A manual for project managers and supervisors
By John Fox and Ruth Mwikali of Intermedia NCG
April 2004
Abbreviations..................................................................................................................... iii
Acknowledgements........................................................................................................ iv
Introduction......................................................................................................................... 1
Some Basic Principles......................................................................................................... 2

Part One....................................................................................................................................... 3
PLANNING PROJECTS AND WRITING PROJECT PROPOSALS ........................................... 3

Chapter One ........................................................................................................................... 4
Introducing the Project Cycle ............................................................................................... 4
    What is project cycle management? .................................................................................. 4
    Turning the cycle .............................................................................................................. 4
    Some main concerns ....................................................................................................... 6

Chapter Two ........................................................................................................................... 7
Following the Logical Framework Approach ...................................................................... 7
    The meaning of LFA ........................................................................................................ 7
    Doing a situation analysis ............................................................................................... 7
    The running case study ................................................................................................. 8
    Letting the stakeholders have their say .......................................................................... 9
    Growing a problem tree .............................................................................................. 12
    Transforming the problem tree .................................................................................... 14
    Devising a strategy ........................................................................................................ 16
    Making the matrix ......................................................................................................... 17
    Checking the quality of the logframe .......................................................................... 24
    Predicting sustainability ............................................................................................. 24

Chapter Three ....................................................................................................................... 25
Writing a Project Proposal................................................................................................... 25
    Be persuasive ............................................................................................................... 25
    Keep the background relevant .................................................................................... 25
    Be precise in descriptions ......................................................................................... 26
    Give sufficient information....................................................................................... 26
    Be specific in budgets ............................................................................................... 27
    Use a consistent and accepted framework .................................................................. 27

Part Two..................................................................................................................................... 29
MONITORING PROJECTS AND WRITING PROJECT REPORTS ........................................... 29

Chapter Four ........................................................................................................................ 30
Monitoring ......................................................................................................................... 30
    The meaning of monitoring ....................................................................................... 30
    Three themes ............................................................................................................ 30
    Key questions ........................................................................................................... 31
    Giving grades ............................................................................................................. 31

Chapter Five ........................................................................................................................ 33
Drafting Terms of Reference for Evaluations................................................................. 33
Chapter Six .......................................................................................................................35
Writing Reports ...............................................................................................................35
  Echoing the three principles .........................................................................................35
  Getting it right ..............................................................................................................35
  Some shortfalls ............................................................................................................35

Part Three .......................................................................................................................37
TOOLBOX .......................................................................................................................37

  Toolkit Item 1 ...............................................................................................................38
  Talking Pictures ...........................................................................................................38

  Toolkit Item 2 ...............................................................................................................39
  SWOT Analysis ............................................................................................................39

  Toolkit Item 3 ...............................................................................................................42
  Force Field Analysis ..................................................................................................42

  Toolkit 4 .......................................................................................................................44
  Competency Analysis .................................................................................................44

  Toolkit Item 5 ...............................................................................................................46
  Template for a Project Proposal ..................................................................................46

  Toolkit Item 6 ...............................................................................................................47
  Example of a Project Proposal ....................................................................................47
  Monitoring Checklists ...............................................................................................54

  Toolkit Item 8 ...............................................................................................................58
  Template for Project Progress Report ........................................................................58

  Toolkit Item 9 ...............................................................................................................59
  Template for Workshop Report ..................................................................................59
## Abbreviations

<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>BBC</td>
<td>British Broadcasting Corporation</td>
</tr>
<tr>
<td>EU</td>
<td>European Union</td>
</tr>
<tr>
<td>HIV/AIDS</td>
<td>Human Immunodeficiency Virus</td>
</tr>
<tr>
<td>IDP</td>
<td>Internally Displaced People</td>
</tr>
<tr>
<td>LFA</td>
<td>Logical Framework Analysis</td>
</tr>
<tr>
<td>LFM</td>
<td>Logical Framework Matrix</td>
</tr>
<tr>
<td>OVI</td>
<td>Objectively Verifiable Indicators</td>
</tr>
<tr>
<td>PCM</td>
<td>Project Cycle Management</td>
</tr>
<tr>
<td>SOV</td>
<td>Sources of Verification</td>
</tr>
</tbody>
</table>
Acknowledgements

We have been greatly assisted by the discussions on project cycle management held at two workshops organised by Diakonia (East Africa) in Nairobi, Kenya and Garowe, Puntland. Most of the examples have been derived from these workshops.

We would like to thank SIDA, the funding agency for this initiative.
Introduction

These days, anyone who has anything to do with the formulation, implementation or supervision of development projects is likely to have heard of Project Cycle Management (PCM) – or the Logical Framework Approach (LFA), of which PCM is an extension. This manual is another kind of extension. PCM is usually perceived as about the planning of projects. But here it is the framework for a more complete cycle – involving monitoring and reporting on, as well as identifying and formulating projects.

Who are we writing for?

We assume that you have some interest in managing projects. You could be a member of an NGO who has the task of writing project proposals; an officer of a line ministry who is charged with monitoring projects implemented by your ministry; a project manager who has to write regular reports on your project’s progress – or you could even be a donor representative who has to judge whether a project should be a priority for funding.

How the manual is organised

The book is divided into two main parts:

1. Planning projects and writing project proposals
2. Monitoring projects and writing reports

But, before that, there is a review of some basic principles that apply to all the above functions. And at the end of the manual there is a ‘toolkit’ section that contains a number of planning techniques and reporting formats.

How to read it

Read actively. Keep checking what we are saying against your own experience. Don’t take anything for granted. And apply whatever you are learning to your own situation and to your own tasks….

Because we strongly believe in this little poem by EE Cummings:

*I would rather learn from one bird how to sing
Than teach ten thousand stars how not to dance*
Some Basic Principles

A tourist was lost somewhere in among the twisting murram roads of Kilifi. He stopped his hire car to ask a villager the way to Mombasa…
‘Pole! Kama ningekuwa ninaenda Mombasa, singeanzia hapa!
(Sorry! If I was going to Mombasa, I wouldn’t start from here!)

Having an objective is not always enough. Like the story tells us, a good situation analysis can make sure our objectives are appropriate and realistic. To get to where we want to go, it helps to know where we are – and sometimes it is also important to know where we have been.

To do anything well you need to know what it is that you want to achieve – you need an objective. But you must really want it – you need to be enthusiastic about whatever it is you are wanting.
And you will achieve your objective more efficiently and more effectively if you are organised – if you are systematic in whatever it is you are doing.

This book is about being clearer in setting objectives and being more systematic in whatever tasks you are doing in relation to project management. We would also like to think that it will make you even more enthusiastic about project management.

In all four tasks treated in this book – planning projects, writing project proposals, monitoring project activities and reporting on project progress – there are three main principles that can be applied:

The intervention we design, the monitoring tool we use or the paragraph we write, should all be relevant – they should be important, significant. The project plan, the monitoring system or the progress report, should all be coherent – they should be ordered in a logical and clear manner. The implementation methods, the key observations or the style of writing, should all be emphatic – they should arouse interest and make an impact.
Part One

Planning Projects and Writing Project Proposals
Chapter One
Introducing the Project Cycle

This section presents an overview, a broad-brush introduction to the project cycle, its main stages and the relationships between each stage, the role of the project managers, and how stakeholders can or should be involved.

What is project cycle management?

Project cycle management (PCM) has grown out of the experiences of various actors in the process of designing or implementing projects. Particularly, it is an adaptation of the logical framework approach (LFA) that, as its name indicates, is a framework (or template), and a logical (or systematic) way of designing projects.

The distinctive characteristic of PCM is that it sees project management as divided into a number of phases, each having a specific function. Its basic dynamic is a change process—an intervention that moves from an analysis of an unsatisfactory situation to the realisation of a satisfactory one. The European Commission adopted PCM in 1992 for the planning of all the projects that it funds. Now, the logic and the methods of PCM are used by most agencies that fund or implement projects.

Turning the cycle

The stages, or phases, in the project cycle are accumulative and progressive, such that:

- Distinctive activities are carried out at each stage and specific information is collected to facilitate decision-making;
- Every stage completes and updates the information on the previous one;
- Corrections can be made based on the experiences gained.

These are the six stages:
MANAGING THE CYCLE
Project designs, proposals and monitoring reports

Programming
Here, those charged with a country’s development planning, and representatives of line ministries, collaborate with a donor (or a group of donors) in order to explore social and economic issues and to define a broad-based development strategy, whether across all sectors or within one particular sector. Donors have their own concerns – even their own agendas. All stress the overriding goal of poverty alleviation. Some also emphasise the protection of human rights and the promotion of good governance. Others lay stress on combating the HIV/AIDS pandemic. But a proper application PCM works towards ownership by the people who are going to implement the agreed strategy. To this end, the following main factors are taken into account:

- There is a reflection on values, principles and development priorities;
- Sectoral problems and potentials are reviewed;
- The different development agency contributions are assessed;
- Broad ideas for intervention are generated;
- A country strategy is developed;
- General guidelines on cooperation are established.

Project Identification
In the light of the above considerations, project identification is done within the framework of country strategies. The following are the key steps (which will be discussed in more detail in the following sections):

- Specific situation analyses are made;
- Project ideas are refined and tested out with stakeholder groups;
- Feasibility studies are conducted;
- Project proposals or documents are formulated.

The outcomes of the studies help in the making of decisions on whether the emerging ideas for project interventions should be taken further.

Appraisal
This is sometimes referred to as the ‘design’, ‘preparation’ or ‘formulation’ stage:

- A project proposal is assessed for its relevance – in terms of focus and design;
- The proposal is refined, in terms of its rationale and formulation – based on feasibility studies and the involvement of stakeholders;
- A logframe is developed, with its conventional hierarchy of development objective, project purpose, outcomes, activities – and key indicators;
- An overall budget is derived from a costing of proposed activities.

Financing
Within the EU project planning framework, the process of securing financing involves:

- A financing proposal is completed;
MANAGING THE CYCLE
Project designs, proposals and monitoring report

- The approving authority considers the proposal;
- A decision is made whether to accept, reject or amend the project proposal;
- Formal agreement is made between the donor and the recipient country or agency;
- Financing mechanisms are clarified.

Implementation
At the beginning of the implementation stage, ideally, a workshop should be held with those managing a project in order to clarify and reach an understanding on the rationale and the strategy of the project document:

- Agreed resources are disbursed or procured;
- Studies, technical assistance, works or supplies are contracted;
- Target groups receive the planned benefits;
- Monitoring is carried out and the implementation strategy is adjusted.

Evaluation
Though this is the final stage, its methodology should be established early in the project design. In application, it involves:

- Relevance of project design is considered;
- Implementation progress is measured;
- Impact of project facilities and/or services is appraised;
- Likely sustainability is assessed;
- Lessons learnt are documented and applied.

Some main concerns
There are certain key factors that are given prominence in the PCM approach. These are:

Logic: Systematic planning is strongly influenced by the use of the logical framework or ‘logframe’, a template for displaying key elements of the project design in a logical manner – activities are shown as leading to certain results that, if achieved, will ensure the achievement of the project’s objectives.

Documentation: Emphasis is put on the production of documents in a consistent format – and the key documents produced at each stage are used in making the decisions of the next stage.

Ownership: Understanding, acceptance and decision-making by stakeholders are achieved by involving them at every stage of the project design and implementation; Sustainability – by developing the project purpose such that the benefits are directed towards target groups

Focus: Concentration is such that the issues to be addressed right from the beginning of the planning process are ones that are relevant and ones that are analysed in depth and with precision.

The main tool that is used in PCM is the logframe, which will be discussed in the next chapter.
Chapter Two
Following the Logical Framework Approach

The meaning of LFA

The Logical Framework Approach (LFA) has been the main tool used in project design, and the dominant influence in project management, for a number of years. It is particularly applicable in the identification and formulation phases of the project cycle. It leads to a presentation of the results of problem analysis – and the identification of objectives – in a systematic and logical way.

The key products of the analytical process are then summarised in a matrix – the Logical Framework Matrix (LFM) – which displays the derived objectives in their hierarchical relationship. To reach the LFM, there are two key phases:

- **Situation analysis**: where stakeholders are identified, problems and objectives are analysed, and an intervention strategy is selected;
- **Planning**: where the LFM is built, the intervention logic is presented (overall objectives, project purpose, results and activities) and the assumptions and risks are identified.

Doing a situation analysis

A situation analysis is a study of problems and potentials in a particular place, affecting specific target groups, and involving a variety of stakeholders. There are different ways of carrying it out. But, whatever method is used, the process should deal with reality – and lead to a reflection of that reality. It often involves the following three activities:

- **Studies**: where technical experts carry out an analysis of relevant documents and engage in site investigations;
- **Interviews**: where the opinions are sought of representatives of concerned groups and organisations;
- **Workshops**: where representatives of the concerned groups and organisations arrive at a common interpretation of analyses and findings.

The main result of a situation analysis should be the selection of a set of objectives that will be elaborated and refined during the formulation stage. In the conduct of the workshop, there are four steps:

- Stakeholder identification and review of their interests and roles;
- Problem analysis;
- Objectives analysis;
- Strategy development.
The running case study

We need a case study so that we can illustrate the various facets and techniques of working within the logical framework approach. The following scenario is the one presented in ‘People of the Desert’, an excellent BBC film on a common dilemma facing pastoralist communities:

**The Korr Problem**

One third of the Earth’s surface is desert, or semi-desert. But these harsh, wind-swept areas are not empty of life. People have lived in them for centuries. And they have evolved a life-style in balance with their environment. But in recent years all this has changed. The nomadic people of the arid lands are now struggling to survive…

Rogha and his family belong to the Rendille tribe, who live in the dry northern region of Kenya. Rainfall here is too low to support settled agriculture so, traditionally, the Rendille have lived as nomadic pastoralists, moving their herds, seasonally, across the grazing lands.

‘In the old days,’ Rogha says, ‘the Rendille lived as nomads. We moved our herds across the pasture lands, to wherever there was rain and the grass was good. We lived together in villages we call manyattas. Sometimes there were a hundred families living in one manyatta, along with their goats, their cattle and their camels. Our animals kept us alive. They gave us all that we needed to survive. We used camels to fetch water and carry our belongings. The young men grew strong on their blood.’

‘After it rained, we packed up our homes and our belongings and loaded them onto our camels and moved to fresh pastures. The elders decided where we were to go. It was always the women who organised the move. Sometimes this journey would take us many days. But moving on in this way there was always plenty of grass.

‘Now, the old nomadic way of life is disappearing. Instead of running the village, the elders are wandering around with nothing to do. Everyone is living in towns. The old ways are being forgotten. So life is getting very difficult. Instead of moving across the grazing lands, most of the Rendille are living in new permanent settlements, like the town of Korr.

‘I first came to live in Korr in 1972. I had been working in the city as a teacher and as a policeman. I decided that I wanted to return to the traditional way of life. When I came to Korr, there was no settlement here – just a Catholic mission and a few huts. I became a Catholic and took the Christian name of James. The Catholic Father gave out clothes and animals – and many poor people moved to Korr and the mission.

‘One day, the Father went to Italy and came back with money to build a borehole. Our traditional wells have water for only a few months a year, but the new borehole goes very deep, and it gives us water all the year round. Because of the borehole, many Rendille came to Korr and made their homes here. Now, we have a school, a health centre, shops and many other things we didn’t use to have.

‘But there are too many people and too many animals. And the numbers are growing fast. Because of this, all the trees around Korr have gone, and our soil has been blown away. Every day, hundreds of animals are brought down to water at the wells in Korr. Even I must bring my animals here, because there is no water in the grazing lands. The journey takes me half a day, and I do it every two to three days.

‘All these river beds and the land around them were once filled with trees. Today, the trees have dwindled to just a few. It’s because of everyone settling here – and the trees and the grass have gone. Today, you can walk for two days away from Korr and there is nothing but desert. No trees, no grass – just sand and stone. And the cause of all this is man.’

As a result of this concentration of people and animals, a desert a hundred miles wide was created around Korr. It was a classic example of a man-made desert. Scientists who went to study the problem argued that it was the result of introducing permanent water in a place where there shouldn’t have been permanent water. People came with the livestock and the area was completely over-grazed. Also the trees were cut down for firewood, for building and for making animal enclosures. The vegetation cover went – and the rain and wind came and took away the soil. This is what desertification is all about. They also demonstrated, by fencing off certain areas, that the vegetation can quickly recover when protected from people and their animals.

‘People are the key to solving the problem of desertification,’ they said. ‘And it will not be easy to reverse the process of settlement in the arid areas. But it is not necessary to also settle livestock in the same areas….’
"In the old days, our only need was water," Rogha says. "People used to travel many days across the land to find it. But now, even for people who live many miles from Korr life has changed. In the past, we could only buy our provisions from Korr. But now the Pastoralists Association runs shops that travel right across the grazing lands. So people can now live away from Korr and still buy the things they need. In the old days we used to exchange our animals and milk for what we needed. But now we need to market out animals properly. The Pastoralists Association runs monthly auctions in Korr. The Rendille can now sell their animals directly, without having to go through the middleman who took most of the profits before. In order to learn how the livestock are sold in the city, we take turns to travel down to Nairobi in the lorry.

"I myself travelled to Nairobi to see the place where the animals are sold. Now, the elders who went can tell the others what we saw in the city – what Nairobi is like and where the animals are sold, the prices they fetch and so on. So the elders understand and learn."

One of the scientists also argued that it is important to rekindle a sense of pride in the pastoralist way of life. "There is a tendency to look down on pastoralism," he said. "People are preferring to live in settled areas." The trend towards settlement is not only destroying the environment, it is also changing the livelihoods and the culture of the Rendille. The old way of life is fast disappearing. Contact with the modern world is bringing new tastes in clothes and food – and attitudes to life.

The children of Korr now go to school. And education is also changing the Rendille culture.

"Education is a good thing," says Rogha, "but it is taking our children away from us. My worry is that when children have been to school they get jobs in the city outside the traditional way of life. So it is only the older men who remain with the livestock. If all children go to school – who will look after the animals? Two of my sons are now at the secondary school. I would like my eldest son to become an animal doctor and return to work in Rendille country. I am pleased that my children are at school – but at the same time I am worried. Education is going to change our lives."

"I believe life is going to be very difficult for the Rendille in the future – particularly for those who live in Korr."

In the following sections, as we move through the planning stages of the logical framework, we will draw on this Korr scenario for all the illustrations.

**Letting the stakeholders have their say**

Stakeholders are any individuals, groups, institutions or firms that will be influenced by, or will have an influence on, the project – directly or indirectly. They include the most important group, the beneficiaries – as well as the implementers, partner agencies, government institutions and donors. Ideally, the stakeholder identification and analysis should take place at the early stages of the project design. But the participation of stakeholders in all stages of the project cycle is crucial. And the final project design should be the outcome of a negotiation between all of them.

There are four main reasons why a stakeholder analysis is done:

- To identify all the people likely to be affected (either positively or negatively), and to clarify how they will be affected;
- To maximise the social and institutional benefits of the project/programme and minimise negative impacts;
- To maximise the use of the knowledge and experiences of all actors involved – and so increase the efficiency and effectiveness of the project;
- To enhance ownership of the project and so affect the sustainability of its outputs.
To identify the stakeholders, the following questions can be asked:

- Who has taken the initiative for the project?
- Who will benefit from it?
- Who will participate in the proposed activities?
- Who can contribute to them?
- Who else is working in the same field?

### Korr Stakeholders

If we imagine that we are involved in formulating a project to address the problems of Korr, then these will be the likely stakeholders:

- All the men, women and children of Korr;
- The Korr Pastoralists Association;
- The Catholic Priest and other senior members of the township’s church;
- Schoolteachers;
- Government extension agents – working in the fields of agriculture, veterinary services, water, etc;
- Development-oriented NGOs active in the area;
- Development-oriented CBOs.

These additional questions can help to further characterise the stakeholders that have been identified:

- Who are the members?
- What are their interests and activities?
- What resources are at their disposal?
- What are their problems and potentials?

Then comes the analysis that helps to assess the relevance of the intended intervention to each of the stakeholders and to determine the possible role of each one in the different stages of the project cycle:

- What contacts already exist between the stakeholders and promoters of the project?
- What are the stakeholder’s interests in the proposal?
- What influence can they have?
- What contribution can they make?

The following table summarises the information that could be gleaned about the Korr stakeholders:
## Korr Stakeholder Analysis

<table>
<thead>
<tr>
<th>Stakeholder</th>
<th>General Characteristics</th>
<th>Specific Interests Related to the Project</th>
<th>Problems &amp; Potentials</th>
<th>Likely Contribution</th>
</tr>
</thead>
<tbody>
<tr>
<td>Men, women and children of Korr</td>
<td>Living in difficult circumstances; Caught between two worlds – the traditional and the modern</td>
<td>Looking for improved living conditions</td>
<td>Traditional way of life is threatened; Environment is degraded; Few alternatives for making a living; Young are attracted to ‘modern ways’</td>
<td>The ultimate beneficiaries – but can contribute by way of labour, materials and ideas</td>
</tr>
<tr>
<td>Korr Pastoralists Association</td>
<td>Elders and others elected to represent the interests of the pastoralist community</td>
<td>Expected to take a lead in project implementation</td>
<td>Lacking in capacity related to overseeing projects; Mainly men – therefore the Pastoralists Association is not ‘gender-balanced’; Very knowledgeable about their community</td>
<td>Represented on project steering committee</td>
</tr>
<tr>
<td>Priest and senior church members</td>
<td>Priest is an expatriate; Senior church members mostly men</td>
<td>Committed to helping the people of Korr</td>
<td>Initiated and funded the construction of the well; Accustomed to a ‘handout’ mode of assisting the community</td>
<td>Represented on steering committee; Moral support; Potential donor</td>
</tr>
<tr>
<td>Schoolteachers</td>
<td>Mainly local; Mostly men; Usually young; Among the few literate members of the community</td>
<td>Sympathetic towards activities that will bring progress</td>
<td>Have leadership and literacy skills</td>
<td>Could be involved in disseminating information about the project</td>
</tr>
<tr>
<td>Government extension agents</td>
<td>Mainly outsiders; Mainly men</td>
<td>Upholders of government policy on environmental and development matters; Implementation agents</td>
<td>Technically skilled; Have an orientation towards settlement concepts of development</td>
<td>Information; Advice; Implementation; Supervision</td>
</tr>
<tr>
<td>Community-Based Organisations</td>
<td>From the locality; Involving both men and women;</td>
<td>Likely to be committed to project’s objectives; Keen to be engaged</td>
<td>Lacking capacity – in terms of expertise and material resources</td>
<td>Possible implementing agents</td>
</tr>
<tr>
<td>Development-oriented NGOs</td>
<td>None described in the case study – but some are likely to be there</td>
<td></td>
<td></td>
<td>Possible partners</td>
</tr>
</tbody>
</table>

It might be appropriate to carry out an institutional analysis of organisations identified in the stakeholder exercise, especially if the proposed intervention has an institutional strengthening element. A SWOT Analysis (assessment of strengths, weaknesses,
opportunities and threats) is a good way of doing this, and you will find advice on SWOT in the Toolbox section at the end of the manual.

**Growing a problem tree**

We set up projects in order to move from a situation that is regarded as unsatisfactory (or problematic) to a situation that is more satisfactory (or less problematic). The real project design process begins with a situation or problem analysis. The technique commonly used in PCM is the construction of a ‘problem tree’ – a tree whose roots and branches are made up of various **cause-effect** relationships.

These are the two main steps involved:

- Making an inventory of key problems faced by stakeholder groups. Often this is done in a brainstorming discussion – but the ideas that emerge can be based on reports, baseline surveys, interviews or direct observation;
- Drawing up of a ‘problem tree’ in such a way that problems are put in a ‘cause-effect’ relationship: problems that are the causes of another problem are put below that problem. The actual process of working out the hierarchy of the different problems will deepen the reflection on the situation. Finally, the problem tree will help to visualise the complex relationship between the factors (physical or historical, psychological or social) that have led to the existing problematic situation.

---

**The Korr Inventory**

- Digging of the borehole at Korr
- Influx of people to Korr
- Concentration of animals – overpopulation
- Attractions of amenities and facilities – health, education, shops, animal drugs, etc.
- Increased settlement
- Concentration of people – overpopulation
- Cutting down trees
- Overgrazing
- Loosened and eroded soil
- Using wood for building
- Using wood for cooking fuel
- Land supports fewer people and animals
- Desertification
- Animals dying
- Malnutrition
- Erosion of traditional culture
- Greater sense of individualism (less corporate endeavour)
- Catholic mission strategy – creating a congregation
- Schooling
- Lack of community cohesion and cooperation
- Move away from nomadism
- Less chance of developing agriculture
- Less wealth
- Poverty

---

The following diagram presents an example of a simple problem tree:
The Korr Problem Tree

1. Lack of community cohesion and cooperation
2. Concentration of animals – overpopulation
3. Overgrazing
   - Less chance of developing agriculture
   - Less wealth
4. Land supports fewer people and animals
5. Attractions of amenities and facilities – health, education, shops, animal drugs, etc.
   - Catholic mission strategy – creating a congregation
6. Inappropriate school curriculum
   - Greater sense of individualism (less corporate endeavour)
7. Move away from nomadism
8. Influx of people to Korr
   - Digging of the borehole at Korr
9. Using wood for building
   - Loosened and eroded soil
10. Cutting down trees
11. Using wood for cooking fuel
12. Increased settlement
   - Desertification
13. Malnutrition
14. Animals dying
   - Poverty
   - Erosion of traditional culture
15. Malnutrition
16. Animals dying
   - Poverty
Transforming the problem tree

When the problem tree is complete, the next step is to make a switch from problems to potentials – by thinking about a transformation of the tree. For each problem hanging on the tree, you imagine the desired situation and so convert the problem into an objective.

It is an important stage along the design process, because this is when you begin to determine the outcomes of a project. These are the two specific steps:

- Reformulating the problems into a desired positive situation;
- Drawing objectives that convert the original ‘cause-effect’ relationships into ‘means-ends’ relationships.

The new array of objectives will provide a picture of what the project hopes to achieve. In complex situations, there will be a number of main branches – and not all of them can be followed by a single project. So this is the time to distinguish different strategies – and to make choices according to your own resources. Other sets of objectives may have to be addressed by other projects. Also, some of the objectives might prove to be unattainable, so other solutions will need to be found – or the objectives abandoned altogether.

This is the transformed Korr tree:
MANAGING THE CYCLE
Project designs, proposals and monitoring reports

The Korr Objectives Tree

- Community organisation strengthened
- Human health improved
- Animal health improved
- New grazing lands identified and developed
- Animal population dispersed
- Increased income
  - Opportunities for developing agriculture opened up
  - Less people and animals dependent on Korr area
  - New grazing lands identified and developed
  - Human population dispersed
  - Animal population dispersed
- Land reclaimed
  - Soil conserved
  - Trees planted
    - Alternative building material identified and utilised
    - Alternative fuel sources identified and utilised
- Livelihoods enhanced
  - Populations of Korr stabilised
    - Additional boreholes provided over a wide area – dispersed water points
  - Amenities and facilities diversified over a wide area
  - Catholic church reviews its strategy
- Gradual adaptation of the nomadic way of life
  - Relevant school curriculum in place
- Restoration of traditional corporate values
  - Evolution of traditional culture
- Human health improved
- Animal health improved

Relevant school curriculum in place

Land reclaimed

Soil conserved

Trees planted

Future building material identified and utilised

Alternative fuel sources identified and utilised

Population of Korr stabilised

Amenities and facilities diversified over a wide area

Catholic church reviews its strategy

Opportunities for developing agriculture opened up

Less people and animals dependent on Korr area

New grazing lands identified and developed

Human population dispersed

Animal population dispersed

Land reclaimed

Soil conserved

Trees planted

Amenities and facilities diversified over a wide area

Catholic church reviews its strategy

Opportunities for developing agriculture opened up

Less people and animals dependent on Korr area

New grazing lands identified and developed

Human population dispersed

Animal population dispersed
Devising a strategy

As indicated above, the different clusters of objectives represent the possible strategies. In choosing which one to follow, these are the considerations:

- Relevance of the strategy;
- Priorities of stakeholders (both men and women);
- Capacities and experiences of the implementers;
- Interests and motivation of key stakeholders;
- Likelihood of success;
- Time and resources required.

Depending on the amount of work envisaged, the selected clusters may form a project or a programme – where a programme is regarded as a number of projects.

A Strategy for Korr

The problem analysis has shown that the Korr community faces two major problems – the erosion of the soil and the erosion of the traditional culture. Perhaps a strategy to deal with desertification would be, however challenging, nevertheless simpler than to deal with the issue of culture change. Some people would see this change as negative; others would see it as positive. Some would call it ‘cultural degradation’; others would call it ‘development’.

However, the immediate and pressing problem is the one of desertification. It might not be possible to reverse the settlement of Korr. It would not be realistic to move the people in an arbitrary manner. But it would be quite possible to create water points at suitably dispersed intervals in order to encourage a dispersal of people and animals. So this will become the priority strategy – to establish a wider grazing area.

It has also been shown that vegetation on land even as degraded as that of Korr can be restored – if protected from humans and their animals. So a second strategy will be to initiate afforestation schemes around Korr.

Third, more attention needs to be paid to the livestock marketing problems the people are facing. Here, cooperative structures are usually needed in order to organise transport to and from the main market in Nairobi. This is what has led to the establishment of the Pastoralists Association – a representative group of herders chosen to look after the interests of all the pastoralists of Korr. This will need to be strengthened and supported, so that it can play a strong consultative role in any major commercial or even resettlement project.

Finally, a comprehensive project would need also to explore potentials and support initiatives related to entrepreneurial activities other than the traditional livestock herding. What possibilities exist, for example, related to irrigated crop growing schemes?

And, in all this, it will be important to focus on the way in which the education provided in the area can focus on the realities of a community in transition – and so achieve a balance between respecting the traditional culture and opening up possibilities for adopting other livelihoods and other lifestyles.
Making the matrix

The outcomes of the situation analysis are used to develop a logical framework matrix (LFM). It is a display, a summary of the outcomes of the reflection and the negotiations that have taken place so far. Therefore, the quality of the LFM will depend on the quality of the process leading to its definition – and, of course, the expertise of the persons involved in that process. It is a summary of all the main components making up the project: the objectives, outcomes and activities; the main indicators or targets and how they can be verified; a record of the assumptions related to any important external factors that might influence the execution; and an overview of the resources needed for implementation.

It provides a basis for checking the feasibility of the project, presents the intervention logic of the intended interventions, and describes assumptions and risks that underlie this logic. A well designed LFM becomes the project’s master tool. At all stages of design and implementation it should promote systematic thinking, facilitate the monitoring of progress and the evaluation of achievements.

The LFM has four columns and four rows:

<table>
<thead>
<tr>
<th>Intervention Logic</th>
<th>Objectively Verifiable Indicators</th>
<th>Sources of Verification</th>
<th>Assumptions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Development/Overall Objective</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Purpose</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Outputs/Results</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Activities</td>
<td>Means</td>
<td>Costs</td>
<td></td>
</tr>
</tbody>
</table>

The Vertical Logic

The first column sets out the basic strategy underlying the project. This is often referred to as the ‘intervention logic’ – or ‘vertical logic’. Once the Activities are carried out, the Results will be realised – which will fulfil the Project Purpose and so contribute to realising the Overall Objective.
The **Overall Objective** (some donors call it ‘development objective’; others, the ‘overall goal’) is a sector-wide objective to which the project is only contributing – along with other projects in the same sector. It is described in terms of long-term benefits to final beneficiaries and the widespread benefits to other groups. In the ‘objectives tree’ it would be one of those growing right at the top – one that describes very long-term benefits for society or the sector, to which the project purpose will contribute.

**An Overall Objective for Korr**

To achieve more sustainable livelihoods and more satisfying lifestyles for the peoples of Kenya’s arid lands

The **Project Purpose** (also known as ‘immediate’ or ‘specific objective’) is the objective which the project is actually designed to meet – as a contribution to the development objective. It records the sustainable benefit for the target group. It is, then, the key responsibility of the project to achieve its Project Purpose.

It is better to formulate only one Project Purpose. Having more can lead to a lack of focus. Having more usually indicates that the project design is over-ambitious – or the strategy is a fairly wide-ranging and likely to be a superficial one.

In the ‘objectives tree’ the Project Purpose is identified with regard to benefits it will bring to the beneficiaries. For the other objectives on the same level, another logical framework should be designed – or they should be regarded as assumptions to be dealt with by other agencies

**A Project Purpose for Korr**

To establish sustainable and productive environmental management practices in the Korr area

**Results** are also known as ‘outputs’. They are facilities or services that will be established by the project. But, in a capacity building project, they can also be formulated as competencies. It is crucial that the results are clearly identified and distinguished, because they are the description of the concrete things that the project will put in place – and leave behind. They are also the foundation for determining the project’s activities.

In identifying the Results, it might be helpful to select the objectives on the tree that lead to achieving the Purpose. Additional Results can, of course, be included, following a supplementary analysis of the project strategy.

Conventionally, Results are defined by using a past participle: ‘... built’ ‘... in place’.... ‘operational’
The Results for Korr

- Afforestation schemes established
- Dispersed water points constructed
- Alternative, environmentally sustainable, income generating activities in place
- Community organisations strengthened

**Activities** are the actions that must be taken in order to achieve the ‘Results’. Again, select from the tree those objectives that produce the results. Define them in an ‘active’ manner: ‘Procure...’ ‘Provide...’ ‘Train...’ ‘Organise...’ ‘Co-ordinate...’
Relate Activities to Results by attributing numbers to each Activity, to maintain the means-to-end relationships.

**Korr Outputs / Results**

1. Afforestation schemes established
2. Dispersed water points constructed
3. Alternative, environmentally sustainable, income generating activities in place
4. Community organisations strengthened

**Korr Activities**

1.1 Establish one tree nursery adjacent to Chief’s Camp
1.2 Establish and facilitate at least three environmental management committees (EMCs)
1.3 Distribute seedlings to EMCs
2.1 Locate suitable sites for wells
2.2 Establish at least 10 water point management committees
2.3 Train at least 10 WMCs on maintenance procedures and committee organisation
3.1 Establish pilot irrigation scheme
3.2 Distribute seeds to participating households
3.3 Conduct demonstrations on crop husbandry
3.4 Advise on marketing opportunities and processes for horticultural produce
4.1 Review and revise constitution of Pastoralists Association (PA)
4.2 Implement training for PA members on committee procedures, financial management, etc
4.3 Implement orientation workshops for local councillors – related to project strategy
The Horizontal Logic

Objectively Verifiable Indicators (OVIs), found in the second column, are an elaborated description of the overall objective (sometimes), project purpose and results in measurable terms of quantity, quality, target group(s), time and place. They should be defined during identification and formulation stages. However, during the implementation phase they will be specified in greater detail and tailored to the needs of the operation to allow for effective monitoring.

Complex and numerous OVIs can lead to high costs if they entail a lot of research and expenses during monitoring. The element of cost should, therefore, be the main guiding factor when trying to choose OVIs for which data is easier to obtain.

A good OVI should incorporate the following elements:

- Quantity: How much?
- Quality: To what degree?
- Target group(s): Who?
- Place: Where?
- Time or period: Starting when and for how long?

OVIs for the project purpose should incorporate the notion of ‘sustainable benefits for the target group’.

### OVIs for Korr

Some examples:

- 2,000,000 indigenous trees planted in Korr area by year three of the project
- 5 afforestation schemes established in Kar and Kerr locations by year three of the project
- 10 water points constructed in Karr, Kerr and Kirr locations by year two of the project
- 10 water point management committees trained in maintenance of the water facilities
- Maize and vegetable plots established in at least 50 households by end of second year

### Means

Means are the inputs necessary for carrying out the planned activities. They should be summarised at the bottom row of the second column. They will also be specified in more detail when preparing an activity or implementation schedule. But even in the logframe summary, the distinction should be made between inputs related to human resources and those related to material resources.

So, identifying the Means is a matter of working out the human, material and financial resources necessary to carry out the planned activities. Also, it is necessary to note the human, material and financial resources needed for management and support activities not indicated in the LFM – resources to set up or run a project office.
Sources of Verification (SOV), found in the third column, indicate where and in what form evidence is found for progress made in achieving OVIs. They help to test whether or not the indicator can be realistically measured within a reasonable amount of time and at a reasonable cost in terms of money and effort. They come in the form of progress reports (quarterly, yearly), project accounts, project records, official statistics, monitoring and evaluation reports, mid-term review reports, etc.

Here are four steps to take in deciding on the SOVs to be included in the logframe:

- Decide which SOVs are needed in order to obtain information on OVIs;
- Identity the existing information – inside and outside the project – which needs to be collected, processed and kept within the project;
- Check sources outside the project to ensure that they are specific, reliable, and accessible – and that the costs of obtaining them are reasonable;
- Replace those OVIs for which no suitable Sources of Verification can be found – or for which the data collection would be too complicated or expensive.

The Costs appear at the bottom row of the third column. This is usually a summary of the budget and, where necessary, the contribution of each partner specified; for example, the government, donors or beneficiaries.

So you will need to calculate the cost of the resources – human and material – as established in the Means column – and how they will be attributed. So what appears in the logframe is classified according to how the budget is shared among the donor(s), government, beneficiaries.

Assumptions, found in the fourth column, are external factors outside the direct control of the project that might influence the achievement of the project’s Activities, Results, Project Purpose and Overall Objectives. So the Assumptions that connect Results to Project Purpose are the critical success factors.
A first way of identifying assumptions is to use the objectives tree and note those objectives not covered by the intervention logic (in the first column) but that are important for the success of the project. For these and to identify others, the question to be asked is: ‘What external factors are not influenced by the project, but may affect its implementation and long-term sustainability?’

**Some Kor Assumptions**
- The people of Kor are willing to engage in project activities
- Conflict situations do not disrupt project’s action plan
- Weather conditions do not adversely effect crop production

You can use the chart below to assess the validity of assumptions – and whether to include them in the logframe:

**Summary**

<table>
<thead>
<tr>
<th>Description</th>
<th>It explains….</th>
</tr>
</thead>
<tbody>
<tr>
<td>Overall Objective</td>
<td>Why the project is important</td>
</tr>
<tr>
<td>Project Purpose</td>
<td>Why the project is needed</td>
</tr>
<tr>
<td>Results</td>
<td>What the project will deliver</td>
</tr>
<tr>
<td>Activities</td>
<td>What the project will do</td>
</tr>
<tr>
<td>Means</td>
<td>What is required</td>
</tr>
<tr>
<td>Costs</td>
<td>What the project costs are</td>
</tr>
</tbody>
</table>
### The Korr Logframe

<table>
<thead>
<tr>
<th>Intervention Logic</th>
<th>Objectively Verifiable Indicators</th>
<th>Sources of Verification</th>
<th>Assumptions</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Development/Overall Objective</strong></td>
<td>To achieve more sustainable livelihoods and more satisfying lifestyles of the peoples of Kenya’s arid lands</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Purpose</strong></td>
<td>To establish sustainable and productive environmental management practices in the Korr area</td>
<td></td>
<td>The people of Korr are willing to engage in project activities</td>
</tr>
<tr>
<td><strong>Outputs /Results</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Afforestation schemes established</td>
<td>• 2,000,000 indigenous trees planted in Korr area by year three of the project</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• 5 afforestation schemes established in Karr and Kerr locations by year three of the project</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Dispersed water points constructed</td>
<td>• 10 water points constructed in Karr, Kerr and Kirr locations by year two of the project</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Alternative, environmentally sustainable, income generating activities in place</td>
<td>• Maize and vegetable plots established in at least 50 households by end of second year</td>
<td></td>
<td>Weather conditions do not adversely effect crop production</td>
</tr>
<tr>
<td>4. Community organisations strengthened</td>
<td>• 10 water point management committees trained in maintenance of the water facilities</td>
<td></td>
<td>Conflict situations do not disrupt project’s action plan</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Activities</th>
<th>Means</th>
<th>Costs</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1 Establish one tree nursery adjacent to Chief’s Camp</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.2 Establish and facilitate at least three environmental management committees (EMCs)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.3 Distribute seedlings to EMCs</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.1 Locate suitable sites for wells</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.2 Establish at least 10 water point management committees</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.3 Train at least 10 WMCs on maintenance procedures and committee organisation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.1 Establish pilot irrigation scheme</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.2 Distribute seeds to participating households</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.3 Conduct demonstrations on crop husbandry</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.4 Advise on marketing opportunities and processes for horticultural produce</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.1 Review and revise constitution of Pastoralists Association (PA)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.2 Implement training for PA members on committee procedures, financial management, etc</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.3 Implement orientation workshops for local councillors – related to project strategy</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Checking the quality of the logframe

The following questions can/should be asked to run a check on the logframe you have constructed:

- Is the vertical logic complete and consistent?
- Are the indicators and sources of verification realistic and accessible?
- Are assumptions valid and sufficient?
- Is the likelihood of success reasonably strong?
- Are the benefits likely to justify the costs?

It might well be useful to ask an independent person – someone not involved in the drafting – to carry out such a check.

Predicting sustainability

Project designs should also be checked for the likelihood of sustainability. A project can be said to be sustainable if it can continue to deliver benefits to the target group for an extended period of time after the main donor funding has ended.

The following questions can be asked in relation to sustainability:

- Have the beneficiaries really participated in the design of the project, to the extent that they are likely to provide support during implementation and at the exit stage?
- Does the project fit into a rational policy and development planning framework?
- Will it use appropriate technologies?
- Will it have respect for socio-cultural values of the beneficiaries?
- Will it be building the capacities of recipient institutions?
- Will there be a continuing source of funds?
- Will it take due regard of environmental protection?

If you get positive answers to all these questions, then there is a good chance that your project activities will survive the end of donor funding!
Chapter Three
Writing a Project Proposal

Be persuasive

If you have a good idea for a project and if you have thought through what would be needed to make it viable – then it would be a pity to fail in securing support because you don’t present your project effectively. This chapter will review the main elements of a conventional project proposal… but, first, let us note some key factors in setting out an argument.

In order to persuade someone that you have a good case, it is important that you anticipate any doubts that person might have. If, after your presentation, he still has questions to ask – then you haven’t persuaded him.

Here, then, is a sequence for conducting a rational discussion – and one that leads to persuasion:

1. Show that the problem you are addressing is an important one – one that calls for a concerted intervention.
2. Describe clearly your strategy for tackling the problem – the objective, the targets, and the activities.
3. Consider any alternative strategies – and show that your proposal is the more likely to succeed.
4. Reflect on any weaknesses or disadvantages in your own proposal – real or imagined – and show that, if real, they are outweighed by the strengths or advantages.

Whatever template or format you use for writing a project proposal, these four factors should be incorporated.

Keep the background relevant

One very common fault in proposal writing is to spend more time on the context than on the actual proposal. So many proposals say more about the geography and history of the location than about the problem that is being addressed and the actions that will be taken.

Here is just one example:

It begins with the geography: ‘Somalia is situated in the Horn of Africa. It has borders with Kenya, Ethiopia and Djibouti. Geographically it lies in the tropical and subtropical zones…’
It turns to the history: ‘Somalia became independent in July 1, 1960…’ After two pages, it is still continuing with the history: ‘Somalia as a nation-state ceased to exist after the collapse of the Somali government in 1991…’ And you still don’t know whether this is a project to do with primary education, basic health care, low-cost housing…. Any background section should deal only with those factors that are relevant to the project being proposed. Political history, for example, might be relevant in introducing a project concerned with human rights; rainfall patterns might be relevant in a project designed to increase water supplies; and traditional customs might be relevant in a project related to raising awareness about HIV/AIDS.

**Be precise in descriptions**

When you come to explaining your strategy, be as concrete as possible. Avoid this kind of vagueness:

‘We want to continue the positive development and to sustain previous achievements with high spirit and hope. In the former seven phases, emphasis was put on the training of paralegals, to equip them with basic legal knowledge. Now the programme has passed this larvae stage and it needs to launch a community outreach programme. It aims to build a very solid foundation, starting with keeping in touch with organised groups such as CBOs, women’s groups, youth, etc – and to identify unorganised interest groups with an attempt to exhort to be organised.’

The problem here is that the proposal does not say what will actually be done in the community outreach programme. It certainly is not very convincing to suggest that the main purpose will be to ‘keep in touch’ with organised groups (to what end?) or to ‘attempt to exhort to be organised’ whatever unorganised interest groups are identified (again, to what end?)

**Give sufficient information**

Here is an example from an actual project proposal concerned with support to internally displaced persons (IDPs):

‘**Objective:** To enhance the standard of living of the minority IDPs in Bosaso

**Output:** Standard of living of the minority IDPs enhanced

**Activity:** Creation of quick impact income-generating projects through micro-finance

**OVI:** 20 income generating projects realised.’

Apart from the fact that the ‘output’ merely restates the ‘objective’, the information here is too skeletal. It prompts the questions:

- How will the ‘quick impact income-generating projects be created?’
MANAGING THE CYCLE
Project designs, proposals and monitoring reports

(Will, for example, the micro-finance mechanisms be managed by the project implementers – or by existing micro-finance organisations already active in the target area?)

- What does ‘quick-impact’ mean?  
(Presumably, it means that the financial returns will be realised in the short-term rather than the long-term. It would therefore be appropriate to cite some examples in the project proposal: a transport business, say, or marketable crops.)

- What level of micro-finance is envisaged?  
(Here, it would be important to give the envisaged range of loans – say, from $500 to $5,000)

- What criteria will be used in selecting beneficiary groups or individuals?  
(Will the project, for instance, target the poorest of the poor or those who would seem to have better chances of making a success of a business enterprise?)

- How will interested parties apply for financing?  
(It would also be important to describe the envisaged mechanisms for informing the community about the opportunities – and how they should apply.)

Be specific in budgets

Although it is not always necessary, or possible, to make a detailed budget for a project proposal, nevertheless you should always indicate that you have worked out whatever figures you present on the basis of certain unit costs.

Here, for example, is a possible section of a budget for a training programme proposed for the Korr Pastoralists Association:

<table>
<thead>
<tr>
<th>Capacity Building Budget for Korr Pastoralists Association</th>
</tr>
</thead>
<tbody>
<tr>
<td>Accommodation for 2 x 5 day workshops for 24 participants each workshop @ Ksh 2,500 per day (2 x 5 x 24 x 2,500)</td>
</tr>
<tr>
<td>Transport for 24 participants for 2 workshops @ Ksh 150 per participant (24 x 2 x 150)</td>
</tr>
<tr>
<td>Two facilitators per workshop @ Ksh 12,000 per day (2 x 5 x 2 x 12,000)</td>
</tr>
<tr>
<td>Hire of training venue @ Ksh 1,000 per day (10 x 1,000)</td>
</tr>
<tr>
<td>Hire of equipment @ 1,500 per day (10 x 1,500)</td>
</tr>
<tr>
<td>Materials (handouts, notebooks, etc) @ Ksh 250 per person per workshop (24 x 2 x 250)</td>
</tr>
<tr>
<td>Sub-Total</td>
</tr>
</tbody>
</table>

Use a consistent and accepted framework

The structure of the proposal should follow a conventional format – such as the one presented in Toolkit Item 5

Title Page: The title of the proposal; name of the organisation presenting it – and the date of submission.
Contents: The list of main and sub-sections of the document – with page numbers.

Abbreviations: A list of abbreviations or acronyms used throughout the document.

Executive Summary: A summary of the main points of the whole proposal – though it should concentrate on explaining the significance of the problem that is being addressed, and the actions that are being proposed.

Introduction: The introduction should begin with a very brief description of the project’s key objective – in order to put the reader immediately in the picture about the main content of the proposal. It should give an outline of the project’s strategy. Finally, it should explain the structure of the proposal.

Context: This is what is usually called the ‘background’ section. As argued earlier, it is advisable to avoid an encyclopaedia-type description of the project area. Instead, focus on only those factors that are relevant to the problem analysis. Trace any history of previous and similar interventions in the same area – and explain how the proposed project will complement any other current initiatives.

Implementation Strategy: This is the key section in as much as it sets out in a narrative form the development objective, the project purpose, the outputs and the main activities that will be summarised in the logframe matrix as an annex.

Quality Factors: These are what some donors call ‘cross-cutting issues’. Here, the focus is on the following factors:
- The policy climate within which the project will be operating, emphasising how the project will fit in with national or local development priorities;
- The extent to which the project will assist in reducing poverty within the target community;
- The manner in which, if relevant, the project will particularly involve women;
- The manner in which, again if relevant, the project will lead to the conservation of the environment and the sustainable use of natural resources.

Assumptions and Risks: An analysis of any external factors that might influence the implementation of the project. Assumptions are those conditions that need to be met before the project can achieve its objectives; risks are those conditions that could jeopardise the project’s activities.

Project Management: The section in which the implementation partners are identified, what the organisational structure will be; how the project will be staffed, and what management procedures will be followed for monitoring, for example, and reporting.

Budget: A breakdown of estimated costs for all the main components of the project.

Annexes: One essential item in the annexes is the logframe, but other information can be included – particularly any additional background information.
Part Two

Monitoring Projects, Drafting ToR for Evaluations and Writing Project Reports
The meaning of monitoring

Monitoring is a matter of checking on a project’s progress. If the project is well designed, has well-defined indicators, then progress is easier to measure.

It is difficult clearly to distinguish between monitoring and evaluation. But monitoring is a snapshot process, a view of a project at a particular time, whereas evaluation is a more sustained investigation, and one that takes more account of the past as well as shows more concern for the future – by concentrating on lessons learnt. Monitoring should occur at regular intervals throughout the life of a project; evaluation is usually done in the middle or at the end. Monitoring is more concerned with process; evaluation is more concerned with product. Monitoring, then, is more a mechanism for project managers and supervisors – and evaluation is more a guide for project planners and sponsors.

Nevertheless, monitoring and evaluation focus on the same main issues – the ones explored in the next sections.

Three themes

A comprehensive monitoring system should take a look at the past, the present and the future. Its three main themes are:

- Relevance
- Effectiveness
- Sustainability

To assess *relevance* is to reflect on the significance of the needs being addressed and to review the appropriateness of the project design – whether it is structured in a manner to hit the targeted problems.

To measure *effectiveness* is to consider the efficiency of implementation, the suitability of the approach, and actual utilisation of facilities or services.

To predict *sustainability* is to judge the project’s potential for carrying on without external assistance.
Key questions

Under each of the three themes, the following are the questions that monitors should ask:

Relevance
- Was the original design well conceived?
- How well has the project adapted during implementation?
- How valid were the assumptions made and risks anticipated?

Effectiveness
- Are project inputs and activities on time, at planned cost, and well managed?
- How well has the project adapted to external factors?
- Are the benefits being received by the planned beneficiaries?
- How flexible has the project been in response to changing needs?
- If there are unplanned effects, are they positive or negative?

Sustainability
- What is the level of policy support?
- How well is the project contributing to capacity building?
- How well is the project addressing relevant socio-cultural issues?
- Are environmental issues being taken into account?
- Will funds be available to support results beyond the life of the project?
- How are ‘lessons learnt’ captured and communicated?

Giving grades

If you are devising a monitoring system within which grades are given – as a way of summarising judgements about a project’s progress – then the following three principles should be kept in mind:

- Choose an even number: because, otherwise, many monitors would ‘play safe’ and opt for the middle – or ‘average’ – grade;
- Clarify criteria: explain the meaning of each grade;
- Present the conclusions from which the grades are derived: because, otherwise, only the comparative assessment is indicated.

The following grading categories are adapted from the European Commission’s system that is used for monitoring the projects that it funds.

Grade A
- Very good project
- According to plan or better than planned
- Every indication that its objectives will be achieved
**Grade B**
- Good project
- Broadly progressing as planned
- Only few corrective measures needed

**Grade C**
- Project has some problems
- Without corrective measures it will not achieve its objectives

**Grade D**
- Project has serious deficiencies
- Needs either substantial corrective measures
- Or the project should be terminated

Monitoring, then, is an information gathering exercise that is based on project documentation and interviews with project parties. It gives an overview of project implementation and is a speedy and effective way of providing brief and informative reports on progress.

In Toolkit Item 7 you will find checklists for carrying out a monitoring exercise.
Chapter Five
Drafting Terms of Reference for Evaluations

As said in the previous chapter, evaluation is a more sustained investigation than monitoring. Whereas monitoring is more concerned with the ‘process’ of a project, evaluation is more concerned with its ‘product’. Evaluation takes more account of the past. And it also shows more concern for the future – by concentrating on lessons learnt. Often, it is carried out by external consultants.

The focus of this chapter is advice for those project managers who have the task of writing terms of reference (ToR) for evaluations. It draws on a set of guidelines issued by the EC\(^1\). Here is a suggested format and outline:

A. Introduction

Briefly describe the project or programme to be evaluated, the nature of the evaluation (whether it is a mid-term review, a final evaluation, or one set up in special circumstances), and the timetable.

B. Context

Summarise the situation analysis that led to the project, its objectives and main components, its location, duration, budget – and any key factors that have emerged in the course of implementation.

C. Objectives of the evaluation

Explain why the evaluation is being carried out – whether to check on progress, facilitate a re-orientation, draw lessons for future actions, prepare for a new phase, etc.

D. Issues to be studied

The analysis should focus on the same three themes explored above in the chapter on monitoring – relevance, effectiveness and sustainability – but the ToR should be quite specific about any particular questions, related to these themes, to which the evaluation should give answers.

For example,

On relevance of project design, there might be questions about the validity of the original problem analysis, the validity of the assumptions made, or the strategy chosen.

On effectiveness, there could be questions about the speed of implementation, the reaching of targets, the level of expenditure, the quality of management, extent of addressing cross-cutting issues such as gender, environment and governance.

\(^1\) EC, Guidelines for Drawing up Terms of Reference for Evaluations, Brussels, February 1999.
On sustainability, there should be questions about government support, capacity building for individuals and institutions.

### E. Plan of work

Outline possible methodology: documents to be studied, beneficiaries to be contacted, groups to be consulted, fieldwork to be carried out, data to be collected and workshops to be conducted.

### F. Expertise required

Indicate the number of consultants, their required qualifications and expertise. Comment on the need for local members in the team.

### G. Reporting

Indicate the types of report needed: whether inception, de-briefing note, draft report, final report. Specify the language, date of delivery, number of copies, recipients. Set time limits for receipt of comments and for subsequent amendments to the draft.

### H. Time schedule

Repeat duration and timing of the study. State deadlines for submission of reports, allowing a minimum of three weeks for comments on drafts. Allow also for briefing and de-briefing missions for client and project managers.
Chapter Six
Writing Reports

Echoing the three principles

Let us recall the principles discussed in the introductory section: That the intervention we design, the monitoring tool we use or the paragraph we write, should all be relevant; the project plan, the monitoring system or the progress report, should all be coherent; the implementation methods, the key observations or the style of writing, should all be emphatic.

In terms of writing reports, then:

- Maintaining relevance is a matter of including only those facts, issues or recommendations that are of significance; by, for example, in a monitoring report following the three theme format discussed in the previous chapter.
- Being coherent is being logical and systematic – making sure that a report is clearly structured.
- Achieving emphasis is writing in a manner that catches your readers’ attention, arouses their interest – and, even, makes them smile.

Getting it right

Being correct is also important. Negative impressions are created when reports are full of mistakes related to incorrect spellings, inappropriate or inconsistent capitalisation, misplaced punctuation and ungrammatical constructions.

On the other hand, positive impressions are created by choosing the most precise words, varying the length of sentences, using an active rather than passive voice, varying punctuation – using colons, semi-colons and dashes as well as commas and full-stops.

Correct and emphatic writing results from:

- Keeping it simple;
- Being accurate;
- Being consistent;
- Making things clear;
- Making the layout attractive.

Some shortfalls

What follows are some of the common shortfalls in report writing:
• Being brief without being precise;
• Describing what has happened without analysing its significance;
• Failing to identify lessons learnt;
• Relying too-much on ‘cut and paste’ technique – which leads to repetitions and irrelevances;
• Failing to measure the extent to which indicators have been achieved;
• Misunderstanding the terminology of the logframe;
• Making unsubstantiated claims (eg. ‘The seminar was a great success’; ‘The activities of the project were greatly appreciated by the community’).
• Making few attempts to match achievements against intentions – to assess progress with work plans;
• Writing in general rather than specific terms – and so provoking the question, ‘But how?’ (eg. ‘To mainstream HIV/AIDS in all project activities…’).
• Not using a consistent structure;

And to help you in finding consistent structures there are templates for project progress reports and workshop reports in Toolkit Items 8 and 9.
Occasionally, it might be appropriate – even necessary – to ‘ease’ people into a situation analysis mode. The ‘Talking Pictures’ exercise can, however, do more than relax a group – it often enables workshop participants to express negative or critical things that they might find difficult to put into words.

The only materials you need are flipchart size paper and coloured felt pens.

You divide the participants into clusters. If it is an organisation you are examining, the clusters can be made up of people who share the same function or occupy the same level in a hierarchy. (In which case, the managing director, for example, would be doing the exercise on his own!)

You ask the clusters to make a drawing of the way they see the organisation or situation – focusing on issues that they feel are critical to the organisation’s structure or crucial to its performance. Put a ban on words!

When all have finished, display the pictures and explore their significances:

What are the pictures saying?
What issues need to be taken into account in the project design?

Example

An Outsiders’ View

The ‘outsiders’ presented a more panoramic view: a pot-holed road that leads to the unfenced, run-down centre with its empty stores and bushy compound.

‘The community does not seem to be concerned about the institution,’ the presenter said. ‘There is no sense of ownership. The compound has become a grazing ground for cows.’

The manager is scratching his head – there are so many questions for which he has no answer. And a group of students have chosen to walk on by – to look for chances elsewhere.

The picture raises a number of problematic issues:
- Dilapidated buildings;
- Lack of technical training equipment;
- Inappropriate curriculum;
- Lack of a sense of ownership by the community;
- Frustrated trainees
Toolkit Item 2

SWOT Analysis

The SWOT is a technique that is now widely used for assessing the performance of an organisation, a service, a project or, as in this case, a community. The initials stand for:

- **Strengths**: those internal factors that contribute to the well-being of the community;
- **Weaknesses**: those internal factors that are working against the community’s well-being;
- **Opportunities**: those external factors that could be of help in increasing livelihoods and leading to more satisfying lifestyles;
- **Threats**: those external factors that could hinder or block the community’s aspirations.

In conducting a SWOT analysis, the kinds of question to ask are:

**To assess strengths:**
- What are the things or activities in the current situation that are continually successful?
- What is working well?
- What valuable qualities, skills and experience does the community have?
- What important resources are available to it?
- What advantages does it have?
- What can it claim is unique?

**To assess weaknesses:**
- What continually goes wrong?
- What are the things that the community needs to improve?
- What is lacking – in terms of qualities, skills, experiences?
- What is lacking – in terms of resources?
- What do other communities do better?

**To assess opportunities:**
- What is the untapped potential of the community’s existing resources, skills and experience?
- What situations exist – or will likely exist in the future – that could be turned to advantage?
- What are the ‘good ideas’ that people have discussed but never actually tried out?

**To assess threats:**
- What could threaten the community’s very survival?
- What could stop it from achieving its goals?
- What could diminish motivation and reduce effectiveness?

When answering these questions, try to avoid guesswork – and deal only with what exists, and not what should be the case! When you have finished this analysis, you can follow it
up by identifying the key issues that emerge – and then make a preliminary attempt at action planning by brainstorming on what should be done to address them.
## A SWOT for Korr

<table>
<thead>
<tr>
<th>Strengths</th>
<th>Weaknesses</th>
<th>Potentials</th>
<th>Threats</th>
</tr>
</thead>
<tbody>
<tr>
<td>The people of Korr have learnt to survive in their arid lands; They have a centuries-old tradition of pastoralism – and they are experts in reading the weather signs, in finding water, and in herding their camels and other livestock; They have a history of cooperation which, though diminished, could be revived; They have the support of external agencies such as the Catholic Church; Government extension agencies are present in the area; The people have begun to form their own development-oriented organisations such as the Pastoralists Association</td>
<td>The land surrounding Korr has been degraded by overgrazing and tree-cutting – there are too many people and too many cattle concentrated because of the well dug by the Church; The traditional inclination towards cooperation has been diverted; Traditional values are being weakened by those other values associated with the commercial and entertainment attractions of the settlement; Korr is a place remote from the centres of political and economic power; The area has little in the way of roads, buildings and other facilities; The people of Korr are marginalised; After going to school, the more able children are leaving Korr in search of jobs; There are few alternative ways of earning a living in Korr</td>
<td>If protected, then the vegetation would revive; There are possibilities for diversifying water points over a wider grazing area; Water could be used for growing crops by irrigation; There are possibilities of donor support</td>
<td>Unless action is taken, the increasing process of desertification will take its toll on the animals and on the people; Unless the people change their livestock management practices, they will become destitute; Unless more income-earning opportunities are opened up – and training opportunities provided – the young will drift into unemployment</td>
</tr>
</tbody>
</table>
Having carried out a situation analysis and having set objectives, the key question to be asked is: What can prevent us from achieving them – what obstacles are in the way?

Unfortunately, there are many things that could get in the way of plans, such as:

- People, the intended ‘beneficiaries’, are not interested;
- Staff are not available, not trained, not motivated;
- The funds are not sufficient;
- Equipment is not available;
- The weather is unfavourable;
- Influential leaders are opposed…..

One way to conduct a systematic review of obstacles is to engage in an exercise called ‘force field analysis’.

Any problem situation can be seen as a field of forces working in opposite directions. There are the ‘driving’ forces – those that are actually helping us to achieve our objective. And there are ‘restraining’ forces – those that are hindering us from reaching our objective. There are two main tasks in doing the exercise: first, identifying both sets of forces; second, assessing how the restraining forces can be counteracted and the driving forces increased. If we can do this, we can break through the barriers and move in the direction we wish to go.

This is a brainstorming exercise you can do on your own or in a group. The procedure is quite simple:

- Summarise the problem at the top of a large sheet of paper or a blackboard;
- Underneath write the objective you have defined;
- Draw a line down the middle of the sheet;
- On the right-hand side, identify and list all the restraining forces – those factors that will have a negative influence on the achievement of the objective;
- On the left-hand side, identify and list all the driving forces – those factors that will have a positive influence on the achievement of the objective;
- Analyse both sets of forces, asking yourselves, ‘How can the restraining forces be reduced or weakened?’ ‘How can the driving forces be strengthened?’ ‘Can new driving forces be added?’
- In this last step you will be generating ‘action points’ that will form the basis of your action plan.

Over the page, there is an example based on our analysis of the Korr experience.
**Project Purpose:** To establish sustainable environmental management practices and productive income generating activities in the Korr area

<table>
<thead>
<tr>
<th>Driving forces</th>
<th>Restraining forces</th>
</tr>
</thead>
<tbody>
<tr>
<td>• People’s desire for a better way of life</td>
<td>• Scarcity of water</td>
</tr>
<tr>
<td>• Traditional knowledge – about the area, about livestock</td>
<td>• Lack of community organisation</td>
</tr>
<tr>
<td>• Contact with government extension agencies</td>
<td>• Reluctance to work cooperatively</td>
</tr>
<tr>
<td>• The Church’s interest in promoting development</td>
<td>• Resistance to new livestock management practices</td>
</tr>
<tr>
<td>• Educational opportunities</td>
<td>• Attraction of the township</td>
</tr>
<tr>
<td>• Existence of community-based organisations – some involving women</td>
<td>• Lack of alternative income generating opportunities</td>
</tr>
<tr>
<td>• Examples of successful development initiatives in similar areas</td>
<td>• Negative views about the pastoralist lifestyle</td>
</tr>
<tr>
<td>• Demonstration that vegetation in such arid areas can regenerate if protected</td>
<td>• Adherence to traditional ways of thinking</td>
</tr>
<tr>
<td>• Possibilities for diversifying water points</td>
<td>• Impacts of education opening opportunities elsewhere</td>
</tr>
<tr>
<td>• Possibilities of donor support</td>
<td>• Poor marketing opportunities</td>
</tr>
</tbody>
</table>

**Action Points**

1. Identify alternative water sources
2. Develop wells at sufficiently dispersed distances
3. Facilitate dispersal of people and animals
4. Establish afforestation schemes in the Korr area
5. Strengthen community organisations concerned with cooperative marketing schemes
6. Encourage participation of more women in CBOs
7. Promote awareness raising programmes about environmental issues and sustainable utilisation of resources – through extension agencies, schools, church and CBOs
8. Establish trading centres in dispersed settlements
When a project is going to incorporate a capacity building component, it might be useful to carry out a training needs assessment for the target group. A ‘competency model’ workshop is a quick but efficient way of doing this.

**Sequence**

- Bring together representatives of the target group.
- After explaining the purpose of the occasion, begin the workshop with a review of the participants’ main functions and responsibilities.
- Ask the participants, in small groups, to brainstorm a list of the competencies they need to have for an effective performance of their functions – distinguishing between knowledge and skills (between knowing about something and knowing how to do something).
- Log the results and agree a final list with the whole group.
- Ask the participants to rate themselves by constructing an assessment graph that contains all the agreed competency components. Explain the significance of the ‘adequacy line’ that represents ‘knowing just enough to get by’. Here is how a graph looks:

**Example**

**Competencies of a Water Management Committee**

<table>
<thead>
<tr>
<th>Knowledge of</th>
<th>Score (1-10)</th>
<th>Skills in</th>
<th>Score (1-10)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Committee’s Constitution</td>
<td>7</td>
<td>8. Basic bookkeeping – recording purchases, income</td>
<td>2</td>
</tr>
<tr>
<td>2. Individual committee member’s experience and expertise</td>
<td>9</td>
<td>9. Running and participating in a committee meeting</td>
<td>3</td>
</tr>
<tr>
<td>4. Location of water sources in Korr</td>
<td>5</td>
<td>11. Community mobilisation</td>
<td>2</td>
</tr>
<tr>
<td>5. Environmental issues related to water management and soil conservation</td>
<td>3</td>
<td>12. Literacy</td>
<td>3</td>
</tr>
<tr>
<td>7. Government policies related to the ownership and management of water resources</td>
<td>1</td>
<td>14. Project monitoring</td>
<td>1</td>
</tr>
</tbody>
</table>
Remember that this is the participants’ own perceptions of the extent to which they have acquired the various competencies. But it can be a useful indicator of what a training programme should concentrate on – by noting, particularly, those competency scores that fall below the wavy red line – the adequacy line.
Toolkit Item 5
Template for a Project Proposal

Title Page
Contents
Abbreviations
Executive Summary
1. Introduction
   1.1 Description of project purpose
   1.2 Outline of main strategy
2. Context
   2.1 Problem analysis
   2.2 Record of previous interventions
   2.3 Acknowledgement of other current initiatives
3. Implementation Strategy
   3.1 Development objective
   3.2 Project purpose
   3.3 Outputs and main activities
4. Quality Factors
   4.1 Policy climate
   4.2 Poverty targets
   4.3 Gender issues
   4.4 Environmental issues
5. Assumptions and Risks
6. Project Management
   6.1 Implementation partners
   6.2 Organisational structure
   6.3 Management procedures
7. Budget
8. Annexes
   A. Logframe
   B. Additional information
Community Action Against Violence (CAAV) in Mathare
January - December 2004

Pilot Phase

Proposal Presented to Diakonia – Sweden

Contacts:
Jerum Mutua
Executive Director
CAAV
P.O.Box 61174 – 00200
Nairobi
Tel: 2721249
Email jemuts@caav.org

Anne Khasiani
Project Coordinator
CAAV Mathare
C/O 61174 – 00200
Nairobi
Tel: 792006
Email Khasanne@caav.org
MANAGING THE CYCLE
Project designs, proposals and monitoring report

Abbreviations

CAAV  Community Action Against Violence
COVAW  Coalition on Violence Against Women
CSO  Civil Society Organisations
FIDA  Federation of Women Lawyers
IGA  Income Generating Activities
MEDICO-LEGAL  Medical and Legal Network on Gender Based Violence
VAW  Violence Against Women
Executive Summary

The fundamental aim of the project is to sensitise and mobilise the Mathare slum community so that they can combat domestic and sexual violence. It will raise awareness of women’s rights and will contribute to enhance the dignity of women as full and equal citizens.

Instances of domestic and sexual violence have been on the increase in the Mathare community and, because there have been no immediate interventions, the victims have been further marginalised. Many of these victims are women.

To address this very serious problem, Community Action Against Violence (CAAV) proposes to promote a spectrum of initiatives. The project will engage with a number of partners, with a view to strengthening their networking and collaboration, in order to achieve more wide-ranging and more sustainable results.

The Project Purpose is to reduce the incidence of domestic and sexual violence in the Mathare slum.

The Project Period is January 2004 to December 2004.

Project Cost: Ksh. 16,896,705
The amount requested from Diakonia is Ksh.16, 896,705, or approximately USD 215,000.

1. Introduction

1.1 Description of Project Purpose

This project aims to mobilise communities to work towards the reduction of domestic and sexual violence against women in Mathare. The project will target 3,000 abused women who will be facilitated to form support groups for sharing of experiences as well as group counselling. The project will also aim to raise awareness and increase the sensitivity of the general public and law enforcement officers in the area – about the issue of violence against women.

1.2 Main Strategies

The project will employ the following strategies:

- Establish a referral and coordination office in the area;
- Facilitate the establishment of support groups for abused women;
- Train community trainers and facilitators;
- Support the emergence and development of a network of organisations dealing with VAW in Mathare area for the purposes of coordination and harmonisation of responses to the problem;
- Promote public awareness through the use of theatre, music, audio-visual shows, public barazas, publicity materials and workshops.

In addition, the project will support lobbying and advocacy initiatives with a view to influencing policy change – especially in relation to the implementation of laws that are sensitive to issues of VAW. And given the correlation between poverty and violence against women, the project will also support income generating initiatives (IGA) for women survivors of violence – and for the sustainability of the support groups.
2. Context

2.1 Problem analysis

Recent years have seen an unprecedented increase in levels of domestic and sexual abuse against women in Mathare. The problem results from such as the following:

- The deep-seated patriarchal attitudes of men and the accepting attitudes of women;
- The physical slum set up which enhances a culture of violence and inhibits interventions;
- Inadequate security;
- Discriminatory attitudes among law enforcement officers;
- Fatalistic attitudes among the community members.

To counter the given challenges the project will build on:

- Increasing awareness and sensitivity to the problem by the general public;
- Increasing the number of women ready to react against oppressive treatment;
- Presence of women groups in the community;
- Recent changes in government policies in relation to slums;
- Increasing number of institutions dealing with abused women
- Media support and influence for raising issues and increasing public awareness.

2.2 Record of previous intervention

Previous efforts to deal with the problem have been on an ad-hoc basis and mainly uncoordinated. These have resulted in duplication of efforts, wastage of resources, and they have had a very limited impact.

2.3 Acknowledgement of other current activities

Currently, the following organisations have began to undertake projects in Mathare: COVAW, FIDA and MEDICO-LEGAL Network. Their activities are, however, specific to particular components of the problem. For example, FIDA deals only with the legal aspects and it does not involve itself in supporting the establishment of support groups for survivors. On the other hand, COVAW focuses entirely on counselling. We therefore hope that through this project we can network all these responses for an increased impact.

3. Implementation Strategy

3.1 Development objective

- To improve women’s rights and dignity in Mathare.

3.2 Project Purpose

- To reduce the incidence of domestic and sexual violence against women in Mathare.

3.3 Outputs and main activities

- Support groups in place;
- Community awareness and sensitivity on VAW increased;
- Networks of organisations working on VAW established.
4. Quality Factors

4.1 Policy Climate

The project will challenge the biased implementation of existing laws and contribute to the development of a more appropriate legal framework in relation to VAW.

4.2 Poverty Targets

Some of the project’s activities will contribute to a reduction in the high level of poverty that results in so much frustration and leads to various social vices.

4.3 Gender Issues

In tackling violence, the project will challenge the unequal power relations between men and women. It will counter the social, political and economic marginalisation of women. And it will hold to account the cultural and religious practices that are biased against women.

5. Assumptions and Risks

There are four major assumptions related to the successful implementation of the project:

- Sufficient security prevails in the neighbourhood;
- The communities will give the project sufficient support;
- The local authorities will show their concern and goodwill;
- The implementing partners will be committed to networking and collaboration.

6. Project Management

6.1 Implementation Partners

The following stakeholders will be crucial for the implementation of the project:
FIDA, COVAW, MEDICOLEGAL, CSOs, local authorities, Ministry of Sports and Gender, women groups, church organisation, etc.

6.2 Organisational Structure

Appointed by the Project Board, the Executive Director will head CAAV in its operations and the Project Coordinator based in the Mathare slum will run the site coordination office, together with one administrative assistant. The field office will identify and work with 100 trainers at community level and facilitate the activities of the women support groups.

6.3 Management Procedures

- Executive Director will be responsible to the Project Board for matters regarding the strategic mission and policies of the project;
- Meanwhile the Project Coordinator will be responsible for the day-to-day management of the project, guided by a project steering committee and in collaboration with other stakeholders.
## MANAGING THE CYCLE
Project designs, proposals and monitoring report

### 7. Budget

<table>
<thead>
<tr>
<th>ACTIVITIES</th>
<th>Timeframe</th>
<th>BUDGET (Ksh)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>PROJECTS</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1. Baseline Survey</td>
<td>x</td>
<td>107,000</td>
</tr>
<tr>
<td>1.2. Community mobilisation</td>
<td>x x</td>
<td>20,000</td>
</tr>
<tr>
<td>1.3. Creation of support groups for 3,000 women</td>
<td>x x</td>
<td>2,600,000</td>
</tr>
<tr>
<td>1.4. Training of 100 community trainers/</td>
<td>x</td>
<td>6,115,000</td>
</tr>
<tr>
<td>1.5. Legal support to victims of violence.</td>
<td>x</td>
<td>100,000</td>
</tr>
<tr>
<td>1.6. Support for IGA for survivors of violence</td>
<td>x</td>
<td>1,090,000</td>
</tr>
<tr>
<td>2.1. 6 Community sensitisation workshops</td>
<td>x x x X</td>
<td>576,000</td>
</tr>
<tr>
<td>2.2. 3 public events (drama &amp; Music)</td>
<td>x X</td>
<td>96,000</td>
</tr>
<tr>
<td>2.3. Provision of learning &amp; publicity materials</td>
<td>x X</td>
<td>1,000,000</td>
</tr>
<tr>
<td>2.4. 36 Community video and cinema shows</td>
<td>x x X</td>
<td>85,000</td>
</tr>
<tr>
<td>2.5. 2 training for law enforcement officers.</td>
<td>x</td>
<td>382,000</td>
</tr>
<tr>
<td>2.6. 3 training for men in domestic and sexual violence</td>
<td>x</td>
<td>362,000</td>
</tr>
<tr>
<td>3.1. Profiling organisations dealing with VAW</td>
<td>x</td>
<td>64,000</td>
</tr>
<tr>
<td>3.2. 3 consultative &amp; planning meetings</td>
<td>x x x</td>
<td>59,100</td>
</tr>
<tr>
<td>3.3 12 network meetings</td>
<td>x x x X</td>
<td>295,500</td>
</tr>
<tr>
<td>3.4 Establishment of referral coordination centre</td>
<td>x</td>
<td>2,320,500</td>
</tr>
<tr>
<td>4.1 Monitoring of the project</td>
<td>x x x X</td>
<td>300,000</td>
</tr>
<tr>
<td>5.1 End of year evaluation</td>
<td>x</td>
<td>700,000</td>
</tr>
<tr>
<td><strong>Contingency (5%)</strong></td>
<td></td>
<td>804,605</td>
</tr>
<tr>
<td><strong>Grand total funds required</strong></td>
<td></td>
<td>16,896,705</td>
</tr>
</tbody>
</table>
### Annex

#### Logframe

<table>
<thead>
<tr>
<th><strong>Intervention Logic</strong></th>
<th><strong>Objectively Verifiable Indicators</strong></th>
<th><strong>Sources of Verification</strong></th>
<th><strong>Assumptions</strong></th>
</tr>
</thead>
</table>
| **Development/Overall Objective** | To improve women’s rights and dignity in Mathare Slums | - Fewer incidents of violence against women in the community  
- Increased participation of women in public life |  |
| **Purpose/Immediate Objective** | To reduce the incidence of domestic and sexual violence against women in Mathare Slums | - 10% reduction in cases of violence against women | Monitoring and evaluation reports  
Support group reports |
| **Results/Outputs** | 1. Support groups in place | - 3 support groups established and functioning by December 2004 | - Site visits  
- Reports  
- Interviews |
| | - 5% increased number of reported cases | - Surveys  
- Reports | - Willingness and support from the community  
- Goodwill from concerned authorities |
| | - Decrease in incidents of violence in the community | - |  |
| | 2. Community awareness and sensitivity on VAW increased | - | - Partners commitment to networking and collaboration |
| | 3. Networks of organisations working on VAW | - 3 zonal networks established  
- 12 network meetings conducted | - Reports  
- Minutes |

#### Activities

<table>
<thead>
<tr>
<th><strong>Activities</strong></th>
<th><strong>Means</strong></th>
<th><strong>Costs</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1. Baseline survey</td>
<td>Consultancy costs</td>
<td>Ksh.107,000</td>
</tr>
<tr>
<td>1.2. Community mobilisation</td>
<td>Meeting and staff costs</td>
<td>Ksh.20,000</td>
</tr>
<tr>
<td>1.3. Creation of support groups targeting 3,000 affected women</td>
<td>Support group meetings costs</td>
<td>Ksh.2,600,000</td>
</tr>
<tr>
<td>1.4. Training of 100 community trainers/ facilitators in: i) counselling skills ii) advocacy iii) para-legal support</td>
<td>Skills trainings costs</td>
<td>Ksh.6,115,000</td>
</tr>
<tr>
<td>1.5. Legal assistance to victims of domestic and sexual violence</td>
<td>Facilitation costs</td>
<td>Ksh.100,000</td>
</tr>
<tr>
<td>1.6. Support for IGA for survivors of violence</td>
<td>Business start-up costs</td>
<td>Ksh.1,000,000</td>
</tr>
<tr>
<td>2.1. 6 Community sensitisation workshops</td>
<td>Training costs</td>
<td>Ksh.576,000</td>
</tr>
<tr>
<td>2.2. 3 public events (drama &amp; music)</td>
<td>Awareness raising costs</td>
<td>Ksh.96,000</td>
</tr>
<tr>
<td>2.3. Provision of learning &amp; publicity materials</td>
<td>Awareness raising costs</td>
<td>Ksh.1,000,000</td>
</tr>
<tr>
<td>2.4. 36 Community video and cinema shows</td>
<td>Awareness raising costs</td>
<td>Ksh.85,000</td>
</tr>
<tr>
<td>2.5. 2 trainings for law enforcement officers from Mathare</td>
<td>Training costs</td>
<td>Ksh.382,000</td>
</tr>
<tr>
<td>2.6. 3 trainings for men in domestic and sexual violence</td>
<td>Training costs</td>
<td>Ksh.362,000</td>
</tr>
<tr>
<td>3.1. Profiling of organisations dealing with VAW</td>
<td>Baseline Survey</td>
<td>Ksh.64,000</td>
</tr>
<tr>
<td>3.2. 3 consultative &amp; planning meetings</td>
<td>Meeting costs</td>
<td>Ksh.59,100</td>
</tr>
<tr>
<td>3.3. 12 network meetings</td>
<td>Meeting costs</td>
<td>Ksh.295,500</td>
</tr>
<tr>
<td>3.4. Establishment of referral /coordination centre</td>
<td>Consultation and coordination costs</td>
<td>Ksh.2,320,500</td>
</tr>
<tr>
<td>4.1. Monitoring of the project</td>
<td>Staff costs</td>
<td>Ksh.300,000</td>
</tr>
<tr>
<td>5.1. End of year evaluation</td>
<td>Consultancy costs</td>
<td>Ksh.700,000</td>
</tr>
</tbody>
</table>
Toolkit Item 7

Monitoring Checklists

See on following pages for three forms related to the three main monitoring themes:

Relevance
Effectiveness
Sustainability
<table>
<thead>
<tr>
<th>Monitoring Checklist 1</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Title:</td>
</tr>
<tr>
<td><strong>RELEVANCE AND QUALITY OF DESIGN</strong></td>
</tr>
<tr>
<td>1. Was the original design well conceived?</td>
</tr>
<tr>
<td>Were the needs adequately identified?</td>
</tr>
<tr>
<td>Were the objectives, results and activities properly defined?</td>
</tr>
<tr>
<td>2. How well has the project adapted during implementation?</td>
</tr>
<tr>
<td>To changing or different needs?</td>
</tr>
<tr>
<td>To any changing external factors?</td>
</tr>
<tr>
<td>3. How valid were the assumptions made and risks anticipated?</td>
</tr>
<tr>
<td>Were the assumptions and risks correctly defined?</td>
</tr>
<tr>
<td>Were any important assumptions and risks not considered?</td>
</tr>
<tr>
<td>Grade:</td>
</tr>
<tr>
<td>Main conclusions and recommendations:</td>
</tr>
<tr>
<td>Monitor:</td>
</tr>
<tr>
<td>Date of monitoring visit:</td>
</tr>
</tbody>
</table>
### EFFECTIVENESS TO DATE

<table>
<thead>
<tr>
<th>Question</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Are project inputs and activities on time, at planned cost, and well managed?</td>
<td>To what extent is the project achieving the targets of the implementation schedule?</td>
</tr>
<tr>
<td></td>
<td>Are the project expenditures in line with the budget?</td>
</tr>
<tr>
<td></td>
<td>Are there any achievements or shortfalls that can be attributed to management approaches?</td>
</tr>
<tr>
<td>2. How well has the project adapted to external factors?</td>
<td>To what extent are the assumptions identified at the design stage holding true?</td>
</tr>
<tr>
<td></td>
<td>Are other external factors affecting the project implementation?</td>
</tr>
<tr>
<td>3. Are the benefits being received by the planned beneficiaries?</td>
<td>To what extent are the beneficiaries using the facilities or services established by the project?</td>
</tr>
<tr>
<td>4. How flexible has the project been to changing needs?</td>
<td>What, if any, new needs have emerged that are significant for the beneficiaries?</td>
</tr>
<tr>
<td></td>
<td>What, if anything, has the project done to meet those needs?</td>
</tr>
<tr>
<td>5. If there are unplanned effects, are they positive or negative?</td>
<td>What are the unplanned effects?</td>
</tr>
<tr>
<td></td>
<td>What impacts related to these unplanned effects have been noticed?</td>
</tr>
</tbody>
</table>

**Grade:**

**Main conclusions and recommendations:**

**Monitor:**

**Date of monitoring visit:**
<table>
<thead>
<tr>
<th>Monitoring Checklist 3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Title:</td>
</tr>
<tr>
<td>LIKELY SUSTAINABILITY</td>
</tr>
<tr>
<td>1. <strong>What is the level of policy support for the project – political, public and private sector?</strong></td>
</tr>
<tr>
<td>Do changes in policies and priorities affect the project – and, if so, how well is it adapting?</td>
</tr>
<tr>
<td>2. <strong>How well is the project contributing to institutional and individual capacity building?</strong></td>
</tr>
<tr>
<td>How deeply is the project embedded in local institutional structures?</td>
</tr>
<tr>
<td>Are local staff members being properly trained to take over responsibilities?</td>
</tr>
<tr>
<td>3. <strong>How well is the project addressing relevant socio-cultural issues?</strong></td>
</tr>
<tr>
<td>Does the project respect local customs?</td>
</tr>
<tr>
<td>Does it acknowledge different gender needs?</td>
</tr>
<tr>
<td>4. <strong>Are environmental issues being taken into account?</strong></td>
</tr>
<tr>
<td>Is the project respecting environmental needs?</td>
</tr>
<tr>
<td>Is any environmental damage being done by the project?</td>
</tr>
<tr>
<td>5. <strong>Will funds be available to support results beyond the life of the project?</strong></td>
</tr>
<tr>
<td>Are the project’s services affordable by the beneficiaries?</td>
</tr>
<tr>
<td>6. <strong>How are ‘lessons learnt’ being captured and communicated?</strong></td>
</tr>
<tr>
<td>Grade:</td>
</tr>
<tr>
<td>Main conclusions and recommendations:</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td>Monitor:</td>
</tr>
<tr>
<td>Date of monitoring visit:</td>
</tr>
</tbody>
</table>
Contents
Abbreviations
1. Introduction
   • Purpose of the report
   • Recipients
   • Reference to previous reporting
2. Overall Assessment of Progress
   • Achievements
   • Main constraints
3. Progress on Outputs
   • Status of listed activities in work plan (completed, ongoing or abandoned)
   • Commentary on achievements
   • Commentary on failures and constraints
4. Review
   • Key Issues
   • Recommendations
5. Financial Reporting
   • Summary of budget
   • Income and expenditure record
6. Revised Implementation Plan
Toolkit Item 9
Template for Workshop Report

Contents
Abbreviations
1. Context
   • Objectives
   • Programme
   • Participants
2. Theme 1
   • Key points
   • Issues emerging
3. Theme 2
   • Key points
   • Issues emerging
4. Theme 3
   • Key points
   • Issues emerging
5. Conclusions and Recommendations
6. Workshop Evaluation
7. Follow-Up
Annexes
   • Workshop programme
   • List of participants
   • Other workshop products