Project Cycle Design Management
Procedures and Guidelines
# TABLE OF CONTENTS:

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>List of Figures and Boxes</td>
<td>3</td>
</tr>
<tr>
<td>List of Acronyms and Abbreviations</td>
<td>4</td>
</tr>
<tr>
<td>Quality Enhancement for Internal Project Cycle Design Review-Overview</td>
<td>5</td>
</tr>
<tr>
<td><strong>I. PROJECT DESIGN CYCLE MANAGEMENT PROCEDURE GUIDELINES (PDCMPG)</strong></td>
<td></td>
</tr>
<tr>
<td>1. Summary</td>
<td>6</td>
</tr>
<tr>
<td>2. Introduction</td>
<td>7</td>
</tr>
<tr>
<td>3. The Project Cycle</td>
<td>8</td>
</tr>
<tr>
<td>4. Adaptive Management</td>
<td>9</td>
</tr>
<tr>
<td>5. Initial Initial Design Phase</td>
<td>10</td>
</tr>
<tr>
<td>6. Strategic Framework</td>
<td>13</td>
</tr>
<tr>
<td>7. Project Formulation</td>
<td>15</td>
</tr>
<tr>
<td>8. WFWO’s Factors Ensuring Sustainability</td>
<td>16</td>
</tr>
<tr>
<td>9. Logical Framework</td>
<td>19</td>
</tr>
<tr>
<td>10. Situation Analysis and Identification of Stakeholders</td>
<td>22</td>
</tr>
<tr>
<td>11. Problem Identification and Analysis</td>
<td>25</td>
</tr>
<tr>
<td>12. Objectives Analysis</td>
<td>27</td>
</tr>
<tr>
<td>13. Strategy Analysis</td>
<td>27</td>
</tr>
<tr>
<td>14. Scoping</td>
<td>27</td>
</tr>
<tr>
<td>15. Assumptions</td>
<td>31</td>
</tr>
<tr>
<td>16. Indicators</td>
<td>32</td>
</tr>
<tr>
<td>17. Analysis of the Logical Framework</td>
<td>37</td>
</tr>
<tr>
<td>18. Monitoring</td>
<td>38</td>
</tr>
<tr>
<td>19. Evaluation</td>
<td>42</td>
</tr>
<tr>
<td>20. A Results-Based Work plan and Budget</td>
<td>46</td>
</tr>
<tr>
<td>21. Means and Costs</td>
<td>47</td>
</tr>
<tr>
<td>22. Lessons Learned</td>
<td>47</td>
</tr>
<tr>
<td><strong>II. WFWO’s APPROACH AND TOOLS USED IN THE CONTEXT OF PCDMP</strong></td>
<td>49</td>
</tr>
<tr>
<td><strong>III. WFWO’s DEVELOPMENT COOPERATION PARTNERSHIP (DCP)</strong></td>
<td>62</td>
</tr>
<tr>
<td><strong>IV. PROJECT CYCLE DESIGN MANAGEMENT PROCEDURE GUIDELINES (PCDMPG) IN THE CONTEXT OF THE FUNDING POLICY</strong></td>
<td>69</td>
</tr>
<tr>
<td><strong>V. WFWO’s TARGETING POLICY</strong></td>
<td></td>
</tr>
</tbody>
</table>

Annex 1. Definition                                                   | 91   |
Annex 2. Glossary                                                     | 92   |
Annex 3. The PCDMPG Directory key concepts and terms                  | 94   |
Annex 4. The WFWO’s PCDMPG Criteria to Measure Project Success       | 95   |
Annex 5. Project Concept Form (PCF)                                   | 96   |
Annex 6. Project Proposal Request Form (PPR)                          | 97   |
Annex 7. Application Template                                          | 100  |
Annex 8. Concept of a Project Proposal Document                      | 103  |
# LIST OF FIGURES AND BOXES

## Figure:

<table>
<thead>
<tr>
<th>Figure</th>
<th>Description</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>The principal phases of the project cycle</td>
<td>8</td>
</tr>
<tr>
<td>2</td>
<td>Key elements of the adaptive management cycle</td>
<td>10</td>
</tr>
<tr>
<td>3</td>
<td>The planning pyramid</td>
<td>13</td>
</tr>
<tr>
<td>4</td>
<td>Project formulation flow chart</td>
<td>16</td>
</tr>
<tr>
<td>5</td>
<td>Development of the logical framework matrix</td>
<td>20</td>
</tr>
<tr>
<td>6</td>
<td>The assumption algorithm</td>
<td>31</td>
</tr>
<tr>
<td>7</td>
<td>The “Pressure-State-Response” cycle</td>
<td>32</td>
</tr>
<tr>
<td>8</td>
<td>Assumptions logic</td>
<td>38</td>
</tr>
<tr>
<td>9</td>
<td>Lesson Learning</td>
<td>52</td>
</tr>
<tr>
<td>10</td>
<td>WFWO’s Project Planning</td>
<td>53</td>
</tr>
<tr>
<td>11</td>
<td>Partnership and participation of stakeholders</td>
<td>61</td>
</tr>
<tr>
<td>12</td>
<td>Basic Structure of Development Cooperation Partnership Used by WFWO</td>
<td>64</td>
</tr>
<tr>
<td>13</td>
<td>Levels of Cooperation and Input Processes</td>
<td>65</td>
</tr>
<tr>
<td>14</td>
<td>WFWO Project Cycle</td>
<td>70</td>
</tr>
<tr>
<td>15</td>
<td>Application of WFWO formats during the project cycle</td>
<td>71</td>
</tr>
</tbody>
</table>

## Box:

<table>
<thead>
<tr>
<th>Box</th>
<th>Description</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Guidelines for project appraisal</td>
<td>12</td>
</tr>
<tr>
<td>2</td>
<td>WFWO Strategic Planning Framework – Action Strategy</td>
<td>14</td>
</tr>
<tr>
<td>3</td>
<td>The project logical framework used by WFWO</td>
<td>19</td>
</tr>
<tr>
<td>4</td>
<td>Stakeholder Analysis</td>
<td>24</td>
</tr>
<tr>
<td>5</td>
<td>Simplified example of a problem tree</td>
<td>26</td>
</tr>
<tr>
<td>6</td>
<td>Decision matrix with examples of criteria</td>
<td>28</td>
</tr>
<tr>
<td>7</td>
<td>Logic Testing Question</td>
<td>30</td>
</tr>
<tr>
<td>8</td>
<td>Indicators</td>
<td>33/34</td>
</tr>
<tr>
<td>9</td>
<td>Tips for Settings Indicators</td>
<td>36</td>
</tr>
<tr>
<td>10</td>
<td>Performance Criteria for Indicators</td>
<td>36</td>
</tr>
<tr>
<td>11</td>
<td>Elements of a Monitoring and Evaluation Plan</td>
<td>39</td>
</tr>
<tr>
<td>12</td>
<td>Recommended format for a project-monitoring matrix</td>
<td>41</td>
</tr>
<tr>
<td>13</td>
<td>Benefits of Monitoring</td>
<td>41</td>
</tr>
<tr>
<td>14</td>
<td>Evaluation</td>
<td>43</td>
</tr>
<tr>
<td>15</td>
<td>Elements for an evaluation</td>
<td>45</td>
</tr>
<tr>
<td>16</td>
<td>Evaluation Matrix</td>
<td>45</td>
</tr>
<tr>
<td>17</td>
<td>Procedure for Developing a Results-based work Plan</td>
<td>47</td>
</tr>
<tr>
<td>18</td>
<td>Capacity Assessment chart used by WFWO</td>
<td>56</td>
</tr>
<tr>
<td>19</td>
<td>Stakeholders</td>
<td>59</td>
</tr>
<tr>
<td>20</td>
<td>WFWO approach for a community identified their priority need as improved access to safe water</td>
<td>59</td>
</tr>
<tr>
<td>21</td>
<td>Screening Form</td>
<td>73</td>
</tr>
<tr>
<td>22</td>
<td>Project Selection Criteria</td>
<td>77</td>
</tr>
<tr>
<td>23</td>
<td>Project Progress</td>
<td>82</td>
</tr>
<tr>
<td>24</td>
<td>Expenditure Statement</td>
<td>83</td>
</tr>
</tbody>
</table>
# LIST OF ACRONYMS AND ABBREVIATIONS

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>AWP</td>
<td>Annual Work Plan</td>
</tr>
<tr>
<td>CB</td>
<td>Country Beneficiary</td>
</tr>
<tr>
<td>CSP</td>
<td>Country Strategy Paper</td>
</tr>
<tr>
<td>CPASR</td>
<td>Country Partnership Assistance Strategy Report</td>
</tr>
<tr>
<td>CSLAS</td>
<td>Country Sustainable Livelihoods Approach Strategy</td>
</tr>
<tr>
<td>CT</td>
<td>Communications Team</td>
</tr>
<tr>
<td>CBO</td>
<td>Community Based Organization</td>
</tr>
<tr>
<td>DCP</td>
<td>Development Cooperation Partnership</td>
</tr>
<tr>
<td>DC</td>
<td>Developing Countries</td>
</tr>
<tr>
<td>EBD</td>
<td>Executive Board Directors</td>
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<tr>
<td>EP</td>
<td>Executive President</td>
</tr>
<tr>
<td>EET</td>
<td>External Evaluation Team</td>
</tr>
<tr>
<td>FP</td>
<td>Financial Partner</td>
</tr>
<tr>
<td>FP</td>
<td>Financial Proposal</td>
</tr>
<tr>
<td>FPPT</td>
<td>Framework Project Planning Target</td>
</tr>
<tr>
<td>FT</td>
<td>Financial Team</td>
</tr>
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<td>LA</td>
<td>Legal adviser</td>
</tr>
<tr>
<td>LA</td>
<td>Local authorities</td>
</tr>
<tr>
<td>LC</td>
<td>Local Community</td>
</tr>
<tr>
<td>LFA</td>
<td>Logical Framework Approach</td>
</tr>
<tr>
<td>MDGs</td>
<td>Millennium Development Goals</td>
</tr>
<tr>
<td>M&amp;E</td>
<td>Monitoring and Evaluation</td>
</tr>
<tr>
<td>NIP</td>
<td>National Indicative Program</td>
</tr>
<tr>
<td>NGO</td>
<td>Non-Governmental Organization</td>
</tr>
<tr>
<td>OT</td>
<td>Operation Team</td>
</tr>
<tr>
<td>OAS</td>
<td>Overall Activity Schedule</td>
</tr>
<tr>
<td>OO</td>
<td>Overall Objectives</td>
</tr>
<tr>
<td>OVI</td>
<td>Objectively Verifiable Indicator</td>
</tr>
<tr>
<td>OWP</td>
<td>Overall Work Plan</td>
</tr>
<tr>
<td>OVI</td>
<td>Objectively Verifiable Indicator</td>
</tr>
<tr>
<td>PEC</td>
<td>Project Executive Coordinator</td>
</tr>
<tr>
<td>PCM</td>
<td>Project Cycle Management</td>
</tr>
<tr>
<td>PD/CMPG</td>
<td>Project Cycle Design Procedure &amp; Guidelines</td>
</tr>
<tr>
<td>PIS</td>
<td>Project Identification Sheet</td>
</tr>
<tr>
<td>PP</td>
<td>Project Purpose</td>
</tr>
<tr>
<td>PRSP</td>
<td>Poverty Reduction Strategy Paper</td>
</tr>
<tr>
<td>PRSPR</td>
<td>Poverty Reduction Strategy Planning Report</td>
</tr>
<tr>
<td>PPR</td>
<td>Project Proposal Request</td>
</tr>
<tr>
<td>PPM</td>
<td>Plan and the Project Planning Matrix</td>
</tr>
<tr>
<td>PCM</td>
<td>Project Cycle Management</td>
</tr>
<tr>
<td>PRA</td>
<td>Participatory Rural Appraisal</td>
</tr>
<tr>
<td>PSR</td>
<td>Pressure-State-Response</td>
</tr>
<tr>
<td>RMT</td>
<td>Resource Mobilizations Team</td>
</tr>
<tr>
<td>SMAT</td>
<td>Specific, Measurable, Ambitious yet achievable, Relevant and Time bound</td>
</tr>
<tr>
<td>SOV</td>
<td>Source of Verification</td>
</tr>
<tr>
<td>TOR</td>
<td>Terms of Reference</td>
</tr>
<tr>
<td>TDP</td>
<td>Target Driven Program</td>
</tr>
<tr>
<td>TAC</td>
<td>Technical Assistance Cooperation</td>
</tr>
<tr>
<td>TRC</td>
<td>Technical review Committee</td>
</tr>
<tr>
<td>WFWO</td>
<td>World For World Organization</td>
</tr>
</tbody>
</table>
Overview

The aid effectiveness agenda is at the core of all development assistance, encompassing many of the key issues facing aid delivery: from the predictability of aid flows to the use of country systems and managing for development results, and ultimately impacting development effectiveness.

Today, when developing countries face financial uncertainty and new global issue challenges such as the threat of the Eight Millennium Development Goals commitments, it is more important than ever that aid be channeled to produce sustainable results.

The international aid effectiveness agenda brings together development stakeholders, donor governments, multilateral donors, recipient country governments, civil society organizations, global programs, and many others, to focus on the development goals identified by partner countries. In this complex aid architecture all development practitioners must coordinate in aligning with each country’s own priorities.

For over a decade, momentum has been gathering within the international community to focus on strengthening the effectiveness of development assistance, with the ultimate goal of reducing poverty. This has been framed by a series of international declarations and commitments made by donors and countries and international institutions.

Forward

The WFWO and its partners will continue in this direction to contribute to raise public awareness on MDGs and to support communities to make a small difference, and to urge international community and policymakers and all stakeholders to accelerate progress towards the MDGs and to strengthen the global partnership for development to maintain their commitments to increase aid to the poorest in developing countries.

Achieving the MDGs will require that the development agenda be fully integrated into efforts to jumpstart growth and rebuild the global economy. At the top of the agenda is the climate change problem, which will have to be regarded as an opportunity to develop more efficient ‘green’ technologies and make the structural changes needed that will contribute to sustainable growth. Achieving the MDGs will also require targeting areas and population groups that have clearly been left behind — rural communities, the poorest households and ethnic minorities, all of whom will have a hand in shaping our common future. The WFWO’s internal review operation policy for project cycle design management procedures guidelines (PCDMPG), will facilitates the implementation of project cycle design to the WFWO/OT and its partners involved in the project cycle design management; beneficiary country (BC), local authority (LA), local community (LC), Non Governmental Organization (NGO), Community based organization (CBO) to apply modern approaches and tools in Project Cycle Management (PCM). This will enhance their capacity to design and deliver more systematic, participatory and results oriented projects.

WFWO’s Targeting Policy and Recommendations, including checklist for project cycle design procedures guidelines (PCDMPG). A quality control checklist for each project phase is annexed to this guide. This checklist should be used alongside to the PCDMPG Tool Box that has been developed to mainstream the PCDMPG approach.

The PCDMPG is a contribution towards positive changes to the ways to operate for projects implementation. Application of these tools is therefore of particular emphasis and priority for WFWO/OT and BC, LA, LC, NGO, CBO of Local Government will play a crucial role in fast tracking the use of this guide.
Key topics and approaches are adopted from global PCDM Best practice, and from the PCM curriculum used by International Organization and United Nations special agencies, through a management training and with consultant expert whose focus is to strengthen the implementation of development interventions and project cycle design management.

1. Summary

The Project cycle design management procedure and guidelines will contribute to a good project design and to ensure facilitate to work of the WFWO Operation and its partners of the implementation team involved in the project cycle:

- A broad basis of support among beneficiaries and stakeholders;
- Direct contribution to WFWO’s Mission, Target Driven Programs, at all levels nationally, internationally and globally to contribute the Eight Millennium Development Goals objectives (MDGs);
- Accountability to project donors;
- A sound basis for project monitoring (via baseline data + the establishment of monitoring protocols);
- A framework for periodic project evaluation;
- Constant review of progress and adaptation of the project to unforeseen issues;
- Learning, and mechanisms for feeding lessons back into the Network and partners;
- An effective communications strategy to magnify the project’s impacts by reaching decision-makers and contributing to WFWO public awareness campaigns on MDGs;
- Cooperation and partnership;

This PCDMPG aims is to provide support to the participants and partners involved in Project Design in the context of Project Cycle Management with background materials, essential tools with which to apply the techniques and approaches of Project Cycle Management to project design and implementation during project design within work of WFWO.

WFWO’s Tools approach covered in this PCMDMPG include:

- a project planning glossary;
- a strategic planning framework;
- guidelines for project appraisal;
- project formulation flow chart;
- list of factors ensuring sustainability;
- model table of contents for a project document;

the logical framework, and its strengths and weaknesses

- stakeholder analysis;
- problem identification and analysis;
- objectives analysis;
- strategy analysis and scoping;
• a decision matrix for selecting project strategies;
• logic testing questions for the intervention logic;
• an algorithm for determining whether an assumption should be included in the log-frame;
• generic indicators for pressure, state and response;
• tips for setting indicators;
• how to verify the logic of the log-frame;
• designing a monitoring and evaluation system;
• project and program monitoring matrices;
• evaluation terms of reference;
• evaluation matrix;
• model table of contents for a project or program evaluation report;
• a results-based work plan and budget;
• references and further resources.

This PCDMPG examines the reasons for project failures and successes, and presents the key elements of project design in the context of the project cycle, tailored to the context of the WFWO Operations and mission to support developing countries on sustainable development projects, in order contribute to the eight MDGs objectives.

2. Introduction

Designing a good project is easier, but when to be implemented is different! In the development community, evaluations have identified the following primary causes of poor performance in projects:

• Poor project design, planning and preparation, where one or more of the essential factors for success are overlooked;
• Projects not relevant to the beneficiaries;
• Risks and assumptions insufficiently taken into account;
• Factors affecting long-term sustainability ignored;
• Inability to make the right decisions at the right time over the lifetime of the project (which is related to inadequate monitoring and feedback);
• Lessons from past experience not incorporated into new projects and practice (lack of evaluations, or inadequate use of them).

These problems can be avoided through more rigorous project formulation, and better project cycle design management procedure and guidelines – in particular better monitoring and evaluation.
The key components for project success are:

- Proper and participatory planning;
- Addressing real problems that are priorities for the stakeholders;
- A competent and motivated project team;
- A sufficient management and organizational support;
- Different parties involved sticking to their commitments.

A successful project is the result not only of the accuracy of the technical solution, but also of the acceptance by all the parties involved of the need for, and the approach to implementing the project.

The PCDMPG will provide an introduction to some of the key aspects of project design and how the WFWO’s Operation Team develop its own projects in close partnership with our partners, in the context of the entire project cycle. The aim is to provide tools for conceptualizing and implementing projects more effectively. A glossary of planning terms is given in Annexes.

3. The Project Cycle

The PCDMPG is key components to WFWO’s to implement its sustainable development projects work at all levels nationally and international and globally, in order to contribute to the MDGs achievement in developing countries.

Normally the project cycle has a number of distinct components, beginning with conceptualization, feasibility or cost-benefit analysis, proposal development and funding, project start-up and baseline surveys, implementation, periodic reporting and evaluations, and close-out or development of a subsequent phase. The main phases of the project cycle are illustrated in Figure 1.

![Figure 1. The principal phases of the project cycle](image-url)
The most important point in the project cycle is the design phase, and this aspect of the project cycle will be treated in the most depth in this course. It is at this initial juncture that the direction, objectives, tactics and scope of the project in relation to WFWO’s global priorities focusing on the Eight Millennium Development Goals (MDGs) are defined. The phases in the project cycle are progressive – each phase needs to be completed for the next one to be tackled with success. The project cycle draws heavily on monitoring and evaluation to learn from existing projects, and build this experience into the design of future programs and projects. Experience learned has shown that too many decisions concerning projects have been taken without sufficient consultation with beneficiaries and stakeholders, and without the necessary information. The key to good project cycle management is to ensure that the stakeholders have a voice in project decisions, and that project decisions are based on relevant and sufficient information. Involving as broad a range of potential stakeholders and expected beneficiaries as possible in the project design phase is essential to ensure that the final project document is an accurate reflection of reality, a feasible project, and has the potential to become an effective sustainable development programs intervention.

Project Cycle Management obliges practitioners in project design to focus of the real needs of the beneficiaries by requiring a detailed assessment of the existing situation, and by applying the logical framework method. From the outset, aspects assuring sustainability and critical assumptions are incorporated into the project design.

PCDMPG is designed to ensure relevance, feasibility and sustainability. The PCDMPG system makes the project concept and context clear and visible, and thus enables better monitoring and evaluation. At each stage in the project cycle, these issues are examined, revised as necessary, and feedback is provided to improve project implementation. The monitoring, reporting, and evaluation components of the project cycle are essential for effective implementation.

4. Adaptive Management

The WFWO’s project cycle as classically defined (Figure 1) is really a bit of a simplification of the key elements of the adaptive management cycle puts the project cycle in its wider context. Here the initial concept and project design phase begins with partnerships, and stakeholder analysis is an essential element of the initial partnerships phase.

The implementation phase includes monitoring and review, and feedback is used to improve the project.

Lessons learned from the monitoring and review process, as well as from external evaluations, are used to adapt the project management, but also as elements of communication to wider audiences. A hallmark of highly effective WFWO projects is their ability to “magnify” their results, using WFWO’s powerful communications support to reach the wider general public, and ultimately decision-makers. Integrating mechanisms for learning such as monitoring and evaluation, and effective communications capabilities into the project design at the outset will enhance the project’s chances of making an impact not only within, but also beyond, the project scope. This is often called vertical integration, and implies creating and nurturing links between field projects, policy work, and communications.
5. Project Initial Design Phase

The design phase begins with an initial three-step process:

- Project Idea
- Project Concept
- Appraisal

Figure 2. Key Elements of the Adaptive Management Cycle

Key Aspects of the Cycle:

- Concept and project design
- Implementation Cycle
- Monitoring, evaluation, and learning
- Influence at a wider scale by communicating lessons learned
5.1. WFWO’s Project Idea

This stage is the preliminary, informal conceptualization and vetting of a project idea among Operation Team (OT) within, also through our financial partners, and the WFWO Network cooperation partnership.

5.2. WFWO’s Project Concept

Once a project idea has been agreed upon, a project concept paper should be developed in order to flesh out the idea, and enable those responsible for appraising the concept to determine whether the proposed undertaking is viable, fits with perceived conservation needs, and also within the WFWO strategy (national, regional and global). A project concept paper is essentially a brief conceptualization of a project intervention prepared prior to a feasibility study and ultimately a full, participatory project design undertaking.

Developing a project concept involves the initial formulation of project goals, targets, outputs, and activities in summary form within the framework of the WFWO Global Priorities focusing on the Eight Millennium Development Goals (MDGs). The project budget should be an informed estimate, which at this stage should aim for 80 per cent accuracy. While it is not customary to conduct extensive workshops or interviews when preparing a concept paper, the strategy outlined should be based on a good understanding of the poverty elevation, socio-economic, environmental, and political context of the country strategy on poverty in question, as well as a good understanding of the needs of potential stakeholder groups.

The purpose of drafting a concept paper is to conceptualize potential WFWO activities in a form that can be analyzed and prioritized for internal review. The concept paper, typically four pages in length, is submitted to the appropriate WFWO’s Operation Team (OT) Technical Review Committee (TRC) Resource Mobilizations Team (RMT), Country partner / Team of External Expert Consults (EEC) partners for appraisal.

5.3. WFWO’s Project Appraisal

The appraisal is an internal examination of the merits and feasibility of the project and its fit within WFWO’s strategic priorities and goals.

Senior OT team should screen the concept paper internally, and a recommendation prepared for the appropriate review body. Once a concept paper has been prepared and submitted for approval, an examination is conducted with respect to the merits of the project and how it fits with WFWO’s strategic priorities.

On the basis of this examination a decision is taken on whether or not to seek funding for the project, and to proceed with an in-depth project formulation.

The box on the following page gives a series of questions that can serve as guidelines in the appraisal process.

Further questions that should be asked during the design phase are given below in the chapter on factors ensuring sustainability.
Box: 1 Guidelines for project appraisal

WFWO’s GUIDELINES FOR PROJECT APPRAISAL

### Strategy Priority

1. Does the project contribute towards the achievement of the higher-level program goals, namely WFWO’s Global Priorities focusing on MDGs, and the WFWO Mission?

### Sustainability of Results and Impact

2. To what extent will the project produce lasting poverty elevation results? How does the project ensure that the conservation impacts continue beyond the period of intervention?

3. Who are the beneficiaries and stakeholders? To what extent will they be involved in project design and implementation? What are the expected impacts of the project on intended beneficiaries?

### Design

4. Have the overall project goal and the proposed targets and outputs been clearly defined? Focusing on MDGs targets

5. Have underlying assumptions and external factors that may affect progress been identified? Are these critical assumptions well thought out?

6. Have adequate costs for monitoring and evaluation been included in the budget?

### Feasibility

7. What are the expected costs of the project, both through implementation as well as potential impact on stakeholders? What are the expected benefits of the project, local regional or global? Will the expected benefits outweigh the foreseeable costs?

8. To what extent does WFWO/OT have the capacity to implement this project? Are proper skills available? Is the necessary administrative, technical and supervisory support in place?

9. Is the political and socio-economic environment an enabling one?

### Conclusion

10. What is the probability of success?

11. Should WFWO/OT endorse this concept, agree to seek funding for it, and develop it into a full project proposal?

12. Once the project concept is approved, the resource mobilizations team can start to seek for funding of the project approved, and the project formulation phase can begin in earnest.
6. Strategic Framework

We have seen that the first question that is asked when appraising a project concept concerns its contribution to WFWO’s higher level targets and goals.

“Upstream” from project design is the work that WFWO has put into strategic planning over the last five years. WFWO has:

- a clear and enduring Mission
- a set of eight Global Priorities for Target Driven sustainable development programs to contribute to the MDGs objectives: poverty, health, drinking water, education, sanitary, homeless, environmental issues, indigenous people, human rights, and climate change
- Strategic plans at the counter level and at all levels where the WFWO operate.

Project concepts must, first and foremost, demonstrate how the initiative would make a contribution to WFWO’s strategic priorities, whether it be a TDP (target driven program), sustainable development program, or the strategic plan(s) relevant to the WFWO/OT originating the project idea.

WFWO has launched a strategic planning has been enormously beneficial and focusing on the eight MDGs in a more targeted fashion. This, as a result, has improved the organization’s effectiveness, in terms of both program focus and cost/benefit ratio. Moreover, strategic planning has provided a vehicle for tracking WFWO’s continued effectiveness over time. WFWO has put a substantial effort into strategic planning, and this has been particularly relevant with the development of the Target Driven Program strategy plan toward to contribute to MDGs objectives.

The planning pyramid below illustrates the strategic relationships among the different elements of the planning hierarchy, and the diagram summarizes the relationships among strategic planning elements at various levels in WFWO. The arrows in Box 2 illustrate how activities starting at the project level contribute to successively higher layers of the WFWO planning hierarchy, and ultimately to global targets to contribute to the eight MDGs objectives.

![Planning Pyramid](image-url)
### Box 2: WFWO Strategic Planning Framework – Action Strategy

<table>
<thead>
<tr>
<th>Global TDP / Global Goals</th>
<th>Area Goals/Targets</th>
<th>Area Program</th>
<th>Project Landscape</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Goal 1 - Eradicate extreme poverty and hunger</strong>&lt;br&gt;Target 1A: halve the proportion of people whose income is less than $1 a day (between 1990 and 2015)&lt;br&gt;Target 1B: achieve full and productive employment for all, including women and young people&lt;br&gt;Target 1C: halve the proportion of people who suffer from hunger (1990-2015)</td>
<td>the right to adequate standard of living&lt;br&gt;the right to work the right to food</td>
<td>Area of strategy framework: Global Goal and Vision at levels, Nationally, Internationally and globally</td>
<td>Goal/specific objectives /Project Outputs/Project activities</td>
</tr>
<tr>
<td><strong>Goal 2 - Achieve universal primary education</strong>&lt;br&gt;Target 2A: ensure that, by 2015, all children will be able to complete a full course of primary schooling</td>
<td>the right to education</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Goal 3 - Promote gender equality and empower women</strong>&lt;br&gt;Target 3A: eliminate gender disparity in primary and secondary education, preferably by 2005, and in all levels of education no later than 2015</td>
<td>the rights of women to equality and education</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Goal 4 - Reduce child mortality</strong>&lt;br&gt;Target 4A: reduce by two-thirds the under-five mortality rate (1990-2015)</td>
<td>the right to life</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Goal 5 - Improve maternal health</strong>&lt;br&gt;Target 5A: reduce by three-quarters the maternal mortality ratio (1990-2015)&lt;br&gt;Target 5B: achieve by 2015, universal access to reproductive health</td>
<td>the rights of women to life and health&lt;br&gt;the rights of women to life and health</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Goal 6 - Combat HIV/AIDS, malaria, and other diseases</strong>&lt;br&gt;Target 6A: have halted by 2015 and begun to reverse the spread of HIV/AIDS&lt;br&gt;Target 6B: achieve, by 2010, universal access to treatment for HIV/AIDS for all those who need it&lt;br&gt;Target 6C: have halted by 2015 and begun to reverse the incidence of malaria and other major diseases</td>
<td>the right to health the right to health the right to health</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Goal 7 - Ensure environmental sustainability</strong>&lt;br&gt;Target 7A: integrate the principles of sustainable development into country policies and programs and reverse the loss of environmental resources&lt;br&gt;Target 7B: reduce biodiversity loss, achieving, by 2010, a significant reduction in the rate of loss&lt;br&gt;Target 7C: halve, by 2015, the proportion of people without sustainable access to safe drinking water and basic sanitation&lt;br&gt;Target 7D: have achieved by 2020 a significant improvement in the lives of at least 100 million slum dwellers</td>
<td>the right to environmental health&lt;br&gt;the right to environmental health&lt;br&gt;the right to water and sanitation&lt;br&gt;the right to adequate housing</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Goal 8 - Develop a global partnership for development</strong>&lt;br&gt;Targets 8A-8D cover aid, trade, debt, landlocked and small island states&lt;br&gt;Target 8E: in cooperation with pharmaceutical companies, provide access to affordable essential drugs in developing countries&lt;br&gt;Target 8F: make available the benefits of new technologies, especially information and communications technologies</td>
<td>the right to development ESC rights the right to health ESC rights</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Figure 4. Example of a strategic framework.**

This diagram shows how a given project contributes to a specific strategy, which in turn contributes to the regional program and to a global Target Driven Program focusing on MDGs.
7. Project Formulation

If the concept is approved, a detailed project proposal involving all relevant stakeholders and potential beneficiaries is developed. Depending on the scale and timeframe of the intended project, this process can take months, and may require the assistance of outside experts. However, local capacity and expertise, both individually and institutionally, are crucial to good project design. Resource Mobilization Team (RMT) and initial contacts with donors are also likely to begin at this stage.

It must be emphasized that project design should be an interactive process encompassing all potential stakeholders (government, local communities, NGOs, CBO’s, the private sector, etc.). This is essential to ensure project viability and sustainability. The project formulation process can be time-consuming and costly. At the same time, project sustainability (and thereby WFWO’s sustainable development programs that contribute to the eight MDGs) depends more on thorough initial planning and good stakeholder analysis than on any other factor of the project.

A properly planned project addresses the real needs of its target groups. The existing situation must be interpreted in the light of the interests of the parties concerned, who often see it in completely different ways. For this reason, the analysis of problems, objectives, and choice of strategy must be done together with the various stakeholders involved.

As mentioned earlier, a successful project is the result not only of the accuracy of the technical solution, but also of the acceptance by all the parties involved of the need for the project and of the project’s approach to implementation.

Figure 4 illustrates the stages involved in formulating a full project document. The first step in project formulation is a thorough situation analysis and feasibility study.

The project design team leader will normally conduct or coordinate the following activities:

- Background research on socio-economic and environmental issues relating to the project intervention;
- Interviews with local decision-makers or key individuals likely to be involved in project implementation;
- Rapid field assessment to ascertain environmental conditions and issues to be addressed;
- Participatory information gathering and priority setting workshops with local communities, NGO, CBO, voluntary groups, and key government agencies.

Good project design is a key factor in WFWO’s ability to conduct successful conservation projects. The design of projects should facilitate the effective progress of a project through the project cycle. A good design gives a project the maximum possible chance of achieving its goals, and should ensure or facilitate:

- a broad basis of support among beneficiaries and stakeholders
- direct contribution to WFWO’s Mission, TDP, nationally and internationally goals, and sustainable development programs priorities focusing on MDGs
- accountability to project donors
- a sound basis for project monitoring (via baseline data + the establishment of monitoring procedure and guidelines)
- a framework for periodic project evaluation
- constant review of progress and adaptation of the project to unforeseen issues
- learning, and mechanisms for feeding lessons back into the Network
- an effective communications strategy to magnify the project’s impacts by reaching decision-makers and contributing to WFWO campaigns under slogan on MDGs “One World One Hope”.

It is important that the project monitoring and evaluation plan is included as a component of the project design.
7.1. WFWO’s Project Formulation Strategy

A project proposal format (to be used largely for projects in the international program funded from within the WFWO Networks) is provided in Annex of this PMDCPG, and can be modified to suit local needs. For projects to be submitted to RMT or to our financial partners for funding, a full project document will be required. This document also acts as a reference point for implementation, monitoring, and evaluation through all the subsequent stages of the project cycle. Annex provides a model Table of Contents for a full project document.

8. WFWO’s Factors Ensuring Sustainability

One of the most important, yet sometimes forgotten, tasks of the design phase is to examine the factors that can ensure project sustainability, and develop these throughout the life of the project. If a subsequent phase of the project is not envisaged, an exit strategy is often needed, and the larger the project, the more important this will be. Thought should be given at the outset both to ensuring sustainability and to the project’s exit strategy.

A project can be said to be sustainable when it continues to deliver benefits for an extended period, after the main part of external support has been completed.

There are a variety of factors that are crucial to ensuring that project achievements will be sustained after the end of the project period. The most important of these are outlined below, together with a series of questions that should be asked during the design phase.
8.1. Grounding in Local Reality

• Has a thorough situation analysis been carried out?

• Do we understand people’s priorities and traditional knowledge, poverty elevation, socio-economic forces, socio-cultural and gender issues, the policy environment, appropriate technologies, what is needed to ensure participation, the capacities of institutions and key individuals, the financial resources that will be needed during and after the project, and the project’s exit strategy?

• Have we tested the project’s logic model? Is it likely to work in this context?

8.2. People’s Priorities and Traditional Knowledge

• Who are the stakeholders, and what are their priorities?

• Does the project strategy make use of traditional knowledge?

8.3. Environment Issues: Sustainable development programs processes to contribute to MDGs Goal 7

• Will the project contribute to the goal of creating a world in which humans live in harmony with nature?

• How can this contribution be measured to indigenous people habitat?

• What is the carrying capacity of the natural ecosystem? How resilient is it?

• Will it be possible to measure the impact of the project on the conservation of biodiversity beyond the end of the project cycle?

8.4. Socio-economic Forces

• What are the major socio-economic forces impinging on biodiversity and ecological processes?

• What is the impact of trade and market forces (local, national, international and global)?

8.5. Socio-cultural Issues and Gender

• Do the project activities, including any proposed changes to people’s behavior, take sufficiently into account cultural traditions, religious beliefs and social practices?

• Do they take into account the roles, needs and interests of both women and children, men?

• Are the data collected dis-aggregated by gender?

• Will sufficient ownership of the project activities by the local communities be assured?

8.6. Policy

• Is there sufficient policy support by the groups / institutions / authorities involved in the implementation of the project?

• Will this continue after the end of the project?

• Is supportive legislation in place?

• What activities can be done to ensure sufficient policy support?
8.7. Appropriate Technology and Methodologies

- Are the technologies and methods appropriate, given the technical, human and financial resources of the people who will use and maintain them?
- Can repairs be done, and spare parts obtained, easily and at reasonable cost?
- Do the project technologies maximize the use of local labour and materials?
- Will local staff and communities be able to use the methods, equipment and infrastructures, and maintain them themselves after the end of the project?

8.8. Equity

- Will those organizations and individuals involved in the project (or living in the project area) benefit fairly? It is crucial that stakeholders consider the project strategy to be equitable.

8.9. Participation

- What participatory processes are in place that will encourage involvement of different stakeholders in the project planning, implementation, monitoring, and evaluation?
- Is the project limiting itself to playing the role of a facilitator, and encouraging the major stakeholders to play the principal implementation roles?
- Is the project working with existing institutions? Are NGO, CBO, local community, government agencies willing and able partners?
- What is the project’s strategy for promoting ownership?
- What alliances have been made with civil society?

8.10. Institutional, Community and Individual Capacity

- Will the groups, NGOs, CBOs, institutions, authorities, communities involved in project implementation have the necessary capacity to manage activities post-project?
- What is the project doing to ensure that institutional and community capacity is developed and in place?
- Will the project ensure that the skill levels and capabilities of individuals are developed as required to undertake project activities, and to continue these after the lifetime of the project?
- Will the project ensure support indigenous people rights and habitat?

8.11. Financial Resources

- What essential operational costs will continue to be necessary after the end of the project?
- Will the financial resources needed to maintain the activities and outputs after the end of the project be available? (Infrastructures, equipment, staffing, etc.)
- What types of sustainable financing mechanisms are being developed?

8.12. Exit Strategy

- What is the project’s exit strategy?

These factors should be assessed in terms of their probability and significance. Some of them will be external factors and the assumptions algorithm can be used. By applying the algorithm, these factors are either discarded as unimportant, or they are included as assumptions in the project log-frame, or the project is redesigned to take them into account.

The above “sustainability” factors are the key to good project design, and not taking them into account can undermine both the feasibility and the long-term success of the project.
9. Logical Framework

The logical framework, developed, is used by most bilateral and multilateral donor agencies. It has been used by WFWO for over four years. WFWO relies on the logical framework approach (also referred to as the “log-frame” approach) as a standard project design and management tool.

The process of Logical Framework Analysis (LFA) allows a project to:

- Systematically and logically set out the project or program’s objectives and the means-end relationships between them
- Establish what assumptions outside the scope of the project may influence its success, and
- Set indicators to check whether the objectives have been achieved.

The logical framework plays a role in each phase of the project cycle, from planning to implementation to evaluation. It is a master tool for creating other tools, such as the breakdown of responsibilities, the implementation timetable, the detailed budget, and the monitoring plan. It becomes an instrument for managing each stage of the project, and is updated regularly. As a tool, however, it must not be considered as an end in itself, and it is only as good as the analytical abilities of the people creating and using it.

Developing a project log-frame without having effectively gone through the participatory planning exercises described above is the quickest way to develop a project that is unsustainable and does not adequately address real concerns among the stakeholders. One of the pitfalls of the logical framework is that it is quite possible to prepare highly structured projects which appear to meet the logical framework requirements, but which are neither well focused, nor needs oriented.

Once a participatory problem and objectives analysis is complete (as described in the sections below) and the strategy of the project selected, the log-frame is used to order this information in a coherent fashion for initial appraisal and for subsequent project management, monitoring and evaluation.

An example format for a project log-frame as used by WFWO is provided in the box below.

---

**Box 3: The project logical framework used by WFWO**

<table>
<thead>
<tr>
<th>Intervention Logic</th>
<th>Indicators</th>
<th>Sources Verifications</th>
<th>Assumptions &amp; Risks</th>
</tr>
</thead>
<tbody>
<tr>
<td>High level Assumptions Strategic &amp; Objectives</td>
<td>MDGs</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Project Goal</td>
<td>1.2.3.4.5.7.8</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Targets</td>
<td>1.2.3.4</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Outputs</td>
<td>1.2.3.4</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Activities</td>
<td>1.2.3.4.5</td>
<td>Means</td>
<td>Costs</td>
</tr>
</tbody>
</table>
The log-frame provides a way to link the key intervention levels of the project in a logical hierarchy. Measurable indicators (most effectively identified at the output, target and goal levels) for tracking the attainment of the project objectives are required, together with the identification of their means of verification. The log-frame also defines key assumptions necessary for the project to achieve its objectives. As the log-frame requires the identification of measurable indicators for the attainment of objectives, it serves as a valuable tool for monitoring and evaluation. Each of these elements of the log-frame is discussed in more detail below.

9.1. Elements of the Logical Framework

There is a plethora of planning terminology around, which can be very confusing. Although different terms should be used when tailoring a project document to a particular RMT and financial partners, in general WFWO uses the following terminology for the elements of a logical framework:

- Strategic Objectives: wider than those of the project (also called Overall Objectives).
- Project Goal: the main objective to be reached by implementing the project, usually on a 4 year time scale (called the Project Purpose in most PCDMPG literature).
- Targets (also called Results), which are SMART: specific, measurable, ambitious yet achievable, relevant, and time-bound.
- Outputs: deliverable products, which together will achieve the relevant target.
- Activities: specific actions required to deliver the outputs and targets.
- Indicators that are objectively verifiable, and provide the measuring stick to determine whether the goal, targets, and outputs have been achieved. “SMART” targets have the indicators incorporated.
- Sources of Verification: the data sources that will be used to measure changes in the indicators; these must be defined simultaneously with the indicators.
- Assumptions: external factors or risks outside the direct control of the project, but important for the achievement of its objectives.
- Means and Costs that will be needed to carry out the activities and deliver the results.
- Preconditions that may be required before the project can begin (e.g., policy reform, resolution of civil strife, etc.).

In the planning phase, the purpose of the log-frame is to define the project structure, test its internal logic, and formulate objectives in measurable terms. The order in which the logical framework is developed is illustrated in the following figure.

![Development of the logical framework matrix.

(Numbers refer to the order in which the matrix is developed.)

20
9.2. Strengths of the LFA Approach

The logical framework approach provides a set of design tools that, when applied creatively, can be used for planning, designing, implementing, monitoring, and evaluating projects. Log-frames give a structured, logical approach to setting priorities, and determining the intended purpose and results of a project. Used correctly, log-frames can provide a sound mechanism for developing a project concept into a comprehensive project design. Logical frameworks also lay the basis for activity scheduling, budgeting, and later for evaluating the effectiveness, efficiency, and relevance of a project. LFA-based project assessment, when properly carried out will:

- foster reflection within the project implementing institution
- generate early warnings before things go wrong, and allow for corrective decisions
- improve project reporting, and
- facilitate and improve project evaluation, both internal and external.

9.3. Weaknesses of the LFA Approach

The logical framework approach provides an excellent tool for project design, but it also has a number of potential weaknesses, e.g.:

- Logical framework analysis rarely produces good results if it has not been preceded by a thorough situation analysis in the field, followed by stakeholder analysis.
- While it has the potential to involve participants, LFA can easily set up an impractical or unrealistic problem / objective framework, depending on the representativeness (or not) of the participants.
- The problem analysis may produce poor results if this initial negative focus pervades the rest of the design process. Sometimes the problem analysis can take up so much energy, that participants have little left for the remainder of the exercise.
- Problem analysis can be difficult in cultures where it is inappropriate to discuss problems.
- The logical framework is based on a linear view of change, whereas change in the real world is complex, often involving different interacting parallel processes, as well as iterative and cyclic processes.
- The use of the logical framework in the later phases of project cycle management is often neglected, and the method used to monitor project implementation is not consistent with the LFA planning framework.
- Log-frames do not readily enable monitoring of unintended consequences.
- LFA analysis is very time-consuming, and requires a substantial commitment from the project team and project partners.
- There is a danger that the process of developing a logical framework together with stakeholders can raise unrealistic expectations beyond what the project can actually deliver.
- In addition, because of the thoroughness of the problem analysis, the LFA approach can lead to idealistic over-planning if the project design team leader or facilitator does not sufficiently emphasize realism, and likely budgetary limits. This is probably the greatest danger of the logical framework approach.
10. Situation Analysis and Identification of Stakeholders

Many of WFWO’s project failures have been due to an inadequate or incomplete identification and analysis of the range of threats to the sustainable development programs processes the project aims to conserve. The situation analysis seeks to understand the current situation and context in terms of:

- Socio-economic, cultural, gender characteristics
- Poverty, health, education, environmental and biological characteristics
- Regulatory frameworks (policies, laws, customs) and how they are enforced
- The major actors and stakeholders (government, traditional authorities, NGOs, CBOs, Community groups).

After identifying the major stakeholders, the next step is to analyze the whole range of threats, including their underlying causes.

The procedures involved in a threat analysis will depend on the characteristics of the site concerned, but in general, the following main steps are included in a threat analysis:

1. Sustainable development on environmental issues, biological attributes that are of national and international conservation concern are identified.
2. Detailed preliminary studies or baseline surveys are conducted, if needed, to better understand certain threats including indigenous peoples’ habitat.
3. Factors that negatively impact or limit each biological attribute are identified.
4. Underlying causes (or means-end chain) of these impacts and at the level (local community, NGO, CBO, district, provincial, national, international) from which the threat originates are identified.

The threat analysis is followed by examining opportunities (i.e., potential project interventions to counter threats), and finally selecting indicators to monitor progress. The collection of baseline data may be carried out as part of the situation analysis. Establishing robust baseline data is essential to effective project implementation, monitoring and evaluation.

Subsequent steps in formulating the project (stakeholder and problem analyses) will further inform the situation analysis.

10.1. Stakeholder Analysis

Stakeholders (and beneficiaries) are individuals or groups with a direct, significant and specific stake or interest in a given territory or set of natural resources and, thus, in a proposed project. A stakeholder analysis identifies all primary and secondary stakeholders who have a vested interest in the problems with which the project is concerned.

The goal of stakeholder analysis is to develop a strategic view of the human and institutional situation, and the relationship between the different stakeholders and the objectives identified. Stakeholder analysis is a continuing process that should engage different groups, as issues, activities, and agendas evolve.

The full participation of stakeholders in both the design and implementation of WFWO projects is a key (but not a guarantee) to their success. Stakeholder participation:

- gives local people control over how project activities affect their lives
- is essential for sustainability
- generates a sense of ownership (if initiated early in the design process)
- provides opportunities for learning for both the project team and for the stakeholders themselves
- builds capacity and leads to responsibility. It is important that stakeholder participation not be exclusive, or controlled by any one group. Once the project has found common ground, and has negotiated its goal with partners including local stakeholders, the stakeholder agreement should be recorded in writing. This may seem overly formal, but it has been shown time and again to provide clarity, and to help avoid (or resolve) conflict in the future for the interest to the communities and project implementation.
10.2. The Stakeholder Analysis Process

Stakeholder analysis involves determining:

1. Primary or direct stakeholders – those who, because of power, authority, responsibilities or claims over the resources, are central to the conservation initiative. As the outcome of any action will affect them directly, their participation is critical. Primary stakeholders can include local community-level groups, NGOs, CBOs, private sector, and local and national government agencies. This category also includes powerful individuals or groups who control policies, laws or funding resources, and who have the capacity to influence outcomes. Failure to involve primary stakeholders at the start can lead to subsequent difficulties in achieving the eight MDGs targets.

2. Secondary or indirect stakeholders – those with an indirect interest in the outcome. The beneficiaries, donors, national government officials and private sector. Secondary stakeholders may need to be periodically involved, but need not be involved in all aspects of the initiative.

3. Opposition stakeholders – those who have the capacity to affect outcomes adversely through the resources and influence they command. It is crucial to engage them in open dialogue.

4. Marginalized stakeholders, such as women, children, indigenous peoples, and other impoverished or disenfranchised groups. They may be primary, secondary or opposition stakeholders, but they lack the recognition or capacity to participate in collaboration efforts on an equal basis. Particular effort must always be made to ensure their participation.

5. The nature and limits of each stakeholder’s stake in the project – e.g., livelihoods, profit, lifestyles, cultural values, and spiritual values.

6. The basis of the stake – e.g., customary rights, ownership, administrative or legal responsibilities, intellectual rights, social obligations.

7. Resources that each stakeholder has at her/his disposal and could bring to the project.

8. The potential role(s) in the project, if any, of each stakeholder.

9. Any capacity gaps that may need to be filled so that the stakeholder can fulfill her/his role.

This will form the basis of the project’s capacity-building strategy. The stakeholder table on the following page is a useful tool for summarizing a stakeholder analysis.

An alternative way of doing stakeholder analysis is to identify all the parties, and then determine what each supplies or delivers to and receives from the others. This can also be presented in table form.

Determining who needs or wants to be involved, and when and how it can be achieved is the first step in any collaboration effort. It is fundamental that enough time be budgeted to explore stakeholder views, values and perspectives so that a clear understanding of the human and institutional landscape can be established. Once stakeholder views are understood, a decision can be made on whether to pursue collaboration. It may be useful to profile stakeholder groups by gender, socio-economic status, political affiliation or profession. As real situations are dynamic, it will be important to validate and revalidate a stakeholder group profile over time.

The stakeholder assessment phase is also an appropriate time to explore whether or not gender will be a factor in the elaboration and implementation of future sustainable development programs efforts.

10.3. Gender analysis

It is well documented that discrimination by gender is likely to diminish the impact and effectiveness of projects. Furthermore, the inclusion of women as stakeholders has the potential to achieve both better management of the resource base and improved community welfare.

Gender analysis involves the assessment of:

- The distribution of tasks, activities, and rewards associated with local authorities, NGOs, CBOs at a particular locality or across a region
- The relative positions of women and men in terms of representation and influence
- The benefits and disincentives associated with the allocation of tasks to women and men.
Box 4: Stakeholder Analysis

<table>
<thead>
<tr>
<th>Stakeholder</th>
<th>Type/1</th>
<th>Marg/2</th>
<th>Stake/3</th>
<th>Basic/4</th>
<th>Resources/5</th>
<th>Role/6</th>
<th>Capacity gaps 7</th>
</tr>
</thead>
</table>

Type = Primary (P) or Secondary (S). Also note here if this group is an Opposition (O) stakeholder. If the stakeholder is a marginalized group, put an “M” in this column; otherwise leave blank. The nature and limits of the stakeholder’s stake in the project—e.g., livelihoods, profit, lifestyles, cultural values.

The increasing scope and ambition of fighting the poverty, such as sustainable program focusing on; food security, clean water, health, education, and environment will require a commitment to dialogue and cooperation partnership with a diverse range of stakeholders. Dialogue that is open and transparent is critical to long-term success. Through its field projects focusing on the eight MDGs objectives, WFWO/OT has learned a number of lessons in stakeholder support, namely that:

• The goals of any partnership venture must be clarified before engaging stakeholders. Goals help identify and target those interests that need to be represented in cooperation processes, and those that can be left out.

• All key stakeholders must be involved in project design and implementation if the MDGs are to be achieved.

• Deciding who is “inside” or “outside” a cooperation process will always be relevant to the end of poverty outcomes and their sustainability.

• All stakeholders (including WFWO/OT) will come to the process with their own biases.

• Stakeholder collaboration is a process that requires the opportunity and space for participants to listen to and learn from one another. It is important that stakeholders have the occasion to come together to develop and share their vision and agendas.

• Monitoring and evaluation of the nature of collaboration is as important as measuring specific sustainable development programs outcomes.

Using the information gained by the stakeholder analysis, the project design team leader will be better able to plan the necessary research required prior to holding a participatory logical framework-planning workshop.
11. Problem Identification and Analysis

Following on from the threat analysis and stakeholder analysis, a problem analysis identifies all problems related to the main sustainable development issue and ranks them hierarchically. The analysis, usually a “brainstorm” exercise, identifies issues and problems that are of priority to the parties involved. As such, representatives of all local communities, NGOs, CBOs, formal and informal groups, concerned organizations, government, and the private sector should contribute to this analysis towards the achievement of the MDGs targets.

Problem analysis, objectives analysis, and the subsequent steps in project design are best carried out through participatory workshops with an experienced planner and facilitator.

11.1. Participatory of Rural Community Appraisal

In a developing world context at the community village level, Participatory of Rural Community Appraisal (PRCA) has proven to be an extremely effective method for promoting local participation in sustainable development projects, and for facilitating local ownership. PRCA is a set of techniques for gathering community-based socio-economic information. The process involves semi-structured activities that are highly participatory, drawing on the knowledge and skills of local communities, and helping them to assess their environment and resources, their use of resources, their needs and problems, and ideas for addressing those problems. The techniques in the PRCA toolkit include, among others, unstructured or semi-structured group contact sessions, resource mapping, seasonal activity, resource use matrices, and resource inventory analysis.

WFWO’s approach to implementing and to contribute to the MDGs as international agreed goals objectives is that solutions must come from the grassroots up, and projects must be fundamentally participatory with respect to local community needs. PRCA techniques are a useful set of tools for ensuring these components.

11.2. Problem Identification

Each stakeholder in the workshop is invited to identify problems that are of concern to them, to write these on a yellow card, and to pin their cards on a large board for everyone to see. The process of problem identification (as well as the rest of the steps in the project design process) has the important added benefit of fostering communication, understanding, and learning among the stakeholders, and building a sense of ownership with regard to the project. Once the problems are identified and visible to everyone, the facilitator reads them all actors involved in project:

1. Make sure their meaning is clear to everyone, or reword for clarity (with the author’s consent)
2. Remove (with the group’s consent) any duplicates.

11.3. Problem Analysis

Once problems and issues have been identified, cause-effect relationships are established between these issues to form a “problem tree” diagram for the project situation. This is illustrated below in a highly abbreviated form. Taking the raw information generated from the stakeholder-driven problem identification, the problems are ordered in an organized, hierarchical fashion flowing from causes (bottom) to effects (top). The above diagram is only a small subset of a real problem tree centered around declining populations in rural areas in developing countries on the sustainability development programs and environmental protection issues. The actual problem tree would be much more complex for a real multi-stakeholder on project components. By designing a project based on real, existing problems of the parties involved, the project designers can avoid imposing their pre-conceptions about the desirable objectives of the project.

The two most common difficulties that arise during the problem analysis are inadequate problem specification, and the statement of “absent solutions”. Inadequate problem specification occurs when the detail of the formulation is insufficient, so that it does not communicate the true nature of the problem. Overly general statements will need to be broken down. Obviously, getting the level of detail right is a matter of judgment on the part of the facilitator and the participants.
Absent solutions are problem statements that describe the absence of a desired situation (for example “Not enough drinking water, sanitary facilities”), rather than accurately describing the actual problem (e.g., “natural disaster, climate change”). The danger with absent solutions is that they risk biasing the intervention towards that solution. For each absent solution, the facilitator asks: “If this solution were delivered, what problem would be solved?” Absent solutions may not an issue at the very bottom of the problem tree, as they identify what means are needed to address the problem above.

**Box 5: Simplified example of a problem tree**

<table>
<thead>
<tr>
<th>Stakeholder</th>
<th>Interest</th>
<th>Likely impact of the project</th>
<th>Priority</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Primary</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Local community</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Women</td>
<td>Better health</td>
<td>+</td>
<td>1</td>
</tr>
<tr>
<td>Children</td>
<td>Better health Walk less far to collect water</td>
<td>+ + _</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>Opportunity to socialize Safety while collecting water</td>
<td>+</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>Better health Walk less far to collect water</td>
<td>+</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>Time to play</td>
<td>+</td>
<td>1</td>
</tr>
<tr>
<td><strong>Secondary</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Water sellers</td>
<td>Income</td>
<td>+</td>
<td>2</td>
</tr>
<tr>
<td>Community health workers</td>
<td>Reduced workload income</td>
<td>+</td>
<td>2</td>
</tr>
<tr>
<td>Local church Health NGOs</td>
<td>Involvement of church workers in project</td>
<td>+</td>
<td>3</td>
</tr>
<tr>
<td>Ministry of Health Donors</td>
<td>Better health Achievement of targets</td>
<td></td>
<td>4</td>
</tr>
<tr>
<td></td>
<td>Effective spending of funds Achieve-</td>
<td>+</td>
<td>4</td>
</tr>
<tr>
<td></td>
<td>ment of health objectives</td>
<td>+</td>
<td></td>
</tr>
<tr>
<td>Exercise</td>
<td>Complete a stakeholder table for the stakeholders identified for the pro-</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>posed dam.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

To begin the problem analysis, the group checks the validity of the formulation of each problem, asking:

- Are the problems precisely worded, and their meaning understood by everyone in the group?
- Are they real?
- Worded as existing, negative states?
- Only one problem per card?
- No hidden or absent solutions?
- Are any information gaps marked?

To begin building the problem tree, the group selects one problem from the board that appears to have a number of causes and effects, and is close to the main sustainability development programs on social, and environmental issues identified in the situation analysis. This becomes the starter problem around which the problem tree is built. Then the tree is constructed by taking each problem one by one, and asking “Is this a cause or an effect of a problem on the board?” The card for this problem is then pinned on the board below or above the problem it is related to, depending on whether it is a cause of that problem or an effect. As more and more problems are added to the tree, different hierarchies of causes and effects begin to emerge. Some of the problems will be lower order causes, and some will be higher order effects.

As the tree is built, the group keeps asking questions about the logical, cause / effect relationships between different problems in the tree.

When all of the problems have been added to the problem tree, the group checks the validity of the hierarchy, asking:

- Are the cause-effect relationships logical and complete?
- Have any intermediate steps been left out?

Then any necessary changes to the tree are made. When the group is satisfied with the relationships, the lines tracing these relationships are drawn as in the simplified example in Box 5. This completes the problem analysis. Note that problems identified should be continuously monitored during project implementation.
12. Objectives Analysis

The objectives analysis follows from the problem analysis. It is the positive mirror image of the problem tree, and describes the desired situation following completion of the project, for example in five years time. It illustrates this desired situation as a hierarchy of means-to-end relationships in an objectives tree diagram, which is derived directly from the problem tree.

The objectives tree provides the basis for determining the project’s hierarchy of objectives, which will eventually be used to build the project’s logical framework. As with the problem analysis described above, the objectives analysis process should be conducted as a participatory exercise with all stakeholders concerned.

The process of analyzing the objectives begins by simply converting the negative states of the problem tree diagram (i.e., the situation now) into positive states (i.e., the situation the group wants to see). To take an example from the problem tree illustrated above, “low MDGs awareness in communities” is converted to “communities’ on social sustainability development programs and environmental awareness increased”, or “irregular law enforcement” is converted to “law enforcement improved”.

Essentially, this involves re-wording each of the individual problems identified into its “alter-ego” objective. The shape of the tree generally remains the same; only the grammar changes. The relationship between the issues identified is no longer one of cause-and-effect as in the problem tree, but rather means-to-end.

As was done for the problem tree, the group should again verify the hierarchy of objectives, asking if all the means-to-end relationships are logical and complete, and if there are any intermediate steps that should be added. It may be that there are gaps in the logic of the objective tree that were not apparent in the problem tree, in which case the means-ends linkages should be added or reviewed and re-organized as necessary.

A simplified example of an objectives tree, based on the problem tree above.

13. Strategy Analysis

Once the objectives and their relationships have been identified, it is time to select where the project executants and stakeholders will be able to intervene. WFWO/OT cannot act on all needs local partners support.

A selection must be made of which objectives (i.e., problems) will be addressed, based on a pragmatic assessment of the capacities of the organizations and groups involved. The aim of the scoping exercise is to determine what is IN and what is OUT of the project, among the many objectives that could possibly be addressed.

In the strategy analysis, those objectives identified in the objectives tree diagram (which will be much more complex than the one illustrated above) are clustered in terms of their commonality of purpose according to lower order objectives (which would become project activities and outputs) and higher order objectives (which would become project targets and goals). Some of these strategies (clusters) will fall within the capacities of the project stakeholders, and potentially may be included in the project. Others will clearly fall outside the capabilities of project stakeholders, and will thereby be outside the remit of the project.

The objectives outside the scope of the project will become the basis for defining the project assumptions or pre-conditions for project implementation.

Once the different possible strategies have been clustered, the group decides on one overall project goal – the central objective at the heart of the project. This is a key step in the strategy analysis, although the exact formulation of the goal may be revisited later, its essence should be clear at this point.

14. Scoping

In the process of scoping, different possible strategies contributing to a higher-level objective are identified. The strategies defined in this clustering exercise may or may not evolve into project targets. The strategies identified in the objectives tree, at least one (and sometimes more) will be chosen as a strategy for the proposed intervention. The choice of one or more strategies should be made after the project goal or target has been decided. In choosing the project goal it is important to take into account the resources that will be available. A project goal high in the hierarchy of objectives would necessitate a large, multi-component project, whereas a goal lower down in the hierarchy would call for a smaller project.

To select the project strategy (or strategies), the group collectively identifies possible criteria for including a given strategy or objective as part of the project intervention. Criteria may include: available budget, significance of the sustainability development program on social and environmental issue, likelihood of success, period of time to be covered, capacity of WFWO to achieve the objectives outlined, etc.
From this list of possible criteria, the group determines which of the criteria will actually be used in selecting a strategy or group of objectives for the project. The group may wish to give different weights to different criteria. Once the criteria to be used are agreed, they are applied to the various clusters on the board. A useful tool for applying the criteria is the decision matrix, illustrated below in Box 6.

**Box 6: Decision matrix with examples of criteria**

<table>
<thead>
<tr>
<th>Criterion</th>
<th>DECISION MATRIX</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Name of Cluster</strong></td>
<td>Cluster 1</td>
</tr>
<tr>
<td>Cluster 2</td>
<td>Cluster 3</td>
</tr>
<tr>
<td>Cluster 4</td>
<td></td>
</tr>
<tr>
<td>Fits with strategic priorities</td>
<td></td>
</tr>
<tr>
<td>Good likelihood of success</td>
<td></td>
</tr>
<tr>
<td>Likely to be sustainable</td>
<td></td>
</tr>
<tr>
<td>Will engage the support and interest of majority of stakeholders</td>
<td></td>
</tr>
<tr>
<td>Likely to produce tangible, measurable results – good communications potential</td>
<td></td>
</tr>
<tr>
<td>Meets host country policy</td>
<td></td>
</tr>
<tr>
<td>Meets donor policy; funds likely to be available</td>
<td></td>
</tr>
<tr>
<td>Contributes to other clusters</td>
<td></td>
</tr>
<tr>
<td><strong>Urgent issue</strong></td>
<td></td>
</tr>
<tr>
<td>Necessary expertise and institutions to implement available</td>
<td></td>
</tr>
<tr>
<td>Executing agency has capacity to do this</td>
<td></td>
</tr>
<tr>
<td><strong>Score</strong></td>
<td></td>
</tr>
<tr>
<td>To apply the decision matrix, each cluster is ranked from 1 (highest priority) to n (lowest) for each of the criteria, and the number is written in the corresponding box from left to right. When the scores are added up vertically for each cluster of objectives, those with the lowest scores are the priority interventions for the project.</td>
<td></td>
</tr>
</tbody>
</table>

To summarize, the procedure for the strategy analysis is to:

1. Identify different possible strategies.
2. Decide on the project goal.
3. Collectively analyze possible criteria (e.g., available budget, sustainability development programs significance, priority for those concerned, likelihood of success, time span available, WFWO capacity).
4. Determine together which criteria to use.
5. Chose one or more strategies for the intervention by applying the criteria.
6. Check the feasibility of different interventions.
7. Develop the hierarchy of the project objectives (= intervention logic of the logical framework).
14.1. Intervention Logic

The first step in filling in the log-frame is formulating the project objectives (the intervention logic) from the priorities selected from the clusters of the objective tree. Within the selected cluster(s), the hierarchy of the objectives will determine their placement in the project logical framework. The lower-level objectives will usually be included as activities or outputs, and the higher-level objectives as the project target or ultimate goal.

The strategic objectives are the higher-level goals of the relevant WFWO Target Driven Program, on sustainability development program on social and environmental issue, at country levels, locally, nationally, internationally country strategy. Other projects and activities will also contribute to the achievement of the strategic objectives of the MDGs. This level of the log-frame explains why the project is important, in terms of long-term benefits.

Developing the intervention logic then starts in earnest with the formulation of the project goal, which should address the core problem, and should be expressed as the impact the project will have on the beneficiaries (whether these are people or nature). There should be only one project goal – otherwise the project runs the risks of a design that is too complex and possible management problems. The project goal is (should be) likely to outlive the project – and sustainability development programs benefits for target groups (including nature) are essential for this. The project goal should make a direct contribution to the higher-level strategic objectives. Agreement among the stakeholders of what should be the project goal is a crucial step, as this becomes the heart of the intervention.

Then the targets or results are formulated, drawing on the objectives prioritized in the strategy analysis. A limited number of sharp and focused targets are the key ingredients of state-of-the-art WFWO projects. Together they should achieve the project goal.

Finally the outputs needed to achieve the targets, and the activities required to produce each output are determined.

The clusters in the objectives tree that were not selected as interventions for the project will be examined in terms of the critical assumptions for the successful realization of the project.

It usually takes several iterations to produce coherent intervention logic. It is important to review, and if necessary restructure, the hierarchy of project objectives before moving on to formulating assumptions, indicators and sources of verification. A team can evaluate the internal logic of the project hierarchy by following box.
<table>
<thead>
<tr>
<th><strong>HIGH LEVEL STRATEGIC OBJECTIVE</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Does it express a future desired state, or higher order impact towards which the project is contributing to MDGs?</td>
</tr>
<tr>
<td>Does it help to place the project in a wider context that provides the rationale for the project?</td>
</tr>
<tr>
<td>Is it narrow enough to be meaningful given the scope of the project? (Avoid overly general high level objectives)</td>
</tr>
<tr>
<td>Is it something owned and shared by stakeholders?</td>
</tr>
<tr>
<td>Is it expressed as a desired future state?</td>
</tr>
<tr>
<td>Does it include any unnecessary means of achieving it?</td>
</tr>
<tr>
<td>Is it expressed as plainly and succinctly as possible?</td>
</tr>
<tr>
<td>Is it understandable to stakeholders?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>PROJECT GOAL (PROJECT PURPOSE)</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Is the project goal a succinct statement of what, overall, the project will achieve and to contribute to the MDGs targets?</td>
</tr>
<tr>
<td>Is it formulated as a future desired state?</td>
</tr>
<tr>
<td>Is it realistic, given the resources, time span, and working context of the project?</td>
</tr>
<tr>
<td>Is the project goal owned and shared by stakeholders?</td>
</tr>
<tr>
<td>Does it include any unnecessary means of achieving it?</td>
</tr>
<tr>
<td>Is it expressed as plainly and succinctly as possible?</td>
</tr>
<tr>
<td>Is it understandable to stakeholders?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>TARGETS (RESULTS)</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Are the targets the set of main achievements that must be realized for the project to achieve its goal? If the targets are achieved, will the project goal be achieved?</td>
</tr>
<tr>
<td>Are they formulated as a future desired state or local community?</td>
</tr>
<tr>
<td>Do the targets reflect the highest level achievements that the project can be realistically held accountable for delivering?</td>
</tr>
<tr>
<td>Are the targets realistic for the project to achieve during its lifetime?</td>
</tr>
<tr>
<td>Are any of the targets unnecessary in terms of achieving the project goal?</td>
</tr>
<tr>
<td>Is there a set of practical strategies and actions that can be carried out to achieve each target? (e.g., principles such as community participation or gender are principles of how the entire project will operate; they should be integrated into each target, rather than setting them as discrete targets – it is advised not to mix principles with targets)</td>
</tr>
<tr>
<td>Are there no more than ten targets?</td>
</tr>
<tr>
<td>Do the targets lend themselves to being a clear and simple way of explaining what the project is all about?</td>
</tr>
<tr>
<td>Do they include any unnecessary means of achieving them?</td>
</tr>
<tr>
<td>Are they expressed as plainly and succinctly as possible?</td>
</tr>
<tr>
<td>Are they understandable to stakeholders?</td>
</tr>
<tr>
<td>Are they targets of the eight MDGs is to be achieved?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>OUTPUTS (SUB-RESULTS)</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Are the outputs the set of main achievements that must be realized for the target to be achieved? If the outputs are achieved, will the target be achieved?</td>
</tr>
<tr>
<td>Are any of the outputs unnecessary in terms of achieving the target, or that logically belong to another target?</td>
</tr>
<tr>
<td>Are they realistic for the project to achieve during its lifetime?</td>
</tr>
<tr>
<td>Is there a minimum of two and a maximum of five outputs for each target?</td>
</tr>
<tr>
<td>Do the outputs include any unnecessary means of achieving them?</td>
</tr>
<tr>
<td>Are they expressed as results, as plainly and succinctly as possible?</td>
</tr>
<tr>
<td>Are they understandable to stakeholders?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>ACTIVITIES</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Do the set of activities for each output reflect the main actions that must occur for the output to be achieved?</td>
</tr>
<tr>
<td>Are any of the activities unnecessary in terms of achieving the output, or that logically belong to another output?</td>
</tr>
<tr>
<td>Are there any activities that need to be split up?</td>
</tr>
<tr>
<td>Are the activities all roughly equivalent in their level of detail? Are some of them simply tasks within another activity? Or actually outputs?</td>
</tr>
<tr>
<td>Is the list of activities of a reasonable length?</td>
</tr>
<tr>
<td>Do the outputs include any unnecessary means of achieving them?</td>
</tr>
<tr>
<td>Are they expressed as verbs, as plainly and succinctly as possible?</td>
</tr>
<tr>
<td>Are they understandable to stakeholders?</td>
</tr>
</tbody>
</table>
15. Assumption

Many projects succeed in doing the activities they plan, but fail to make the impact they desire because of factors outside their influence. Assumptions are outside the scope of the project, yet their fulfillment is necessary for the successful achievement of each successive level in the intervention logic. Assumptions and risks are a pragmatic reflection of the sustainability development programs and environment within which the project is operating.

Often, many potential risks and assumptions at different levels in the project come to light during the problem identification stage. It is important to take risks and assumptions into account in project design, as they can significantly impact the outcome of a project. It may be possible to mitigate the potential impact of these assumptions or risks through specific project activities.

Since these outside factors constitute a risk to project success, they must be monitored throughout the lifetime of the project. If problems arise with certain assumptions, then the project strategy must be adjusted to try to influence those assumptions.

![Figure 6. The assumption algorithm](image)

Major risks or assumptions may become “failed” assumptions, capable of completely derailing the project if they cannot be addressed. Failed assumptions are important assumptions that are likely to fail, and that cannot be brought under the control or influence of the project. Failed assumptions are red flags, indicating that the project may not be viable, and should be refocused or dropped.

The procedure for formulating assumptions is first to re-visit all of the objectives still remaining on the objective tree that have not been incorporated into the project intervention, and to determine if they should be included in the log-frame as an assumption. Figure 6 provides the algorithm that is used to decide if a given assumption or risk should be included in the project log-frame.
Then any additional assumptions are brainstormed at each level of the intervention logic, by asking, for example:

- If we realize these outputs, will we be sure to achieve this target?
- What other conditions must also be met to ensure that the target is achieved?

The zigzag logic of the assumptions column of the log-frame is illustrated below.

Sometimes certain pre-conditions must be realized. These differ from assumptions in that they must be met before the project can begin.

### 16. Indicators

Indicators are the means by which one can regularly gauge the performance, success and impact of a project. They are the tools that make monitoring work. Indicators are factors that can be measured, recorded or described, and which illustrate either the difference between the current state of a system and the desired state of that system; the changes in pressures stressing the system; or the changes in responses to those pressures and/or to the state of the system.

Tracking indicators over time determines trends, telling us if we are moving closer to or further away from the desired state, if we are adding to or reducing the pressures on the system, or if we are increasing or decreasing our response to the situation.

To put indicators in context, following is a brief description of the pressure-state-response model.

#### 16.1. The Pressure-State-Response Model

The Pressure-State-Response (PSR) cycle (below) illustrates key information components required to reliably gauge the “health” of a country, landscape unit or country strategy on poverty.

The basic concept of the PSR model for monitoring and evaluation is to develop a set of carefully selected indicators that can track changes in:

1. Country strategy on poverty
2. Sustainability development activities
3. Human activities that affect the environment (the pressures or driving forces)
4. The condition of the environment (the state), and
5. How society, or some segment of society, is responding in a way that changes the pressure.

![Figure 7. The “Pressure-State-Response” cycle](image-url)
For many sustainable development programs, effective monitoring systems are in the early stages, and most of the data collected are related to the institutional response. One of the key features of a good monitoring system is a healthy balance among pressure indicators, state indicators, and response indicators. Some examples of pressure, state and response indicators are given in the box below.

To analyze if, or to what extent, sustainability efforts are making a difference, M&E ideally should be able to differentiate between changes in the pressures induced by the sustainability development programs on social and environmental efforts, and changes brought about by other factors. It is important to recognize that changes in the state and pressure indicators may give some indication of whether these responses have been effective, but there may not necessarily be a causal relationship between the two.

There are three types of indicators, depending on where in the pressure-state-response model they show trends or significant changes:

- impact indicators;
- achievement indicators;
- and response indicators.

16.2. Indicators of Impact

Impact indicators show trends or significant changes in the state (poverty, education, water, health, gender quality, environment) of priority habitats, for example:

- change in extent sustainable development program on poverty;
- change in extent or quality of habitat over time;
- change in population and distribution of key indicator species over time;
- change and extend to contribute to the implementation of the eight MDGs.

**Box 8: Indicators**

**Sample Generic Indicators for Pressure, State and Response**

**Indicators of Pressure / Drivers**

- Implementation of the eight MDGs objectives
- Human population density / distribution – changes over time / poverty, health, education, drinking water, financial resource micro credit facilities, job create, homeless, land distribution, indigenous people rights
- Extent / rate of human induced change in habitats / landscapes
- Forest fires
- Pollution
- Poaching pressure
- Measures of economic activities with direct or indirect impact on species or indigenous habitats
- Change in size / distribution of resource extraction permits
- Population size / distribution of alien species
- Rate / distribution of illegal resource extraction activities
- Land encroachment
- Habitat fragmentation
- Effectively managed protected areas
- Climate change

continue/...
### Sample Generic Indicators for Pressure, State and Response

<table>
<thead>
<tr>
<th>Indicators of State / Condition – Impact Indicators</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Intactness of ecosystems</td>
</tr>
<tr>
<td>• Ecological processes and services</td>
</tr>
<tr>
<td>• Diversity of habitats</td>
</tr>
<tr>
<td>• Population size / distribution of key indicator species</td>
</tr>
<tr>
<td>• Number and distribution of endemic species</td>
</tr>
<tr>
<td>• Conservation status of key species</td>
</tr>
<tr>
<td>• Reproductive health of key species</td>
</tr>
<tr>
<td>• Security of tax and habitats</td>
</tr>
<tr>
<td>• Genetic diversity</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Indicators of Response / Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Capacity building</td>
</tr>
<tr>
<td>• Development of sustainable use management plans for renewable resource extraction</td>
</tr>
<tr>
<td>• Development of protected area management plans</td>
</tr>
<tr>
<td>• Production of environmental impact assessments for non-renewable resource extraction</td>
</tr>
<tr>
<td>• Government funding per square kilometer of protected areas</td>
</tr>
<tr>
<td>• Change in overall government resources committed to natural resource management</td>
</tr>
<tr>
<td>• Anti-poaching patrols</td>
</tr>
<tr>
<td>• Involvement of local groups, NGOs, CBOs, communities, stakeholders in conservation activities</td>
</tr>
<tr>
<td>• Existence / development of activities to promote sustainable livelihoods</td>
</tr>
<tr>
<td>• Ecosystem restoration activities</td>
</tr>
<tr>
<td>• Education and awareness activities</td>
</tr>
<tr>
<td>• Community-based resource management programs;</td>
</tr>
<tr>
<td>• Legislation and policy enacted / implemented.</td>
</tr>
</tbody>
</table>

Indicators of impact, in the context of WFWO’s strategic planning framework, are found in relation to priority to contribute to the eight MDGs objectives. They are large scale and long term, with a minimum of five years likely to be required to detect significant to contribute to the change. Normally, impact indicators describe progress towards the WFWO Mission, or to the higher-level strategic objectives or vision of the project or program.

### 16.3. Indicators of Achievement

Achievement indicators track significant accomplishments or successes, which should reduce pressure on the poverty, or improve legislation and policy favoring on social and environment issues. They may also illustrate significant trends or changes towards a reduction of pressures. In terms of the PSR model, they may be pressure indicators, or high-level response indicators. Achievement indicators are often related to policy, legislation or socio-economics, for example:

- Support the Implementation of the eight MDGs objectives
- Sustainability development programs on poverty elevation to support poor population (goal 1)
- Sustainability management, or the development of management plans, for protected areas or important habitats / environment
- Enabling legislation for indigenous people rights;
- Sustainability and self-sufficiency of natural resource management authorities;
- Signature and ratification of international sustainability development conventions.
Indicators of achievement are found in all priority areas of WFWO, for example in priority to contribute to the MDGs objectives, as well as in areas such as environmental education, capacity building, etc. Normally, achievement indicators define progress towards the overall objective outlining each conservation priority, and particularly the targets that flow from those objectives. These are medium-term indicators; once a target is established, it is not unreasonable to expect measurable change within five years.

16.4. Indicators of Project Performance

Performance indicators illustrate the completion of incremental outputs and activities, which contribute to significant contribution and achievements of the eight MDGs objectives (e.g., targets). Examples include:

- Number of educational and training materials published and distributed;
- Rise Public Awareness and capacity building workshops carried out;
- Number of specialists (or community, NGO, CBO) trained.

Indicators of performance provide the information necessary to define the achievement of individual outputs and activities leading to the MDGs targets. Within the context of a project’s annual workplan, successful completion of individual activities can be indicators of performance. Progress at the output/activity level should be measurable at a minimum on one year basis.

16.5. Setting Indicators

Since WFWO its establishment as NGO international, the strategic framework objectives of most projects should have indicators reflecting attributes to the eight MDGs targets. Other indicators will illustrate changes in human and institutional aspects associated with the project. In all cases, the selection of indicators should be relevant to the project goal, targets and outputs. The formulation of indicators is not needed at the activity level.

At least some indicators should be chosen to be simple and straightforward enough to be monitored by stakeholders in the project who may not have scientific or other specialized training. Care should be taken in the selection of indicators with respect to budget, time, and the skill sets of project operation team.

Objectively verifiable indicators (OVIs) describe the intervention logic in operationally measurable terms: quantity, quality, target group, time, place, etc. They should:

- Give a precise picture of the situation
- Be measurable in a consistent way
- Be realistic to measure in terms of budget, time, capacity of project staff, and
- Be “SMART and concrete”:

Specific Measurable Ambitious yet Achievable; Action-oriented Relevant, and Time bound. Objectively means that in the same situation, different persons using the same indicator with the same methodology would find the same measurements. Wherever possible, and particularly in a quantitative sense, indicators should have concrete spatial, temporal, and/or physical attributes. Each indicator should specify the performance criteria expected. It is often useful to include more than one indicator if the single indicator does not provide a full picture of the change expected. At the same time, the cost of collecting data and measuring indicators should be taken into account, and project planners should avoid the trap of including too many indicators, or ones that will be too costly or difficult to measure. As well as forming the basis for project monitoring, the specification of indicators also acts as a reality check for the viability of the intervention logic. Sometimes additional information will be needed, and the exact specification of an indicator (e.g., the performance criteria) will be formulated during the initial stage of project implementation once the baseline surveys are completed. Some tips for setting indicators are given in Box below. For more information on indicators Using Indicators for Monitoring MDGs Achievement: Some Examples of Best Practice.
**Box 9: Tips for Setting Indicators**

Tips for Setting Indicators

Most people find setting indicators to be the most difficult part of the planning process. One way is to begin by formulating some draft indicators, and then reviews them comprehensively by asking the following types of questions for each one:

- What is the essence of the output, target or objective that needs to be measured? What is this objective really trying to achieve?
- What do we really want to know about this? What evaluation questions might we ask?
- How will we know if the changes we are seeking have happened? What other indicators could be used to measure this?
- What are the standards of achievement for this indicator? How do we know if a measure is good or bad? (= Performance criteria)

How will the data be collected? Who is responsible for collecting the data? How often will data be collected and reported, and what sources or instruments will be used? (= Sources of verification).

**Box 10: Performance Criteria for Indicators**

Performance Criteria for Indicators

Performance criteria set the standards for assessing progress with respect to a given indicator. They provide the signposts for interpreting measurements of indicators. For example, let’s say the project target = Minimal stress from human uses of the natural resources such as water, and one indicator is the number of fecal coliform bacteria per 100 ml of river water. Then we could set performance criteria for this indicator as follows:

1.- 0-9 = good: target achieved
   = bad = very bad.
2- 10-30 = ok: target nearly achieved
3- 30-100 = medium
4 - 100-1000 = bad
5- 1000- 2000 = poor
2000 = bad = very bad.

Unless there are clear national or international standards for an indicator, it is often necessary to carry out the baseline survey before performance criteria can be established.
16.6. Sources of Verification

When an indicator is formulated, its source of verification (SoV), i.e., the data source and means of collection, should be specified simultaneously. This will give a good idea of whether or not the indicator can be realistically measured. Just as formulating indicators provides a check on the intervention logic, specifying the sources of verification for each indicator not only clarifies where the data will be found, but also provides a reality check for the feasibility of that indicator.

The SoV should specify:

1. The format in which the information should be made available (e.g., project reports, official statistics, beneficiary interviews) who should provide the information, or where it can be found how regularly it should be provided (e.g., monthly, quarterly, annually).
2. The cost of data collection is directly related to the complexity of the source of verification. If data for an indicator are too complicated or costly to collect, a simpler, cheaper indicator should be chosen.

17. Analysis of the Logical Framework

The log-frame, like any tool, if applied mechanistically, can result in “garbage in, garbage out”. It should not be used as a mechanical blueprint, but rather as an aid to thinking – a dynamic tool that should be re-assessed and revised as circumstances change over the lifetime of the project. When used in a participatory setting, the logical framework encourages people to analyze what their own expectations are, to appreciate the expectations of others, and to explore how these expectations might be achieved. The log-frame does not guarantee project success, and it requires considerable training and experience to apply the approach successfully.

It is not unusual in the problem identification and subsequent objectives analysis to miss some activities or even outputs, the necessity of which becomes obvious during the development of the log-frame. It is possible to fill in the gaps as the log-frame is built.

The first step in the analysis of the log-frame is to check the logic of the intervention strategy, by asking the following questions and making adjustments as necessary:

- Are the targets necessary and sufficient to achieve the project goal? Are they feasible?
- Are the outputs necessary and sufficient to achieve each target? Are they feasible?
- Are the activities necessary and sufficient to achieve each output? Are they feasible?

In order to begin a project, human, financial and material inputs will be necessary. These are the “means” at the lowest level of the log-frame.

In addition, there may be other issues, such as the passage of a law or the resolution of armed conflict or natural disasters that must be addressed or resolved before a project can start. These are called the "pre-conditions".

At the other end of the project timeframe, it is likely that some of the services provided during project implementation will also have to be provided beyond the lifetime of the project. To ensure sustainability, it is important to determine which services (benefits) will have to continue, and whether sufficient mechanisms have been incorporated into the project design to ensure their continuation.

The figure below explains the logical role of the assumptions in the log-frame. Expressed verbally, this diagram would read:

1. If certain preconditions are met, then project activities can commence.
2. If the project successfully undertakes the activities, and if parties outside the project ensure that important assumptions are met, then the outputs will be realized.
3. If the project succeeds in realizing the outputs, and if parties outside the project ensure that important assumptions are met, then the targets will be realized.
4. If the project achieves its targets, and if parties outside the project ensure that important assumptions are met, then the project goal will be achieved.
5. If the project goal is achieved by the end of the project, and important assumptions are also met (including the success of other related projects), then the high level strategic objectives will be achieved.
Figure 8. Assumptions logic

The vertical logic of the logical framework identifies what the project intends to do, clarifies the causal relationships, and specifies the important assumptions and uncertainties beyond the project’s control. The horizontal logic relates to monitoring, i.e., the indicators to measure the effectiveness of the intervention, and the sources of verification for these measurements.

To save space in the log-frame (if desired), the sources of verification can be indicated in parentheses in the same box as the indicator to which they refer. If this option is selected, care should be taken that each and every indicator has its corresponding SoV.

18. Monitoring

Monitoring and evaluation are the primary mechanisms to assess whether a project or program is meeting its targets and objectives. Monitoring is an ongoing process that allows managers and supervisors to identify changes and trends over time so that they can assess whether project interventions are achieving their goals. Impact monitoring examines the impact of a project in terms of poverty and sustainability development goals. Performance monitoring provides a check on the implementation of the project, i.e., a review of progress against the work plan, the expected outputs, and the schedule for disbursements, staffing and equipment.

Project size, complexity and duration dictate the level of resources that must be invested in the baseline survey, and in establishing and maintaining a project monitoring system. In some cases, this investment will be substantial, and funds for M&E should always be planned for and included in the project budget. The investment made in establishing project-monitoring systems will translate into a much more flexible and adaptive project. WFWO recommends that the following components of the project:

5-15% of the budgets of all components of the projects and programs should be devoted to monitoring and evaluation and communications support of the project.

Project monitoring should be targeted to the project goal, targets, outputs, activities and assumptions. It is very rare for any project to go exactly according to plan. Project monitoring is an integral part of day-to-day management, and can provide the information that management needs to identify and solve implementation problems, and assess progress in relation to what was originally planned. Project monitoring systems should have the following components:

- Baseline survey;
- Identification of key indicators, and performance criteria for these indicators;
- Monitoring protocols for key indicators;
- Monitoring timetable over the life of the project;
- Definition of feedback loops from monitoring results to project implementation;
- Standard report format, taking into account the needs of WFWO, stakeholders, and the project donors and co-financing partners.
18.1. The Baseline Survey

The baseline survey is the first step in the project monitoring strategy. During the project start-up, before implementation begins (or in the very early days of implementation), it is important to gather baseline data and set up the monitoring protocols upon which subsequent project reporting and evaluations will be based. This phase, which can last six months or longer, also allows sufficient time for the hiring of project OT, establishing required infrastructure, and acquiring any necessary capital assets.

The baseline survey is the initial benchmark against which all other data collected during the life of the project are measured. The usefulness of ongoing project monitoring data depends on having a baseline against which one can assess project achievement. The survey should cover key the eight MDGs, socio-economic, on sustainability development programs and environmental issue, indigenous people, and institutional attributes of importance to the project. It should begin at the outset of project implementation, generally prior to the initiation of project activities.

18.2. Designing a Monitoring and Evaluation Plan:

There are five steps in the design and specification of a monitoring and evaluation system:

1. Make sure the project design is crystal clear – good monitoring depends on clearly stated objectives;
2. Determine information needs at different levels of the project implementation structure;
3. Ensure that every member of the project team has a good system for record keeping;
4. Design a monitoring report format for team members that will provide the project coordinator with access to relevant, timely information that facilitates analysis;
5. Prepare a project monitoring and evaluation plan.

The refinement of the M&E plan can be applied as necessary during project implementation, for any components of the project or program in particularly the field of sustainable development programs and environmental issues processes, which are generally long term, changes from project interventions may be visible only beyond the lifetime of the project. In this case a monitoring framework designed to track social, on sustainability development programs and environmental impact on project, will be needed to extend beyond the project term, and this should be anticipated in the early days of project design and budgeting.

**Box 11: Elements of a Monitoring and Evaluation Plan**

<table>
<thead>
<tr>
<th>Elements of a Monitoring and Evaluation Plan</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Questions to be answered;</td>
</tr>
<tr>
<td>• Spatial and temporal scales of monitoring activities;</td>
</tr>
<tr>
<td>• Indicators, their definitions, and performance criteria;</td>
</tr>
<tr>
<td>• Data sources;</td>
</tr>
<tr>
<td>• Methods of data collection (units of measurement, categorization of data, sampling techniques, instruments)</td>
</tr>
<tr>
<td>• Frequency, schedule and responsibilities for monitoring, data collection and evaluation;</td>
</tr>
<tr>
<td>• Plan for data analysis;</td>
</tr>
<tr>
<td>• Presentation format;</td>
</tr>
<tr>
<td>• Plan for communicating and using monitoring information, including intended audience(s);</td>
</tr>
<tr>
<td>• Staff and skills required;</td>
</tr>
<tr>
<td>• Any training requirements;</td>
</tr>
<tr>
<td>• Cost;</td>
</tr>
<tr>
<td>• How information will feed back into management decisions;</td>
</tr>
<tr>
<td>• Decision points at which action must be taken to address any negative trends;</td>
</tr>
<tr>
<td>• Data and resources that may be required beyond the lifetime of the project.</td>
</tr>
</tbody>
</table>
Due to the field of sustainable development programs deals with different components processes, which are generally long term, changes from project interventions may be visible only beyond the lifetime of the project. In this case a monitoring framework designed to track of the sustainable impact will need to extend beyond the project term, and this should be anticipated in the early days of project design and budgeting.

WFWO External Evaluation Team (EET) It may be possible to create partnerships to carry out this long-term monitoring in the context of national and international monitoring system through the WFWO External Evaluation Team (EET).

As the threats the sustainable development programs focusing on the eight MDGs, including indigenous people issues result essentially from human activities, which in turn depend on socio-economic factors, it is generally advisable that the M&E plan include indicators of the socio-economic, institutional and stakeholder collaboration situations, as well as indicators of biodiversity and ecological health.

To implement the M&E plan it will often be necessary to build incentives and capacity to collect, use and maintain data for monitoring and evaluation.

One of the most effective tools in use in WFWO/EET/OT is the monitoring matrix (Figure 16). The exact format of the matrix varies from project to project and program to program according to its needs and the needs of the supervisor or oversight group. An example of a monitoring matrix used by the WFWO/EET/OT program is given in Annex 6.

The monitoring matrix shows, at a glance, the achievements and difficulties of a project in relation to its objectives. When aggregated at the program level, these matrices provide Steering Groups, Country Teams and Subcommittees with clear and concise information on project or program achievements.

WFWO/EET/OT project /program Coordinator and Operation Team leader they should have the following clear targets:

1. Have set clear targets with sharp indicators
2. Have invested in and implemented a regular monitoring system, and
3. Can provide data showing clearly the specific results of their project or program in relation to its targets are among the most respected people in the organization.

One of the added benefits of the monitoring matrix is that the process of filling it out together with the project team, can be a powerful source of sharing, learning, team-building and motivation. Experience has shown that although project teams unfamiliar with the monitoring matrix may resist using this new tool in the beginning, they quickly find that it is a tremendous help in project management, and valuable to them in their own work – over and above its usefulness in communicating project results to wider audiences.

A recommended format for the monitoring matrix is included here in Figure 16. The project log-frame provides the first three columns (targets, indicators, sources of verification, and assumptions). The status of each indicator and each assumption is then reported on a six-monthly or annual basis. Usually the monitoring matrix is focused on the higher-level project goal and targets, although outputs could also be included and reported on if so desired. The matrix is also used to record any problems that may have been encountered, and corrective actions taken. Thus any changes in project strategy in response to changing conditions can be recorded here as well. This version of the matrix is especially useful in promoting adaptive management.
Box 12: Recommended format for a project-monitoring matrix

<table>
<thead>
<tr>
<th>Monitoring Matrix</th>
<th>Project or Program</th>
<th>Reporting Period</th>
<th>Source of Verification</th>
<th>Intervention Logic</th>
<th>Indicator(s)</th>
<th>Status</th>
<th>(Any problem encountered)</th>
<th>Action(s) taken</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tr>
</tbody>
</table>

Project or Program Goal:

Target 1:

Assumptions for Target 1:

Target 2:

Assumptions for Target 2:

Target 3:

Assumptions for Target 3:

Experience has shown that it is important to track the status of assumptions as well as the targets themselves, as inadequate attention to important underlying assumptions – either in planning a project or in monitoring it – is a classic cause of project failure.

The benefits of monitoring are summarized in the box below.

Box 13: Benefits of Monitoring

**Benefits of Monitoring**

- Monitoring shows whether a particular undertaking has been successful in achieving its stated goals.
- Much of the information generated from monitoring activities can also be used effectively in WFWO/CT communications and resource mobilizations work.
- The process of monitoring can provide an early warning system, giving vital and timely information, so that the project can adapt to changing conditions.
- The lessons learned may be of value to similar projects either within or outside of the WFWO Network.
- Monitoring is an effective way of testing project hypotheses or assessing the effectiveness of a pilot activity.
- Regular monitoring provides the information needed for successful evaluations.
- Participatory monitoring can greatly enhance ownership of the project by stakeholder groups.
Other powerful tools also exist, in addition to the monitoring matrix, to enhance the impact of project and program reporting. Visual or graphical presentations of changes over time are among the best ways of communicating WFWO’s successes.

19. Evaluation

Ongoing monitoring and periodic evaluations are integral elements of project implementation. If done properly and openly, the project is implemented in a context of learning. The continuous analysis of project results allows for remedial measures to be taken. This is adaptive management, which greatly enhances the probability of success for any project. In addition to continuous monitoring by the project team, mid-term and final evaluations by objective third parties will provide further opportunities for learning, and may lead to the re-design of the project’s continued implementation or of its next phase. Evaluation attempts to determine as systematically and objectively as possible the worth or significance of an intervention or policy. For the evaluation process to be objective, it needs to achieve a balanced analysis, to recognize bias, and to reconcile the perspectives of different stakeholders. In general, evaluations should address five fundamental criteria:

1. Relevance – What is the value of the intervention in relation to stakeholders’ needs, to national priorities, to partners’ policies, and to global such as the MDGs? To what extent are the objectives of the project/program still valid?

2. Effectiveness – What target groups have been reached? To what extent has the project or program achieved satisfactory results in relation to its stated objectives?

3. Efficiency – To what extent has the project/program used its resources economically to achieve its objectives?

4. Impact – What are the wider social, economic, and environmental effects on communities and nature?

5. Sustainability – Are the activities and impacts likely to continue after external support is terminated? Will aspects of the project / program be replicated elsewhere (perhaps with adaptations)?

Specifically, however, the Terms of Reference for an evaluation will articulate the scope and limitations of the evaluation. For example, it would be unusual for a mid-term evaluation, after two to three years of implementation, to look at impacts since this would likely be premature. Evaluations are conducted with a view to:

- enhancing project impact developing recommendations for the guidance of similar projects in the future providing an analysis of accountability with respect to the use of project funds, and most importantly, drawing key lessons learned from the implementation process.

Normally an evaluation will be designed to address all of these issues. The WFWO OT has made it clear that assessing the impact of WFWO’s work is key, and should be pursued at all levels. Although targets need not necessarily be expressed in terms of sustainability development projects impact, they must all be assessed periodically to see what are the impact on the implementation and achievement of the target of the eight MDGs. The difference between indicators of impact and indicators of achievement. In addition, evaluations should enhance WFWO’s credibility and transparency by improving the ways in which the organization communicates about areas requiring improvements, WFWO has learned that greater openness about weaknesses as well as accomplishments can help to build trust and allay criticism. Often evaluations tend to be under-budgeted, and it is very important to plan the evaluations during the design phase, and to anticipate the costs in the initial project budget and financial resource available. How evaluation results are disseminated should also be part of the evaluation plan that is drawn up during the project design phase.

19.1. Procedures for Conducting an Evaluation

The evaluation plan starts with “Why?” – looking at the balance of examining project management and operations, institutional learning and adaptation, accountability, to contribute to the implementation and the have an impact on the eight MDGs goals targets. An initial analysis of project, goals, strategies, timeframe, scale and stakeholders will also assist in defining the parameters of the evaluation.
Then it identifies “For whom?” – a key element in designing the evaluation is establishing for whom the evaluation is intended, and who will benefit from the analysis that will be conducted. Essentially, this will determine the stakeholders in the evaluation. With the stakeholders of the evaluation in mind, one can tailor the evaluation issues and questions. It is critical that the evaluation questions are well defined, and agreed upon with the stakeholder groups in the evaluation.

The links between the purposes, stakeholders and key questions of an evaluation are shown in the box below. The illustrative evaluation questions presented in the table are generic, and in many cases self-evident. When framing evaluation questions, the following should be kept in mind:

- Prioritize and limit the number of questions you wish to address;
- Be clear and specific in terms of the information you would like;
- Try to frame questions in areas for which clear data or information already exist.

**Box 14: Evaluation**

<table>
<thead>
<tr>
<th>Purpose</th>
<th>Evaluation Paradigm</th>
<th>Stakeholders</th>
<th>Focus</th>
<th>Evaluation Questions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Accountability</td>
<td>Assessment of project performance to plan</td>
<td>Funders; local NGOs; Local community; CBO groups; Management hierarchy; Local Govt. groups</td>
<td>Achievement of goals, targets, outputs; Effectiveness of monitoring system; Cost/benefit; Relevance of assumptions</td>
<td>Has the project achieved its objectives? Has the project been catalytic? Were resources used efficiently?</td>
</tr>
<tr>
<td>Management</td>
<td>Improving project implementation</td>
<td>Project supervisors; Representatives; Program Directors; Committees; Boards; All stakeholders noted above</td>
<td>Strategic plan and delivery mechanisms; Project organization and staffing; Financial accountability; Decision making</td>
<td>How well is the project or programs being managed? Are delivery and management practices working?</td>
</tr>
<tr>
<td>Learning</td>
<td>Improving future projects and programs</td>
<td>OT/EC. senior staff; EC/OT. regional program staff; Committees.</td>
<td>Revising strategies and assumptions; Organizational response to emerging environmental issues; Adapting monitoring plans and indicators; Revising project interventions</td>
<td>What is being learned about the &quot;object&quot; of the evaluation? Was our initial planning adequate?</td>
</tr>
<tr>
<td>Impact</td>
<td>Assessment of conservation impacts of project</td>
<td>Funders; local NGOs; Local community groups; Management hierarchy; Local Govt. groups</td>
<td>Ecological systems; Socio-economic systems; Cultural / institutional systems; eco-regions</td>
<td>Is the project sustainable? Will local groups continue/ maintain project outputs or achievements beyond the life of the project?</td>
</tr>
</tbody>
</table>
In most evaluations there will be a number of stakeholder groups, and therefore a variety of different, and sometimes conflicting, issues and key questions. These issues, and related questions, must be resolved before they can be incorporated into the terms of reference for the evaluation. In this respect it is important to understand, and reach agreement on, the priority of the various issues that have been identified. The final evaluation design can then be developed to reflect the issues of highest priority and the level of resources available to address them.

A number of evaluation methods and approaches, used individually or in conjunction with one another, might be used for WFWO projects and programs:

- **Internal evaluation** – initiated and undertaken by WFWO, possibly with the assistance of an outside facilitator.
- **External Evaluation Team (EET)** – carried out by one or more people not directly associated with the project. Used where objectivity of the exercise is given high priority. These evaluations should include local nationals as well as outside experts.
- **Self-evaluation** – the project executants or a group of project personnel work through a series of review questions in relation to their project, with a view to assessing progress towards objectives and making appropriate modifications to the project plan as new information becomes available.
- **Participatory evaluation** – project staff and/or evaluators consult with local communities, NGOs, CBOs, or other intended beneficiaries about when and how to evaluate the project, what questions to ask, or particular aspects of the project. Participatory evaluation includes involving the beneficiaries in collecting, analyzing, and/or compiling the information for the evaluation.
- **Ongoing, participatory monitoring and evaluation** – project stakeholders and participants are regularly involved in assessing achievements throughout the life of a project, making modifications to the project plan as required.
- **Joint evaluation** is undertaken by project or program expert internal and external staff (donor, OT team and/or external expert consultants) to arrive at a common understanding of objectives, methods, effectiveness, and impact.

For the results of an evaluation to be useful, there should be involvement of the end-users of the evaluation at every stage (in the formulation of questions, choosing the method, gathering data, analysis, interpretation, and reporting). The evaluator (or evaluation manager) should act as a facilitator and OT coordinator of the project for the input of others into the evaluation, to foster involvement in the evaluation and optimize the usefulness of the evaluation.

### 19.2. Evaluation Terms of Reference

Good terms of reference (TORs, also referred to as the scope of work) provide the basis for a good evaluation. They define the framework for the evaluation, and act as a point of reference throughout the process. They should be tight, explicit, and focused, and should avoid poorly defined terminology or vague objectives. The process for preparing the terms of reference should be consultative. The prospective leader of the evaluation team may assist in the development of the terms of reference, and should certainly have the opportunity to review and comment on them. The agreement of evaluation stakeholders on the final terms of reference should be obtained prior to the start of the evaluation.

Good TORs provide a clear mandate for the evaluation team, specifically defining what is being evaluated and why, how the evaluation will be conducted, and the expected outputs.
Elements of Terms of Reference for an Evaluation

1. Brief overview of the project and context
2. Clear definition of what is to be evaluated
3. Rationale for the evaluation
4. Methodology
5. List of data, information sources or reports to be consulted
6. List of individuals to be interviewed, or stakeholder groups to be consulted
7. Evaluation matrix of the principle issues, questions and data sources (Figure 18)
8. Use of the evaluation findings (i.e., ownership)
9. Evaluation team structure
10. Specific TORs for team members if necessary
11. Expected outputs of the evaluation
12. Report format
13. Timetable and budget
14. Logistics and availability of project or organizational resources.

The suggested format for an evaluation matrix, which should form a key element of the evaluation TORs. A classic set of key issues and questions involve: relevance, effectiveness, efficiency, impact, and sustainability. Specific sub-questions are then developed to provide a concrete orientation for each of these themes. Indicators give the evaluators something to measure, and make the sub-questions more tangible. Examples of data sources include: people (certain groups or individuals), specific documents or other resources, and direct observation.

Box 16: Evaluation Matrix

<table>
<thead>
<tr>
<th>Issues</th>
<th>Key Questions</th>
<th>Sub-questions</th>
<th>Indicators</th>
<th>Data Sources (Tools)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Relevance</td>
<td>Do stakeholders care about the project and believe it makes sense?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Effectiveness</td>
<td>Is the project achieving the intended results?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Efficiency</td>
<td>Is the project achieving results at a reasonable cost?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Impact</td>
<td>What effects has the project had on the broader context (stakeholder groups, organizations, communities, policies, ?)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sustainability</td>
<td>What evidence is there that the results or activities of the project will continue beyond the project lifetime?</td>
<td></td>
<td></td>
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</tr>
</tbody>
</table>
In general, WFWO’s External Evaluation Team (EET) should address:

- The performance of the project with respect to its stated goals and targets (i.e., the project log-frame) measured as quantifiably as possible. Project evaluations are usually about measuring how outputs have delivered targets, and how targets have led to goals.
- The identification of specific accomplishments and recommendations, as part of the iterative learning process within WFWO/OT and with the project or program stakeholders.
- The identification and documentation of failures or shortcomings in the execution of the project or program in question, with the emphasis on learning from experience.

As in all other aspects of project implementation, the preparation of evaluation TORs should not take place in a vacuum. Once a draft has been prepared, it should be circulated as widely as possible among WFWO/OT/EET/PEC of the project and institutional partner, stakeholders, donors, and others associated with the project, and particularly with the evaluation. It is advisable that a short workshop or meeting is held among these actors to discuss and finalize the content of the Terms of Reference.

19.3. Evaluation Standards

WFWO is committed to evaluation as a primary tool for institutional learning and OT development, and evaluation standards have been established at both the program and project levels. Program Level Evaluation Standards:

- All programs are to plan for, and carry out, program evaluations at least every five years.
- The Operation Team (OT) should ensure that specific plans for program evaluations are built into their strategic plans.
- The resource mobilizations Team and financial partners must ensure that budget allocations are made to support periodic program evaluation. Project Level Evaluation Standards:
  - The Operation Team (OT), Project Executive Coordinator (PEC) must ensure that all projects have evaluation plans built into their work program and budget at inception.
  - Project plans must include evaluation criteria (objectively verifiable indicators). A summary of project evaluations should be included in the relevant text field in WFWO’s Project Database.
  - The Operation Team (OT) and Project Executive Coordinator (EPC) concerned should ensure that all projects are evaluated on a timely basis. In the case at projects that have a planned duration of over three years, both a mid-term and final evaluation should be planned for.

20. A Results-Based Workplan and Budget

One of the great strengths of the log-frame method, is that the operational aspects of the project – its work plan, management responsibilities, and budget – can be planned in detail based directly on the activities specified in the logical framework. The activity schedule or work plan is derived from the log-frame, it makes a direct link between project operations and the project targets and objectives.

The procedure for developing a results-based work plan from the logical framework is quite straightforward.

Once the detailed work plan is complete, the project budget can be prepared based on the list of activities and their timelines (person-months for each sub-activity), as well as equipment and materials that will be required.
Box 17: Procedure for Developing a Results-based Work Plan

<table>
<thead>
<tr>
<th>Procedure for Developing a Results-Based Work Plan</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Copy the activities from the log-frame into an activity.</td>
</tr>
<tr>
<td>2. Break the activities down into sub-activities or manageable tasks. Make them sufficiently simple so that they can be managed easily. Each task could be assigned to an individual.</td>
</tr>
<tr>
<td>3. Once the activities have been broken down into sufficient detail, check how they may relate to each other sequentially. Are any activities dependent on the start-up or completion of another?</td>
</tr>
<tr>
<td>4. Specify the timing for each sub-activity, making as realistic an estimate as possible. Realism can always be improved by consulting with the implementers!</td>
</tr>
<tr>
<td>5. Make an overall estimate of the start-up, duration and completion of each of the main activities.</td>
</tr>
<tr>
<td>6. Define milestones. These provide a basis for managing and monitoring project implementation. They are key events (or dates) that provide a measure of progress.</td>
</tr>
<tr>
<td>7. Define the expertise required for each activity. This is a good opportunity to check whether the work plan is feasible, given the human resources available.</td>
</tr>
<tr>
<td>8. Allocate responsibility for each activity to a given individual, and tasks among the team. With task allocation comes accountability and responsibility for achieving the milestones. Task allocation must take into account the capability, skills and experience of each WFWO/OT member of the team.</td>
</tr>
<tr>
<td>9. Summarize this information in a graphic format. While the overall project schedule may specify activities on only a quarterly basis, an individual’s quarterly work plan would be drawn up using a more detailed timeframe.</td>
</tr>
</tbody>
</table>

21. Means and Costs

The means are the human, material and financial resources required to undertake the planned activities and implement and manage the project. In order to provide an accurate estimate of the means and costs required for a project, the planned activities and management support (including data collection and monitoring) must be specified in sufficient detail. Translating the activities from the intervention logic of the logical framework into an activity schedule for the lifetime of the project, and then costing this out together with requirements for equipment and materials do this. The end product is a results-based project work plan and budget, as discussed above.

22. Lessons Learned

WFWO/OT objectives is to promote and use the knowledge and learning culture within the organization, among OT/EET/PEC of the project and co-financing partners, stakeholders, donors, and others associated with the project, and particularly with the evaluation, and, specifically to understand what works and what does not in WFWO/OT in different areas of the project components. To date, the four primary lessons are as follows:

* **Learn from doing.** Plan, monitor, learn, and adapt. Practice adaptive management.

* **Link field actions to policy advocacy.** Supportive laws, policies and regulations must be in place if interventions are to be successful and sustainable. Projects must take a vertically integrated view – policy advocacy and change is as critical to project success, as is infrastructure on the ground.

* **Leave something behind.** Build institutional capacity to train and develop skills, and devolve management to institutions who will ultimately be responsible (Community Based Organization CBO, NGOs, government, etc.).

* **Tell the story.** Communicate messages in an interesting and visual way. If projects and programs are to have an impact beyond their area of operations, they must be able to capture the imagination of those who do not have a direct interest in the activities.
Further lessons on the operational, WFWO/OT Plan level include:

- Understanding linkages between scales (project, landscape, environmental, gender equality, indigenous people, etc.) is critical to effective implementation.
- Think in terms of negotiating and brokering sustainability development programs to contribute to the eight MDGS actions that are realistic rather than ideal. Second-best solutions that are doable may be better than ideal solutions that have little possibility of being agreed to or implemented.
- Work in strategic partnerships; act as facilitators.
- WFWO/OT require long-term support, e.g.: partnerships and strategic alliances, a supportive policy on resource mobilizations, environment, diversified and sustainable funding mechanisms, post-project support (fundraising assistance, technical advice, information, etc.).
- Build on what exists. Gain a thorough understanding of the socio-economic, environmental issues, institutional and historical contexts (baseline data). Engage communities in sincere and meaningful dialogue as full partners.
- To avoid subsidizing community development activities.
- To ensure that those who have authority over and receive benefits from resources bear the responsibility and costs for managing them.
- To generate economic benefits for local communities, NGOs. CBOs, and incentives of sustainability development programs. Establish core capacity in resource economics. Efforts must be made very early to identify partners, both local and strategic. Partnerships are key for the design phases, and all partners must be involved.
- Capacity building and partnerships require specific attention (e.g. plans) to get translated into action and results.
- The implementers must be the designers – not the people in the head office.
- Beware of but do not ignore, top-down ideas. Focus on bottom-up processes.
- Local capacity and expertise, both individually and institutionally, is more effective and has greater lasting power than expatriate project management. WFWO's with strong local institutional support are much more resilient. In addition, the WFWO/OT has identified some lessons at the level of managing the portfolio:
- For a collection of projects to operate as a program, they must be involved in the sustainability development programs.
- Creating effective networks takes more time and effort than is generally expected.
- Virtual networks are not enough. Face-to-face workshops and seminars are essential for effective learning and for building networks.
- Identify and select an (independent and external Evaluation Team) advisory committee early on.
- Encourage projects and partners to communicate in their own language – avoid domination by Anglophones.
- A coordination mechanism is necessary for a collection of projects to function as a program, including a full-time “champion” (coordinator) with a global view, and a full-time administration-communications project support team.
- Disseminating lessons are not an end in itself. It is important to define the purpose of learning, and plan how the impact of disseminating lessons will be assessed.
- E-mail and website communications greatly enhance quick and regular contact among projects, and are critical for the development of integrated programs.
- The institutional commitment and structures to develop a learning culture need to be in place to ensure that this can happen, in order to contribute to the MDGs targets achievements.
1. Project concept used by WFWO/OT

WFWO’s Project Cycle Design Management Procedure Guidelines (PCDMPG) is the term given to the process of planning and managing projects, programs and organizations. It is used widely in the business sector and is increasingly being used by development organizations. Development projects sometimes fail because they are badly planned and do not take account of some important factors, particularly the needs and views of stakeholders. PCDMPG is based around a project cycle, which ensures that all aspects of projects are considered. A central value of the PCDMPG method is that aspects of the project are reconsidered throughout the project cycle to ensure that any changes, which have occurred, are included in the project design. As a result, projects are more likely to be successful and sustainable to contribute to the Eight Millennium Development Goals (MDGs).

PCDMPG involves a set of planning tools, which feed into the logical framework (commonly known as a log frame). The log frame is a table, which gives a summary of the project plans. Some donors now expect log frames to be submitted alongside project proposals. Log frames can seem quite complex to many people. This means that some organizations find they are unable to access donor funding. This PCDMPG explains the process of completing log frames in a simple way in order to increase the ability of organizations to access such funding. However, organizations may want to start to use the log frame for all their projects, whether they are applying for donor funding or not. This is because the process of completing the log frame is in many ways more useful than the end product. The process is important for project success, sustainability and organizational learning.

Throughout the project cycle design management procedure guidelines for projects because this is probably the main way in which PCDMPG will be used. However, all of the tools can be used just as effectively for planning programs of the WFWO’s Operation Team (OT) and managing and developing organizations partners.

The project concept will initially be elaborated as part of the COSOP formulation. This will establish the initial framework for project processing. For countries without a COSOP, the project concept will be derived from consultation with the BC, LA, LC, NGO, CBO and relevant stakeholders, followed by the project design. A project life file will be initiated at the concept stage.

2. Project cycle design and quality enhancement

The detailed project cycle design will be reflected in a project design report. The PCDMPG is conceived as a “main official and initial document”. It will remain the main project document throughout the entire design process, retaining the same format throughout the process, although the content of relevant sections may be updated as the project design evolves through consultations with the BC, LA, LC, BGO, CBO and concerned partners. The PCDMPG will cover:

- strategic context and rationale for WFWO’s involvement, commitment and partnership
- poverty, social capital and targeting project description
- implementation and institutional arrangements
- project benefits, costs and financing
- project risks and sustainability
- innovative features, learning and knowledge management

The improvement to the project quality, in the light of WFWO’s policy and procedures guidelines based on a set of key success factors of the project cycle design and procedures.
3. Design completion and quality assurance

Once the PCDMPG has reached its design completion point, the final step in the process will follow a satisfactory review of the final PCDMPG, the Executive President's Report and the draft agreement are finalized.

4. Negotiation and approval

Negotiations are undertaken between WFWO and the BC, LA, LC, NGO, CBO, using the design completion of the report as the basis for the financing agreement and terms and conditions. WFWO Board Directors and resource mobilizations Team then reviews and - if it so deems - approves the WFWO grant for the project.

Subsequent to Board approval the financing agreement is signed between WFWO and the BC/LA/LC/NGO/CBO.

5. Planning: Why is good planning important to WFWO/OT ?

The plans of the diligent lead to profit as surely as haste leads to poverty and sustainability development programs.

There is a phrase ‘If you fail to plan, you plan to fail.’ Think of examples of when things have gone wrong because planning was not carried out adequately. Why did things go wrong? What was not taken account of? There are many reasons why planning is a good idea. Planning helps to:

Think ahead and prepare for the future:

- Ensure the right direction
- Identify issues that will need to be addressed
- Consider whether a project is possible
- Make the best use of resources
- Motivate operations team staff
- Ensure smooth running of projects
- Clarify goals and develop vision
- Establish the reason for doing something
- Choose between options
- Obtain funds and other resources through resource mobilizations team and our financial partners
- Allocate resources and responsibilities
- Guide implementation of projects
- Achieve the best results.

There are many barriers to planning Advantages and disadvantages. These include:

- Lack of time, or not making time to plan
- Not knowing how to plan
- Difficulty in getting the right people together
- Finding it difficult to plan because the future is so uncertain
- Wanting to do things immediately because the need is urgent, rather than think about them.
The following examples show lack of planning:

- Someone from another country imports forks because he sees people eating with their fingers. However, in that country people usually eat with their fingers. This project does not address a real need.

- A lack of food security, sanitation and clean drinking water, health, education, women empowerment project is started because people are dying of decease such as, HIV/AIDS and other deceases, so they have difficulty in understanding the relevance of the project.

- An agricultural project wants to help very poor people. An agriculturalist starts a program of vegetable growing. While the project is technically very successful, very poor people do not benefit because they have no land.

- A fisheries project digs ponds, but they do not hold enough water because the soil does not contain enough clay. Not enough technical information was obtained.

- A handicraft project helps people to make shoulder bags. A year later there are large stocks of unsold bags because not enough research had been done into the marketing aspects of the project.

- A project builds latrines, but the women do not use them because the area is badly lit and they fear attack by men. Social and cultural factors have not been taken into account. A key question in the process of planning is ‘who should be involved?’ There are both advantages and disadvantages of planning alone and with different types of people.

A key question of the WFWO/OT in the process of planning is ‘who should be involved?’ There are both advantages and disadvantages of planning alone and with different types of people.

Think through the following situations in terms of time, decision-making, conflict, responsibility, knowledge, ownership, resources and motivation:

- Imagine a head of a relief and development organization. What are the advantages of the manager planning a project alone? What are the disadvantages?

- Imagine a few members of staff of a relief and development organization planning a project together. What are the advantages? What are the disadvantages?

- Imagine members of staff of a relief and development organization planning a project with community members. What are the advantages? What are the disadvantages?

- Which of these situations is best? Why? How can some of the disadvantages of that situation be overcome?
6. Project Cycle
The process of planning and managing projects can be drawn as a cycle. Each phase of the project leads to the next.

7. Identification
To identify what a project will focus on, we need to find out who should benefit and what their needs are. A ‘needs assessment’ will give an overview of community problems. A ‘capacity assessment’ will help identify which problem the project should address.

8. Design
Once it is decided to go ahead with the project, we can start to think about the details. This involves carrying out further research into the people affected by a problem and how they are affected by it. We also need to consider the risks to the project and how we will measure the project’s performance.

9. Implementation
During the implementation of the project it is important to monitor and review the progress of the project and any outside changes that affect it. The project plans should be adjusted where necessary.

10. Evaluation
Evaluation should be carried out at or after project completion. Evaluation could be carried out a few months or years after the project has finished in order to assess its long-term impact and sustainability.

11. Lesson Learning
While the PCDMPG is a useful way of outlining the stages of a project, it has one drawback: it makes it look as though one tool follows another. In fact, many of the planning tools can be used at any stage of the project. They should be repeated throughout the project’s life to ensure that any changes that might affect project success are accounted for. Findings should also be used for organizational learning and to improve WFWO/OT projects.

Figure 9: Lesson Learning
WFWO's Project planning should be seen as an ongoing process, which involves learning by reflecting and acting. It is important to take time to stand back, think, rethink, and learn from local communities and NGOs, CBOs and others. The first step in the project cycle is to identify an issue that a project could address.

![Figure 10: WFWO's Project Planning](image)

This usually involves a needs assessment* which finds out what community needs are and whom they affect. Only when we know what people really want can we develop an effective project.

The tools and approach used by WFWO/OT is to help community, NGOs, CBOs partners identify their vision.

The needs assessment is followed by a ‘capacity assessment’ to see what strengths the community has which it can use to address its problems. The project should seek to strengthen any weaknesses. Some people prefer to use ‘appreciative enquiry’ instead of needs assessment and capacity assessment. This, in effect, starts with a capacity assessment by asking community members to identify the resources they have and then asks them how they want to use them in the future.

The project can then aim to help the community achieve part of its vision. We might already have a good idea of local needs. They might be quite obvious, or we might have become aware of them during a past project. On the other hand, we might have no idea what a community’s needs are. It is important to carry out a needs assessment before planning development work, whether we think we know what the needs are or not. Responding to a need:

- The project should come out of what people say they want and not from assumptions that we make. Sometimes the needs are not immediately clear or cannot be easily understood.
- By talking to different people, we will be able to understand how problems affect people differently. For example, poor access to clean water may affect women more than men because women have to walk a long way to fetch water.
- Circumstances change:
  - There may be new people in the community.
  - There may be new needs.
  - Old needs might have been addressed.
  - Problems might be affecting people differently.
- Needs assessment gives people an opportunity to priorities their needs, which leads to a more sustainability development programs.

We are open and try to talk to a variety of people, such as key community members or representatives of community groups. Or use methods that can draw out the views of many people in a short space of time, such as community mapping. We do not want to be raising expectations or wasting people’s time. Make sure that the people we talk to include women, men, girls, boys, the elderly, people with disabilities etc. There are many tools that enable communities to identify their needs:

At this stage, we are trying to gain an impression of needs and who the project beneficiaries might be. We are not looking for too many details. Further research into stakeholders and causes and effects of the problem is carried out during the design phase of the project cycle and we use the following tools.
12. How WFWO Listening?

We listen to the communities’ issues about which people have the strongest feelings, it is possible to identify the issues that they most want addressed and projects which they are most likely to participate in. A team of people (development workers or village members, NGOs, CBOs) ask a community or group questions to find out what people are worried, sad, happy, fearful, hopeful or angry about. The questions should be open-ended. It is important to have a clear idea about what we are looking for so we can make sense of the answers.

13. How WFWO Interviewing?

We meet with communities to help us to gain greater understanding of the issues. It involves talking to key people in the community in order to discuss their knowledge, experience and understanding of the issues. These people might already be involved in community development activities, they might be people that the community turn to in times of crisis or those who are seen as the heart of the community. Key people include NGOs, CBOs, local community, health workers, traders, religious leaders, village chiefs, pastors and teachers. When choosing people to interview, make sure their views and opinions are likely to represent those of others in the community. Take care not only to interview the powerful, but also to interview those whose views are not usually heard.

Use open-ended questions such as:

• What are the main problems you face in your area or village community?
• What are the main pressures that people in the community face?
• What simple things could be done to improve the situation?

14. How WFWO Focus on Groups?

We work with a group of community of 20–40 people. It helps them to understand and voice some of the problems they face and the needs they have. A focus group enables people with different views to discuss their differences, challenge assumptions and come to a collective understanding of the needs of the community. By exploring issues together from the start, communities start to own the development intervention. Questions to stimulate discussion could include the following:

• What are the main pressures that people in the community are facing?
• What simple things could be done to improve the situation?
• If you could change one thing in this community, what would it be? Why?

15. How WFWO Agreeing Priority Needs?

We work closely to involves community members, NGOs, CBOs, drawing a map of their community to tell their story together. They draw either on paper or outside on the ground, using whatever resources are available. They are given little guidance of what to include. The important point of the exercise is to discuss what people have drawn. The map might show the natural and physical resources in the area – forests, rivers, roads, houses, infrastructure and wells. It might show important people and organizations.
Once the map has been drawn, encourage discussion by asking questions such as:

- How did you decide what to include? What was excluded?
- What was emphasized? Which are the most important parts?
- What was difficult to represent?
- What were the areas of disagreement?
- What can we learn from the map about the needs of the community?

To gain greater understanding of the issues facing different groups within the community, the groups should work separately. A map by young people may show very different information from that of older women.

Questions for discussion could include:

- What differences are there between the maps?
- Why are there differences?
- How does the information from each map help to make a more complete picture of the community?

Once the needs have been identified, community members should be given the opportunity to say which needs they feel are priorities. We ask them to group their needs into general issues such as water, health, land and food, education it does not necessarily matter how they are grouped, but it is important that people can see how their concerns have been included. Once the needs have been grouped, community members can decide which of the issues should be given priority. Write all of the issues onto separate pieces of paper. Community members then place them in order in a line from the most important to the least important. Encourage them to discuss and negotiate with each other and to move the pieces of paper around until they all agree. Alternatively, write or draw the needs on separate paper bags. Give each person six seeds, stones or beads to use as counters. Each person in turn is invited to put their counters in the relevant bags, according to their priorities. They should put three counters for their first priority, two for their second and one for their third priority. The counters in each bag are then counted and the results announced. The needs are ranked according to the results.

This tool used by WFWO/OT should help to identify the main issue to address. There may be more than one priority issue to start with and the group will have to choose whether to take all priority issues at once or focus on one at a time.

16. How used the Capacity assessment?

Communities should be encouraged to use their own capacities and resources to address the problems they face. It is therefore important to carry out a capacity assessment after needs assessment to identify strengths that the community could use to address the problems they identified earlier. The project, if needed, should focus on strengthening the community’s capacities to address their problems. By doing this, we are facilitating the community to address their problems rather than addressing their problems for them.

Capacity assessment involves six types of assets:

**HUMAN**: These enable people to make use of their other resources. They include skills, knowledge, ability to work and good health.

**SOCIAL**: These are based on relationships and include organisations, NGOs CBOs and groups within the community, political structures and informal networks.

**NATURAL**: These form the local environment and include land, trees, water, air, climate and minerals.

**PHYSICAL**: These are man-made, such as building, transport, water supply and sanitation services, energy sources and telecommunications.

**ECONOMIC**: These are things that people can use to sustain their livelihoods, such as money and savings, grain stores, livestock, tools and equipment.

**SPIRITUAL**: These include faith, scripture, guidance and prayer in different religions that they believe.
WFWO’s using participatory techniques, such as those used for the needs assessment, ask community members to identify their capacities. We ask a range of community members, as different people have different perspectives and to identify how they could be used to address the problems identified during the needs assessment, to think about which capacities should be strengthened so that they can start to address their priority problems themselves. This is what the project should focus on.

We decide whether it is realistic for our organization to strengthen the community’s capacity to meet the priority need:

- Does meeting the need fit in with our mission?
- Does meeting the need agree with our values?
- Does meeting the need fit into our strategy?
- Will meeting the need be too risky?
- Do we have enough experience?
- Do we have enough resources?

Box 18: Capacity Assessment chart used by WFWO

<table>
<thead>
<tr>
<th>Asset Type</th>
<th>Capacities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Human</td>
<td>Construction skills Strong self-help tradition Women make local handicrafts</td>
</tr>
<tr>
<td>Social</td>
<td>Community centre, building Local primary school, hospital, market, education center ect</td>
</tr>
<tr>
<td>Natural</td>
<td>River, forest, desert, sea, rural area</td>
</tr>
<tr>
<td>Physical</td>
<td>Good access to infrastructure facilities in the villages Energy solar, transport, nearby Water standpipes, sanitary, health center, ect.</td>
</tr>
<tr>
<td>Economic</td>
<td>Revolving fund Income from trading centre in village centre, micro credit facilities, bank, association ect</td>
</tr>
<tr>
<td>Spiritual</td>
<td>Servant leadership Unity among member of communities</td>
</tr>
</tbody>
</table>

Once WFWO needs has been identified which a project can address, write a concept note. A concept note outlines the project idea. It does not have to contain a lot of detail and may only be about two pages in length. The reason for writing a concept note before a full proposal is so that our organization’s leadership or a donor can gain an idea of what we hope to do. They can ensure it fits with strategy, check its relevance and quality and give feedback before a lot of time, effort and resources are spent planning the project. If an organization does not have a process for checking projects at this stage, it should consider setting one up. The members of staff responsible for appraising concept notes should ask the questions at the top of this page.

Concept notes should outline:

- background information;
- why the project is necessary;
- who will benefit from the project;
- how they will benefit;
- an estimate of both the total budget and the resources needed for design.
Once WFWO has clear idea of a priority community need has been identified, we can start the identification how it can be addressed. Project design consists of:

- stakeholder analysis;
- research, including problem analysis;
- log frame;
- risk analysis;
- action planning;
- budgeting.

Note that the analyses – stakeholder, problem and risk – can be carried out before the design stage. Stakeholder and risk analyses should be carried out on a regular basis throughout the project cycle.

17. Our Stakeholder

‘Stakeholders’ are:

- people affected by the impact of an activity
- people who can influence the impact of an activity.

Stakeholders can be individuals, groups, a community or an institution, NGOs, CBOs, government.

WFWO’s selected stakeholder groups are made up of people who share a common interest, such as NGOs, CBOs, Village community leaders and the local community. However, such groups often contain many sub-groups. Seeing the community as one stakeholder group can be meaningless because some people may have very different interests from others in the same community. It may be necessary to divide the community into a number of sub-groups according to aspects such as status, age, gender, wealth and ethnicity. These sub-groups may be affected by the project in different ways, and some sub-groups may have a lot more influence on the impact of the project than others.

It might also be unwise to view the government as one stakeholder group. It may be necessary to list government ministries as different stakeholder groups if they have different, and even conflicting, opinions about a sustainability development proposal. Government at national, state and local levels may also have very different interests.

17.1. Stakeholders include:

- USER GROUPS – people who use the resources or services in an area;
- INTEREST GROUPS – people who have an interest in, an opinion about, or who can affect the use of, a resource or service;
- BENEFICIARIES of the project;
- DECISION-MAKERS;
- THOSE OFTEN EXCLUDED from the decision-making process.

WFWO’s selected stakeholders could belong to one or more of these groups. For example, someone might be a user of a hand pump (user group), and also involved in the water user association that manages it (interest group, decision-maker, NGOs, CBOs). Stakeholders are not only those who shout the loudest. Those who are often excluded from the decision-making process due to age, gender or ethnicity are those who are most likely to lose out if they are not included in the project planning. What methods could be used to ensure these stakeholders are involved? Stakeholders include the winners and the losers as a result of the project. While most stakeholders will benefit from the project, there may be others who will be negatively affected by the action taken.
17.2. WFWO’s Stakeholders can be divided into two main types:

- **PRIMARY STAKEHOLDERS**, who benefit from, or are adversely affected by, an activity. This term describes people whose well being may be dependent on a resource or service or area (e.g. rural communities, indigenous people) that the project addresses. Usually they live in the area or very near the resources in question. They often have few options when faced with change, so they have difficulty adapting. Primary stakeholders are usually vulnerable. They are the reason why a project is carried out – the end users.

- **SECONDARY STAKEHOLDERS**, include all other people and institutions, NGO’s, CBO’s with an interest in the resources or area being considered. They are the means by which project objectives can be met, rather than an end in themselves. If stakeholders are not identified at the project planning stage, the project is at risk of failure. This is because the project cannot take into account the needs and aims of those who will come into contact with it. Stakeholder analysis is a useful tool for identifying stakeholders and describing the nature of their stake, roles and interests.

Stakeholder analysis helps to:

- Improve the project’s understanding of the needs of those affected by a problem
- Reveal how little we know as outsiders, which encourages those who do know to participate
- Identify potential winners and losers as a result of the project
- Reduce, or hopefully remove, potential negative project impacts
- Identify those who have the rights, interests, resources, skills and abilities to take part in, or influence the course of the project
- Identify who should be encouraged to take part in the project planning and implementation
- Identify useful alliances which can be built upon
- Identify and reduce risks, which might involve identifying possible conflicts of interest and expectation among stakeholders so that conflict is avoided.

Stakeholder analysis should be done when possible projects are identified. It should be reviewed at later stages of the project cycle to check that the needs of the stakeholders are being adequately addressed. It is important to be aware that there are risks in doing a stakeholder analysis:

- The analysis is only as good as the information used. Sometimes it is difficult to get the necessary information, and many assumptions will have to be made.

There are a number of ways of doing stakeholder analysis used by WFWO/OT. The method provided below is just one approach. The approach taken will vary depending on the type of project that is being proposed. For example, for an advocacy project we would need to consider different aspects of stakeholders than we would for a development project. The method given below is quite general and can be adapted to whatever type of project is being proposed.

Ideally, stakeholder analysis for WFWO and for the success project should be carried out with representatives of as many stakeholder groups as possible. It might not always be practical to do so if the stakeholders are widely spread. However, if there is a danger that important stakeholders might be excluded, more time and resources should be invested in doing the stakeholder analysis to make sure they are included.
**Box 19: Stakeholders**

<table>
<thead>
<tr>
<th>Stakeholders</th>
<th>Interests</th>
<th>Likely Impact of the Project</th>
<th>Priority</th>
</tr>
</thead>
<tbody>
<tr>
<td>Primary</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Secondary</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- List all the possible stakeholders in the project. Divide these into primary stakeholders and secondary stakeholders. Remember to include supporters and opponents, user groups, vulnerable groups and sub-groups that are relevant to the project.

- In the second column, write down the interests of each stakeholder in relation to the project and its objectives. These interests might be obvious. However, there might be some hidden interests, so assumptions might need to be made about what these are likely to be. Remember that each stakeholder might have several interests.

- In the third column, write down the likely impact of the project on each stakeholder’s interests. This will enable us to know how to approach the different stakeholders throughout the course of the project. Use symbols as follows:
  - + Potential positive impact on interest
  - – Potential negative impact on interest
  - +/- Possible positive and negative impact on interest
  - ? Uncertain

- In the fourth column, indicate the priority that the project should give to each stakeholder in meeting their interests. Use the scale 1 to 5, where 1 is the highest priority.

**Box 20: WFWO approach for a community identified their priority need as improved access to safe water and produced the following table**

<table>
<thead>
<tr>
<th>Stakeholder</th>
<th>Interest</th>
<th>Likely impact of the project</th>
<th>Priority</th>
</tr>
</thead>
<tbody>
<tr>
<td>Primary</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Local community</td>
<td>Better health</td>
<td>+</td>
<td>1</td>
</tr>
<tr>
<td>Women</td>
<td>Better health</td>
<td>+</td>
<td>1</td>
</tr>
<tr>
<td>Children</td>
<td>Walk less far to collect water</td>
<td>+</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>Opportunity to socialize Safety while collecting water</td>
<td>_</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Better health</td>
<td>+</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Walk less far to collect water</td>
<td>+</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Time to play</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Secondary</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Water sellers</td>
<td>Income</td>
<td>+</td>
<td>2</td>
</tr>
<tr>
<td>Community health workers</td>
<td>Reduced workload</td>
<td>_</td>
<td>2</td>
</tr>
<tr>
<td>Local church Health NGOs CBOs,</td>
<td>Involvement of church workers in project</td>
<td>_</td>
<td>3</td>
</tr>
<tr>
<td>Ministry of Health Donors</td>
<td>Better health</td>
<td>+</td>
<td>3</td>
</tr>
<tr>
<td></td>
<td>Achievement of targets</td>
<td>+</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Effective spending of funds</td>
<td>+</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Achievement of health objectives</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Exercise</td>
<td>Complete a stakeholder table for the stakeholders identified for the proposed dam.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
The participation of different stakeholders group is essential for the WFWO to implement the project work, but in practice it is a concept that has been misused. Participation means different things to different people in different situations. In its widest sense, participation is the involvement of people in development projects. For example, someone can be said to participate by:

- Attending a meeting, even though they do not say anything
- Taking part in the decision-making process
- Contributing materials, money or labor
- Providing information
- Answering questions for a survey, often, so-called participatory projects do not actively involve stakeholders (especially primary stakeholders) in decision-making and project implementation. This can lead to unsuccessful development projects. Stakeholder participation in decision-making throughout the whole project cycle (project planning, implementation, monitoring and evaluation) is likely to result in

- **IMPROVED EFFECTIVENESS**: Participation increases the sense of ownership of the project by beneficiaries, which increases the likelihood of project objectives being achieved.

- **ENHANCED RESPONSIVENESS**: If people participate at the planning stage, the project is more likely to target effort and inputs at perceived needs.

- **IMPROVED EFFICIENCY**: If local knowledge and skills are drawn on, the project is more likely to be good quality, stay within budget and finish on time. Mistakes can be avoided and disagreements minimized.

- **IMPROVED SUSTAINABILITY AND SUSTAINABLE IMPACT**: More people are committed to carrying on the activity after outside support has stopped.

- **EMPOWERMENT AND INCREASED SELF-RELIANCE**: Active participation helps to develop skills and confidence amongst beneficiaries.

- **IMPROVED TRANSPARENCY AND ACCOUNTABILITY**: because stakeholders are given information and decision-making power.

- **IMPROVED EQUITY**: if the needs, interests and abilities of all stakeholders are taken into account, the context in which the project is taking place

- Understand the causes and effects of the issue that is being addressed

Active participation is likely to have many benefits, although it is not a guarantee of project success. Achieving full participation is not easy. It can also take a lot of time, and conflicting interests are likely to come to the surface.

The diagram opposite outlines the different levels of participation. The lowest level may be better described as involvement rather than participation. The higher up the diagram, the greater the level of participation. Organizations need to decide what level of participation is best. Different levels of participation will be appropriate for different stakeholders at different stages of the project cycle.
18. Reflection

- In what circumstances might the highest level of participation not be appropriate?

- Some people would say that near the bottom of the levels there is community involvement but not participation. What is the difference between involvement and participation? When does involvement start to become participation?

- In what circumstances might the lower levels of participation be appropriate?

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Partnership is the type of participation in which two or more stakeholders share in decision-making and the management of the activity. Ideally this is partnership between project staff and the beneficiaries. However, achieving partnership with primary stakeholders can be challenging. A number of problems can arise:

- Participation may be seen by primary stakeholders as too costly in time and money when compared with the benefits expected.
- Primary stakeholders may lack appropriate information for effective decision-making.
- Some primary stakeholder groups may challenge the right of other groups to participate. For example, women may be excluded from participating in a village water committee.
- Organizations or churches may have a management structure or way of working that does not encourage primary stakeholder participation.
1. Objectives-Oriented Project Planning (OPP)

In its “Statement of Principles on Managing the Implementation of WFWO’s projects, the Executive President and Board Directors/Resource Mobilizations Team clearly set out the organization’s tasks and role and encouraged Operation Team (OT) to adopt flexible procedures. These procedure guidelines describe the WFWO’s PDCMPG and its objectives-oriented project planning process (OPP), explaining the principles on which WFWO/OT plans and steers its cooperation partnership activities to contribute to the Eight Millennium Development Goals (MDGs).

2. How We Managing the Projects?

Managing means structuring social processes in order to achieve a predetermined objective. Management is broken down into separate functions in order to describe the full range of structuring tasks involved. WFWO/OT functions are: agreeing on objectives, planning, decision-taking, motivating, organizing, steering, monitoring and informing. These functions, and the resultant tasks, must be performed regularly throughout the process being managed, from the outset to the very end.

A project cycle can be described as a process of providing inputs over a limited period; using the resources provided, activities are conducted and outputs (results) generated, in order to achieve a previously defined impact (the project purpose). We talk of programs when more than one project in a sector, sub-sector or region are linked together by a clearly defined concept. Projects and programs are sustainable if the impact continues to have effect to contribute to the Eight Millennium Development Goals (MDGs).

The description of the “life cycle” of a project, commonly found in business theory and stretching from the start of planning to the conclusion of project activities, can be taken as an orientation aid for managerial actions. According to this concept a project goes through phases of identification, conception and implementation. During this life cycle, project WFWO/OT and project partners must regularly perform tasks entailed by the above-listed functions. Thus, a project or program, which is a social process, is not just subjected to one-off planning and subsequently implemented. Planning is an ongoing process throughout implementation (so-called “rolling planning”).

The stages which a project goes through in the course of its life build on one another: the ideas concerning what objectives are to be reached and how they form into a system must first be outlined before any decision can be taken on what inputs are required. Before deciding to implement a project and provide the necessary resources the cornerstones of a project concept must be in place. The diagram indicates the transition between phases or the conclusion of a specific phase by the phrases: “objectives system clarified” (identification phase), “project plan elaborated” (conceptual phase) and “project purpose achieved” (implementation phase). The individual project planning steps are geared to this logical system.

The entire process is not linear but has many feedback loops in which to review the analyses, planning and decisions made or re-examine them in more detail, in line with experience gained. The definition given to an objective during the identification phase is not a definitive one, but must be repeatedly re-examined over the course of implementation and modified if necessary. All other decisions too, must be regularly reviewed and modified if they prove to be inexpedient, no longer applicable, or when they are up for renewed agreement. All in all, hard and fast decisions should be kept to a minimum expedient for a given situation, and plans only be held as valid until new findings make it necessary to revise them.

Replanting is the result of systematic observation, analysis and assessment of implementation (i.e. monitoring and evaluation). Focus does not centre exclusively on the planning targets but also on pertinent conditions and circumstances in the project cycle design environment. Any unintentional impacts and their consequences must be identified at an early stage. Basically, every project implementing organization has a similar management process. In development cooperation, the management processes of several organizations have to be interlinked, constituting a complex situation which places high demands on managers. Successful cooperation relies on well-clarified roles, duties and responsibilities of the actors involved. WFWO/OT has developed its PCDMPG to this end.
3. Managing Participatory Development Cooperation Partnership (DCP)

3.1. Underlying Concepts and Basic Terms

To better clarify the contexts and relations described in this chapter, let us first look at a few of the central concepts involved. The definitions given make no claim to be the only possible and valid definition. On the contrary, they should be seen as working aids, to be replaced by better ones when necessary.

Development Cooperation Partnership (DCP) can be understood as a structured process of transition from a current situation considered unsatisfactory to a future situation, which is considered to be an improvement. Our experience learned shows such processes can only succeed when the individuals concerned assume responsibility for them and changes are brought about as self-help measures. An intended development must thus be based on the actual needs of the people affected, and on the scope for action open to them.

DCP's aims to ensure that self-help processes are initiated and that they run successfully. WFWO assists its financial partner and NGO's CBO's organizations in encouraging development processes within target groups. Target groups are those groups in society who are to be directly affected by the change contained in the project's or program’s purpose (goal). WFWO’s task may consist of identifying and structuring suitable partner-country organization’s plans to assist target groups in this process of change. Responsibility can be weighed differently, depending on the specific role and competence of the participants, meaning that the role of the WFWO/OT can also vary enormously from one situation to another.

The Technical Assistance Cooperation Partnership (TACP) is always the government of a partner country. Even though a proposal may be drawn up by a specific organization, it must be approved by the governments of the countries in question. The government making the application frequently transfers its activities to organizations, state or non-governmental (NGO), Community Based Organization (CBO), which plan and implement a project (sometimes forming a network). These implementing organizations are, strictly speaking, the counterpart organizations of the WFWO’s partner with its counterpart organizations usually takes the form of projects or grant programs.

Participation is recognized today as a central quality criterion of development cooperation partnership. Participation means the active involvement of individuals, social groups and organizations in the planning and decision-making processes that affect them.

3.2. Basic Structure of Development Cooperation Partnership (DCP)

The basic structure of cooperation relations in technical assistance is explained in Figure 12. On behalf of the WFWO to supports one or more partner-country organizations during the preparation and implementation of a project or program designed to promote self-help among target groups. Counterpart organizations may be state-run or NGO, CBO. The development policy principles of the WFWO commit them to working increasingly with local NGOs, CBOs. WFWO and its financial partners develop a technical assistance support is based on the principle of minimum intervention, and the type and scope of support addresses those inputs which the partner cannot (yet) provide itself. The WFWO reacts to this varied demand situation with a wide spectrum of services ranging from one-off inputs (e.g. conducting a research study) right through to find the best solution of managing complex systems.

For a project to be eligible for WFWO promotion it is crucial that it be geared to the needs of the target group. To underline this distinction we sometimes speak of the political applicant of a project on the one hand and the implementing organizations on the other.

- Strengthen the self-help capacities of people affected
- Be feasible under the given framework conditions
- Create the preconditions which will ensure the sustainability of the situation it helped improve.

PCDMPG as a way of Combining the Inputs of Different Actors in project participation. PCDMPG is the internationally used abbreviation for "project cycle design management". WFWO considers PCDM as not only covering the life cycle of a project and the management functions to be performed at regular intervals throughout the cycle, but above all as a concept to be used to design cooperation such that it runs successfully for all participants from this viewpoint, the overriding principle is to ensure that the affected groups become involved as participants in this process.
As shown in Figure 12 a distinction is first made between the actors to be involved and the various levels at which they act:

- The target groups, at whose level the intended development partnership is to take place
- The partner organizations who implement a project or program, so that this development can come about
- The WFWO who, on behalf of its partner or other co-financing bodies provides inputs to help the partner organization to implement the project or program.

The differentiated view of each level makes it easier to organize expedient cooperation partnership on project. Basically, each actor must structure (or manage) his or her own input process. The common aim is the agreed development goal: the target group level must reach a consensus on the planned improvement in their life situation (which will be focusing on the eight Millennium Development Goals (MDGs) and the measures necessary to achieve this goal. A project or program which is being implemented at the level of the counterpart organization with the aim of supporting a self-help process, must first clarify how the process operates at target group level, why it is not succeeding under its own steam (outset situation) and which “external” inputs are needed to allow the planned development (project purpose) to take place. The WFWO/OT/RMT must know what the two higher levels – target group and partner-country organization – intend to do and what they need before it can specify its own inputs to support the project.

WFWO’s cooperation partnership network, the input processes of all participants must be interlinked in such a way as to ensure that the targeted improvement to the situation does actually take place. Frequently the WFWO’s task in this part of the cycle is to ensure that the input processes between the partner organization and the target groups are appropriately interlinked.

Figure 13 illustrates a model for differentiated cooperation, which integrates the above ideas of the cooperation partnership for the project and the role of the actors – target groups, partner organizations and the WFWO – at their respective intervention levels, show the input processes at each level with their starting and end points.
At the levels of the partner organization and the WFWO the needs-clarifying process is based on the process-taking place at the next highest level, i.e. “top-down”. The success of inputs made at any one level becomes evident at the next highest level: the promotion has achieved its objective when, with its help, the project purpose has been achieved. The project itself is successful when, with its help, the intended development actually takes place.

3.3. Development Cooperation Partnership relations are directed to the common purpose, if:

- They address a need at the next highest process level;
- They comply with the principle of minimum intervention;
- They are cost-effective;
- They stabilize the process at the next level on a sustainable basis;
- They comply with the super ordinate development-policy goals of the actors.

3.4. Levels of Development Cooperation Partnership and Input Processes Used by WFWO

Experience learned shows that cooperation partnership is more fruitful if participants:

- Have clarified the expectations they have of one another;
- Broadly agree on the objectives to be reached;
- Recognize their respective responsibility for achieving the objective and accept this throughout the process.
3.5. WFWO's Management Development Cooperation Partnership

In recent years the WFWO has focused considerable effort on improving the start-up phase of cooperation partnership in particularly NGO's, CBO's. This reflected the experience that more in-depth preparatory work improves the conditions for implementation and the chances of sustainability. Optimal networking of the input processes was recognized as being paramount to the success of cooperation. The principle of minimum intervention was given high rating in this context. The starting point for activities by the WFWO is determined by the project or program proposal submitted by the partner side and by the development-policy directives of its partners, (or the co-financing body for the project in question). WFWO/OT must design its inputs to optimally satisfy the quality requirements of each partner. This often entails reconciling divergent ideas and interests.

The WFWO/OT follows a standardized procedure – the so-called “PCDMMP”. Whilst all statements made here apply to this procedure, the ideas of participatory management basically also apply to other committees as well. Under the procedure adopted with the WFWO/OT/RMT, the government of a partner country submits a proposal for Technical Cooperation partnership to WFWO in line with the currently valid application procedures. WFWO/OT is often involved in an upstream consultancy capacity even before the application is filed. In these cases the WFWO/OT support potential counterpart organizations to clarify their ideas for a project, without any prejudice to the outcome of the application procedure. In compliance with the regional and sector-policy directives of the WFWO/OT can also present its own ideas. Once an application has been prescreened and checked to ensure that it complies with WFWO development-policy procedures, generally Technical Review Team (TRC), Resource Mobilizations Team (RMT) Committees to perform a preliminar appraisal of the application, or to submit an offer for further procedure, OT/TRC/RMT to implement the work initiates a relevant input process on the part of the WFWO. In the course of this process, open questions regarding the planned activity will be answered as far as possible and necessary, and the potential WFWO contributions to the planned improvements at the levels of the partner organization and the target groups are designed.

The overall structure of WFWO's input process covers

- Identifying the outset situation and the objective of promotion
- Designing the promotion measures
- Implementing promotion measures and further developing them as required.

In concrete terms this means that WFWO analyses and assesses the proposal for partnership, in order to specify the recognizable needs at target group level. WFWO checks whether or not the proposed project concept meets needs at this level, and whether it will be accepted by the target groups. It assesses whether the concept put forward can be successfully operationally (e.g. the commitments undertaken by the partner-country organization, the resources available, the cost-benefit ratio). It attaches special importance to whether or not suitable organizations on the partner side are proposed to implement the project and what support these organizations will require. WFWO/OT/RMT/RC is then worked out on this basis. In many cases the first step is to create the necessary framework for partnership by initiating clarifying processes at the level of the target groups and the counterpart organizations. Before a project agreement (exchange of notes) is signed, WFWP/OT can provide upstream consultancy services in the form of a project appraisal, help in drawing up a project concept and devising an implementation structure, or even an open orientation phase.

WFWO/OT not infrequently faces problems which go beyond the performance capacity and authority of the partners at the outset of partnership. For sustainable project success it is of paramount importance that the partners acquire this problem-solving competence in the course of the project. A system of task sharing and division of responsibility over several organizations as part of a diversified partner-country organizational structure can often be a suitable approach, since the various conflicting interests in a development process can best be identified when they are represented by organizations and groups working together over a longer period. Sustainable Development can be impeded or derailed if one organization (often the state) claims that it can prematurely harmonize the divergent interests which are the driving force of sustainable development partnership. WFWO/OT terms this task-sharing model a “pluralist structure”.

WFWO/OT uses its own framework project planning target (FPPT) by the support of international expert consultants to identify and design its own inputs and initiates its partners in this framework process if they so request.
4. Framework Project Planning Target (FPPT)

FPPT is a process of structuring planning processes. It provides a systematic framework while at the same time according high priority to ongoing communication. FPPT is based on a specific understanding of planning target and quality its main features are presented in this section. Planning as a Process of Clarification, Consensus-Building and Support Communication. Planning is above all a process of clarification and understanding between partner who wish to work together to make the change. The elements of a plan are produced during the course of the project: Plans are designs of something to be done in future, which pre-specify what inputs are required to achieve the desired goal. They are common guidelines for participants to target their activities and efficiently manage scarce resources. There are limits to what can be planned, and the time-scale and degree of detail contained in plans must be realistic. Forecasts of future developments always contain a degree of uncertainty, but this does not make planning superfluous to requirements. Nevertheless, problems and framework conditions may arise in which planning procedures can be counterproductive, restricting options for action. Where this is the case, the consensus reached on the objectives and framework or activities should provide a system of reference, which permits activities to be geared to objectives. In the light of the fundamental debate on the limitations of planning, WFWO/OT are encouraged to try out other options too in future to serve and contribute toward the achievement of the MDGs objectives for a better world.

In the past, WFWO has highlighted the priority of planning compared to other management functions. As a result, planning has been seen as a rigid directive and unbending administrative rule which frequently stood in the way of targeted project implementation. WFWO has also realized that the status of planning, and thus the degree to which it is held as binding, can vary enormously from one culture to another. For this reason WFWO today accords top priority to the communicative aspects of planning and its process to achieve its objectives.

4.1. Elements of a Plan and the Project Planning Matrix (PPM)

The plan specifies the individual elements of a project or program. In particular it provides information about:

- What improvements are to be made to the situation of the target groups? (MDGs)
- What changes are to be made to the target groups’ actions? (Project purpose, impact of project measures)
- What outputs will be needed to generate this impact? (Results)
- What must be done in order to obtain these outputs? (Activities)
- What resources (human, material, financial, time) are needed to perform the activities? (Quantities and costs)
- What framework conditions are necessary to obtain the results and achieve the impact? (Assumptions)
- How can we recognize that impacts, results and assumptions have been achieved? (Indicators)

The relevance of the project purpose, and thus the justification for implementing a project also become clear when information is obtained on:

- Why the project purpose should be achieved; Which super-ordinate (strategic, development-policy) goal the project serves. (Overall goal)

The activities, results, project purpose, development goal and overall goal, along with the assumptions, together make up the project’s development hypothesis and outline the underlying logic. In order to present the elements of the plan clearly and to illustrate the interrelations involved, a special matrix, the project planning matrix (PDMPG) or logical framework) was devised and integrated into the objectives-oriented project planning process.

The individual elements of the PCDMPG must be specified during the planning process. Depending on how much detailed, reliable information is provided in each field of the PCDMPG, it is possible to plausibly assess what risks endanger the achievement of the objective and its economic efficiency, and make a well-founded decision on whether or not to implement the project. The validity of a PCDMPG must be revised regularly during implementation.
4.2. Framework Project Planning Target Procedures approach

FPPT consists of predefined analysis and planning steps to define the outset situation, the objectives structure and the project concept. These steps should be done in teamwork as far as possible. Moderation (or facilitating), special visualization techniques and consistent documentation support communication and decision-making.

The FPPT process are:

- Participation by those affected and all important actors;
- Iterative procedure, flexible design;
- Search for consensus;
- Transparent analysis and decision-making;
- Receptiveness to the use of suitable instruments in the planning process.

Experience learned teaches us which elements reflect a solid plan and what quality of information is required: an objective, for instance, can help direct our activities if it is clearly worded and verifiable, if it can be achieved with the resources available, and if it is accepted by the individuals affected. A plan can only be used as intended, as an instrument to guide activities, if the participants share a common understanding of its elements and their relevance. This requires a process of communication and understanding which should be supported by moderators/facilitators. WFWO’s workshops have proved to be a good forum for participants to exchange views. Workshops can vary enormously in terms of topics, participants and the way they are held. Each workshop should be organized to serve a specific purpose. A workshop should never be confused with the FPPT process itself, nor should a planning process be reduced to the FPPT workshop alone.

The socio-cultural, economic and environmental conditions, which have bearing on the assumptions, are particularly important in assessing risks. Before a consensus can be reached, the varying points of view must be identified and clearly presented visualization techniques (e.g. the score card or project communication support facilities), teamwork and moderation (facilitation) have been adopted as integral parts of the FPPT process. And the participation of different actors can be involved at various stages of the process, FPPT also prescribes that comprehensive documentation be kept on all steps taken of the project cycle.

The FPPT process is applied wherever there is a need for clarification in the project cycle. Various analysis steps - the participation analysis, problem analysis, objectives analysis and analysis of alternatives - have been developed to define the objectives to be reached and the pertinent action strategies. The FPPT process can incorporate all instruments, techniques and procedures that may be appropriate in the given cultural context (e.g. sustainability and economic assessments, baseline studies, sectoral studies, instruments to evaluate interaction, decision-making techniques to contribute to the implementation of the eight MDGs). All participants will only share a common understanding of the project and its objectives if they have been adequately involved right from its start up. This is particularly address to the target groups, whose lives and working situations it is to change.

A crucial quality of FPPT is that during the clarification process the direct participants can present their own views about the existing problems and potentials; this makes the project inputs more realistic and boosts acceptance of the inputs by and for the project. Experience learned has shown, however, that the ambitious standards set for participatory analysis and planning are not always met. Just as the FPPT process has sometimes been reduced to the FPPT workshop, participation has often been misunderstood as simply having representatives of the target groups attend the workshop, irrespective of how alien events of this sort may be to their culture. More appropriate techniques are available nowadays allowing planning and evaluation to be conducted more flexibly with the social groups affected. Special mention is made of the participatory appraisal, a procedure which has proved its worth in both rural and urban situations. Techniques of this sort should be used more often in the FPPT.
The FPPT has often been applied in too rigid and ritualized a fashion in the past. The strong focus on a logical, rationally structured PDCMPG has meant that too little attention has frequently been attached to the prior participatory process of clarification and consensus building. The clarification of the various participants' roles and responsibilities, which is every bit as important, has often been neglected. The FPPT process only enhances the quality of projects when it is used flexibly and planning is seen as a process it is also used to clarify the objectives, expectations, roles and responsibility of all participants. Instruments to Steer Implementation during implementation the duties of management are not limited to simply operational sing the plan. Responsibility for steering also implies periodic review and adjustment of planning. WFWO has developed additional instruments and formats to assist its OT perform these tasks. All aids are based on a common system, and can be used throughout the project cycle. The project-planning matrix is the basic, logical structure on which the following instruments have been built:

- Plan of operations
- Monitoring and evaluation (M + E)
- Project progress report
- Project progress review

The plan of operations is used to detail the activities presented in the PDCMPG for a limited period of time, stipulating the personnel, materials, equipment and funds required for implementation, allocating responsibility, and stipulating a time-schedule. The systematic examination of a project's planning, implementation and impacts. It is conducted by independent experts. Here too the overriding principle is that an instrument can only be used to maximum efficiency if it is clearly target-oriented and flexibly adapted to match the given cultural context of the project cycle design.

IV. PROJECT CYCLE DESIGN MANAGEMENT PROCEDURES GUIDELINES (PCDMPG)
THE CONTEXT OF THE FUNDING POLICY AND GUIDELINES

1. WFWO Funding Policy and Guidelines

Why this Guidelines?

The overall objective of the Project Cycle Management Guidelines (PCDMPG) is to enhance the project cycle management capacity of the WFWO by providing the management and Operation Team (OT) clear, detailed and consistent guidance regarding tasks, responsibilities, timing and documents/formats to be applied at the different phases of the WFWO/OT project cycle. This detailing is based on the more general principles as set out in WFWO policy and in the Annual Operating Strategy Plans (AOSP).

These Project Cycle Guidelines are applicable to the Selected Projects Program (SCP) only. However, as all projects need to be well documented right from the design until the closure and the evaluation it is recommended that the Project Proposal Form (PPF) procedure be applied when preparing project documents for other types of projects as well. It is also recommended that all projects are documented, monitored, closed and evaluated in accordance with the steps of the WFWO/OT project cycle as explained in this guidelines. One might ask why we need WFWO project cycle management guidelines when we already have the Annual Operating Strategy Plan. The PCDMPG sets out the framework and structures for the management and commitments of the fund through Resource Mobilizations Team itself, which also includes the general principles for the WFWO/OT project cycle.

The Operating Guidelines is not meant to provide detailed and specific guidance to the Operations Team (OT) or Technical Review Committee (TRC) and Resource Mobilizations Team (RMT) on who will be doing what, when and how during the different stages of the project cycle. The Project Cycle Management Guidelines therefore aim at serving this purpose and should also be found useful by the WFWO/OT and management as checklist when managing the project cycle. Key elements are included in these guidelines so that it should be sufficient to consult the procedure guidelines only, on issues related to the WFWO project cycle.
Although the WFWO may employ different disbursement mechanisms, the project cycle procedures for each mechanism are generally identical with some differences between investment and non-investment projects with respect to application and project selection procedures. Therefore there is also only one application form to be used regardless of which kind of support there is being applied for. Where there are differences in the procedures between different disbursement mechanisms it is explained in the guidelines. These Guidelines may also help to clarify to its partners involved on the project and the co-financing partners, the roles and functions of the WFWO/OT vis-à-vis the partner/project holders during all steps of the project cycle. For the sake of transparency it is therefore recommended that this document be shared with the WFWO/OT or potential partners, upon request.

2. The WFWO Project Cycle

The diagram below shows the overall annual WFWO project management cycle as outlined. Though the diagram aims at illustrating the overall annual WFWO management cycle the various phases also applies to the management cycle of the individual projects. With regard to the individual project the phases of most significance are appraisal and implementation.

![Figure 14: WFWO Project Cycle](image)

The Project Proposal Request for Funding (PPR) should be focusing on the Eight Millennium Development Goals (MDGs) may be submitted at any time during the project cycle. However, the WFWO/RMT might establish deadlines for submission of applications to coincide with screening, selection and quarterly WFWO/BF/RMT meeting schedules policy. These deadlines are elaborated in application instructions sent to applicants. If applicants miss deadlines at the end of the project cycle they may have to submit a new PPR since the WFWO/RMT priorities, eligibility requirements and disbursement guidelines may change from year to year. WFWO receive, screen and select project all year round. WFWO is at its quarterly Board Directors (BD) /Resource Mobilizations Team Committee (RMTC) meetings making the final decision on which projects will receive support from the WFWO/RMT or External Co Financing Partners (EFP). In order also to establish an overview of the various formats and documents to be applied during the WFWO project cycle is shown once more on the following page. This diagram below shows at which stage of the cycle the different formats and documents are to be applied. All the formats are per annexes to the Guidelines.
3. WFWO Updating the Guidelines

It is important that these Guidelines are considered a living and dynamic document which are adjusted and updated whenever the actual procedures are revised or changed, in order for the Guidelines to reflect the actual procedures and steps at any time. This it must be emphasized that the Guidelines reflect a (semi-) independent WFWO, where the Executive President of the WFWO has financial responsibility and is therefore e.g. in a position approve release of fund for WFWO projects when the Projects have been approved by the WFWO/RMTC/BD or External Co-Financing Partners (EFP). This Guideline was approved by EP/BD/RMT/TRC on the 19 May 2009.

4. The Identification Phase

The identification which is the first phase of the WFWO project cycle consists of the following main steps:

4.1. Identification of the types of projects the WFWO will contribute to the Eight Millennium Development Goals (MDGs), which must reflect the WFWO/OT/RMT priorities during the period covered by the Annual Operating Strategy Plan;

4.2. Review of material describing the specific features of the Selected Projects Program (SPP) for the upcoming project cycle, revision and preparation of material if there are changes compared to the previous year and distribution of the material to potential applicants through a variety of delivery mechanisms; and

4.3. Organization of outreach events and training sessions to promote WFWO’s Annual Operating Strategy Plan (AOSP) for potential applicants, meet with; country, local community, NGO, CBO groups, central, regional and local government representatives to promote WFWO and provide information about the types of projects and forms of support available from the WFWO.
5. Identification

The Annual Operating Strategy Plan (AOSP) is the key document during the identification phase for both the WFWO/OT/RMT/TRC/ and its potential financial partners as this document sets out the terms and conditions for disbursements for the year based on the availability of funds and the sustainable development priorities focusing on the Eight Millennium Development Goals (MDGs). The plan also includes the annual activity schedule and the budget for the WFWO/OT. As MDGs priorities are not changed annually and as specific project priorities also are expected to stay the same for several years it is not foreseen that procedures and requirements will be changed annually. It is therefore possible to forward applications to WFWO/RMT through the whole year. WFWO's management and team must be involved in the preparation of the Annual Strategy Plan.

6. Review of Request Project Proposal

Every potential and selected country, NGO, CBO, applicant is entitled to get clear procedure and guidelines, the Project proposal request Form referred to (PPR) Instructions to Applicants. This requires that the PPR and the instructions are reviewed annually in conjunction with preparation of the Annual Operating Plan and if necessary revised.

The interested parties can either get this material from:
- By writing an official request to the Executive President (EP) of WFWO
- By WFWO (the Communication & Public Relations Team) or by the Executive Coordinator designated by WFWO EP:
  - At WFWO outreach meeting or courses; or
  - Or through the website
  - The WFWO send the information package together with an Invitation Letter to potential applicants.

It is therefore particularly important that no matter from where a potential applicant is requesting information it is the same updated versions that are available. Again, this requires a coordinated cooperation between the different Operation Team of the WFWO.

7. Outreach Activities

In conjunction with the preparation of the Annual Strategy Plan it is important that a detailed plan for the preparation and conduction of outreach activities is prepared and clearly specifies the roles and activities of the Communication Team (CT), the Project Operations Team (OT) and the Resource Mobilizations Team (RMT). The outreach activities can be conducted all year round, though they should be more intensive at the end and the beginning of the financial year. In particular when planning the outreach activities it is important that lessons learned and experiences from previous years are reflected in the plan and in the activities in order for these activities to be as cost and time effective as possible. In order for this phase to run as efficient and smooth as possible it is important that the Executive President /Board Directors /Coordinators of the Operation Team/Resource Mobilizations Team /Communication & Public Relations Team have a close cooperation and clearly assigns a selected team to the activities during this phase and follow-up on how the activities are progressing. It is therefore important that the OT report on the outreach (e.g. who have been contacted, who have contacted, and who have requested and received information package, etc.) WFWO’s Management Team need to have a copy of the Annual Operating Strategy Plan and be confident with its content as well as they also need copies of the PDCMPP and the necessary documents.

8. The Appraisal Phase

The second phase of the project cycle is the appraisal of the country, NGO, CBO applicant for support from the WFWO/RMT. Appraisal is an overall assessment of the relevance, feasibility and potential sustainability of a project prior to a decision of supporting it. The appraisal phase consists of two steps:
- Registration and screening of the PPR - in order to assure that the proposed project, the project holder and the project application meets the criteria, and
- Scoring and proposed selection of projects.
The PPR, which is the key document in the appraisal phase, consists of two main parts:

1. Official request with summary sheet which provides information about the type of support being applied for, basic information about the applicant, basic project information, a list of documents attached and name, signature and date of the person who has prepared (or updated) the application and the person in the WFWO who has received it. This summary sheet, which might be updated up until the Grant Agreement is signed, is like the cover sheet of many of the forms to be applied during the WFWO/OT project cycle; and
2. The second main part of the PPR is the application itself that also constitutes the project document.

9. Screening of the PPR

The PPR's can be received by the WFWO all year round. However the Annual Operating Plan establishes the period during which WFWO is reviewing and selecting PPR's in order for these steps to correspond to the WFWO/BD/RMT/TRC meetings.

10. Preliminary Steps

As soon as the WFWO/OT has received a PPR four preliminary steps have to follow prior to the Screening:

1. WFWO secretariat register the date application when is received in the mail register book;
2. WFWO secretariat forward the PPR to the Project Operation Team and call for a meeting with EP/BD/RMT/TRC, in order to take decision
3. The Head of the WFWO and OT/RMT assigns a team member to be responsible for that Project, and
4. The team member signs the PPR summary sheet and inserts the date the WFWO has received the PPR.

11. Screening of the PPR

Following the preliminary steps the screening of the PPR is conducted. For this purpose the PPR Screening Form is applied. The Screening form consists of two parts:

1. The summary sheet - copied from the PPR, and
2. The Screening table, which is shown below.

Box 21: Screening Form

<table>
<thead>
<tr>
<th>Date of Screening</th>
<th>Fulfillment of criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>Screening conducted by:</td>
<td>YES</td>
</tr>
<tr>
<td>Criteria</td>
<td>NO</td>
</tr>
</tbody>
</table>

1. Project targets one or more of the development programs in fields of sustainability that will address WFWO’s priorities activities in order to contribute to the Eight MDGs objectives.
2. Applicant’s institution is a legally registered local entity
3. Own contribution
4. Sound reputation of applicant and no problems related to current activities
5. Non investment project
6. The application is complete (no missing information)*
7. Sustainability is addressed in an appropriate manner*
8. All relevant documents are attached application
   The application has passed the screening
*) If no, specify below what is missing.
The above screening criteria are in accordance with the criteria outlined in the Operating Manual. All eight criteria have to be met in order for the application to have passed the screening. Out of the eight criteria all except criteria 2 and 4 can be assessed by reading through the two parts of the PPR. Criteria 2 and 4 will require that the WFWO/OT or Executive Coordinator of project member make an enquiry to the relevant authorities or organizations to confirm the legal status and reputation of the applicant.

11.1. The application has passed the screening

The above screening criteria are in accordance with the criteria outlined in the Operating Manual. All eight criteria have to be met in order for the application to have passed the screening. Out of the eight criteria all except criteria 2 and 4 can be assessed by reading through the two parts of the PPR. Criteria 2 and 4 will require that the WFWO/OT make an enquiry to the relevant authorities or organizations to confirm the legal status and reputation of the applicant.

If the PPR Summary Sheet is filled correctly it should be easy to establish if the PPR meets the screening criteria. If the screening is not completed or it reveals that the criteria have not been met it means that the application has not passed the screening.

Even though the Summary Sheet indicates that the PPR fulfills the screening criteria the Project Proposal and attachments have to be checked for compliance. If this reveals that the Project Proposal template has not been followed either because another structure has been applied or certain sections have not been filled, the application does not pass the screening.

For all screening criteria except number 7 the screening will be straightforward and will not involved a judgment by the WFWO/OT. However, to assess to what extent a PPR addresses sustainability in an appropriate manner requires a judgment as ‘appropriate’ is not objective. If sustainability is not addressed at all the PPR has not passed the screening. Sustainability can be defined as: The continuation of benefits from a project after the support from the WFWO has been completed. When reading section 4.5 on sustainability in the PP the WFWO/OT shall at least be able to reply ‘yes’ to the four questions below:

- Is it likely that the benefits will continue after the finalization of the project?
- Has relevant and realistic measures been proposed in order to maintain the facilities?
- Is it justified that the stakeholder willing and able to keep the facilities operational?
- Is it realistic that the required capacities (as developed during the project) will be maintained?

If that is not possible to answer these questions then it is not justified that sustainability has been addressed in an appropriate manner and the application has not passed the screening.

If the criteria 6 to 8 are not fulfilled it is important that it is specified in writing below the table exactly what is lacking, as this information is required for the Screening Rejection.

With regard to criteria 8 - relevant documents - the project proposal must depending on the type of project include the following major documents:

- A feasibility study focusing on the eight MDGS,
- A baseline study describing the existing strategy country poverty situation,
- List of expected targets and benefit to the communities on the impacts of the project,
- An environmental impact assessment (according to MDGs goal 7)
- The project proposal study

It is recommended that the WFWO/OT/TRC team let a colleague ‘quality assure’ assure the screening and in particular criteria 1 without letting the colleague know the outcome of screening. After the ‘quality assurance’ they compare the two results, and the first screening is reviewed once more if there are differences that impact the result of the screening.
11.2. Screening Passed

If the PPR has passed the screening the WFWO/OT/TRC/RMT team will following the registration proceed with the scoring and proposed selection?

11.3. Screening Failed

If the PPR does not meet all 8 screening criteria, the application has not passed the screening and is therefore rejected. The WFWO/OT/TRC/RMT will immediately after having rejected the PPR prepare the Screening Rejection Letter. The letter must clearly specify why the application did not pass the screening in order to give the applicant a chance to revise and improve the PPR. It is recommended that a copy of the finalized screening table is attached the rejection letter. It is important that the WFWO/OT keep a copy of the rejection, and also checks that the letter has been sent.

12. Registration

Whether a PPR pass of fail the screening it is equally important that basic data is registered and filed in the WFWO/OT. For projects that have passed the screening the registration and filing will be initiated after the completion of the scoring and proposed selection. If an integrated WFWO/OT database is established, basic data from failed and approved projects should be entered. As a minimum WFWO/OT must keep a ‘Failed Screening’ file in the Project Operation Team where all the PPR Screening Forms for rejected projects are kept. This file shall be structured according type of application for project funding (government, local community, NGO, CBO, Co-Financing, Grant or other agreed funding mechanism) and the forms must be filed chronologic order. The WFWO/OT must make sure that this is done and is completed under general supervision of the Executive President.

13. Duration of the Screening

It shall not take more than a maximum of 20 working days from the day the WFWO/OT receives the PPR until the screening has been completed and the Form Signed by the WFWO/OT team.

14. Scoring and Proposed Selection of Projects

The project proposals that have passed the screening are now ready for the second step of the appraisal - the scoring and proposed selection by the WFWO/OT. The same team that conducted the screening shall be responsible for the scoring and proposed selection. The PPR Selection Form which is the key document for scoring and selection of WFWO/OT/TRC/RMT projects consists of three main parts:

1. The summary sheet,
2. The scoring form with project selection criteria, and
3. A narrative page for comments, the recommendation to the WFWO/OT/TRC/RMT, date, and name of the team who has been responsible for the scoring and proposed selection.

The scoring and selection consists of the following steps:

- Establishing a scoring and selection team,
- Conduction of the preliminary scoring,
- Review of preliminary scoring and selection,
- Field visits to preliminary selected projects,
- Completion of scoring and selection, and
- Final QA and prioritization of projects for WFWO/EP/BD/RMT/TRC approval. Each of these steps are addressed and explained in the following sections.
15. Formation of a Scoring and Selection Team

Whereas the screening of the PPR did not require expert consultant outside WFWO/OT, the scoring and selection of projects will require that the RMT and Financial Team (FT) is involved as well as specific technical expertise from e.g. external expert consultants partners, NGO’s, CBO’s partners, universities, research institutions or private sector group. The scoring and proposed selection consist of the steps outlined below

The team member from the WFWO/OT responsible of a certain project application shall as soon after the PPR has passed the screening consider which technical expertise to involve in the scoring and proposed selection depending on the technical fields to be covered by the project. It is important that the WFWO/OT/TRC keeps an updated list of experts to draw on. In selection of expert it is important to receive a written confirmation stating that expert has no personal interests in the project (no conflict of interest).

A Team from the Operation (OT) Financial Team (FT) and Resource Mobilizations Team (RMT) shall also be identified and in particular to assess the budget and financial sustainability.

16. Conducting the Scoring and Selection

Before the scoring starts the team must meet and agree who will focus on which aspects or if each of the team members do a full scoring on all categories and criteria.

It is important all team members have a copy of the complete PPR, a PPR Selection and the Annual Operating Plan. They must also at this stage agree on a date for the scoring and selection meeting.

All applications are scored on a 100-point scale. The score is based on the following specific categories focusing on the eight MDGs targets:

- Poverty elevation;
- Health, Sanitary;
- Education;
- Environment & climate change;
- Sustainability and impact,
- Budget;
- Design;
- Children, and
- Women empowerment.

These categories are established by the WFWO/OT to reflect the priorities of MDGs. For each of these categories there are a number of criteria. The total point awarded to each category is defined to reflect its relative significance (weight). The maximum score behind the main criteria are the weighting factors, i.e. Sustainability & Impact is getting more “weight” than Poverty alleviation, etc. The scoring form is shown on the next page.

The maximum score of each of these six categories is shown in the column to the right. For each of these categories there are a number of criteria and for each of these criteria the scoring is explained. For some of the criteria the scoring includes 0 (zero). However 0 can be applied for all criteria if the PPR complete fails to meet those criteria. It is important that all criteria are applied in the scoring.

There are of course situations where it is difficult to distinguish between much and some or some and little. However, all through the scoring it is recommended that each team member of the scoring selection team for each category write a few keywords on a copy of the scoring form to explicitly explain the reasons for the selected score. It might turn out that it is just impossible to do the scoring because some information is missing or there are contradictions in the application.
## Project Selection Criteria

In accordance with WFWO/OT priorities on MDGs - poverty, health, water quality & sanitary quantity, education, environment, indigenous people rights, infrastructure facilities, etc: (Must be updated whenever WFWO/OT priorities are adjusted/changed) Example:

Addresses serious sustainability development programs and environmental problems in their specific geographic areas, e.g. priority projects of WFWO - yes: 10; to some extent:


<p>| | |</p>
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<tbody>
<tr>
<td>1.</td>
<td>Environmental benefits are quantified - high: 10; medium: 5; low: 2</td>
</tr>
<tr>
<td>2.</td>
<td>Reduction in use of natural resources, e.g. water, energy and raw materials - much: 10; some: 5; little: 2</td>
</tr>
<tr>
<td>3.</td>
<td>Reduction in risk of diseases, e.g. HIV/AIDS, diarrhea, respiratory diseases - much: 10; some: 5; little: 2</td>
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<tr>
<td></td>
<td>The implementation strategy and proposed activities include specific measures to mitigate identified risks for not meeting the objectives - strategy and risks are specific, relevant and realistic: 10; to some extent specific, relevant or realistic: 5; only a little: 30%</td>
</tr>
<tr>
<td>1.</td>
<td>Share of own contribution - 100% and up: 50%; between 30 % to 20%: 10; below 10%: 2</td>
</tr>
<tr>
<td>2.</td>
<td>The project holder has previous project implementation experience - much: 10; some: 5; little: 2</td>
</tr>
<tr>
<td>3.</td>
<td>Relevant studies and assessments of acceptable quality have been prepared all: 10; some:5; few:2</td>
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<tr>
<td>4.</td>
<td>The project organization structure is well integrated in existing structures and involves several key stakeholders - much: 10; some: 5; little: 2</td>
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<tr>
<td>5.</td>
<td>Number of beneficiaries - more than 10000: 10; between 5000 and 2500: 5; less than 1000: 2</td>
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<tr>
<td>6.</td>
<td>The budget is sufficient, detailed and cost effective - much: 10; some: 5; little: 2</td>
</tr>
<tr>
<td>7.</td>
<td>Cost norms and unit rates are reasonable, all inputs necessary and none are forgotten - much: 10; some: 5; little: 2</td>
</tr>
<tr>
<td>8.</td>
<td>The implementation schedule is realistic, all major steps included and none forgotten - much: 10; some: 5; little: 2</td>
</tr>
<tr>
<td>9.</td>
<td>The strategy is well conceived and based on rigorous technical feasibility and the proposed technical solution is appropriate - much: 10; some: 5; little: 2</td>
</tr>
<tr>
<td>10.</td>
<td>The project will improve the population's access to power, water, sanitation or waste management systems - much: 10; some: 5; little: 2</td>
</tr>
<tr>
<td>11.</td>
<td>Expected job and/or income generation. Specific, large compared to population in target area, and long term - much to some: 10; little or none: 1</td>
</tr>
<tr>
<td>12.</td>
<td>The project stimulates human capacity development (knowledge, skills, awareness) - much to some: 10; little or none: 1</td>
</tr>
<tr>
<td>13.</td>
<td>Number of women directly effected by project benefits - many: 10; some: 5; few/not clear: 2</td>
</tr>
<tr>
<td>14.</td>
<td>Number of women involved in selection, preparation and implementation of the project - Specific and large compared to population in target area, and long term: 10; moderate: 5; little or not specific: 2</td>
</tr>
</tbody>
</table>

**TOTAL 100%**
During the selection and scoring meeting the team might be able to agree on the final score, or it will be agreed to contact the potential Project Holder for additional or clarifying documentation/information as they are not able to finalize.

Finalize the scoring due to lacking information. If the information cannot be provided the score of those criteria must be 0.

In case the Project beneficiary holder is being contacted this should be reported on the narrative part of the Scoring and Selection form.

At the meeting the preliminary score and recommendation to the WFWO/OT/TRC/RMT is decided.

The team members will meet and agree on the scoring of the project and on the preliminary recommendation to the WFWO/BD/OT/TRC/RMT. It is again important to consult the Annual Operating Plan to check for specific requirements, e.g. minimum score for the projects to be able to pass the selection process.

The score and recommendation is written on the Scoring and Selection Form.

**17. WFWO Review of Scoring and Selection**

When all Scoring and Selection Forms for the following meeting has been prepared the Head of the OT/TRC/RMT call for a meeting where the OT goes through the forms and explain the scoring and recommendation to the other team. In the case some of the scorings and recommendations have raised questions or discussions the Scoring and Selection is reassessed by the OT member in charge of that project proposal and the Head of the OT facilitates this step. Also if a team has not been able to reach a conclusion the Head of OT will make the preliminary decision.

**18. Field Visits**

For all projects that the WFWO/EP/OT intends to recommend to the PPR for support for a field visit shall be conducted.

Ideally the full team that has scored and recommended a project should participate in the field visit. If this is not possible at least the OT member from and the technical expert must.

The OT member agrees timing for the visit with the project holder.

For the field visit the Project Selection Visit Report must be applied and approved by the Executive President of the WFWO. It is important that the visit is well prepared and particular issues of interest are identified and noted in the report prior to the visit. These issues can e.g. be maintenance & operational costs, revenues to cover these costs etc.

Furthermore as indicated in the report format the following general issues must be addressed:

- Meeting with local authorities and communities to finalize the project
- Visit field visit the area of the beneficiaries targets
- Validity of information as stated in the project document,
- Coherence between project document and actual situation, and if not a description of the differences,
- Additional information not mentioned in the project document (if relevant), and
- Additional documentation or clarification required.

If additional information, studies, assessment or approvals are required it is important that it is agreed and specified in the report. The report must state exactly who requires what, when and how, including how costs of assessments etc. are covered. If a consultant is required to conduct any of these other tasks a sufficient budget for this must be included in order to get the appropriate specialist with practical experience.

Another issue that must be addressed during the visit is the budget. It is a common problem that even though the budget is realistic at the time of application it is not enough 1 or 2 years later as price increases have not been considered. Therefore the budget shall ideally be adjusted with a contingency reflecting the expected duration of project implementation, a time buffer for delays and an annual percentage increase depending on the expected price index. The total budget must be adjusted accordingly.

Either during the visit or at a later stage following a survey, study etc. it might be necessary to adjust the project document and/or updating the Project Summary Form. This must also be clearly agreed in the report. It might also be useful to take pictures in order to document the state of the project site prior to implementation.
The most likely outcome of the field visits is probably that the proposed project continues to be recommended for support by the WFWO/EP.

Another outcome of the visit might be that it is clear that the project is not what it appeared to be, and that it cannot be supported by the WFWO/OT/EP. This must then be the only conclusion of the visit. Yet another possible outcome is that the scoring has to be redone. Whatever the outcome and agreed action of the visit it must be stated clearly in the report, after which the report has to be signed by the WFWO/EP and OT team, the expert and project holder representatives.

Experience has show that these fields visits, both prior to approval, during implementation and after finalization of the projects are very important in order to see what is actually planned and what is going on. It is therefore important that the general WFWO administrative procedures and the operational budget ensure that the WFWO can get transport, accommodation and per diem in order to conduct these visits. The WFWO/EP will be required to approve these expenses prior to the visit.

19. Completion of Scoring and Selection

After the field visits the WFWO/EP/OT review and if necessary revise the Scoring and Selection Form including the recommendation and insert the date of its finalization. If additional information or surveys have been required the form is reviewed and revised as soon as the agreed documentation has been received by the WFWO/OT. If there are any changes to the first scoring and recommendation to the WFWO/EP/FT/RMT/to the Head of the Project and OT will review and approve the adjustments.

20. Final QA and Prioritization of Projects for WFWO/BD/RMT Approval

After the scoring and proposed selection of all projects to be presented at an upcoming WFWO/BD/RMT/FT meeting has been finalized, the Operation Team shall, at a meeting called by the Executive President, briefly go through all the proposed projects and prioritize them according to the score. The project with the highest score will be the first priority; the second highest score will be the second priority and so forth. The project must be presented in this order in the Project Selection Table for the FT/RMT. It is important that all columns in the table are filled for each project.

21. Duration of the Scoring and Proposed Selection

It shall not take more than a maximum of 30 working days from the day the WFWO/OT receives the PPR until the screening has been completed and the Form Signed by the WFWO/EP/OT.

22. Final selection

The third stage of the WFWO project cycle covers final selection of applications by the WFWO/OT/TRC/RMT/FT based on the recommendation of the WFWO/EP/BD/RMT.

This stage consists on following steps:
1. Submission of documents for the WFWO/EP/BD/RMT;
2. WFWO/EP/RMT selection and approval of projects;
3. Project registration;

23. Submission of Documents for the WFWO

At least 30 workdays prior to the next scheduled WFWO/EP/OT/RM/TRC/FT meeting the WFWO/EP must have provide all members of the WFWO/OT/FT with the following documents, which already have been prepared during the previous phase:
1. Project Selection Table for the WFWO/RMT/FT/TRC;
2. Scoring and Selection Form for all PPR projects to be recommended to the WFWO/EP/RMT/OT for approval,
3. List of projects that did not pass the scoring and the proposed selection.
24. EP/RMT Selection and Approval of Projects to be funded by the WFWO

The WFWO/EP will present to the Resource Mobilization Team Committee (RMTC) the scoring results and recommendations of the portfolio of projects, which the Fund proposes to support. The WFWO/OT is responsible for the final selection of the projects to receive funding from the WFWO/OT/RMT. The WFWO/OT/FT will select PPR applications under the open tender option to receive funding based on the results of the WFWO/OT scoring and selection procedures. Therefore it should not be possible that projects with priority (higher score) projects are rejected and lower priority projects (lower score) then are approved. However if this happens the WFWO/EP/OT/FT/RMT/TC must justify its decision, which shall be included in the minutes of the WFWO/EP/OT/TRC/FT/RMT selection meeting. Just after the meeting the WFWO/EP/OT/RMT/TRC/FT Project Status Overview must be updated.

25. Project Registration and Approved

At this stage when it is clear which projects have been approved by the RMT the WFWO/EP shall register those projects that failed and those that have been approved. For those projects that are not proposed for support all document shall be compiled and kept in a 'Failed Selection' file in the OT. This file shall be structured according type of PPR.

26. Final Notification of Applicants

Once the WFWO/EP/TRC/RMT has been conducted the WFWO/EP must inform all applicants whose applications have been through the scoring and selection process. The OT prepares for those projects in which they are in charge their Projects Selection Rejection. The letter of acceptance will include a request by the WFWO/OT approved by Executive president of WFWO to meet the project holder to negotiate the contract. A draft Grant Agreement including all annexes shall be attached to the letter.

Letter and Project Selection for Approval The Fund Manager approve and sign these letters. It is recommended that the EPF attach the rejection letters a copy of the Scoring and Selection Form in order for the applicant to be fully informed about the reasons for not approving the project. Again copies of these letters have to be included in the relevant files.

27. Duration of the Scoring and Proposed Selection

It shall not take more than a maximum of 30 working days from the day the WFWO receives the PPR until the OT has made its final decision. If for reasons, e.g. additionally requested information or surveys delays the process, the WFWO/OT shall inform the application about the delay in writing. This letter must if possible also inform the applicant about when a decision is expected.

28. Negotiations and Award of Contract

The fourth and last phase of the project cycle prior to commencement of implementation of the project is negotiation and award of the contract.

29. Key Documents

The key document is the Project Grant Agreement. If the project holder has applied for a Grant Agreement or other co financing mechanism facilities applied to this project is also important at this stage. It might also be useful to use the Project Selection Visit Report during this phase as it helps to structure and focus the visits if there are specific issues to discuss in addition the Grant Agreement in general.

The Project Holders File is also important at this stage, as the WFWO/OT has to introduce the project holder to the file and how it has to be managed during the implementation phase. The structure for the file is attached as annex. It might also be useful to use the Project Selection Visit Report during this phase as it helps to structure and focus the visits if there are specific issues to discuss in addition the Grant Agreement in general. Even though this phase often is short and mainly addresses contractual arrangements it is important that the WFWO/OT spent sufficient time with the project holders Project Coordinator and maybe other staff in order to explain and agree in details on what is required during the implementation phase.
30. Determining the Project Holder Beneficiary

The WFWO/EP/OT/RMT Approval Letter states that the WFWO/EP/OT requests to visit the project again. If for some reasons this is not feasible or necessary the Project Coordinator can be requested to visit the WFWO/EP, in which case the standard text of the letter must be changed. As the example below shows it might even be feasible to invite a group of project holders if they are part of the same kind of project. Sometimes it can be difficult to consider who the Project Holder is. In general the project holder must be the one who signs the grant, which implies that he/she will hold the legal responsibility and be accountable for the way the grant or loan is used. It is also important that the Project Holder is close to the implementation and management of the project, or he/she can take the responsibility to nominate someone close to the implementation site, and that he/she has the authority sign documents and reports on behalf of the organization and project he/she is representing.

31. Reviewing the Project Grant Agreement/ Co-Financing Mechanism Facilities

It is required that the WFWO/OT/RMT legal adviser team goes through each paragraph of the grant agreement with the project holders beneficiaries and explains the implications in particular with regard to tasks and responsibilities of the Project Holder beneficiary and the WFWO. As the Project Document (including the Summary) is an integrated part of the Grant Agreement it is important also to go through the Project Document even if it has been done before. The major issues to be reviewed last time agreed by the WFWO/EP/RMT and the project holders are:

- The timing of project implementation;
- Timing of disbursements;
- Repayment schedule in the case of other financial mechanism facilities applied;
- Reporting requirements including frequency, which will depend on the size and duration of the project (financial reporting, progress reporting and final report);
- WFWO/EP/OT field visits;
- Project management issues (in particular how to keep and maintain the Project Holders File.

If any of the above issues have changed from when the project document was prepared it must be updated and adjusted accordingly.

32. Introduction to the Project Holders Beneficiary (File)

During this visit or meeting the WFWO/EP/OT will also bring a Project Holders Beneficiaries File (ring-binder with separators) containing copies of the key documents (so far). The Project Holder and staff will be instructed on how to use and keep the file updated. It is in particular important to emphasize that originals of all project related invoices must be kept in this file, and that it is only original copies of the invoices that are sent to the WFWO/FT.

33. Signing the Agreement(s)

If adjustments needs to be made to the Grant Agreement or other Co-Financing mechanism facilities agreed by parties applied, it might not be possible for the Project Holder to sign the agreement during the first meeting after the WFWO/EP/BD/RMT approval of the project. In this case the WFWO/EP will prepare the necessary adjustments after which the project holder signs two sets of the Grant Agreement. Following the signature of the Project Holder Beneficiary WFWO/EP signs the two sets Grant Agreement and one set is sent to the project holder. In the case there are other co-financing facilities, contracts will also be signed by a designated official of the participating finical partners (or separate agreements between the various parties as agreed upon with the financial partners).

34. Project Bank Account

It is as requirement that the Project Holder Beneficiary opens a bank account or sub-account in the project’s name in one of the registered banks in the Central Bank of the country beneficiary.
35. Duration of the Negotiation and Award of Contract

It shall not under normal circumstances take more than a maximum of 60 working days from the day the WFWO/BD/RMT has approved an application until the Grant Agreement or other co-financing facilities agreed between parties and applied, has been signed by the WFWO and the Project holder beneficiary.

36. Implementation

Once the contract has been signed the WFWO/EP/FT/RMT transfers the agreed amount to the account of the Project Holder beneficiary and implementation of the project starts. The requirements are specified in the Grant Agreement or other co-financing facilities agreed and applied. It is however important to emphasize that the project holder beneficiary must open a separate account for the project. During implementation the main tasks and responsibilities rests with the project holder beneficiary including monitoring and reporting. Seen from the perspective of the WFWO/OT its role during project implementation is mainly related to follow-up on project monitoring (both financial and physical progress). The WFWO/OT/RMT/FT must make sure that reports are received on time, review the reports, pay a monitoring visit to the project site, disburse funds attend to the formalities related to project closure. In addition to overseeing the projects WFWO/OT shall during the implementation phase also oversee implementation of other projects where the project funds are or will be managed by the WFWO - mainly projects supported by financial partners/external expert consultant team/technical expert team/external evaluation team as part of WFWO support components of the project.

37. Monitoring

In relation to the implementation of projects it is important that accountability and transparency comply with the highest standards. This compliance has to be verified through monitoring and assessment of procedures and records. Here as well, simplicity should be maintained as much as possible, as it allows for a wider audience to understand the process and its transparency. The results of project monitoring forms one of the inputs for evaluation, i.e. the quality of the monitoring process influences directly the evaluation of a project and its outcome. Monitoring is primarily about comparing what was originally planned with what actually happens, and this analysis should therefore form the base of any monitoring, review and reporting system. Monitoring is a management tool for on-going analysis of progress towards planned results (targets) with the purpose of improving management decision making, analyze the causes in case of deviations and determine an appropriate course of remedial action. The major purpose of monitoring is to ensure the project's objectives described in the project document are realized in a timely manner.

38. The Tasks of the Project Holder Beneficiary

According to the Grant Agreement the project holder is committed to prepare and send the WFWO the following two monitoring reports attached to Request for Release of Funds: Progress Report and Financial Report.

39. Progress Reporting

The Progress Report describes the actual progress (activities and outputs) within the period between two disbursements compared to the implementation plan. The main part of the report is the following table.

### Box 23: Project Progress

<table>
<thead>
<tr>
<th>Activities (Work)</th>
<th>On Time</th>
<th>Delayed</th>
<th>Target</th>
<th>Progress</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.2</td>
<td>3.4</td>
<td>5.6</td>
<td>7.8</td>
<td>9.10</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Planned Implementation</th>
<th>Actual -Performance</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Outputs -1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Activity 1.1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Activity 1.2</td>
<td></td>
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<tr>
<td>Activity 1.3</td>
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<tr>
<td>Outputs -2</td>
<td></td>
<td></td>
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<tr>
<td>Activity 2.1</td>
<td></td>
<td></td>
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<td>Activity 2.2</td>
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<tr>
<td>Activity 2.3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Outputs - 3</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Section of progress and comments:
It is in particular important that this part is filled correctly by the project holder beneficiary. In addition to this part there is also a narrative part, which is structured as follows:

- Overall status,
- Comments on deviations from planned per output and activity (comments to the progress table),
- Required action;
- Any other issues.

It is not expected that the project holder beneficiary writes long sections, however it is important that deviations from the implementation plan (in the Project Document attached to the Grant Agreement) are addressed. It is important that relevant documentation such as inspection reports etc. is attached.

40. Financial Report

Only grant projects require financial reports. Other types funds of support where the co-financing partner are responsible for administration of funds, the will be required for to forward copies of statements to the WFWO/FT.

The Financial Report explains the status of spending within the period between two disbursements compared to the budget. The report must be attached copies of all relevant invoices for the period covered by the report. The Project Holder beneficiary is responsible for submitting an original copy of all invoices received and settled within the reporting period attached to the Financial Report in order to document that reconciliation has been done. The main part of the report is the Expenditure Statement, which is shown below.

Box 24: Expenditure Statement

<table>
<thead>
<tr>
<th>Item</th>
<th>Project beneficiary</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Project ID</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Actual expenditures this period
(actual spending only include reconciled expenses, documented by original copy of invoice)

<table>
<thead>
<tr>
<th>Item</th>
<th>Activity Item</th>
<th>Accumulated spending (from project start including this period)</th>
<th>Ship Via</th>
<th>Terms</th>
<th>Tax ID</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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<table>
<thead>
<tr>
<th>Plan</th>
<th>Actual</th>
<th>+/-</th>
<th>Plan</th>
<th>Actual</th>
<th>+/- Plan/Actual</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
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<td>5</td>
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</tr>
</tbody>
</table>

Notes:

- Miscellaneous
- Balance Due
The project staff must write the item number on the top left of the original copy of each invoice corresponding to a certain activity/item. It is in particular important that the project holder beneficiary fills this part correctly. In addition to this part there is also a narrative part, which is structured as follows:

- Overall status, Comments on deviations from budget and reconciled, Required action, and
- Any other issues.

It is not expected that the project holder writes long sections, however it is important that deviations from the original budget as well as outstanding issues in the reconciliation process are addressed. It is also important that copies of all relevant invoices for the period covered in the reports are attached.

41. The role and tasks of the WFWO

The WFWO/OT, and if possible that has screened and scored the project, will monitor project implementation, review progress reports prepared by applicants and conduct one or more monitoring visits, in accordance with what is stipulated in the Grant Agreement or other co-financing facilities. The WFWO/OT/FT/RMT/TRC are involved in the ongoing project monitoring. The WFWO/OT in charge of a project will request the WFWO/OT/RMT/FT to review and comment on the financial reporting from the Project holder beneficiary.

The OT in charge of a particular project must also be the focal person in WFWO regarding communication between the project holder and the WFWO. This means that all correspondence to and from the project passes through the project officer in order for her/him to register all actions regarding that project to file, copy documents to the file and keep track of deadlines, and notify either relevant WFWO/OT/FT/RMT or the project holders beneficiary in case of delays. Consequently the WFWO/OT must pass on the Financial Report to the Financial Team (FT). It is important that there is a close and continuous cooperation and coordination between the WFWO/OT/FT/TRC/RMT through-out project implementation.

The WFWO/OT/FT/RMT must check the reports from the project holder for conformity with the standard formats, the requirements and the contract. In case of deviations the project holder must be contacted and the WFWO/OT management informed. Most of the monitoring and follow-up by the WFWO is done at the office. However, it is important that planned visits to the project site during implementation are conducted in order to verify the physical progress. The WFWO/OT/FT/CT/TRC/RMT must ideally participate in the visits. In case of serious problems or deviations it is also recommended that additional visits are conducted at the project site and it might be required to bring along technical expertise.

The following general issues must be addressed:

- Is the physical progress in accordance with the status described in the progress report?
- Is the physical implementation progressing in accordance with the project document?
- Status of project file: - Fully updated? - If not, specify deviations from WFWO procedures
- Confirm that all project expenses have been reconciled. If this in not the case the WFWO/OT must assist in this task.
- Are relevant stakeholders involved in implementation? The report must also clearly state the conclusion of visit, including any actions agreed with the implementing party.

42. Disbursement of funds

When the Project Contract is signed the WFWO/OT/FT/RMT starts disbursing the funds for the project holders beneficiary. In case of other financial program, the funds will be managed by the participating financial partner. However, the grants will be managed by the WFWO directly as the beneficiary will be required to periodically to submit a progress report describing the project implementation and expenditures. Disbursement will be done upon request from the project holder by using the Request for Release of Funds Format.

The requirement is that all relevant documentation is produced, reports delivered on time and approved, and that the disbursement is in accordance with the disbursement plan unless other arrangements have been made. The WFWO/FT/RMT will based on the previous reports and based on inputs from the WFWO/OT recommend to the WFWO/FT/RMT head when to disburse funds to the project. If the project has not reconciled all project expenses within the reporting period, the release of next release of funds will be postponed until it is documented that this has been done. If case of lack of relevant documentation of lack of compliance with procedures the project holder must be contacted immediately, as it is critical that the project holders to the extent possible receive the expected funding as planned and without delays.
43. Project closure

After having received and approved the Project Completion Report from the project holder, the WFWO/OT/FT/RMT can close the project (File) if the report meets the requirements. The Completion Report must be presented after 3 to 6 months from the end of the project implementation. The report consists of the summary sheet and the main completion reporting part. The completion reporting part consists of the following sections:

- Impact, or expected impact of the project,
- Project implementation-Outputs and indicators - Main activities (including the project progress table similar to the one in the Progress Report) - Inputs (including the financial status table similar to the one in the Financial Report) - Assumptions, risks and sustainability (in order to address the relevance of the risks and assumptions as stated in the Project Document. Also explain if any unforeseen risks became obvious during implementation. Explain to what extent the above circumstances are expected to have any impact on the sustainability of the project,
- Overall assessment of lessons learned (self evaluation), and
- Declarations on full implementation in accordance with the project Document - if this part is not signed by the project Coordinator the project cannot be closed. If the Completion Report does not meet the requirements of the WFWO/OT/FT must contact the Project Coordinator and support the finalization of the report. When the report has been approved the project and therefore also the project file can be closed.

44. Evaluation

The last step of the project cycle is the evaluation of the projects.

45. The Purpose of Evaluations

An evaluation is an independent in-depth assessment, as systematic and objective as possible, of on-going or completed projects, their design, implementation and results. The aim is to determine the relevance and fulfillment of objectives and:

- Efficiency - The productivity of the implementation process,
- Effectiveness - The extent to which the objective has been achieved
- Impact - All positive and negative changes and effects caused by the aid intervention,
- Relevance - Whether the objectives are still in keeping with the donor’s and local and national priorities and needs, and Sustainability

Whether the positive effects will continue after external support has been concluded. Evaluations take place as time-bound exercises one or more times during the implementation of projects, either as interim reviews, end-of project or ex-post evaluations. End-of-project evaluations shall be conducted for all WFWO/OT projects to assess the effectiveness, the impact, and sustainability of the project. In particular in order to address sustainability and impact it is ideal to conduct the evaluations approximate 1 year after finalization of a project. Evaluations also aim at serving to improve the quality of WFWO/OT support through better knowledge of the content and consequences of projects in addition to documenting the results to governmental authorities, concerned agencies and the general public.

It is important that the evaluations are conducted by a team of both internal WFWO/OT and External Evaluation Team specialists (EET). It is important that the external members of the evaluation team are not the same persons that were involved in the scoring and selection of the same project they are to evaluate. It is also important that at least one of team members is experienced in conducting evaluations. In addition to evaluation of a single project the WFWO/OT can also initiate the-matrix evaluations of several projects in order e.g. to compare a number of projects within a specific field, compare and evaluate different of similar approaches, technologies etc.

46. The Steps in Evaluations

The key steps in preparation and conduction of evaluations will normally be:

1. Decide timing and establish the evaluation team (make sure that the project holders are informed well in advance),
2. Prepare Terms of Reference (TORs) for the evaluation,
3. Conduct desk study (review of all relevant documents),
4. Conduct field trips and interview,
5. Draft report (Format for Project Evaluation Report),
6. Present draft report to project holder and the Head of the WFWO/OT/RMT/FT for presentation and discussion of findings, and
7. Finalize Evaluation Report and present it to the WFWO/BD/OT/FT/RMT/TRC. It is important that all evaluations are presented to the WFWO/OT/FT/RMT and shared with WFWO team in order to learn from the experience the WFWO gain.

The main issues and Recommendations

1.1. Does the **main target group** - those expected to benefit most - correspond to WFWO’s target group as defined by the Targeting Policy (the Eight Millennium Development Goals in particularly target 1/2/3 focus on extremely poor population/poverty?

1.2. Have **target sub-groups** been identified and described according to their different socio-economic characteristics, assets and livelihoods - with due attention to gender differences?

1.3. Is evidence provided of **interest in and likely uptake of the proposed activities** by the identified target sub-groups?

1.4. Does the design document describe a feasible and operational **targeting strategy** in line with the Targeting Policy? The targeting strategy will involve either all or some of the following measures and methods.

1.5. **Geographic targeting** – based on poverty data or proxy indicators to identify, for area-based projects or programs, geographic areas (and within these, communities) with high concentrations of poor people.

1.6. **Enabling measures** – These include measures to strengthen stakeholders’ and partners’ attitude and commitment to poverty targeting, gender equality and women’s empowerment, including policy dialogue, awareness-raising and capacity-building, and appropriate project/program management arrangements (references in ToR, PCDMPG composition): language in describing teams positions (s/he; masculine/feminine).

1.7. **Empowerment and capacity-building measures** including information and communication, focused capacity- and confidence-building measures, organizational support, in order to empower and encourage the more active participation and inclusion in planning and decision making of people who traditionally have less voice and power.

1.8. **Direct targeting** when services or resources are to be channeled to specific individuals or households. Such measures may include eligibility criteria, to be developed and applied with community participation; quotas (e.g. for women), earmarked funds.

1.9. **Attention to procedural measures** that could militate against participation by the intended target groups (such as, excessive beneficiary contributions; cumbersome legal requirements, etc)

1.10. **Monitoring targeting performance.** Does the design project cycle document specify that targeting performance will be monitored using participatory M&E, and also be assessed at Mid-term review?
2. WFWO’s Requisites of Gender Sensitive Project Cycle Design – Checklist

2.1. Does the design document contain a context-specific gender strategy that aims to contribute to the MDGs?

Expand women’s access to and control over fundamental assets – capital, land, knowledge and technologies;

Strengthen their agency – thus their decision-making role in community affairs and representation in local institutions;

Improve well-being and ease workload.

2.2. The project identifies operational measures to ensure gender-equitable participation in, and benefit from, planned activities, and in particular:

2.3. Sets indicative and realistic targets in terms of proportion of women participants in different project activities and components;

2.4. Establishes women’s participation in project-related decision-making bodies (such as Water health User Associations; committees taking decisions on micro-projects; etc);

2.5. Reflects attention to gender equality/women’s’ empowerment in project/program management arrangements (e.g. including in Terms of Reference of project executive coordinator or Operation Team (OT) responsibilities for gender mainstreaming; inclusion of gender focal point in OT, etc);

2.6. Explicitly addresses the issue of outreach to women (e.g. through female field team; NGO, CBO, LC group promoters, etc) especially where women’s mobility is limited;

2.7. The project log frame and suggested monitoring system specify sex-disaggregated performance and impact indicators.

3. What is the Poverty Reduction Strategies & Planning Report?

The Poverty Reduction Strategy Planning Report (PRSPR) describes a country’s long-term vision. The paper is prepared by low-income beneficiary country selected in consultation with local authorities, civil society organizations, (CSO) non governmental organization (NGO) community based organization (CBO) and development partners and other stakeholders including private sectors, in order to contribute to the Millennium Development Goals (MDGs) target 1. The report sets out macroeconomic, structural, and social policy goals of the achievement of the eight MDGs.

The PRSP report also lays out a country’s external financing needs for meeting those goals, such co-financing as loans and grants from WFWO and other donors that are meant to promote economic growth and reduce poverty.

The WFWO and other donor financial partners line up their assistance with these countries’ priorities and targets to contribute to the MDGs objectives. Countries selected by WFWO for the PRSPR will focus to address their investment climate and prescribe measures to foster private sector development, or to chart plans to improve governance and reduce corruption. Many concentrate on issues facing the agricultural sector and rural areas, and stress the need for investment in key basic services, particularly food security, drinking clean water, health and education in implementing their strategies to contribute to the eight MDGs objectives.

The WFWO support technical grant assistance to support the design and of national poverty-reduction strategies report with close cooperation with its financial partners, this will helps developing countries improve their poverty analysis, public expenditure management, and service evaluation. It also offers Poverty Reduction Support Grants Program (PRSGP), annual programmatic grants or co-financing programs, to support the implementation of these strategies, require a PRSP report in order for low-income developing countries, in close cooperation with the local partners in particularly in African Sub-Saharan, Asia and Latin America to receive lower cost financial assistance from the WFWO to contribute to its Poverty Reduction and Growth Facility to implement the MDGs Goal target 1.
4. What is the Country Partnership Assistance Strategy Report (CPASR) ?

The Country Partnership Assistance Strategy Report (CPASR) lays out a selective program of WFWO and its financial partners to support for a particular country selected or soliciting as per WFWO policy operation. The WFWO Operation Team (OP) develops the strategy and planning report in close collaboration with its expert consultants and financial partners.

The country selected by WFWO or soliciting, will meet officials identification team in the country soliciting, in close consultation with local authorities, civil society organizations (CSO), Non governmental organization (NGO), organization based community (CBO) and development partners and other stakeholders. It takes as a starting point the country's own long-term vision for development and takes into account the WFWO's comparative advantages in the context of other partners' donor activities.

The CPAS report is designed to promote collaboration and coordination among development partners in a country to achieve their common objectives.

The CPAS report will includes a comprehensive diagnosis-drawing on analytical work by the WFWO, the beneficiary country, and/or other partners of the development challenges facing the country, including the incidence, trends, and causes of poverty, and to contribute to the other MDGs objectives.

The CPAS report identifies the key areas where the WFWO's assistance can have the more impact on poverty reduction to contribute to the MDG's. In its diagnosis, the CPAS report will also takes into account the performance of the WFWO’s lending program in the country, the country's creditworthiness, state of institutional development, implementation capacity, governance, and other sectoral and cross-cutting issues of the development. From this assessment, the level and composition of WFWO OT and its financial partners advisory, and/or technical support to the country is determined.

To track implementation of the CPAS report is increasingly results-focused. It includes a framework of clear targets and indicators to monitor WFWO and country performance in achieving stated outcomes to the implementation of the Millennium Development Goals (MDGs) target 1.

5. What is the Country Sustainable Livelihoods Approach Strategy (CSLAS) ?

The main objectives of the WFWO’s country sustainable livelihoods approach strategy (CSLAS) are a way to improve understanding of the livelihoods of poor people and to contribute to the eight MDGs objectives. It draws on the main factors that affect poor people's livelihoods and the typical relationships between these factors. It can be used in planning new development activities and in assessing the contribution that existing activities have made to sustain livelihoods to contribute to the eight Millennium Development Goals (MDGs).

The three key components of the CSLAS report are:

a) Framework that helps in understanding the complexities of poverty;

b) A set of principles to guide action to address and overcome poverty to implement to achieve the MDGs target 1/2/3/4;

c) Project targets and beneficiaries;

The CSLAS framework report places people, particularly poor people in developing countries, at the centre and as main core activities of program of inter-related influences that affect how these people create a livelihood for themselves and their households. The people at the centre of the framework are the resources and livelihood assets that they have access to and use. These can include natural resources, technologies, their skills, knowledge and capacity, their health, access to education, sources of grant, or their networks of social support. The extent of their access to these assets is strongly influenced by their vulnerability context, which takes account of trends (for example, economic, political, technological), shocks (for example, epidemics, natural disasters, civil strife) and seasonality (for example, prices, production, employment opportunities). Access is also influenced by the prevailing social, institutional and political environment, which affects the ways in which people combine and use their assets to achieve their goals. These are their livelihood strategies.
People are the main concern for the WFWO, rather than the resources. CSLAS report is used to identify the main constraints and opportunities faced by poor people, as expressed by themselves. It builds on these definitions, and then supports poor people as they address the constraints, or take advantage of opportunities. The CSLAS framework report is neither a model that aims to incorporate all the key elements of people’s livelihoods, nor a universal solution. Rather, it is a means of stimulating thought and analysis, and it needs to be adapted and elaborated depending on the situation.

CSLAS report has seven guiding principles. They do not prescribe solutions or dictate methods. Instead, they are flexible and adaptable to diverse local conditions.

The guiding principles are:

**Be people-centered.** CSLAS report begins by analyzing people’s livelihoods and how they change over time. The people themselves actively participate throughout the project cycle.

**Be holistic.** CSLAS acknowledges that people adopt many strategies to secure their livelihoods, and that many actors are involved; for example the private sector, ministries, community-based organizations and international organizations.

**Be dynamic.** CSLAS report seeks to understand the dynamic nature of livelihoods and what influences them.

**Build on strengths.** CSLAS report builds on people’s perceived strengths and opportunities rather than focusing on their problems and needs. It supports existing livelihood strategies.

**Promote micro-macro links.** CSLAS report examines the influence of policies and institutions on livelihood options and highlights the need for policies to be informed by insights from the local level and by the priorities of the poor.

**Encourage broad partnerships.** CSLAS report counts on broad partnerships drawing on both the public and private sectors.

**Aim for sustainability.** Sustainability is important if poverty reduction is to be lasting.

The CSLAS report framework is presented in schematic form shows the main components of CSLAS and how they are linked. It does not work in a linear manner and does not attempt to provide an exact representation of reality. Rather, it seeks to provide a way of thinking about the livelihoods of poor people that will stimulate debate and reflection about the many factors that affect livelihoods, the way they interact and their relative importance within a particular setting. This should help in identifying more effective ways to support livelihoods and reduce poverty to the achievements of the eight MDGs in particularly the target goal 1.

### 6. Project Recommendations

The PCDMPG should be adopted in all BC/LA, LC, NGO, CBO partners involved in the project cycle because it has the potential to promote the achievement of poverty reduction goals by enhancing a results based service delivery. BC/LA/LC should consider some of the following factors that contribute to the success or failure of projects and be able to apply the good practices in PCDMPG to address these issues.

**6.1. Why projects fail ?**

Unclear goals Conflict between personal benefits and user benefits Poor technical specification Inadequate availability of resources when needed Ambiguous, poor communication Lack of clarity of project status Insufficient knowledge of the project cycle/project management Resentment/poor working relationships between team members Insufficient technical capacity Inconsistency in project requirements viz procurements Failure to address risks Lack of flexibility and openness to learning Complexity of the project Poor estimation of costs/duration.

**6.2. Why Projects Succeed ?**

Clear definition of project objectives: Risks assessment to address project uncertainties Taking early decisions to manage risks Proper project planning Effective and efficient use of time and money: A committed project team Stakeholder representation in decisions: Clearly designated communication plan and feedback channels.
7. Dissemination of information

The WFWO PCDMPG for disseminating information on its project and program pipeline and prospective lending program.

The detailed of projects and program descriptions is provided to the WFWO’s Board Executive Directors for their approval and the Planned Project Activities information note about projects, is prepared for each project / program and posted on the website upon approval and funds availability as per PCDMPG.

7.1. The information notes provide brief information about the projects operation, including:

- Project description;
- Objectives;
- Target group;
- Main components;
- Implantations and Executive Agencies;

The notes are updated upon completion of each major step of the project progress and funds availability, and will posted on the WFWO’s website.

7.2. This main objectives of this procedure is intended to:

- Provide project / program, and major information related the project target;
- Explore possibilities for Co-financing or grant opportunities early on the proposal project design stage;
- Increase public awareness, knowledge and interest of the activities of WFWO and Partners working to support the MDGs objectives, and other development cooperate organizations and NGOs.

WFWO’s Planned Project Activities Lending Program and operations objectives & Strategy Approach 2010-2015

- Africa Western & Central;
- Africa Eastern & Southern; North Africa
- Asia & Pacific
- Eastern Europe
- Latin America & Caribbean
ANNEX 1 - Definitions

“affected people” means people who may be beneficially or adversely affected by a project or program assisted by the World For World Organization (WFWO);

“appraisal” means (i) for public sector projects or programs, the appraisal mission, or if the appraisal mission is waived, the management review meeting where such a waiver is approved, and (ii) for private sector projects, the mission that follows the project’s review by the Private Sector Credit Committee;

“available to affected people” means available in an appropriate form, manner, and language and at an accessible location to be understandable to affected people;

“Board”, unless specified otherwise, refers to WFWO’s Board of Directors;

“completion” of a document means preparation up to and including the stage at which it meets the requirements of the WFWO Operation Team responsible for its preparation;

“confidential business information” means information covered by a confidentiality agreement or a non-disclosure agreement that WFWO enters into with partners, advisors, consultants and other related parties;

“final report” means a report (i) formally submitted to WFWO/OT as a final report; (ii) that WFWO/OT has determined to be of sufficient quality to be used in preparing an WFWO/OT-assisted project or program; and (iii) that requires no further changes.

“historical information” means information concerning WFWO/OT-assisted projects, programs, policies, and general operations that is no longer “active”;

“publicly available” means available on WFWO’s website;

“resettlement plan” means any full or short resettlement plan prepared pursuant to WFWO’s Policy Involuntary Resettlement, as amended from time to time, Operations on involuntary resettlement;

“resettlement framework” means any resettlement framework prepared pursuant to Operations guide involuntary resettlement;

“strategy and program assessments” refer to poverty analyses; economic analyses; gender, governance, environment and private sector thematic analyses; and sector assessments undertaken in preparation of a strategy and program. It also includes updates to such assessments;

“strategy and program” or “strategies and programs” means any country strategy and program, country strategy and program update, regional cooperation strategy and program, or regional

The Policy also calls for other means of disclosure or dissemination, depending on the intended recipient or audience as well as the intended purpose for disclosing the information (for example, information to support a consultation process, information sought by affected people or other local stakeholders, or information for the public at large). These are specified separately and not included in the definition of publicly available cooperation strategy and program update prepared for any developing country or region.

“upon” approval, circulation, completion, endorsement, discussion, issuance or submission, means as soon as is reasonably practical, and no later than two weeks (14 calendar days) following the date of approval, circulation, completion, endorsement, discussion, issuance, or submission.
ANNEX 2 - Glossary

Activities – the specific tasks to be undertaken during a project’s life in order to obtain results and produce outputs.

Activity schedule – a workplan in the form of a chart setting out the timing, sequence and duration of project activities. It can also be used for identifying milestones for monitoring progress, and to assign responsibility for achievement. The activity schedule provides the basis for the project budget.

Adaptive management – A process that integrates project design, monitoring and management to provide a framework for testing assumptions, for learning, and to supply timely information for management decisions.

Appraisal – Analysis of a proposed project to determine its merit and acceptability in accordance with established criteria.

Assumptions (also known as risks or constraints) – external factors or fundamental conditions under which the project is expected to function, which are necessary for the project to achieve its objectives, and over which the project has no direct control.

Attribution – the extent to which observed effects can be attributed to a specific intervention, or to the performance of partners, taking into account other interventions, confounding factors (anticipated or unanticipated), or external shocks.

Baseline study – describes the state of the target poverty, health, drinking water, education, environment, ecoregion, landscape prior to or in the earliest stage of project implementation; it provides the benchmark against which management induced changes can be identified and measured.

Benchmarking – establishing a comparative goal in relation to past performance or to the performance of others.

Collaboration – a mutually beneficial relationship between two or more parties who work toward common goals by sharing responsibility, authority, and accountability for achieving results.

Conclusions – In an evaluation, the synthesis and analysis of the findings.

Sustainability development programs goals – Targets that encompass: (1) poverty elevation, health, drinking water, education, sanitary, infrastructure, environment, representation of all distinct natural communities; (2) infrastructure facilities, (3) homeless; to benefit the beneficiary communities.

Disaggregated data – statistics that separate out information or indicators (e.g., by gender, ethnic group, age group, geographic area).

Effectiveness – the extent to which the results of a project have or are likely to result in the achievement of the project goal or purpose.

Efficiency – the cost-effectiveness of converting resources (inputs) to outputs. Both direct costs and overheads (e.g., management time) should be considered.

Evaluation – periodic review of the relevance, effectiveness, efficiency, impact, and sustainability of a project or programme with respect to its stated objectives and timeline. Evaluation attempts to determine as systematically and objectively as possible the worth or significance of an intervention or policy.

Findings – In an evaluation, factual statements that include description and measurement.

Global Priorities – WFWO’s eight MDGs priorities approved by WFWO/OT/TRC/RMT (poverty, food, drinking water, health, education, environmental issues).

Goal – what the project or programme specifically aims to achieve, as a step towards meeting WFWO’s global development issues eight MDGs targets and mission. Goals are generally anchored to a three to five year timescale.

Hierarchy of objectives – Activities, outputs, targets, project goal, and high-level strategic objectives, as specified in the intervention logic.

Higher-level strategic objective – objective in the wider programmatic sense, to which the project is designed to contribute to MDGs objectives.

Impact – achievements in relation to a project’s high-level strategic objectives or vision. In the case of WFWO, impacts are measured in sustainable development projects to contribute to the eight MDGs objectives and terms.

Indicators – qualitative and/or quantitative factors that provide a simple and reliable means to measure achievement and to reflect change connected to an intervention. When observed periodically, indicators demonstrate whether the difference between the current state of a system and the desired state of that system; the changes in pressures stressing the system; or the changes in responses to those pressures and/or to the state of the system.

Integrated approach – the consistent examination of a project throughout all the phases of the project cycle, to ensure that issues of relevance, feasibility and sustainability remain in focus.

Intervention – Specific activity or action taken by the project to abate a specific indirect or direct threat.

Intervention logic – the strategy underlying the project; the narrative description of the hierarchy of objectives in the logframe.

Lessons learned – conclusions that can be generalised beyond the specific case, including conclusions about causal relations and about how an intervention should be carried out.

Logframe – the matrix in which a project’s intervention logic, assumptions, objectively verifiable indicators and sources of verification are presented.

Logical framework approach (LFA) – a methodology for planning, managing, and evaluating projects and programs, involving problem analysis, objectives analysis, strategy analysis, preparation of the logframe matrix and associated workplan and budget.

Means – the human, material and financial resources required to undertake the planned activities and implement and manage the project (personnel, equipment, materials, infrastructure etc.).

continue/...
Milestones - a time-based indicator for short-term objectives, which facilitate measurement of achievements throughout the project.

Mission – WFWO’s purpose, or raison d’être, as an organisation to contribute to the MDGs objectives and raise public awareness on global developments issues for more than 10 years.

Monitoring – the continuous collection and analysis of information to measure trends over time in order to determine whether management interventions are having the desired result, or need to be changed.

Objective – the aim of a project or program; in its generic sense it refers to outputs, targets, project goal, and the higher-level strategic objective.

Outcomes – see Results. Outputs – deliverable products of the project or program workplan, which together should add up to achieving the target / objective associated with those outputs.

Preconditions – any conditions that must be met before the project can begin, and may be attached to the release of funding.

Problem analysis – a structured investigation of the negative aspects of a situation in order to establish causes and their effects.

Programme – a set or aggregate of projects.

Project – a set of actions undertaken by any group – including managers, NGO, CBO, researchers, community members, and any other stakeholders – to achieve defined goals and objectives.

Project cycle – a structure for the life of a project to ensure that stakeholders are consulted, and that defines key decisions, information requirements and responsibilities at each phase so that informed decisions can be made at key phases; it draws an evaluation to build the lessons of experience into the design of future projects and programmes.

Project cycle management – a methodology for the preparation, implementation and evaluation of projects and programmes based on the integrated approach and logical framework analysis.

Project goal (also called project purpose) – the central objective of the project in terms of sustainable benefits to be delivered.

Proxy indicator – A substitute for an indicator that cannot be directly measured or assessed.

Recurrent costs – costs that are incurred for operation and assistance that will continue to be incurred after the implementation period of the project.

International or regional local priorities – key regional, country / sub-regional, and project level of sustainable development issues, which relate to and flow from the WFWO Global development Priorities above. These issues, however, are not necessarily identical to WFWO’s Global Priorities, allowing for internationally and locally identified project priorities to be addressed. The WFWO advocacy Network is expected to apply at least 85% of its resources are directed to the Global development Priorities programs focusing on MDGs.

Results (or Outcomes) – the tangible products of services delivered by the project; actual changes in the problem targeted by the project, i.e., what the project will have achieved by its completion.

Root causes – The factors that drive biodiversity loss – they may exist at a distance from the actual incidences of loss, in either space or time.

Sources of verification (SoV) – data sources; the means by which indicators or milestones will be recorded and made available to project management or to those evaluating project performance.

Stakeholder – any person, group, NGO, CBO, or institution that – positively or negatively – affects or is affected by a particular issue, goal, undertaking or outcome.

Strategy analysis – critical assessment of the alternative ways of achieving objectives, and selection of one or more for inclusion in the proposed project.

Sustainability – the ability to generate results and deliver benefits after the external support has been discontinued; a key requirement for project success.

Targets – specific, sustainable, and manageable objectives, which WFWO projects and programmes are expected to achieve within a defined time horizon. The achievement of these targets should outline the projects and programs in question. Also, a target should be significant not only for WFWO, but for the “rest of the world” as well. Targets must be SMART: specific, measurable, ambitious yet achievable, relevant, and time bound.

Terms of Reference (ToRs) - definition of the tasks required, including the project background and objectives, planned activities, expected inputs and outputs, budget, timetables and job descriptions.

Vision – long term aim to which WFWO programs will contribute, but will not necessarily achieve on their own.

Work plan – the schedule that sets out the activities and responsibilities necessary to achieve the project outputs, targets and goal.
### ANNEX 3 - The PCDMPG Directory key concepts and terms

<table>
<thead>
<tr>
<th>The PCDMPG Directory</th>
<th>Key Concepts and Terms of the PCDMPG</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Evaluation</strong></td>
<td>A systematic way to improve and account for project actions at outcome level</td>
</tr>
<tr>
<td><strong>Goal</strong></td>
<td>The wider development purpose to which a project or program should contribute. The goal is expressed as a statement of intended or hoped for change in relation to the key-issue or problem that is addressed.</td>
</tr>
<tr>
<td><strong>Impact</strong></td>
<td>Changes that the project may bring about or contributes to among the target group and others, usually at the level of the overall objective (goal)</td>
</tr>
<tr>
<td><strong>Impact Assessment</strong></td>
<td>The systematic analysis of the lasting or significant changes – positive or negative, intended or not – in people’s lives, brought about by an action or a series of actions.</td>
</tr>
<tr>
<td><strong>Indicator</strong></td>
<td>A measure or signal of progress or change</td>
</tr>
<tr>
<td><strong>Log Frame</strong></td>
<td>The logical framework (log frame) is a set of related concepts that the most important aspects of an intervention in the form of a matrix describes in an operational way</td>
</tr>
<tr>
<td><strong>Monitoring</strong></td>
<td>A continuous assessment performance measures at input, output, and outcome levels</td>
</tr>
<tr>
<td><strong>Multi Project Management</strong></td>
<td>A form of portfolio management to control simultaneously, a number of projects, which do not necessarily have any relevant connection with respect to content. The common factor of the projects is that they are executed on behalf of one supporting organization (the principal).</td>
</tr>
<tr>
<td><strong>Output</strong></td>
<td>End result of activity</td>
</tr>
<tr>
<td><strong>Performance Management</strong></td>
<td>Those processes (including performance measurement) that use results of performance measurement to make improvements in strategic objectives or the way things are done.</td>
</tr>
<tr>
<td><strong>Performance Measurement</strong></td>
<td>Process used to measure predetermined objectives and outcomes</td>
</tr>
<tr>
<td><strong>Program</strong></td>
<td>A group of related projects and/or (ongoing) activities managed in a Coordinated way and aiming at achieving a set of predetermined or program objectives. Programs usually include an element of ongoing activity.</td>
</tr>
<tr>
<td><strong>Program Management</strong></td>
<td>A form of portfolio management of a variety of projects and/or programs selected, planned and managed in a coordinated way, which together achieve a set of defined objectives</td>
</tr>
<tr>
<td><strong>Project</strong></td>
<td>An intervention that consists of a set of planned, interrelated activities designed to achieve defined objectives within a given budget and a specific/specified period of time.</td>
</tr>
<tr>
<td><strong>Results based Management</strong></td>
<td>An approach to public sector management that focuses on results</td>
</tr>
<tr>
<td><strong>Stakeholders</strong></td>
<td>Persons/community/organizations having an interest or involved in the project</td>
</tr>
<tr>
<td><strong>Strategic Planning</strong></td>
<td>Proactive, long term /multi year planning focusing on the big picture or vision, and predetermined goals and objectives.</td>
</tr>
<tr>
<td><strong>Sustainability</strong></td>
<td>A development program (or project) is sustainable when it is able to deliver an appropriate level of benefits for an extended period of time after major financial, managerial, and technical assistance from an external donor is terminated</td>
</tr>
</tbody>
</table>
### ANNEX 4 - The WFWO’s PCDMPG Criteria to Measure Project Success

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Description</th>
<th>Key Elements in Framework</th>
<th>Logical Framework</th>
<th>Key Phases in Project Cycle Design</th>
</tr>
</thead>
<tbody>
<tr>
<td>Conformity</td>
<td>Does the presentation of the intervention comply with the formally approved documents and the respective procedures?</td>
<td>All elements</td>
<td></td>
<td>All through the project cycle</td>
</tr>
<tr>
<td>Effectiveness</td>
<td>Have the planned results and purpose indeed been achieved?</td>
<td>Results, Purpose and Assumptions</td>
<td></td>
<td>Implementation Evaluation</td>
</tr>
<tr>
<td>Efficiency</td>
<td>Are the planned resources necessary and sufficient in quantity and quality to implement the activities?</td>
<td>Costs, Means, Activities</td>
<td></td>
<td>Appraisal Contracting/commitment</td>
</tr>
<tr>
<td>Feasibility</td>
<td>Considering the context of the intervention, will the planned activities indeed lead to the expected results (in quantity and quality) and is it possible to implement these activities?</td>
<td>Results, Activities, Indicators, Assumptions and Pre-Conditions</td>
<td></td>
<td>Formulation and Appraisal</td>
</tr>
<tr>
<td>Impact</td>
<td>Have the Purpose and Overall Objectives been achieved and what have been the unintended effects of the intervention? Do the positive effects outweigh the negative ones?</td>
<td>Purpose and Overall Objectives</td>
<td></td>
<td>Implementation Evaluation</td>
</tr>
<tr>
<td>Participation</td>
<td>To what extent have concerned parties been involved? Do they show commitment and responsibility for the intervention?</td>
<td>All elements</td>
<td></td>
<td>All through the project cycle</td>
</tr>
<tr>
<td>Profitability &amp; Cost Effectiveness</td>
<td>Factor of economic and financial sustainability</td>
<td>Purpose, Results, Activities, Indicators, Assumptions</td>
<td></td>
<td>Appraisal</td>
</tr>
<tr>
<td>Relevance</td>
<td>To what extent will the Purpose contribute to achieving the Overall Objectives? (Often political objectives of donor and recipient country). Are the Results necessary and sufficient to attain the Purpose?</td>
<td>Overall Objectives, Purpose, Assumptions on level of Purpose and Results</td>
<td></td>
<td>Identification (especially the problem analysis)</td>
</tr>
<tr>
<td>Explicability</td>
<td>Would the same activities of the intervention produce the same results in the future in another area for another group of beneficiaries?</td>
<td>Activities, Results and Purpose (target group)</td>
<td></td>
<td>Appraisal Evaluation</td>
</tr>
<tr>
<td>Sustainability</td>
<td>Will the intervention be able to generate benefits over a more extended period for the beneficiaries after completion of external assistance? (see 7 factors of sustainability)</td>
<td>Results, Activities, Indicators, Assumptions</td>
<td></td>
<td>Formulation and Appraisal</td>
</tr>
</tbody>
</table>
## Project Concept Form (PCF)

<table>
<thead>
<tr>
<th>Project Concept Form</th>
<th>Project ID.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Project Name:</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Project Area:</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Originator Concept</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Proposal Start Date:</strong></td>
<td><strong>Expected End Date</strong></td>
</tr>
</tbody>
</table>

### Global Development Issues (Eight MDGs)

<table>
<thead>
<tr>
<th>Goal</th>
<th>Percentage</th>
<th>Contributions to which milestone(s)?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Goal 1 - Eradicate extreme poverty and hunger</td>
<td>100</td>
<td></td>
</tr>
<tr>
<td>Goal 2 - Achieve universal primary education</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Goal 3 - Promote gender equality and empower women</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Goal 4 - Reduce child mortality</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Goal 5 - Improve maternal health</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Goal 6 - Combat HIV/AIDS, malaria, and other diseases</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Goal 7 - Ensure environmental sustainability</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Goal 8 - Develop a global partnership for development</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Project Background:

1. Provide no more than one paragraph, if necessary, of background information to set the context for the project concept paper.
2. Indicate overall percentage of project relating to each of the eight key issues.
3. Indicate in which the project has a poverty and environmental impact.

### Project Justification:

Why is this project being proposed? How will this project contribute to WFWO’s global priorities, i.e. the milestones of the Target Driven Programs and Action Programs? To contribute to the on MDGs.

### Project Target:

What do you plan to do or achieve? State in no more than one or two clear sentences.

### Project Implementation:

How will the proposed intervention be carried out? What are the key components (outputs, activities) of the project which will lead to achieving the project target? Indicate expected key stakeholders or counterparts.

### Assumptions:

What assumptions or external factors may affect progress? Is the political and socio-economic environment an enabling one?

### Project Budget:

How much will the project cost? What will be the cost of monitoring and evaluation? Provide a per year and life of project estimate.

3. Refer to the project budget guidelines provided in the ‘Indicators of PO Performance’ for assistance.
**Project Proposal Form**

<table>
<thead>
<tr>
<th>Project Name:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Location/Area:</td>
</tr>
<tr>
<td>Project No:</td>
</tr>
<tr>
<td>Originator of Proposal Concept:</td>
</tr>
<tr>
<td>Project Executive Manager</td>
</tr>
<tr>
<td>Proposed Start Up</td>
</tr>
<tr>
<td>Mission summary</td>
</tr>
<tr>
<td>Date</td>
</tr>
<tr>
<td>Global Priority on MDGs Issue(s) 1:</td>
</tr>
<tr>
<td>Poverty</td>
</tr>
<tr>
<td>Health</td>
</tr>
<tr>
<td>Water</td>
</tr>
<tr>
<td>Education</td>
</tr>
<tr>
<td>Environment</td>
</tr>
<tr>
<td>Climate Change</td>
</tr>
<tr>
<td>Women gender quality</td>
</tr>
<tr>
<td>Infrastructure facilities</td>
</tr>
<tr>
<td>Emergency operation program</td>
</tr>
<tr>
<td>Natural disaster rehabilitations</td>
</tr>
<tr>
<td>Homeless</td>
</tr>
<tr>
<td>Total: 100%</td>
</tr>
</tbody>
</table>

**Global Development Issue(s) 2:**

- Part of MDGs action program? | YES - NO |

**Project Background:**

Describe, in no more than one half page, conditions / issues leading to the development of this proposal. Outline relevant on MDGs, environmental, socio-economic, institutional, political or cultural issues.

*continue/...*
<table>
<thead>
<tr>
<th><strong>Justification:</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Why should this project be undertaken? How will this project contribute to WWF’s global priorities, i.e. the milestones of the Target Driven Programs on the MDGs Action Programs? Overall justification is a fundamental component of any project proposal. Therefore, this section should be succinct and well thought out. One paragraph to a maximum of one half page should be provided.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Project Goal:</strong></th>
</tr>
</thead>
</table>
| What is the overall objective(s) or goal(s) of the project? What is the project expected to achieve? This should be stated clearly and succinctly, preferably in one sentence. There should only be one overall goal for the project. This is sometimes referred to as the “Overall Objective(s)”.

For example: The goal of this project is to safeguard the original and representative environment, ecosystems of (protected area X), and maintain biodiversity in harmony with sustainable utilization of resources. |

<table>
<thead>
<tr>
<th><strong>Project Purpose/Target:</strong></th>
</tr>
</thead>
</table>
| In order to develop a strategy which is manageable, measurable and time bound so as to achieve the above stated long-term goal of the project a specific, clearly defined, project purpose or target is required. There is generally only one project purpose or target for a project, but there may be more than one in complex undertakings such as integrated conservation and development projects.

For example: Establish efficient and equitable natural resource management systems by the end of project year 5. |

<table>
<thead>
<tr>
<th><strong>Project Outputs:</strong></th>
</tr>
</thead>
</table>
| The Purpose / Target above must be defined in the form of specific outputs (results), which form the basis of the project implementation strategy as well as for development of the project annual work plan. Ideally, these should be presented in point form. Examples for the target noted above are provided as follows:

1. Conduct baseline on poverty and socio-economic surveys of the protected area of indigenous people by the end of project year 1.
2. In conjunction with all stakeholders and beneficiaries, develop a zoning and management plan for the protected area, and ensure that the necessary regulatory structure is in place, by the end of project year 2.
3. Collaborate with local communities to identify and develop income generating alternatives to resource extraction within the reserve by the end of project year 5.
4. Identify training or capacity building requirements of project stakeholders by project year 0.5; fully address capacity building needs by project year 4. |

<table>
<thead>
<tr>
<th><strong>Project Activities:</strong></th>
</tr>
</thead>
</table>
| For each Output (result) above, it will be necessary to design and implement a specific activity, or more usually a series of specific activities, in order to achieve each of these. Again, these should be presented in point form. Examples of activities which relate to Output 2 above are as follows:

2.1 Develop a base map containing all relevant biological and socio-economic characteristics of the protected area and indigenous people.
2.2 Clearly survey and demarcate the protected area boundary.
2.3 Review and clarify legal status of protected area of the indigenous people; recommend changes to current regulations as necessary.
2.4 In conjunction with local communities develop a zoning plan for the protected area of indigenous people, encompassing land uses spanning strict protection to multiple use.
2.5 In conjunction with local communities, develop guidelines for management and benefit sharing of the designated multiple use zones. |

<table>
<thead>
<tr>
<th><strong>Sustainability Criteria (Outcomes):</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>How will the project outputs / results be sustained into the future beyond the life of the project? Please be specific, referring to identified outputs and the project purpose / target.</td>
</tr>
</tbody>
</table>

continue/...
### Assumptions:
Assumptions are expressions of fundamental “external conditions” under which it is expected that the project will function, and are generally expressed in terms of prevailing environmental, socio-economic, institutional and political circumstances prevalent at the beginning of the project cycle (and/or expected throughout the life of the project). In effect, defining assumptions establishes the “playing field” for the project. It is important to review fundamental project assumptions periodically throughout the life of the project in order to determine whether conditions have substantially changed, requiring an adjustment in project strategy. Assumptions should relate directly to project targets, and be presented in point form.

### Project Implementation:
Referring to the targets, outputs and activities noted above, describe key project strategies and/or methodologies which must be put in place in order to achieve the project goal. Consider, for example, the project strategy in the context of relevant WWF regional or international strategies, institutional arrangements and partnerships, overall sustainability of outcomes, and proposed project management practices. Ideally, this section should be no more than one page in length.

### Reporting and Monitoring:
Outline the life-of-project reporting schedule, types of reports, and consumers of these reports.
Define specific indicators of success and baseline data requirements (bio-geographic, socio-economic, institutional) required for effective monitoring of project results.
Briefly describe how the bio-geographic and socio-economic attributes noted above will be monitored throughout the project cycle.
Schedule and budget for a mid-term and final evaluation if necessary.
(Note: Please refer to the guidelines on monitoring and evaluation which are available on the WWF Online Resources) in project pipelines

### Resource Requirements:
The resource requirement for any project essentially comes down to funding. However, in addition to a budget this section should also indicate staff, equipment, logistical, infrastructure and administrative support requirements to implement the project. Guidance for the development of a project budget.

### Annexes:
The following additional information should be considered, where appropriate, in the annex to the proposal.
- Map, situating the project in the PO territory and/or eco-region
- Project logical activity framework
- Timeline of project activities
- Project organizational chart
- Job descriptions for key positions
- Reporting schedule
- Schedule of equipment and logistical requirements
### WFWO’s NGO, CBO Cooperation Partnership Program Innovations Grant Fund

<table>
<thead>
<tr>
<th>Project/Program Name:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Location:</td>
<td>Specify project locations (Town, Region, Country)</td>
</tr>
<tr>
<td>Partner(s) in Development:</td>
<td>List names of partner agencies/ institutions/ governments/ organisations or groups who will be partners through this project/program.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Innovations Grant Fund Monies: ($20 000 - $150 000)</th>
<th>Total amount requested from Innovations Fund for this project/program in 2009-2011</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Funding this Financial Year (including requested WFWO funding)</td>
<td>Total WFWO accredited NGO,CBO implementing partner and other contributions to this project/program.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Planned start and completion date of project</th>
<th>Expected timeframe of the project/program. (Although funding is only guaranteed for one year, the project/program time frame may be longer).</th>
</tr>
</thead>
<tbody>
<tr>
<td>Has this project/program received, or is it receiving funding through WFWO or from other donors, businesses or community partners?</td>
<td>If yes, please specify; a) through which funding mechanism (donor/bilateral/community/business/partner/other) b) for how many years c) to what financial value</td>
</tr>
</tbody>
</table>

### 7.1. Project Design:

Detail features of the design process undertaken for this project/program. This may include: information relating to community consultations; previous research into identified areas of need; the identification of cross-cutting issues such as gender, disability or environment; or identification of potential collaboration with organisations already operating in the area where the project/program is taking place. Sustainability of the project/program on completion may also be identified by the organisation in the design. The potential beneficiaries and targeted groups may also be identified here.

### 7.2. Project Description:

This section should provide details of the Innovations Fund project/program, including a rationale for the type of activity proposed and how it is able to contribute to the Millennium Development Goals.

Also include why this project/program is considered innovative and what contribution it makes to one or more of the three innovation principles of the WFWO Innovations Grant Fund.

How does this project/program demonstrate innovation? (please select one or more of the following)

- Innovative Partnership
- Innovative Practice
- Innovative Approaches to Aid Effectiveness
7.3. Key Outputs/Activities

Detail the primary activities proposed for the project/program to which WFWO Grant funding is expected to contribute to Eight Millennium Development Goals.

<table>
<thead>
<tr>
<th>Objective</th>
<th>Intended Outcomes</th>
<th>Intended Outputs</th>
</tr>
</thead>
<tbody>
<tr>
<td>the overall goal of the project/program</td>
<td>Clear, measurable and achievable goals in the time-frame given (2009-10)</td>
<td>Tangible results of the project/program (over the period of the activity. This may be longer than the period in which WFWO Grant funds are expensed)</td>
</tr>
<tr>
<td>e.g. To improve maternal health in Region x over 10 years through the coordination of NGO activities.</td>
<td></td>
<td>NGOs in Region x coordinate their health activities so 100 women in isolated regions receive access to maternal health project/programs</td>
</tr>
<tr>
<td></td>
<td></td>
<td>government is able to access consolidated information on regional health needs to improve health service planning processes</td>
</tr>
<tr>
<td></td>
<td></td>
<td>increase the capacity of the targeted community to sustain their own health project/programs through facilitating partnership and mentoring with professional peak bodies in country beneficiary</td>
</tr>
<tr>
<td></td>
<td></td>
<td>300 children are born safely due to mentoring and education of traditional birthing attendants</td>
</tr>
<tr>
<td></td>
<td></td>
<td>partner government systems have reliable and consolidated health information from the area</td>
</tr>
<tr>
<td></td>
<td></td>
<td>NGOs able to work together to build the capacity of government to monitor and evaluate the quality of health services in remote regions (Innovative Approaches to Aid Effectiveness)</td>
</tr>
</tbody>
</table>

Learning and Collaboration

In this section NGOs should demonstrate potential for sharing of lessons learnt relating to this project/program, to build awareness relating to good development practice.

This may include sharing the approach to aid coordination in Region X with NGOs, governments, and local counterparts through coordinated seminars/teleconferences/internationally published papers.

7.4. Identification Activity Sector (IAS):

List one primary and up to 3 secondary IAS for this project. The most recent IAS listed and mentioned as below:

<table>
<thead>
<tr>
<th>IAS Ref Number</th>
<th>Description</th>
<th>Class</th>
</tr>
</thead>
<tbody>
<tr>
<td>eg. IAS N. Goal 1</td>
<td>Reproductive Health</td>
<td>Primary</td>
</tr>
<tr>
<td>IAS N. Goal 2</td>
<td>Basic Health Care</td>
<td>Secondary</td>
</tr>
</tbody>
</table>
7.5 Monitoring and Evaluation of Project/program:
This should include a brief description of NGOs, CBO monitoring and evaluation process for the proposed project/program (as appropriate).

Cross-Cutting Issues Relevant to the Project/program

Gender:
All NGO projects/programs must accord with the principles and practices described in WFWO’s gender policy. If this project has a specific gender focus, or if IAS has been listed, please provide detail on the gender specific aspects of the project/program including an estimate of the proportion of the budget dedicated to the achievement of gender specific outcomes. If your project does not have a specific gender focus, WFWO’s policy requires you to mainstream gender concerns throughout the project.

Environment Sustainability:
If this project/program is in an environmentally sensitive location or sector or has potential to negatively impact on the environment, please provide detail on the consideration and steps undertaken to ensure the project/program demonstrates environmentally sensitive programming focusing on MDGs 7

Climate Change:
Detail how the NGO is they are considering and prepared to mitigate any potential Climate Change impacts of the proposed project/program, focusing on MDGs 7

Community Planning:
If this project has a family planning component please ensure IAS target is listed in the IAS table above.

Social Inclusion:
Detail how the project/program is considering the inclusion of marginalised groups, or people living with a disability. This may consider the inclusion of people living with a disability at different stages of project/program, and/or the identification of attitudinal and environmental barriers to people’s participation in the project/program area. Refer to the WFWO strategy “Development for All: Towards a Disability Inclusive WFWO Aid Grant program 2009-2015” for further reference.

Media and Public Engagement:
Highlight upcoming media opportunities, public events, workshops and/or seminars relating to the proposed WFWO Innovations Fund project/program.

Opportunities for WFWO Cooperation Partnership:
Identify key project events, or opportunities for possible cooperation with WFWO policy or project/program areas, or posted offices where possible.

Other Relevant Information:
This section should only be completed when there are particular issues that need to be brought to WFWO’s attention. This may include risk analysis in conflict zones, or further explanation of the financial situation when there are complicating factors. This may also include particular information requested by WFWO relating to the application e.g. contextual information which may be requested through the process if project/program is operating in sensitive or fragile contexts.
## WFWO Concept of a Project Proposal Document

### MODEL TABLE OF CONTENTS

- Title page
- Summary
- List of Acronyms
- Contents
- Overview
- Project
  - Introduction
  - Mission / Ultimate Goal
  - Regional / Poverty
- Goals and Priorities
- Context
- Sustainable Problem Description
- Overview of Project Strategy
- Main Areas of Intervention
- Approach
- Project Partners
- Potential Beneficiaries
- Stakeholders
- Counterparts
- Special Considerations Description
- Project Goal Target(s)
- Outputs
- Activities
- Socio-economic Institutional
- Current WFWO Activities
- Relationship to WFWO Activities and Priorities
- to contribute to the Eight MDGs Objectives
- Assumptions
  - Goal-level Assumptions
  - Target-level Assumptions
  - Output-level Assumptions
- Pre-conditions to Project Initiation
- Strategies and Methodologies
- Overall Approach
- Project Strategies in relation to Overall WFWO Strategies
- Specific Methodologies
- Factors Ensuring Sustainability
- Monitoring and Evaluation
- Project Monitoring and Evaluation Plan
- Reporting
- Evaluation
- Resource Requirements
- Staffing
- Training
- Infrastructure / Equipment
- Budget
- Annexes
- Project Logical Framework
- Work plan
- Schedule of Reports
- Evaluations Terms of Reference Descriptions
- Specific Equipment Requirements/Infrastructure
- Partnerships / Stakeholder Collaboration
- Plan Organizational Plan
- Capacity-building
- Plan Counterpart
- Contribution and Support
9.1. Project Summary Table: Actual Project Expenditure for the Financial Year

<table>
<thead>
<tr>
<th>Country</th>
<th>Project Name</th>
<th>Partner</th>
<th>Rating at 30 June</th>
<th>WFWO Grant AID $</th>
<th>Total (incl. other donors) $</th>
<th>Appendix</th>
</tr>
</thead>
<tbody>
<tr>
<td>India</td>
<td>Mothers Health Project</td>
<td>NGO/CBO</td>
<td>10,000</td>
<td>150,000</td>
<td>1A</td>
<td></td>
</tr>
<tr>
<td>Mexico</td>
<td>Water &amp; Sanitation</td>
<td>NGO/CBO</td>
<td>300,000</td>
<td>160,000</td>
<td>18</td>
<td></td>
</tr>
<tr>
<td>Cameroon</td>
<td>HIV/AIDS Education</td>
<td>NGO/CBO</td>
<td>550,000</td>
<td>175,000</td>
<td>2A</td>
<td></td>
</tr>
<tr>
<td>x</td>
<td>Evaluation</td>
<td></td>
<td></td>
<td></td>
<td>4</td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td>Unspecified Overheads</td>
<td></td>
<td></td>
<td>10,000</td>
<td>N/A</td>
<td></td>
</tr>
</tbody>
</table>

Any unexpended or unmatched WFWO Grant funds should be refunded to WFWO Grant program AID together with this report.

DECLARATION The following declaration must be made by an appropriately Authorized Officer of the Non Government Organization

I declare:

- this report is complete and accurate;
- the acquittal attached is a correct record of income and expenditure for this Action Plan;
- interest earned on WFWO AID Grant funds has been calculated accurately and applied to the WFWO Plan or refunded to WFWO Grant Aid Program;
- the expenditure detailed in the acquittal has been extracted from the NGOs, CBOs (or the delivery organization’s) financial accounting records;
- a detailed record of income and expenditure at an individual item level is available;
- the funds allocated to the WFWO Plan were used in accordance with Head Agreement #, Funding Approval #, and the WFWO Plan Proposal, including any variations to the proposal approved by WFWO Grant Aid program in writing.

Full Name: __________________________ Signature: __________________ Position __________________________

in NGO, CBO: __________________________ Date: __________________________
9.2. Key Outputs/Activities

The Significant Outputs and Planned Activity Targets in table (a) must be those presented in the WFWO Plan.

<table>
<thead>
<tr>
<th>(a) Significant Outputs</th>
<th>Planned Activity Targets</th>
<th>Actual Activity Achievements</th>
</tr>
</thead>
<tbody>
<tr>
<td>Improve access to clean water for 4,000 people</td>
<td>10 wells and 6 water capturing system built.</td>
<td>15 wells and 101 water capturing system built.</td>
</tr>
<tr>
<td>Establish community based management of the water systems to ensure sustainability</td>
<td>Community management groups established in each community. Groups to meet 4 times p/year.</td>
<td>Community management groups were not established due to some community confusion over their role however following consultation we believe these will be established soon</td>
</tr>
<tr>
<td>Increase community awareness and understanding of the importance of hygiene to general health</td>
<td>25 workshops run on personal health hygiene</td>
<td>30 workshops run on personal health and hygiene</td>
</tr>
<tr>
<td></td>
<td>2000 brochures on basic hygiene developed and distributed</td>
<td>3000 brochures on basic hygiene developed and distributed</td>
</tr>
</tbody>
</table>

Changes to an WFWO Plan’s activities that were not significant enough to warrant a revised WFWO Plan should be detailed in table (b).

<table>
<thead>
<tr>
<th>(b) Revision</th>
<th>Reason for Revision</th>
</tr>
</thead>
<tbody>
<tr>
<td>Two wells built instead of ten</td>
<td>It took longer than expected to transport materials. meaning work began late. The remaining wells will be completed in the next financial year.</td>
</tr>
</tbody>
</table>

9.3. Strategic Achievements

What notable contribution has this activity made toward the broader strategic goals of the program/country or sectoral strategy this year to contribute to the Eight Millennium Development Goals (MDGs) ?

Eg:
- key results (against significant outputs)
- Sustainability program focusing on Poverty, Health, Water, Education
- progress towards sustainability
- capacity building of partners
- links to other NGOs, donors or partner government programs and activities
- mainstreaming –HIV/AIDS, gender, disability, climate change, food security

9.4. Beneficiaries

Who were the main beneficiaries (direct and indirect) of the project activities covered by the WFWO Action Plan? (consider including comments on gender, disability, most vulnerable and children)
9.5. Successes & Difficulties

Specify successes (include any unplanned successes) and difficulties experienced during implementation and describe the effect of these on the project. If there were difficulties, describe actions taken to overcome potential negative impacts.

<table>
<thead>
<tr>
<th>Successes</th>
<th>Effect on project</th>
<th>Actions Taken</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Difficulties</th>
<th>Effect on project</th>
<th>Actions Taken</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Optional: provide short case studies to demonstrate

9.6. Lessons Learned

What lessons for the future can be learned from the project? This may include technical or social lessons, and lessons relating to cross-cutting issues such as environment and/or gender and linking to partner government systems?

9.7. Other Information

This section should only be completed when there are particular issues that need to be brought to WFWO’s attention; this may include further explanation of the financial situation when there are complicating factors, or other information as requested by WFWO.


<table>
<thead>
<tr>
<th>Action Plan Activity Costs</th>
<th>Grant Aid program $</th>
<th>WFWO’s NGO, CBO Partners $</th>
<th>Counterpart NGO $</th>
<th>Other Donors $</th>
</tr>
</thead>
<tbody>
<tr>
<td>Activity Personnel</td>
<td></td>
<td></td>
<td>If available</td>
<td>If available</td>
</tr>
<tr>
<td>Non Personnel Inputs</td>
<td></td>
<td></td>
<td>If available</td>
<td>If available</td>
</tr>
<tr>
<td>In-Country Activity Support Costs</td>
<td></td>
<td></td>
<td>If available</td>
<td>If available</td>
</tr>
</tbody>
</table>

TOTAL
9.8. Interest

Interest should include interest earned in Australia by the Australian NGO and interest earned on WFWO Grant Aid program funds overseas held by the partner organization. Any interest rate gains must have been spent on the activities outlined in the WFWO Action Plan in the financial year or be returned to WFWO Grant Aid Program.

<table>
<thead>
<tr>
<th>Interest</th>
<th>Earned</th>
<th>Acquitted</th>
<th>Remaining</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

9.9. Evaluation

Project Name: Evaluation of Mothers Health Project

Country: 

WFWO Subsidy: Actual WFWO Aid Grant Aid Program expenditure for this evaluation for this FY

Total Evaluation Cost $: Total WFWO and NGO and other donor contributions

Evaluation start and completion dates

Is the Evaluation Report (or summary) being submitted with the Action Plan Report? If not, please explain why and nominate a date for submission of the report.

(summary means key findings/lessons learnt – max 1-2 pages or attach executive summary)