examples are in situations where empowerment activities are directed at specific group, such as women and other minorities. The key to a successful women's project may occur through involving their husbands in the project. When high resistance is anticipated, the stakeholders should be given a role in the project and/or receive frequent information about what is happening, and how they will benefit from these results.

All of the above points to the need to think creatively about stakeholder participation. **There are three ways to approach stakeholder involvement:** identify WHEN the stakeholder should be involved (beginning, middle, end of the project; monthly; quarterly); HOW they should be involved (announcing the opening of the project, making key decisions, approving the project; monitoring or evaluating the project); and their LEVEL of involvement (consultation, consent, hands-on, etc).

Preparing for Class

Review the stakeholder analysis example.

Begin to think about which stakeholders are important to your project.

How This Part of the Course Relates to the Final Project Design Proposal

The Stakeholder Analysis is part of the Plan for Achieving Results section of the funding proposal. The reader of the proposal will be assessing the extent to which the stakeholders identified in the analysis have a role in the project appropriate to their 'interests'.

Stakeholder Analysis Worksheet

Stakeholder	Stakeholder's 'stake' or 'interest' or 'influence' in terms of the Project	Ways that Stakeholder Could Hinder the Project	Ways that Stakeholder Could Help the Project (How to Gain Cooperation, Trust or Approval)

NOTE: The environment comprises many (infinite) stakeholders. **<u>Only identify the relevant or appropriate stakeholders</u>** – those who could help or hinder your change intervention and the achievement of your planned results. NOTE: Each identified stakeholder – because of their ability to help or hinder the project – will need to be incorporated into the project. Either their concerns have to be directly addressed by project activities, etc., and/or their direct participation must be included.

EXAMPLES – Stakeholder Analysis**

Stakeholder	Stakeholder's 'stake' or 'interest' or 'influence' in terms of the Project	Ways that Stakeholder Could Hinder the Project	Ways that Stakeholder Could Help the Project (How to Gain Cooperation, Trust or Approval)
Minister of Education, Health, etc.	Responsible for policy formulation or implementation affecting the project	Withhold their political support and/or funding	Invite to meetings, provide regular reports to them about project status
The husbands of women participating in the project	Their approval is important to success of project	Prevent women from participating	Include in events, or plan special events to gain their cooperation/trust
Mayor or other local government officials (engineers, planners, etc)	As elected official, will have a 'political' interest in seeing the project succeed	Withhold expertise, political support, funding, advice	Invite to meetings, receive information about the project, be given a role in the project
Village elders	Gatekeepers to community – their approval of the project important to its success	Withhold approval, prevent community members from participating	Include in events, keep them updated on project activities, plan a special event to obtain their approval and cooperation
NGO's Board of Directors, or staff, or managers	Their participation or support critical to success of project	Withhold their support, cooperation, feedback	Include in planning, provide special training, include in events

Stakeholder	Stakeholder's 'stake' or 'interest' or 'influence' in terms of the Project	Ways that Stakeholder Could Hinder the Project	Ways that Stakeholder Could Help the Project (How to Gain Cooperation, Trust or Approval)
Legislators or parliamentarians	They must pass the laws needed for the success of the project	Ignore the issues	'Lobby' for their support, invite to project events, provide reports
Regional governor, or regional-subnational government staff	Responsible for policy formulation or implementation affecting the project	Withhold expertise, political support, funding, advice	Invite to meetings, provide regular reports to them about project status
Teachers, lawyers, physicians, nurses, midwives	Because of their professional training, their support/participation important for the project	Withhold their expertise, advice, cooperation	Include in planning or implementing events, monitoring/evaluating project's activities
People in a community who may oppose others who will benefit from the project	Lack understanding, information, etc about project's problems or needs of beneficiaries	Noncooperation, support, could convince others not to support the project	Provide information, build partnerships with them, include them in events

****The above are very general or generic examples**. The project's stakeholder analysis should be more specific in describing what specific kinds of advice, support, etc., each stakeholder could provide. Using the example of access to safe drinking water, the project may need to gain the cooperation of the local government engineers in providing regular testing of the water and reporting their results back to the project/community, etc.**

Chapter 10
Project Design Question #4: What Constitutes Success?

Project Tools: Logical Framework (Logframe or Log) Performance Indicators (PIs)

In this session we will learn how to use the Logical Framework – a key project planning and design tool used by all of the major donors and many NGOs. Also called the Logframe or the Log, this tool formalizes the Results statements, and sets the stage for considering important questions regarding monitoring and evaluation. The framework also tests the assumptions we have been making about the project (also referred to as risk and enabling factors).

The Logframe is a hotly contested tool. Some scholars and practitioners believe it has no value in project planning and design because it is too rigid or blueprint-like. Others are supportive of using the tool, claiming that it provides a valuable means by which different stakeholders can reach a consensus about the project's ends and means.

Personally, I find the Logframe a useful tool in terms of thinking about measurement problems, or what constitutes success. For example, the most hotly contested issues in project management are about measuring the success of projects. The funding agencies are typically worried about what is being accomplished with their funding. The recipients of funding are typically worried about serving their beneficiaries. The Logframe link these two concerns by focusing attention on measuring performance. In particular, the Logframe requires that Performance Indicators (the measures of success) be clearly identified for each level of results.

At issue here is the feasibility of the proposed change intervention. Many projects fail because too little attention has been given to considering how the change(s) proposed will be monitored and evaluated. If used appropriately, and in consultation with the project's key stakeholders, the Logframe can resolve these issues.

Performance Indicators (PIs)
Performance Indicators are a key component of the Logframe, and play a major role in monitoring project performance and determining the project's success. Read through the following pages on the Logical Framework before reviewing the material and examples provided on performance indicators.

Preparing for Class

LOGFRAME – Review the materials and examples provided in the Project Design Manual. Consider the ways in which the Logframe resembles and builds upon the work we have previously done using the Hierarchy of Results or Results Framework. Begin to think about the question: What constitutes success? for the team's proposed change intervention.

PERFORMANCE INDICATORS – For each of your project's planned results, begin to think about what has to change, or who has to change (and in what ways) in order to achieve this result? What kinds of performance indicators would be appropriate for this project?

Change can occur in many ways. If you are having a difficult time deciding what to measure, consider the following:

> ***Changes in knowledge and skills*** – where the goal is to increase people's knowledge or information about an issue/situation (voting rights), or to increase their skill levels (in accounting, strategic planning, etc).
>
> ***Changes in attitudes/values*** – where the goal is to enhance self-esteem, awareness, identity (i.e. using condoms improves the health of men, women and children).
>
> ***Changes in behaviors or levels of participation*** – where the goal is to enhance or improve the way people do things (making a loan from the micro-credit program versus the local moneylender), or are included in decisionmaking (women are represented in community development planning meetings).

How This Part of the Course Relates to the Final Project Design Proposal

LOGFRAME – A completed Logical Framework must be included in the final proposal. Typically, there are 3 or more Logframes, each of which addresses a different Outcome result and the associated Output results.

All of the Logframes address the same Impact result.

The reader of the proposal will use the Logframe to assess:

1) the logical relationships identified in the IMPACT, OUTCOME, OUTPUT and INPUT statements;

2) the extent to which the Performance Indicators translate into appropriate measures of success of the project;

3) whether or not there are appropriate means of verifying the measures; and

4) the assumptions being made.

PERFORMANCE INDICATORS – Performance Indicators will appear in the proposal as part of the Logframe, and in the narrative section on measuring, monitoring and managing results. The variety, appropriateness, and relevancy of the indicators will all be assessed by the reader of the proposal in terms of how well they measure the planned results at various levels.

Figure 10.1

The Logical Framework ('Logframe') Terms and Definitions

Narrative Summary	Performance Indicators	Means of Verification	Assumptions
Impact Result **A statement on the long-term change or result (beyond the end of the current project) to which the project will make a significant contribution.** **(Should directly support or relate to the NGO's mission/vision).**	**Indicators measuring IMPACT.**	**Sources and frequency of information or documentation required to verify progress on the Indicators.**	**The key risk and/or enabling factors that could influence the project.**
Outcome Results (or Project Objectives) **One or more statements about the nature of the change or results to be achieved at the completion of the project.** **Each Outcome has a separate Logframe.**	**Indicators measuring OUTCOME.**	**Sources and frequency of information or documentation required to verify progress on the Indicators.**	**The key risk and/or enabling factors that could influence the project.**
Output Results **The programs, services, systems the project will be responsible for providing, producing, or delivering.**	**Indicators measuring OUTPUT.**	**Sources and frequency of information or documentation required to verify progress on the Indicators.**	**The key risk and/or enabling factors that could influence the project.**
Input Results **The financial resources necessary to achieve the output results.**	**Budget requested for each output result.**	**Sources and frequency of information or documentation required to verify progress on the Indicators.**	**The key risk and/or enabling factors that could influence the project.**

**Modified for PIA 2561.*

Figure 10.2

The Logical Framework

1. What is it?

A Project Design Tool for:

- **Testing the logic of the Project**
- **Identifying Performance Indicators that measure the achievement of the results**
- **Establishing where and how documentation will be used to verify performance**
- **Testing key assumptions about project performance**

2. How does the Logframe 'test' the 'logic' of the project?

The Logframe tests the logic of the project by examining the extent to which there is a logical relationship (cause-effect) between the various levels of results desired. The test rests on whether the project results form a logical sequence of IF-THEN statements:

IF the Inputs provided	–	**THEN the Outputs (can occur)**
IF the Outputs (occur)	–	**THEN the Outcomes (can be achieved)**
IF the Outcomes (occur)	–	**THEN the Impact (can be achieved)**

Each level of result – INPUT, OUTPUT, OUTCOME, IMPACT – must contribute to achieving the next level of result. If not, the project is not 'logical', and has a high probability of failure in obtaining the desired results.

More About Performance Indicators

Performance indicators play an important role in monitoring project performance. Many projects fail because no one is seriously or systematically observing and assessing what is actually happening on the ground at key points in time, or over the life of a project. The project design's results framework describes the changes (OUTPUTS, OUTCOMES and IMPACT) the project proposes to achieve. But how do we know if we are making continuous progress towards achieving these changes? We need a method for measuring and monitoring change over time.

Creating a Learning Cycle: data – information – knowledge – action

A goal of every project should be to establish a 'flow of information', or to create a 'cycle of learning'. Information flows or learning cycles are conceptual models for thinking about how the project's participants and partners learn about what works, and what is not working. The learning cycle begins with the generation of ***data***. However, data does not really tell us much until it is placed in a context.

When placed in a context, data is transformed into ***information***. For example, suppose that we planned a workshop, and 10 people attended the workshop. Considered in isolation, '10 people' has very little explanatory power. However, what if we had established a performance indicator for the workshop: 50 people attend the workshop.

By comparing the predicted or planned attendance (50) with the actual attendance (10), we convert data into useful information. In this simple process, we *learned* something important about workshop attendance: attendance was significantly below our expectations. Most importantly, this information leads us to ask probing questions about our work: Why did this happen? Should we change the timing of the workshop, the location, the way we advertised the workshop?

Tracking or monitoring the above information over time also provides us with additional insights about our work. Suppose we changed the location of the workshop, and monitored attendance over time:

Performance Indicator: 4 workshops – 50 people attend each workshop

Workshop #1	Workshop #2	Workshop #3	Workshop #4
Attendance 10	Attendance 25	Attendance 40	Attendance 65

Tracking data over time generates trends or patterns from which we can learn, or develop ***knowledge*** about the success of the workshops. For example, the trend appears to be positive. Changing the location of the workshop seems to have worked! By workshop #4, we exceeded our performance indicator (planned attendance 50; actual attendance 65).

Suppose that we now have to plan workshops for the second year of the project. The flow of information, or learning cycle we created for the project has generated knowledge that we can use to inform our planning (***action***) for the next round of activity.

Performance indicators are used to measure and monitor change. They are **directly related to the project's planned results (IMPACT, OUTCOMES, OUTPUTS and INPUTS). Each of the project's results should be monitored using 3-5 performance indicators.**

Three of the most common performance indicators include:

- Baseline indicators
- Performance targets
- Benchmarking indicators

Each tries to measure and monitor change in a somewhat different way:

1) **Baseline indicators are used to measure improvement over a baseline.** For example, a beneficiary assessment reveals that 25% of pregnant women visit a clinic in their first trimester. The percentage of women visiting the clinic establishes the *baseline*, and project activities are designed to increase the number of pregnant women visiting the clinic – for example, to 75%. By collecting and analyzing data on clinic visits, the project can systematically monitor the extent to which the project's activities are changing the women's behavior in visiting the clinic. Baseline indicators can be developed for almost any kind of situation, and the methods for establishing the baseline (assessments, surveys, studies) can range from highly formal to the informal PRA techniques.

2) **Performance targets compare (or measure) *actual* results with *planned* results.** Using the workshop example, the planned result (or change) was 4 workshops, 50 people attending each workshop. The *actual* attendance data were then compared against the *planned* attendance data. Performance targets can be developed for a wide range of monitoring issues.

3) **Benchmarking indicators measure progress toward meeting or achieving a standard.** For example, there is an internationally-recognized daily caloric intake standard recommended for teenage children. Suppose the project wants to introduce activities that will improve the diet of young people in a poor region of the country. The project can use this standard as a 'benchmark' against which to monitor whether they are successfully improving the nutrition intake of young people. There are many different kinds of standards available that can be used as benchmarking criteria.

Generally speaking, performance indicators can include anything that represents a 'measurement':

- **Counting**
  # of people attending training

- **Percentages and ratios**
  40% increase; 10% decrease; 15/1 student-teacher ratio

- **For Inputs, the measures or performance indicators are financial**
  $40,000 for the training program

- **Combining qualitative with quantitative**
  50% of respondents in a satisfaction survey indicate 'highly satisfied' with the clinic's services

- **Combining counting with qualitative**
  7 Swahili-speaking trainers hired

- **Qualitative**
  strategic plan completed
  community development plan prepared

Each of the above represents a way to measure change, and when used on a systematic basis, to create a project monitoring system.

In developing performance indicators, two questions are important:

1) What has to change to achieve this result?; and

2) What kind of measure (indicators) will best capture or reflect the change?

Figure 10.3

The Project's Flow of Information and The Learning Cycle

>>DATA>>
Generated by the Performance Indicators

|

>>INFORMATION>>
Data placed in Context
Planned versus Actual Performance
Improvements over Baseline
Progress toward Benchmark

|

>>KNOWLEDGE>>
Data placed in Context
Making 'meaning' through detecting trends and patterns; drawing conclusions

Planned versus Actual Performance
Performance On Target? Worrisome? Intervention Required?

Improvements over Baseline
Increase/Reduction on Target? Worrisome? Intervention Required?

Progress toward Benchmark
Progress On Target? Worrisome? Intervention Required?

|

>>ACTION>>
Making decisions, Taking action
Continue as Planned
Make Minor Adjustments
Halt – Take Corrective Action

Figure 10.4

Performance Indicators: Baseline Data

- ***Baseline data establishes the value of an Indicator at a specific point in time.***

- ***Baseline data can be generated through either primary and/or secondary sources. For example:***
  Primary Sources - formal and informal surveys
  Secondary Sources - national census data

- ***Some Examples of Indicators Prepared With Baseline Data:***

Example 1

Indicator: # of village health centers upgraded or renovated

Baseline Data: Survey of village health centers identifies the centers according to renovation requirements:

Category 1 Renovation	25 health centers
Category 2 Renovation	115 health centers
Category 3 Renovation	225 health centers

Indicator with baseline data and targets:
Year 1 – Category 1 Renovation: 5 of the 25
Year 1 – Category 2 Renovation: 75 of the 115
Year 1 – Category 3 Renovation: 100 of the 225

Example 2

Indicator: # of days to obtain business license

Baseline Data: Survey of licensing approval process indicates 145 days to acquire a business license. The goal is 30 days.

Indicator with Baseline Data and Targets:
Year 1 – Licensing approval time reduced to 90 days
Year 2 – Licensing approval time reduced to 30 days

Figure 10.5

Performance Indicators: Performance Targets

- ***Performance targets identify how much change is expected over time.***
- ***Performance targets are especially helpful in comparing actual results with planned results, which can provide an objective measure of progress.***
- ***There are two types of Performance Targets:***

  Final Targets – establishes a performance level by the end of the project (EOP)

  Interim Targets – establishes performance levels at specific times over the life of the project

- ***Some Examples of Performance Targets:***

  Final Performance Target –

Indicator:	# of jobs created
Indicator linked to Final Target:	4,000 jobs created by 2005 (EOP)

  Interim Performance Target –

Indicator:	Training costs reduced by 35%
Indicator linked to Interim Target:	35% reduction in training costs: Year 1 – 15% reduction Year 2 – 10% reduction Year 3 – 10% reduction

Figure 10.6

Performance Indicators: Benchmarking

- ***Benchmarking data identifies a professional or technical standard or 'best practice' against which an Indicator can be measured.***
- ***Benchmarking data can be generated from several sources, such as:***

  Industry Standards – (i.e. the acceptable parts per million of a toxin in drinking water).

  Professional standards – (i.e. all teachers must be licensed).

  Research Findings – (i.e. a study on factors contributing to the success of micro-credit projects found that the more successful women entrepreneurs had a minimum of 30 hours of skills training.

- ***Example of an Indicator Prepared With Benchmarking Data:***

Indicator:	Pupil/teacher ratio
Indicator with Benchmark:	Pupil/teacher ratio at highest ranked primary schools is 15/1 (or 1 teacher per 15 students)

EXAMPLE – Developing Performance Indicators

<u>2 Key Questions</u>:

1) What has to change to achieve this result?

2) What kind of measure (indicator) will best capture or reflect the change?

Example #1 – Outcome Result

To increase income generating opportunities for working-age Roma in eastern Slovakia.

1) What has to change to achieve this result?

Income generating opportunities must increase.

2) What kind of measure (indicator) will best capture or reflect the change?

Baseline: a beneficiary assessment for eastern Slovakia revealed that in 1999, 150 working-age Roma own their own businesses (less than 1%)

***Baseline Performance Indicator*:** At end of the 3-year project – 25 new business start-ups

Example #2 – Output Results

3 Information workshops held in Year 1

Training program on preparing business plans in Year 1

1) What has to change to achieve this result?

Working-age Roma must attend workshops, receive training, and prepare business plans.

2) What kind of measure (indicator) will best capture or reflect the change?

Performance Target Indicators:

Year 1:	40 Roma attend each of 3 information workshops 75 Roma complete the training program
Year 2:	10 New Roma-owned business start-ups
Year 3:	15 New Roma-owned business start-ups

Given the project's performance indicators, what can the project conclude about its success if:

1) A total of 60 Roma attended the 3 information workshops?
2) 150 Roma have completed the training program?
3) At the end of Year 2, there are 5 new Roma business start-ups? What effect would this information have on the target for Year 3?
4) At the end of 3 years, there are 22 new business start-ups?
5) How would the project collect the necessary information?
6) What assumptions are being made at different points of time in the project?
7) Identify some ways in which these performance indicators would help you as a project manager.
8) As a project manager, is there other information that would be helpful to you in understanding the performance or success of this project?

Figure 10.7

Measuring Changes in Group Formation and Capacity Building
Some Suggested Performance Indicators

Some projects are concerned with building the capacity of community members, or small groups, to take on responsibilities, or act in ways that are entirely new to the participants. Assessing the stability of new groups being formed, or assessing their capacity to do new things, or behave in new ways is often difficult to determine. Below are some performance indicators that may be useful for measuring change in these situations:

When attempting to form new groups

- Group leadership has emerged in an open and transparent process
- Members have allocated, designated or designed special roles and functions to various members
- Sub-groups have been formed with specific tasks or responsibilities
- Leadership rotates among the members over time
- Conflict management or resolution can be documented within the group

When attempting to build capacity within the group

- Evidence of decision-making process emerges
- Identifiable management roles emerge
- Evidence of a process or methods emerge for determining local needs and opportunities
- Ability to draw-up micro-plans and annual workplans
- Methods or processes emerge for monitoring or evaluating the group's programs, activities, etc.
- The group is able to engage in partnerships or alliances or coalitions with other groups, organizations, etc.
- The group is able to disseminate information, technology, methods, etc., to other groups or organizations

When attempting to assess behavioral changes among the group

- Higher levels of involvement of all group members in meetings or discussions
- Evidence emerges of consensus decisionmaking
- Group members can more easily or more quickly make decisions
- New levels of cooperation or novel ways of cooperating emerge among group members

When attempting to increase the autonomy (or reduce the dependency) of groups

- Evidence of reduced reliance on NGO staff
- Evidence of reduced reliance on project inputs while sustaining existing level of activities
- Increasing diversity of practices, procedures or methods emerges which are better suited to local conditions
- Evidence of group (or group members) negotiating for resources with other groups or organizations without the guidance or support of NGO staff
- Independent collective action taken to further the group's goals
- Reduced reliance on traditional power or authority relationships such as landlords, money lenders, etc.

Source: Adapted from United Kingdom, Department for International Development (DFID), Measuring Participation and Capacity Building (July 1995); at www.dfid.gov.uk.

Figure 10.8

Building the Capacity of NGOs or the NGO Sector
Suggested Performance Indicators

Many NGOs are engaged in building the capacity of other NGOs, and in building a viable NGO or third sector in their country. Below are some performance indicators that may be useful for measuring change in this situation. *Note: many of these indicators are stated as the percentage of NGOs relative to all NGOs in a country; however, these performance indicators could be stated in terms of one NGO or small groups of NGOs or grassroots organizations that an NGO is working with.*

Increasing diversity
- # of women's association or women-led NGOs
- # of NGOs representing minority, ethnic or religious groups
- # of grassroots support organizations (intermediary NGOs)

Building capacity to influence government programs and policies
- Number and significance of policies/regulations adopted as a result of NGO efforts
- Number and/or kind of fora established for regular NGO-Government consultation (i.e.-consultative groups, advisory councils, etc.)
- % of government budget allocated for support of NGO programs

Building NGO-private sector relations
- Number of private businesses making financial contributions to NGOs
- Value of contributions (cash or in-kind) by the private sector to NGOs
- Number of NGOs that have been sponsored by or created by private businesses (i.e. exporters association)
- % of NGOs with businessmen serving on their boards

Degree of participation and responsiveness to members needs
- Frequency of changes of leadership of NGOs
- Rotation of membership on NGO Boards
- Frequency of NGOs meetings with grassroots organizations

Increasing Sustainability
- % of revenues at NGOs or grassroots organizations generated by local services
- % of members paying their dues to membership NGOs/grassroots organizations

Improving Organizational Capacity -
- % of NGOs with full time professional or technical staff
- % of NGO with audited financial records
- % of NGOs that have received technical assistance or training in financial management and accounting
- % of NGOs with transparent and functional financial, accounting, personnel management systems
- % of NGOs capable of developing their own training materials and providing training to other NGOs

Figure 10.8 (continued)

Communications Capacity and Access to Information

- % of NGOs connected to Internet
- % of NGOs with fax or e-mail capabilities
- % of NGOs with newsletters, or publications

Innovativeness

- Number of model approaches pilot tested by an NGO or the sector
- Number of model approaches that have been successfully adopted or replicated by other NGOs or government

Source: Adapted from USAID, New Partnerships Initiative (NPI): NGO Empowerment, at www.info.usaid.gov. Select Publications, Select New Partnerships Initiative.

Chapter 11
Project Design Question #4: What Constitutes Success? (*continued*)

Project Tools: Formative Evaluation (as an Early Warning System)

In this session we will focus on formative evaluation as an early warning system. Formative evaluation is typically referred to as *ongoing evaluation*. There are many types of evaluation: impact evaluations, summative evaluations, outcome evaluations, etc. Formative evaluation is unique in the way it focuses on using the project's performance indicators:

- To identify what factors will define whether or not the project is successful; and
- To establish an early warning system that signals a problem is emerging, and what actions to take to resolve the problem.

NGOs often view evaluation as a negative experience – something that funding agencies insist upon because they don't trust the NGO to spend money wisely, or to utilize resources effectively. In fact, 'evaluation' has a bad reputation in general: Something externally imposed – involving assessment and judgments about performance.

In recent years, the concept of participatory monitoring and evaluation has become extremely popular among NGOs and funding agencies. Increasingly, NGOs are taking control of the evaluation function, and applying the principles of monitoring and evaluation in highly innovative ways.

For example, placing an emphasis on formative versus summative evaluation is one of the major changes that have occurred. Summative evaluations occur at the end of a project. While extremely valuable for generating lessons learned, summative evaluations have nothing to contribute to understanding the project dynamics in real-time. Formative evaluations, because they are ongoing evaluation, can make a valuable contribution to assessing performance in real-time, and providing a way to make adjustments and corrections to the project. In formative evaluation, evaluation occurs all the time – beginning with planning and design activity.

The role of monitoring has also changed, and as we saw in the chapter on performance indicators, monitoring has a direct relationship to formative evaluation. *Monitoring* is concerned with the day-to-day or event-to-event tracking of progress, and involves the collection of data. *Formative evaluation* assesses the data gathered through monitoring – placing it in context, attempting to see trends or patterns, and most importantly – using information and knowledge generated by project activities to assess project performance over time. Anytime you are asking a question about performance, or assessing how much change, or what kind of change is occurring – you are doing formative (ongoing) evaluation.

Remember that the most commonly used performance indicators are measures involving performance targets, baseline data, and benchmark data. The goal in formative evaluation is to use the information generated by these the performance indicators to answer key questions, such as:

- To what extent are the actual results deviating from the planned results?
- To what extent are we seeing improvements over the baseline we established?
- To what extent are we making progress toward the benchmarks we established?

The project's monitoring activity will be collecting data about these questions. Formative evaluation activity will be analyzing this data in terms of trends, patterns, etc., to ensure that the project stays on track. Who should be analyzing data and asking the questions? Any project participant can be involved. In highly participatory projects, both monitoring and evaluation involves the beneficiaries. Each project design presents a different challenge in terms of who will participate in monitoring and evaluation. For formative evaluation, in particular, decision makers need to have periodic reports on trends and patterns, whether positive or negative. Multiple stakeholders also may have a need to be involved in both monitoring and evaluation activity.

Formative Evaluation as an Early Warning System

One purpose of doing formative evaluation is to create an early warning system for the project. An early warning system alerts us when we are **not** making adequate progress, and identifies what we might do to improve or correct the situation.

Many projects fail due to the lack of an early warning system, continuing to carry out activities that are non-productive in terms of reaching the results that were originally planned. At issue is not paying enough attention to data analysis, and not getting the right information to those who can do something about an emerging or growing problem (decisionmakers). Thus, **the reporting and dissemination of information play a key role in formative evaluation activity.** Finally, formative evaluation activity blurs the boundaries between the various elements of the project cycle – especially in the way it allows for planning and design activity to occur at any point in the project. Formative evaluation, when used correctly, is a key element in ensuring that the project remains flexible and adaptable in response to changing conditions.

One approach to using formative evaluation as an early warning system is to select a few key performance indicators which can signal that a problem is emerging. In our workshop example (50 people expected to attend each workshop) – this performance indicator served as an early warning system: When only 10 people attended the first workshop, project personnel quickly changed the location of the workshop. Over time, the attendance increased and finally exceeded the planned target. In the absence of such a system, the project would have most likely continued to conduct the workshops as originally planned, and overall would have experienced very poor attendance.

Development change interventions are inherently messy, difficult and complex. Flexibility and adaptability are key to making change happen. If no one is paying attention to why, for example, married women are not attending the micro-credit training programs, or far too few people have improved access to safe drinking water – then the project will have little to show by way of results when the funding runs out!

Preparing for Class

Review the materials and examples provided. In particular, review the performance indicators for your project and begin to think about issues such as:

- What performance indicators could serve as an early warning system for our project? How much would this performance indicator have to fail, deviate or diverge from our expectations to cause the team (the NGO) to become worried about the project's performance?

- What could we do at that stage or point in time to correct the problem?

For example, a project has set a target (performance indicator) of *400 families with access to safe drinking water in the first year*. What if the quarterly assessment showed 25 families with access? Would that information act as a trigger to alert you, or provide an early warning that a problem was developing? How much failure or deviation from the planned target (400 in the first year) would you be willing to tolerate? If the deviation or divergence from the planned result is too high – what could be done at this point in time to correct the situation?

How This Part of the Course Relates to the Final Project Design Proposal

A formative evaluation plan will need to be included in the funding proposal in the Measuring, Monitoring and Managing Results section. The plan will focus on how the NGO proposes to create an early warning system for the project, what will trigger the early warning system (how much failure or deviation is tolerated), and what are the proposed correctives or remedies once a problem is detected. In this final section of the proposal, the NGO will need to convince the reader of the proposal that there is plan in place for ensuring that the project stays on track. If additional resources (computers, software, staff training, etc) are going to be requested in the proposal for these activities, the reader must be convinced that the request is justified because of a serious and systematic concern for feedback, problem-solving, trouble-shooting and maintaining flexibility and adaptability.

A Final Word

Our proposed change intervention (or project) began with problem solving. Because real life events, and especially development interventions, can very rarely be executed or implemented in the ways we originally imagined the future, problem solving must remains a key concern over the life of the project. Unlike in the natural sciences (chemistry, biology, physics), the social sciences cannot often control for unintended consequences. The best a change intervention can accomplish is **to be prepared to change the changes you are proposing.**

Figure 11.1

Formative Evaluation
"Ongoing Evaluation"

Looking for Early Warning Signals

- **Indications that the project is falling behind or deviating too far from the planned results**

- **Focuses on the Performance Indicators at the Outcome and Output levels:**
  Prioritizes Performance Indicators
  Selects 3-4 Performance Indicators to serve as "Early Warning Signals"

- **Specifies 'Early Warning' Criteria:**
  Planned versus actual results differ
  Unintended consequences
  Assumptions fail

- **Identifies Specific Corrective Actions:**
  Remedial strategy
  Mid-course evaluation and possible re-design

EXAMPLE – Formative Evaluation Plan

Partners For Progress Project, Hungary

Early Warning Signals (Selected Performance Indicators from the Project's Logframe)	Early Warning Criteria	Corrective Actions/Strategy
1. Home Visits to Elderly 4 home visits per month made by NGO staff	Planned – monthly reports If the monthly report submitted by each NGO staff indicates less than 4 visits for the month	1) NGO project manager will contact the staff member and client to discuss reasons why the visit did not occur - by the 5th day of the following month.
2. Beneficiary Satisfaction Surveys Year 1 – 50% of clients indicate they are highly satisfied with services	Planned – annual survey "Highly satisfied" response falls below 40%	1) Within 2 weeks of receiving survey results, meet with staff to review findings and plan corrective measures.
3. At-risk Youth Contacts 5 youth counselors hired and trained by 3rd quarter	Assumption – the Department of Youth and Children Services will provide subsidy to hire 5 new staff	1) If allocation is not approved by 2nd quarter, arrange meeting with Permanent Secretary.

GLOSSARY of

TERMS AND DEFINITIONS

PIA 2561

A GRASSROOTS APPROACH TO PLANNING AND DESIGNING DEVELOPMENT PROJECTS

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Baseline Surveys – surveys designed to capture a situation on the ground at one moment in time prior to the beginning of a project. The data then become a 'baseline' against which future impacts, results or outcomes are assessed. Baseline surveys are used in a wide variety of projects, and can use either formal and informal methods.

Beneficiaries – also called 'the target group', or project 'clients'. These are individuals, groups, subpopulations (women, children, etc) or organizations that either directly or indirectly benefit from the project and/or its activities.

Community Mobilization – efforts made at the local or community level that raise the consciousness, or sensitize a community's awareness of their condition and the problems they face, and facilitate the community participation's in planning, designing, implementing monitoring, evaluating and/or maintaining activities. Non-governmental organizations often use community mobilization techniques to both make communities aware of their services and resources, and to assist communities to make demands on government and other groups who may have influence on their well-being. Those persons who facilitate mobilization efforts are often referred to as 'field workers' or 'project officers'. Such persons typically are trained to work with disadvantaged communities, and to spend large amounts of their time in the 'field' working closely with community members.

Conference – one type of project-related activity with the following characteristics: usually from one day to one week in length; theme or issue oriented; usually offers a number of speakers who present papers on various topics related to the theme or issue being explored; and features a main or 'guest' speaker of some importance in the country (region or international) or in area or topic or theme around which the conference is organized. Often the end result of conferences are the publication of the papers presented and/or recommendations proposed, and the dissemination of these papers to a wider audience.

Consultant – within the context of projects, a person who is considered to have some expertise in a particular area, and who assists the project over a period of time. Areas of expertise can include: anthropology, sociology, lawyers, physicians/nurses, teachers and university academics, pollsters, organizational development/management, business people, accountants, and practitioners from all fields such as an NGO director, staff specialist or board member. Consultants can be local (a citizen of the country where the project is occurring), regional or international. Many design and assessment activities are carried out by consultants, as well as assisting the project to develop teaching materials, or are involved as teachers/trainers. Consultants may also work on an intermittent basis, advising a project through discrete 'in-residence' stays for short periods of time over the life of the project. For budgeting purposes, a consultant is paid a daily salary (called the 'daily rate'), and a daily 'per diem allowance' (based on the country or city where he/she is working), and is reimbursed for expenses. Each activity on which a consultant works must be budgeted separately.

Design Activity – within a project context, a subset of one or more activities that typically precedes a major project activity. For example, a training exercise requires a design activity where the training exercise is planned, organized, and the training materials are developed. Such activities typically occur very close to, or directly before, the main activity is carried out. For example, if a consultant is brought in to assist in the design of formal training course, the consultant may complete the design work, and stay on for a week or so to advise (or perhaps even participate) in the early stages of the training activity. Typically, design work is calculated for budget purposes as follows: 1.5 days per team working on the design for each day that the main activity will occur - so that a 3-day training event could require 4-5 days of design work if this is a very new event. Workshops, training activities, conferences, seminars, surveys, action research, and evaluations and assessments typically require at least one design activity.

Donor – In development terms, an organization/entity that provides financial support (international aid or technical assistance) to another organization. Also referred to as the 'donor community', and which includes: bilateral donors (the official international aid agencies of a government); and multilateral donors (the UN and its agencies, the International Monetary Fund (IMF) and the World Bank). Increasingly, private donors are emerging as a source of significant funding and technical assistance and include northern-based NGOs, some southern-based NGOs, and large foundations.

Facilitator – a person (usually from outside the project) with specialized skills who assists in various types of project-related activities. For example, facilitators can run workshops, strategic planning sessions, seminars, and retreats. Their roles combine elements of leadership and conflict mediation. Thus, facilitators should not be part of the everyday work of the project, as they are more helpful the less they are directly involved with the project. For budgeting purposes, facilitators (like consultants) will need a salary, per diem and reimbursed expenses.

Field Workers – also called 'project officers', and who work closely with local communities in designing, implementing and managing project-related activities. Working as both teachers, mentors and facilitators, these are jobs with important responsibilities for assisting and supporting community development efforts. Thus, field workers are often the target of training activities so that they are well-prepared to work in resource-scarce local environments, in using participatory methods, and are well-informed about the existing cultural norms and values in specific communities.

Final Evaluation (or Summative Evaluation) – assessment activities carried out at the end of the project. Final evaluations have often been controversial because typically the evaluation team has comprised only international consultants. More recently, the trend is to use a mixed team involving both local and international (or regional) persons, with perhaps one project person on the team. The goal is to perform an 'objective' assessment of the project, comparing project performance against project goals. Evaluations of this nature can last anywhere from one week to six weeks, depending on the size and complexity of the project. The team reviews project documentation, visits a representative sample of beneficiaries or project activities, conducts interviews with project staff and other relevant persons, and makes an end of evaluation presentation to the donor, project staff and other stakeholders immediately after the evaluation, followed by a lengthy written report typically due within three months after the evaluation. Also popular are **impact evaluations**, where rather than reporting on the project's success in meeting objectives, the assessment examines the long-term impact of the project.

Formal Training – these are formal educational courses, typically one month, three months, or six months in length, covering a wide variety of topics. Common course topics include project planning and design, personnel management, financial management, management information systems (using computers and databases within projects), and are commonly offered to mid-level staff in a variety of organizations. Another approach is the Executive Management Training courses offered to a wide variety of managers (either in government, the private sector or NGOs), and that cover such issues as strategic planning, human resource development, monitoring and evaluation, development planning, etc. These courses are designed to assist managers and sometimes board members in problem solving, planning, public relations, employee relations, etc, and focus both on developing organizational capacity and individual capacity. Typically, formal training courses require a design activity, and involve the use of persons outside of the project, such as academics.

Formative Evaluation – a method of evaluation that is ongoing, and focuses on project performance at the outcome and output levels where project managers have the most influence. The goal is to closely monitor planned results versus actual results as the project is implemented over time. An important feature of formative evaluation is the designation of specific performance indicators that act as "early warning signals", indicating that corrective measures are necessary in order to keep the project on track. Formative evaluations are often highly participatory evaluations – with the beneficiaries sharing in the design and implementation of the activity.

Grantee Organization – any organization that is the recipient of external funding.

Informal Training – covers a wide variety of training-related activities, and can last anywhere from two-to-three days, to two-to-four weeks. Workshops are often used as a training vehicle, especially where persons from a local community are being trained. Informal training typically has a "training of trainers" component (see below), and are aimed at teaching skills and techniques to people with lower levels of education. Another variation of informal training can involve project staff, and be used to explore a specific topic related to the project, or as a way to bring project staff together to dialogue about their project experiences, the lessons learned, and to make adjustments to the future course of project activity.

Life of the Project – a donor term that refers to activities or actions occur throughout the project funding cycle. For example, "It is expected that quarterly assessments will occur over the life of the project."

Logical Framework – also referred to as the Logframe. A project design tool used to 'test' the logic of the project design, specify performance indicators, the means of verifying performance, and the major assumptions about the project. Although originally developed for USAID, a version of the tool is now used by all of the major development donors and many NGOs.

Materials Development – a donor term commonly used to cover the activities necessary to prepare materials for courses, conferences, workshops, seminars, or research. Often times, documents or materials are available (textbooks, workbooks, handbooks, guidelines, publications, videos, skits, etc.), but they need to be translated into the local language, and require a separate design activity that reviews the materials and adapts them to the local context.

Mid-Term Evaluation – an assessment of project activity/results that occurs mid-way through the project. Mid-term evaluations are increasingly being used as a vehicle for trouble-shooting problems on a project and making mid-course corrections to a project.

Needs Assessment – a multi-purpose term that covers many kinds of information-gathering activities, and has become a critical tool in project planning when there is uncertainty about the project environment. For example, the project may desire to conduct training, but has no real idea of the numbers and nature of the people who may require training. Thus, a 'training needs assessment' will be conducted that surveys various groups or organizations to learn about their 'training needs'. Likewise, a project may be interested in building local organizational capacity. Thus, an 'organizational needs assessment' will be carried out to learn about the 'organizational needs' of a sample of organizations. Beneficiary needs assessment have the goal of involving local communities or local groups so that 'women' or 'small-scale farmers' or 'local townspeople' have opportunities to present their 'needs', issues or priorities.

Participant Surveys – typically carried out by the project immediately following a specific project activity. For example, on the final day of a training exercise, a workshop, seminar or conference, project staff will distribute surveys that ask the participants in these events a number of questions that ask them to rate or evaluate or assess their experiences during the event. The surveys are considered a useful feedback tool for the project, and are helpful for measuring, monitoring and evaluating an activity. For example, if a majority of the participants said they did not learn anything new or useful during the event, the project will incorporate these remarks or assessments into re-designing the event in the future, or for explaining why the event was not successful.

Participatory Methods – methods or techniques for information collection, as well as monitoring and evaluation and that desire the participation of the beneficiaries, and/or other stakeholders important to the project. Also referred to as Rapid Appraisal Methods (RAM), or Participatory Rural Appraisal (PRA). Over 30 PRA tools currently exist, and they are heavily focused on visual methods of obtaining information so that persons with low levels of literacy can participate.

Pilot Activity – typically a scaled-down, time-bounded, geographically limited, 'experimental' activity that the project wishes to 'test' in the field. The goal of a pilot activity is to 'test' a particular approach or method, and then to review the results and make adjustments before a full-scale version of the activity is initiated. Sometimes, large portions of project activity may take the form of 'pilots', especially when the project is working in new areas, or with new groups or communities, or introducing a new kind of activity (such as advocacy). Designating one or more actions or activities as a 'pilot' provides more leeway for evaluating its results, outcomes and impacts, and more flexibility in making adjustments/corrections to the project. Often, an entire project is designated as a pilot.

Project – a planned change intervention to address a specific problem(s). A project typically consists of a time-bounded series or set of discrete activities that occur in one or more specified locations, and has designated resources in terms of staffing, budget, and equipment (human, financial and physical resources). Many NGOs are carrying out numerous projects at any given time, and many of these projects are externally-funded. This situation places a large management burden on an organization, and the logistics and requirements for managing many donor-funded projects at one time can overwhelm an organization's resources.

Project Cycle – projects are typically divided into three phases: the planning/design phase where problems, solutions and assumptions (risk and enabling factors) are identified; the implementation phase where measuring, monitoring and managing the change intervention occurs; and the evaluation phase where the assessment of the change intervention occurs. In practical terms, the boundaries are more blurred among these activities. For example, evaluation concerns are now typically addressed during the planning phase of a project.

Project Officers – often the locally-hired staff of NGOs, responsible for overseeing or managing specific kinds of activities, or a specific geographic area, and often the target of specialized training to assist them to more effectively work in their 'intermediate' position as the link between the project headquarters or regional office and the local community. Sometimes, field workers (see above) are also called project officers. However, some project officers never work in the field, but have as one of their responsibilities, the oversight of field workers (those working in the field, or at the local level). Moreover, USAID and other donors also use this term for their employees who oversee donor-funded projects. It is important that the planners and designers of projects do not confuse these terms, and that they make these definitions clear in their project documents or funding proposals.

Result – in project terms, a change in the condition(s) of people, organization(s,) institution(s), sector(s), or macro environment of a country. Results are often described in terms of a hierarchy - where Input results lead to Output results, and Output results lead to Outcome results, and Outcome results lead to Impact results. The term 'result' comes from 'results-based management', an approach adopted by many governments and private sector firms for efficiency and effectiveness reasons. It has now filtered down or migrated to the third sector.

Retreat – a specific type of activity where project managers (or board members) participate in strategy sessions at a secluded location. The goal of a retreat is to remove personnel from their regular environment and to a more relaxed environment where the participants are more likely to freely discuss their problems or sensitive issues related to the project. Retreats can be helpful when a project runs into serious problems, or loses direction. Typically, one or more 'facilitators' or outsiders are brought in (often consultants with specialized conflict negotiation skills) to assist the participants to identify their problems, more clearly define the issues, and to engage in problem-solving activities.

Seminar – typically a two-to-three day activity organized around a specific topic, where the focus is on getting the participants engaged in information-sharing and dialogue with one another. Seminars are important activities when the project is testing new methods, approaches, or programs, and there is a need to bring key personnel together to share their experiences. Seminars are typically not appropriate vehicles below the mid-management level.

Social Assessment Studies – typically a 'mapping' and/or action research activity that describes and analyses the working environment of the project. There are many types of these studies, and their focus can be political, social, economic, and/or environmental. The purpose of such studies is to aid in the design of projects by identifying power or authority relations in communities, or among specific groups that a project will work with over time. **Stakeholder Analysis** and **Gender Analysis** are two of the most popular or commonly used social assessments.

Stakeholders – any individuals, groups, communities, and/or organizations that have a 'stake' or interest in project activities, objectives, results, outcomes and/or impacts, and whose involvement in the project is considered important for the success of the project.

Strategic Planning Session – a specific type of activity that typically involves managers, executives or board members. The goal of this activity is to get the participants to engage in long-range planning and thinking about the future of an organization. Typically, the end result of a strategic planning exercise is the strategic planning document that outlines the organization's mission, mandate, and objectives over one, two or three years. If there is some concern that the board or some organizational personnel are not entirely comfortable with a project (or its activities), and how the project 'fits' into the organization, strategic planning exercises are a good way to arrive at a new consensus or direction. Typically, these exercises are led by facilitators (see above), and last no longer than three to four days. Strategic planning is appropriate at the senior manager or executive level.

Study Tours – a kind of training activity where the project funds people to visit and 'study' a similar organization or set of activities outside the country or in different parts of the country. For example, an NGO that intends to adopt new kinds of activities may fund its personnel to visit and study at another organization or project in the region, or in a developed country. Typically, a small per diem is given to the participants, with airfares, meals and lodging covered by the project, and their tours are three weeks to two months in length. Study tours have also been adapted for communities, where a representative community group is funded to visit and study another community where similar activities are occurring.

Technical Assistance – a donor term that typically refers to an in-resident consultant who works with project personnel to design activities, or develop materials, or introduce new technologies to the project (computers or management systems), and/or its beneficiaries. The term is also increasingly used by NGOs, where the NGO provides technical assistance to communities by funding experts or specialists that assist the communities in such areas as health, education, agriculture, natural resource management, or with project management and monitoring (including financial management).

Training of Trainers (TOT) – a specific type of training activity that provides funding for the training of groups of persons who will become 'trainers' for other groups of persons. TOT components are particularly helpful when large numbers of beneficiaries may need to be trained in order to more effectively participate in project activities. Thus, TOT can involve community mobilization skills, as well as preparing trainers to deliver management training to other groups or organizations. During a TOT, the trainees are trained both on how to organize a training session, and on content areas, or the information/skills to be delivered by the training.

Training and Visit Program – a method for delivering both expertise and informal training to beneficiaries and project personnel located in remote areas, or far from the project's central location. For example, a national chamber of commerce may be concerned that it is not doing enough to reach its branches or chapters around the country. A training and visit program (T&V program or component) can address this problem. The characteristics of these programs include: periodic visits to a number of locales by an 'expert' (a staff person or a 'professional' such as a nurse) who work with local personnel in problem solving activities and generally 'dialogues' with local people to assist them in more effectively planning, monitoring or implementing project activities. The visits typically last 1-3 days and occur perhaps three or four times a year. T&V programs are a good method for linking the center to the periphery at low cost.

Workshop – a two to four day event that brings together project personnel and/or beneficiaries and stakeholders for training, planning, information sharing, or problem solving. This is a broad category, and more generally represents any effort by the project to bring people together for a specific purpose. Especially where communication is difficult due to lack of telephones, fax, or computers, workshops are an effective way to promote communication between the center and the periphery, or between different kinds of people (staff and beneficiaries; staff and managers; men and women; parents and teachers, etc). Workshops typically require a design activity because each is unique in its purposes and goals.