



A

Manual for Ecumenical Project Management

**A GUIDE TO
PLANNING
MONITORING
& EVALUATION**

World Council of Churches



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Foreword

The World Council of Churches (WCC) exists to promote visible unity among the churches in all regions. Historically, one of the main areas of its commitment has been sharing and service with those in need. In all its work, the WCC seeks to empower and enable the capacities of churches and of their specialized offices and agencies, including through efforts to promote capacity building and organizational strengthening.

WCC Round Table programmes are an instrument of ecumenical sharing of resources involving church and other partners based on the theological concepts of *diakonia* (service) and *koinonia* (fellowship). Ecumenical Round Table programmes provide platforms of ecumenical partnership and of diaconal coordination and cooperation. WCC has developed Round Table programmes involving churches, other organizations and international agencies in over 40 countries of the world.

The WCC Manual for Ecumenical Project Management is the fruit of several years' collaboration between WCC, churches and related organizations, and ecumenical agencies throughout the world. In preparing this Manual, case studies have been developed from actual Round Table programmes, and several examples have been included in the annexes. However, the scope of this Manual goes far beyond the Round Table programmes. The hope of WCC is that it will provide a useful resource for a wide range of church organizations and for their diaconal ministries, and that it may further contribute to the quality and coherence of ecumenical development cooperation around the world, in the service of those in need.

Planning, monitoring and evaluation (PME) are not always familiar words to churches and related organizations. Modern management approaches to programming can sometimes appear technical and results-oriented, at the expense of other qualities such as commitment, sharing and people-centred processes. However, the WCC considers that the methodologies and experience outlined in this Manual may offer an additional and important set of tools for churches and partners to add to their own experience and approaches.

The WCC would like to express its gratitude to the Management for Development Foundation (MDF) and Mr Teun van Dijk, who have accompanied the entire process and who, together with WCC staff, have authored the Manual.

**World Council of Churches
Regional Relations & Ecumenical Sharing Team**

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Further copies of the Manual are available on request from WCC in hard copy or on Compact Disc.

The Manual and additional resources may also be downloaded from:

<http://www.wcc-coe.org/wcc/what/regional/resour.html>

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List of abbreviations

BQ	Basic Question
CBO	Community Based Organisation
FA	Funding Agency
LF	Logical Framework
LFA	Logical Framework Approach
MDF	Management for Development Foundation
MQ	Manager's Question
NCC	National Council of Churches
NGO	Non Governmental Organisation
OOPP	Objective Oriented Project Planning
OVI	Objectively Verifiable Indicator
PCM	Project Cycle Management
PME	Planning, Monitoring and Evaluation
QQTTP	Quality, Quantity, Target group, Time, Place
RRES	Regional Relations and Ecumenical Sharing
RT	Round Table
RTO	Round Table Organisation
SMART	Specific, Measurable, Attainable, Reliable and Time Bound
SOR	Strategic Orientation
SoV	Sources of Verification
SWOT	Strengths, Weaknesses, Opportunities & Threats
ToR	Terms of Reference
WCC	World Council of Churches

1. Introduction

Round Tables (RTs) have been developed by the World Council of Churches (WCC) since 1984, as mechanisms of ecumenical sharing of resources. They were developed, as at that time it was realised, that the proliferation of individual projects was found to be piecemeal and unsatisfactory. Commitment to funding was usually short-term and partnership remained underdeveloped.

In 1994-95 a review of approximately 35 Round Tables was undertaken by the WCC, which concluded to set out guidelines for Round Tables sponsored by WCC¹. These guidelines emphasise that WCC Round Tables are an instrument of ecumenical sharing of resources involving church and other partners based on the theological concepts of *diakonia* (service) and *koinonia* (fellowship).

The ecumenical Round Table programme is the primary methodology used by the WCC for development co-operation. The Round Table programmes provide a national forum for discussion, co-ordination and joint policy development, planning and programming of socio-diaconal and development initiatives. The Round Table programmes involve local churches and related community and national organisations, international development NGOs, donor agencies and representatives of other stakeholders. A Round Table programme is usually co-ordinated / implemented by a key national partner (National Council of Churches or national ecumenical development organisation).

1.1 Reasons for this Manual

The Round Table programmes remain one of the central WCC instruments for resource sharing and empowerment at the national and local levels. However, there is need to strengthen the organisational capacity, to acquire project management skills and to develop standards of planning, monitoring and evaluation. A proposal to address the weak organisational capacity of a number of Round Table Organisations² (RTOs) was prepared during the "WCC Round Table Capacity Building Initiative", submitted to the United Churches of Canada (UCC) in 1998, and after some delays implemented. This Ecumenical Round Table Capacity Building Initiative had the objective to strengthen the quality, consistency and sustainability of key RTOs in all regions in order to enhance human dignity and sustainable communities more effectively.

Emphasis was given to the following points:

1. Significantly enhancing quality and consistency of performance in planning, monitoring and evaluation (PME) and basic project cycle management (PCM) of key Round Table implementing organisations in four regions, through adoption and use of common policies and procedures for PME and PCM by involved RTOs.

¹ WCC, Programme Unit IV (1995): Sharing and Service: Round Table Guidelines, June 1995, Alexandria, Egypt.

² Although in practice the terms Round Table and Round Table Organisations are used simultaneously, in the context of this Manual the term Round Table is used for the forum to arrive at consensus on the ecumenical sharing of resources. The term Round Table Organisation is used to define the executing body that implements the decisions of the Round Table.

2. Strengthening of cross-regional and cross-organisational co-ordination, learning and networking among RT partners (key staff and local networks) in all regions, through exchanges of RTO core staff and communication of information, experience and knowledge among countries and regions.
3. Creation of a pilot Round Table PME/PCM manual to be used and tested by WCC staff and national RT members and RTO staff involved in RTOs' planning, monitoring and evaluation.

This Manual is one of the results of the current capacity building initiative.

1.2 Development Process of the Manual

"Building Bridges in Planning, Monitoring and Evaluation"³ has been the starting point of a series of workshops with the Regional Relations and Ecumenical Sharing (RRES) team in Geneva and representatives of various RTOs in Africa, Asia, Eastern Europe and the Middle East. In the preparation of the regional workshops, one in every region, one RTO volunteered to have a more in-depth assessment of its PME practices in order to develop and adjust training material to local and regional conditions⁴. During these workshops and the consecutive trainings it appeared that many different analytical PCM tools were used among the RTO representatives. It came out that all RTOs followed their own PME process without a clear view on minimum quality requirements. During the workshops such a common denominator for a PCM / PME approach was found. This Manual is based upon the results of these workshops that were held in the period June 2001 up to February 2002.

1.3 Purpose of the Manual

The purpose of this Manual is to serve as a reference for RTOs to develop their own planning, monitoring and evaluation process, adapted to their own (sub)national context, but in clear reference to RRES' requirements. The Manual gives Round Table portfolio managers an overview of practical steps in planning, appraisal, monitoring and evaluation.

A *portfolio manager* is defined here as the type of manager responsible for the adequate channelling of individual projects through the various phases of the project cycle. It is used in reference to the "programme officer", the "desk officer", or the "programme responsible" at both donor and RT organisation⁵.

The Manual intends to guide the RT portfolio manager through various issues concerning appraisal and monitoring as may be raised by RT members. It intends to enable the RT portfolio manager to be pro-active in addressing those issues.

³ ICCO (2000): Building Bridges in PME; Guidelines for good practice in the planning, monitoring and evaluation of community based development projects, implemented by Southern NGOs with support from European Ecumenical Agencies (available on <http://www.icco.nl/english/publications>)

⁴ MDF (2001): Report Workshop SWOT - SOR WCC Eastern Europe Office, Bialystok Poland, 23 - 28 October 2001
MDF (2001): Report Acquaintance Visit PDR, Kampala, Uganda, 19 - 24 November 2001
MDF (2001): Report Workshop MCC staff, Yangon, Myanmar, 3 - 8 December 2001

MDF (2002): Report Evaluation Visit Middle East Council of Churches ICNDR RT, Lebanon, 15 - 20 January 2002

⁵ See Annex 1: Overview of Working Definitions and Concepts.

This way, the Manual is intended to contribute to a more efficient and effective use of scarce resources in the field of *diakonia* (service) and *koinonia* (fellowship). Concerning the latter one a number of analytical tools is introduced throughout the text.

1.4 Use of the Manual

The Manual may be used for reference by RT members to get an overview of all aspects of planning, monitoring and evaluation the RT is involved in. It facilitates the understanding of everybody's tasks and responsibilities. The Manual may be used too by all stakeholders in the planning, monitoring and evaluation process to get a clear understanding of one's own role and the role of others in the PME process. The Manual is meant to be used by all portfolio managers somewhere in the PME process in order to come to a joint approach towards planning, monitoring and evaluation. This should enable those that are responsible for aggregation of information (reporting) and accounting for implementation (use of resources) to do so in the most efficient and effective way.

Before any further reading, the reader of this Manual is challenged to describe his/her own position. Where do you place yourself in the planning process, starting from the individual church, through the local council of churches, the Round table, the RRES team, the World Council of Churches, up to for example the funding agencies? What are your tasks and responsibilities? What is the specific sector you are focusing on? What is your area of investigation? How do you define your institutional embedding? What are your specific questions regarding the PME process?

Throughout the Manual a number of analytical tools are introduced in boxes and annexes that should enable the portfolio managers to assess and understand all identified parts of the PME process. For direct reference see the overview of annexes.

Chapter two describes the general features of a Round Table as derived from WCC's Round Table Guidelines. Concurrently it describes the characteristics of the various kinds of RTs as they have developed over time. It also addresses a number of issues as currently experienced among the local RT members with suggestions of where in the planning cycle such issues may be taken up.

Chapter three describes Project Cycle Management (PCM) in reference to individual projects. It emphasises the tasks of the RT portfolio manager to facilitate the smooth progress of an individual project through the phases of the project cycle. Readers that are familiar with the supervision of individual projects may skip the chapter. However, it is basic material for those portfolio managers that are not.

Chapter four describes the general features of PCM for RT portfolio managers, supervising a number of projects at a time. It gives all kinds of practical steps to enable the portfolio manager to fulfil his/her responsibilities adequately and to guarantee his/her control over all projects under his/her supervision.

Annex 1 gives an overview of terminology used. As hardly any of the concepts is "scientifically" defined, it mainly contains working definitions that you can use as a reference to compare with your own understanding of the concepts concerned. In annexes 2 and 3

you find an overview of cases of respectively the institutional embedding of a number of Round Tables and the PME process Round Table Organisations practice. The Annexes 4 to 12 mainly describe practical steps on "how to apply analytical PCM / PME and appraisal tools. Annex 13 gives an overview of basic formats of documents to be used in the various phases of the project cycle. And finally Annex 14 gives some reference to related PCM / PME Manuals.

2. Round Table Organisations

WCC Round Tables are designed as an instrument of ecumenical sharing of resources involving church and other partners based on the theological concepts of *diakonia* (service) and *koinonia* (fellowship). RTs intend to be a celebration and sharing of Gods gifts: both material and spiritual. RTs can be seen in the perspective of the Biblical understanding of "Jubilee" as a way to foster social justice.

As indicated in WCC's Round Table Guidelines, relationship and dialogue are fundamental to the Round Table process, firstly between local partners (churches, ecumenical organisations, movements and action groups) and secondly between local and international partners (funding agencies, missions, sister churches). According to the Guidelines, only on the basis of a carefully prepared dialogue, there can be a genuine exchange of information, analysis and reflection, leading to mutual understanding, identification of common concerns, formulation of policies, setting of priorities and provision of funds for programmes.

2.1 Objectives of Round Tables

Round Tables differ from each other. However, in general terms the mission of any Round Table can be described as providing opportunities⁶:

- To arrive at consensus on the ecumenical sharing of resources;
- To give expression to partnership within the ecumenical community (replacing outmoded relationship descriptions such as donor/recipient or sending/receiving);
- To provide a forum for discussion of ecumenical issues;
- To analyse the search for human dignity and sustainable community and reflect upon the specific Christian insights and involvement of the ecumenical movement in that search;
- To advocate models of witness and service, which will enhance the Christian vision of human dignity and sustainable community;
- To establish joint policies, goals and priorities and set criteria for the allocation of resources, which will promote the Christian vision of human dignity and sustainable community;
- To enhance the visibility of regional concerns in the ecumenical movement.

Within this universal understanding of the mission of a Round Table, each individual Round Table may establish its own specific objectives in reference to the core values of diakonia.

⁶ Programme Unit IV Sharing and Service, WCC (1995); Round Table Guidelines,

2.2 Core values underlying Round Table praxis

The diaconal core values underlying the Round Table praxis are described as follows:

- Put the least advantaged first⁷;
- Are mutual – in the sense that those who serve the needy accept their own need to receive and the ability of the needy to give;
- Act with those it claims to serve and not for them or about them or over them;
- Respect the need's own judgement as to what their needs are and how best they are met;
- Add to the power of the needy to control what happens to them and responds to immediate needs whilst understanding, resisting and transforming the systems which create and aggravate them;
- Share the resources that promote life;
- Remain faithful and refuses to desert the needy – even when there are difficulties;
- Acknowledge the inevitable cost as well as gain;
- Give an account of itself to those it serves;
- Set no boundaries to its compassion.

Common policies and priorities constitute the basis of partnership, in which the Round Table participants commit themselves to each other and to a common endeavour. The commitment must include a clear understanding between the partners of each other's identity, mandate limitations and expectations. In this context equality, mutuality, honesty and transparency are the paramount partnerships ideals.

Round Tables are characterised by a participatory way of working, which includes the democratic participation of people at all levels of decision making.

2.3 Round Table praxis: tasks and responsibilities

All Round Tables intend to be responsible for the development of policies, goals and priorities. They also set the criteria for the allocation of resources, which should promote the Christian vision on human dignity and sustainable communities. Generally the planning and implementation of programmes - agreed upon during Round Table meetings - take place in between meetings through local implementing partners, facilitated, co-ordinated and/or networked by a national body or by a joint committee of local and external partners, usually called the Core Group. The Core Group is elected by the Round Table meeting as a management group. It is accountable to the RT meetings and acts as a facilitator between local and external partners.

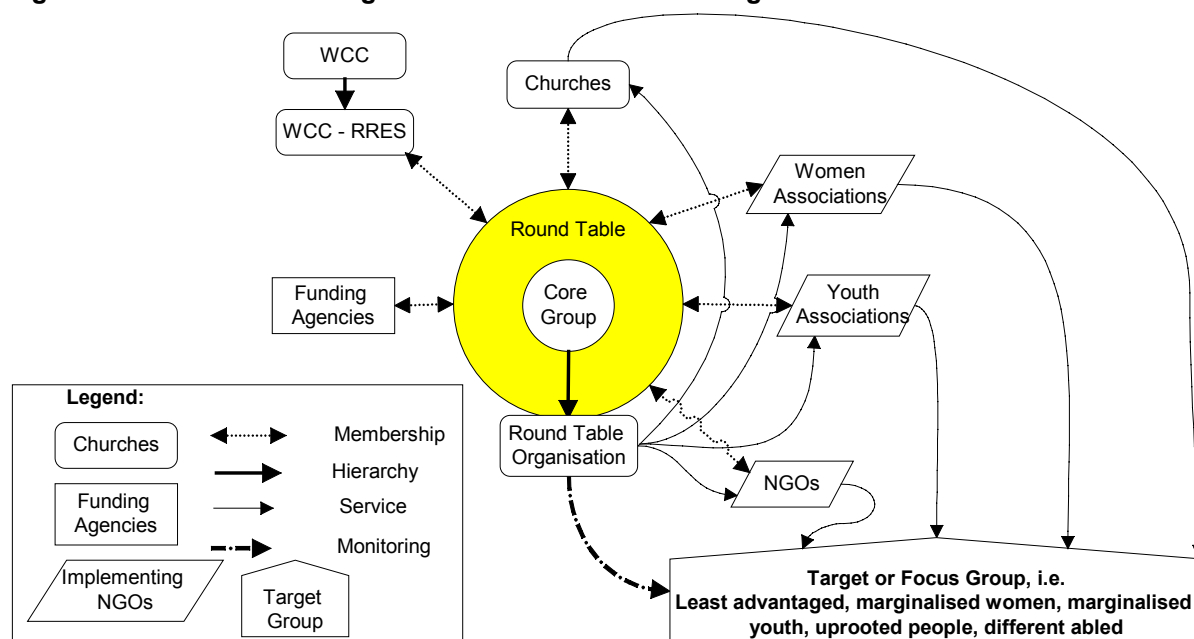
⁷ In 1995 the "Sharing and Service Commission" in Alexandria identified five groups of "jubilee people" as targets for practical actions of solidarity: 1. Children, 2. Marginalised and excluded women, 3. Economically and politically marginalised people, 4. Uprooted people, and 5. People living in the midst of conflict and disaster.

The executive body that implements the decisions of the Round Table and/or its Core Group is called the Round Table Organisation. The primary process within each Round Table Organisation may include part or all of the following, i.e. to:

- Ensure follow-up on RT meetings;
- Match programmatic plans of implementing partners with funding possibilities;
- Ensure full information on funding, etc., in between and at the RT meetings;
- Prepare RT meetings and field visits to local partners, i.e. to have:
 - relational/consultative work as well as documentation work done locally,
 - expectations of all partners understood,
 - external funding partners coming prepared to make their presentations,
 - financial concerns kept in perspective,
 - capacity building carried out at all levels;
- Commission studies;
- Share experiences among RT participants;
- Organise presentations and articles from invited guests at RT meetings;
- Advocate models of witness and service to enhance the Christian vision of human dignity and sustainable community, i.e.:
 - to identify, support and highlight new models,
 - to mobilise members to network within churches and movements,
 - to assist agencies to develop and implement advocacy strategies.

In general terms the Round Table objectives and the primary process of the Round Table Organisation can be described as above and the institutional embedding of the Round Table may be described as indicated in figure 1. However, in reality each Round Table is organised in a country-specific way.

Figure 1: Institutional Setting of a General Round Table Organisation



In each country the Round Table has evolved in its own way⁸. In some countries the Round Table is actually seen as a process of sharing. In other countries the Round Table is just the meeting, as a kind of donor conference. A third type of Round Table is one in which the Round Table serves as an intermediary organisation that mediates between local organisations and local and international (partner) organisations. Such organisations may be related to a National Council of Churches or an equivalent to that. In some countries membership to the Round Table is equivalent to the membership of the National Council of Churches. In other countries only (the various dioceses of) one church represents the local membership. Between these extremes there is variety of just a few member churches to many member churches being included in the Round Table. In some countries the Round Tables are seen as implementing organisations of donor programmes. In others as partner in programming and implementation.

Even among the cases where local Round Table membership relates to one church only, different types of operation and accountability mechanisms are used. In some of these churches the Round Table Organisation functions as an independent NGO with an independent board, while in others the RTO operates fully within the hierarchy of the church.

Irrespective of the actual set-up of the Round Table and its actual responsibilities, the concern is to find ecumenical ways of implementing an adequately, efficiently and effectively functioning Round Table. Whether the Round Table facilitates implementation or is involved in implementation itself, it will require the capacity to monitor implementation of the RT ecumenical programmes efficiently and effectively. The minimum requirements for each Round Table are to have the capacity to:

- facilitate resource sharing;
- develop and implement clear policies;
- exercise financial discipline through agreed-upon budget and programme systems;
- monitor and evaluate the ways in which resources are being shared.

RTOs all over the world implement, support or supervise a variety of economic, social, reconciliation, humanitarian and capacity building projects and programs, like:

- economic interventions in e.g. the field of agriculture, irrigation, land resource management, livestock development, dairy development, (youth) employment generation, income generation (for women) and micro finance.
- social interventions in e.g. the field of education, literacy, health (health education, HIV/Aids, TB, handicapped, alcohol and drugs addicts), water development, community development (women capacity building, street children and increased independence of elderly people),
- reconciliation activities like e.g. exchange and joint working camps among children of different ethnicity and religion and Christian - Muslim dialogue.
- humanitarian assistance in reference to e.g. former Chernobyl rescue workers, Roma, refugees, prisoners, re-integration of ex-convicts in society and abused or homeless women.

⁸ See Annex 2 for examples of the institutional embedding of RTOs in Ghana (CCG), Kenya (NCCK), Uganda (PDR) and Sudan (SCC) in Africa; Indonesia (PGI), Myanmar (MCC) in Asia; Armenia (ART), Belarus (BRT), Romania (AidRom), Russia (CIDC) in Eastern Europe; Egypt (BLESS), Lebanon (ICNDR), Palestine (DSPR) in the Middle East (MECC)

- advocacy, lobby and awareness raising campaigns.
- capacity building programmes among church and lay leaders, woman and youth leaders.

2.4 Issues of concern

Round Table Organisations work in all kind of different situations. In some countries the social, political and economic situation of the country is conducive towards the functioning of the RTOs. In other countries RTOs have difficulties, varying from inadequate legal recognition of the functioning of the RTO up to the inadequate functioning of the financial institutions through which every international financial transaction becomes cumbersome.

A number of RTOs find it difficult to describe their policy framework clearly in reference to a sound problem analysis of their focus or target group concerned. Not all RTOs have been able yet to formulate their objectives in clear terms. Neither is there a clear understanding among different stakeholders on the various concepts used.

Many RTOs find it difficult to formulate clear objectives, to appraise proposals for implementation and to monitor the implementation of such proposals. In addition, the impact of the activities undertaken and the services given may not always be as planned. Often there is no adequate approach yet to guarantee sustainability of those interventions that require so.

Other RTOs have a clear view, derived from the interest of their focus or target group and have good proposals to work on, but the funding partners have their own priorities which are not conducive to satisfy the interest of the RTO target group. There are different interpretations of "sharing of resources".

Regarding monitoring many find it difficult to identify SMART⁹ indicators or clear benchmarks. Subsequently, it becomes difficult to account for expenditure and to report on achievements. A systematic approach quite often has not been developed yet. At the other hand funding partners quite often ask for many different reports; some very detailed and some synthesised. These report formats often are not specific at the beginning of the projects concerned, but - quite often - reporting requirements are developed during implementation, based on the "new" insights of the funding partners.

The roles and responsibilities of the various stakeholders in the Round Table are not always clearly understood. Roles and responsibilities in the planning, monitoring and evaluation process have inadequately been defined. Between the funding agencies (FAs) and the other RT members there seem to be different expectations regarding the FAs "joint" responsibility to address local problems. Regarding the local partners themselves (RTO, churches, NGOs) there seems to be different expectations in terms of adequate adherence to planning, accounting and reporting requirements, like:

- inadequate clarity in plan document
- inadequate or no internal or external audits
- inadequate and/or late reporting.

⁹ See chapters 3.3.7 Indicators and 3.5: Implementation and Monitoring for the definition of SMART.

Because of all these issues a systematic planning, monitoring and evaluation approach is required. Therefore, it is expected that churches, specialised organisations within churches and/or ecumenical organisations - involved in any diaconal activity supported by the RRES team - to demonstrate their capacity¹⁰ to:

- have a joint view on "sharing resources";
- plan, monitor and evaluate according to PCM standard requirements;
- apply gender analysis and perspectives;
- decide, to operate its procedures and to raise its funds in a transparent way;
- be pro-active, i.e. to be programmatically and financially self reliant;
- identify, hire and maintain qualified staff (qualified in reference to the specific mission and services of the organisation concerned);
- relate to others, i.e. to build up partnerships with government organisations and/or NGOs (both national and/or international);
- report and account in a standardised manner (see internal procedures for accounting and PME);
- share their resources and have the community (specific focus or target group) participating in their service delivery (inclusive lobby, advocacy or active transformation).

All capacity building programs within the WCC aim at developing these abilities. Churches/organisations that already have and/or demonstrate the mentioned capacity level will not be incorporated in the programme.

¹⁰ RRES Team Workshop, 3-4 September 2001 at John Knox, International Reformed Centre, Geneva, Switzerland

3. Project Cycle Management

Project Cycle Management (PCM) is a management tool to enable the organisation to learn from the past in order to improve in the future. PCM is a systematic planning, monitoring and evaluation (PME) approach for any learning organisation. It facilitates an increasing involvement of the target or focus group¹¹ and other stakeholders. It leads to gains in effectiveness and transparency. It leads to better insight, better proposals, easier appraisal, better decision making and easier and more effective communication. It actually leads to effective and efficient utilisation of (public) resources.

The reason why PCM has become important is that in the past many interventions failed because of a number of reasons. Within the Round Table context common faults were that:

- Real problems of the ultimate focus group and other parties involved were not addressed;
- People formulating the project, both within respective churches and donor organisations, often neglected pre-defined factors and criteria;
- Suggested project ideas were not analysed in a pre-feasibility study before deciding whether they are really worth to be studied more seriously in detail (feasibility);
- The project has not been embedded in a rational framework of supporting policies from the side of the recipient churches and/or organisations;
- Inadequate distinction was made between various levels of objectives: those in reference to action, to results, to the use of results by the focus or target group concerned, and to those that describe the change in society as the consequence of the target group using the results.
- No distinction was made between objectives (e.g. the actual availability of potable water) on the one hand, and the activities to arrive at those objectives (e.g. digging wells) on the other hand;
- The project's objectives have not been clearly and realistically defined.
- Socio-cultural values of the people one wishes to assist are not respected;
- Technologies applied are not appropriate and no use is made of locally renewable resources;
- There often are too many project officers in different places (project organisation, local parish, RTO, NCC, donor) responsible for the same project, while it is not clear how all responsibilities are divided among those involved in the project;
- No effort is made to strengthen the management capacities of the local church, public and/or private organisations that are involved in the interventions;
- Risks are inadequately anticipated and ways to avoid or limit them are not explored;
- Good economic and financial viability of the project, during and after implementation is not enough emphasised.
- During implementation adequate information is lacking, monitoring is neglected, and consequently, necessary corrective actions are not taken;

In order to improve project performances and impact in reference to above mentioned flaws, various factors have to be considered, like the :

¹¹ Within the WCC and its member churches the terminology of focus group, target group, beneficiaries and clients is used, all having the same meaning. Within the Manual focus and target group are used interchangeably.

- quality of the analysis on the basis of which the project plan is developed;
- precise description of the project objectives, activities and external factors;
- phases through which the project (idea) travels before being implemented;
- quality and motivation of all experts and desk officers dealing with project analysis, appraisal, implementation and monitoring;
- flow of documents produced during the various phases;
- decisions that are taken in each phase of the project cycle;
- criteria on the basis of which these decisions are taken;
- time scheme of each phase.

These factors are of a technical as well as an organisational nature and together they determine the end results: project performance and impact. The systems approach is then to consider all important factors of project planning and implementation in an integrated and coherent way.

PCM is a method to manage a project through all its phases, from the first general idea until the last ex-post evaluation. In PCM the phases of the cycle are clearly described and corresponding responsibilities are well defined. The key documents that accompany the project cycle, are structured in accordance with the logical framework method, in which the preparation and implementation of projects are linked. Many organisations stress the importance of this PCM concept, although the elaboration and implementation can be quite different depending on the type, culture and scale of the organisation. Below, the key elements of PCM are discussed in reference to individual projects. Emphasis is given to the tasks of the RT portfolio manager to facilitate the smooth running of individual projects through the consecutive phases of the project cycle.

Overview of the five key elements of PCM

Project Cycle Management for RTO managers means to exercise and share **control** over the project cycle at all levels (especially at the local level). The project cycle comprises the inter-linked phases a project passes through in its project life: from the very first idea till the end of the project when (ideally) the objectives have been achieved. Here control is understood as regulating and supervising the various activities undertaken in each phase of the cycle. It does not include the direct management of the project implementation, which is the project manager's responsibility.

The **main actors** are the focus or target groups, representative target group organisations, intermediary organisations (government, non-government and private) that deliver services, consultants and project officers from the donor organisation, ministries, local governments, church representatives, round tables and agencies (RTOs, NGOs, CBOs) that actually implement the project(s). All actors have their specific responsibilities towards the projects or the portfolio of projects in the various phases of the cycle.

Another crucial aspect of project cycle management concerns the **decisions** that have to be taken to allow a project to move from one phase to a next phase. They often need the consent of officers from all or various parties involved. Criteria and guidelines are required to take decisions in a rational way. Decisions are taken, among other things, based on information contained in documents.

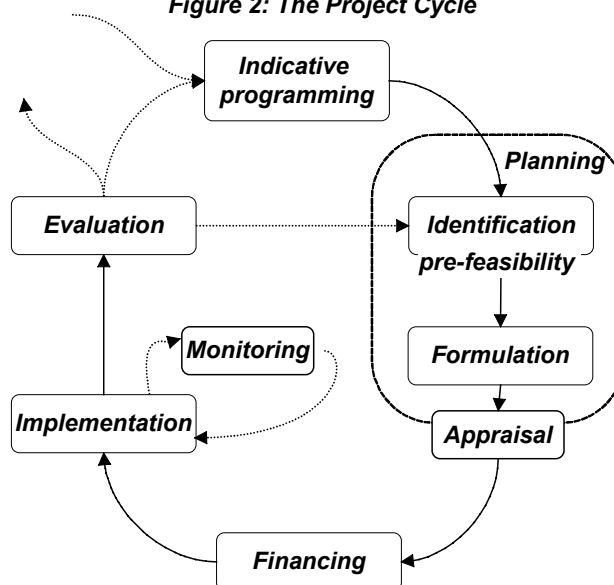
In PCM these documents have been designed in such a way that their Table of Contents is the same in all phases. This **standardised format of documents**¹² promotes coherence in communication among the often numerous actors and increases efficiency of operations.

A fifth important element of PCM is the **Logical Framework** or **Project Planning Matrix**, a project's diagrammatic representation. A logical framework is a tool for analysis and presentation of projects and programmes in the various phases of the cycle. In each phase (more) information, relevant for that phase, is added to the logframe. This provides all parties involved with a concise description of the project.

3.1 The Project Cycle

The project cycle comprises a number of project phases. For each phase the activities and persons or organisations involved have to be described. Every organisation may have developed its own project cycle, in which emphasis may be given to specific phases, but generally more or less the same pattern is followed. Usually one phase consists of several sub-phases or activities. In reference to planning, monitoring and evaluation (PME) the planning phase comprises identification (inclusive pre-feasibility), and formulation (inclusive appraisal) and sometimes even the financing.

Figure 2: The Project Cycle



Indicative programming

Indicative programming or *policy development* incorporates a vision and mission from which perspective certain objectives are intended to be reached. It includes general guidelines for co-operation among stakeholders. It covers the sectoral and thematic focusing of development support in the country or in a specific region and may set out a number of ideas for project and programme interventions. It includes the general implementation approach or discusses some alternative approaches, and it includes the criteria for appraisal of interventions to be supported.

Identification (pre-feasibility)

¹² See Annex 13.2: Overview: linkage between Project Documents in the Project Cycle

The identification phase concerns the initial formulation of a project idea in terms of problem description and objectives to address the identified problems. A first indication is given whether the proposed intervention is relevant in terms of the expressed requirements or needs of the focus or target group, and whether the intervention is relevant in terms of the policy framework given. It should be clear how the proposed intervention fits within sectoral and/or (inter)national policy frameworks of the supporting organisations concerned. In case there are questions, a more in-depth study (pre-feasibility) is required, for which adequate terms of reference have to be drawn up.

Formulation (appraisal)

In the formulation phase all the project's details are specified. The intended action, the results, the use of the results by the focus or target group and the expected change are elaborated in measurable terms. A clear indication is given what resources are required and how different stakeholders contribute to the implementation. As the formulation needs to be exhaustive quite often technical, social, environmental, financial and/or economic feasibility studies are done. They often are prepared by consultants in collaboration with the local churches, ministries or the donor organisation. The Round Table then examines the project's feasibility and sustainability. In addition it examines the capacity of the implementing organisation. Funding agencies have similar committees to appraise proposals and to recommend to finance or not.

Financing

The financing phase includes the following: the drafting of the financing proposal, i.e. to give clarity what contribution should be given by the focus group, what by local churches and/or what by other (funding) agencies (in other words: the *funds seeking*); the examination by the financing committee; the financing decision taken by the Round Table and/or the funding agency on the recommendation of the financing committee; and the drafting and signing of the financing agreement.

Implementation (monitoring)

The implementation phase concerns the execution of the project, by drawing on the resources provided for in the financing agreement, to achieve the desired results and purpose of the project. If a major part of the implementation is done by contractors, the implementation phase includes the preparation of tender documents and appraisal of the tendering proposals.

During the implementation phase various reports are produced: Plan of Operations, annual working plans and monitoring reports. From the point of view of the portfolio manager implementation always means monitoring to enable remedial action. The portfolio manager needs to identify his/her monitoring indicators (benchmarks or milestones) in advance.

Evaluation

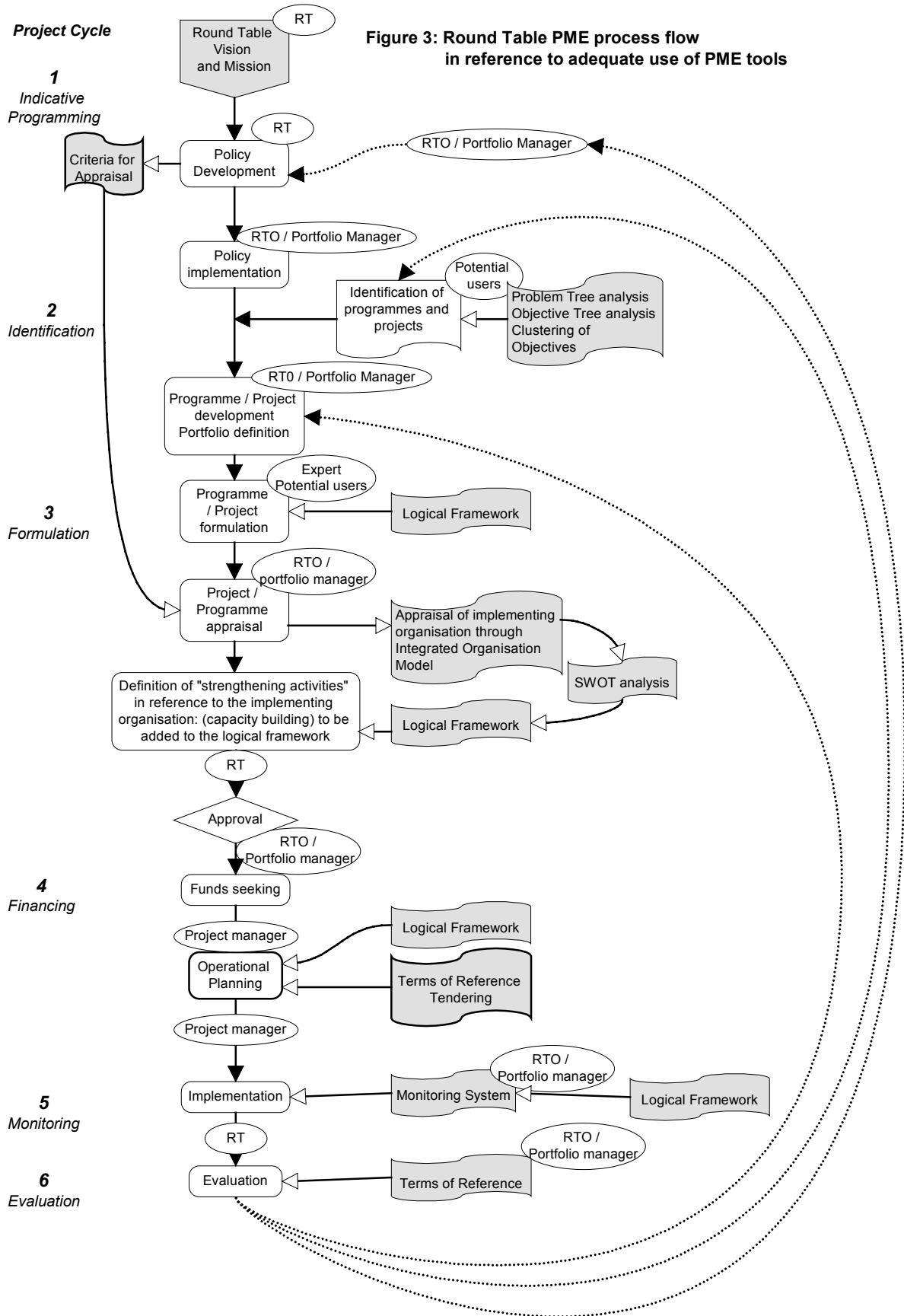
In the evaluation phase the results and impact of the project are analysed. An evaluation during the implementation phase is usually called a review. In this case, an evaluation is done to assess the need for reformulation of the intervention. If an evaluation is done after implementation, it is used to formulate recommendations on how to improve guidance of similar projects in the future. If the financing agreement provides for a number of implementation phases, the start of the next phase will normally depend on the conclusions of the evaluation of the previous one.

3.2 *The project cycle in the context of Round Tables*

Every RTO has organised its planning, monitoring and evaluation process in its own way¹³. Within the context of the PME process of the Round Tables planning is one of the three components besides monitoring and evaluation. Planning in the PCM terminology incorporates the phases of identification, formulation and (sometimes) financing, which - because of different actors involved - are distinct phases. Therefore planning in the context of the Round Tables comprises all steps in the project cycle between the publication of RT's policy intentions and the final approval to implement the project or programme concerned.

Depending on the stakeholders involved various PME tools are used to facilitate clarity in the various phases of the project cycle. Figure 3 describes a general picture at what moment PME tools could be used to facilitate clarity and control of the intervention concerned.

¹³ See Annex 3 for "Steps to describe and analyse Planning Processes" and for examples of RTO PME processes in Armenia, Bangladesh, Egypt, Ghana, Middle East, Myanmar, Palestine and Uganda,



See Annex 10 for an Overview of Responsibilities of the various Stakeholders

3.3 *Indicative Programming*

Indicative programming or policy development is considered as a process. Policy is about decisions to act or not to act. The RT concerned is assumed to agree upon a general policy framework, within which the RT partners co-operate and within which operational decision making takes place in a transparent way. Specific church related development policy might fit in an overall policy framework of the national council of churches, which consequently may fit in or overlap with the overall policy framework of the RRES team and/or WCC. The policy of the RTO concerned is assumed to be open and clear to all stakeholders.

A **policy statement** of a RT or NCC may include at least the following: the exploration of “issues” and/or “points of attention” in reference to its general vision and mission. It includes a situational analysis of the sector, region and target group concerned and, if applicable, it explains its choices (e.g. for focus groups, like different-abled people or children). It describes a general problem definition and problem diagnosis in reference to a clear-cut cause-effect analysis. The policy document includes all available baseline information and other relevant data. Basic concepts are defined in the text. Different implementation strategies may be discussed and/or a choice for a specific implementation approach is proposed. Ex-ante appraisal of alternatives regarding expected consequences or outcome needs to be conducted too. The way, individual project interventions should substantially contribute to or enforce the overall objective as stated in the indicative programming, needs to be incorporated. Criteria to appraise individual interventions need to be spelled out clearly. The role of the various stakeholders (internal and external) is provisionally identified. If applicable, pre-conditions are determined. An indication of the availability of funds and /or other resources need to be given as well.

A policy document may include **policy guidelines** in relation to the preferred approach like:

- co-operation with specific actors in the sector (definition of target or focus group);
- the way target groups need to be organised (minimum requirements);
- the way stakeholders are intended to participate during the various phases of the project cycle (indicative programming, identification, formulation, appraisal, decision making, implementation, monitoring and/or evaluation);
- expected contribution (in cash or kind) of target groups during implementation;
- do RT/NCC members “complete” or “compete”;
- does the RT/NCC enable others to implement or does it implement itself.

A policy document may include **criteria** along which choices or decisions can be made. The development of criteria for priory setting enhances transparent decision making. It is clear to all stakeholders on what basis decisions are made, e.g. to include or exclude project proposals, to prioritise the inclusion of certain minorities in a capacity building programme, or to prioritise the construction of additional classrooms or teacher’s houses.

A policy document indicates the variables, which are used to describe the development within the policy issue at stake. The baseline situation and the desired situation are described - as much as possible - in measurable terms. Consequently it should define and include **indicators** along which actual development is measured.

Based on for example the vision, the policy implementation strategy and/or the general guidelines for appraisal of proposals, specific ideas or plans may be identified and formulated in reference to their own context.

3.4 Planning

Identification (pre-feasibility survey) and formulation are sequential steps in the objective oriented project planning (OOPP¹⁴) process. The formulation intends to give answers to all questions that are raised during appraisal. In OOPP terminology the key-steps in the identification and formulation of a project include:

- *Preparatory phase* (i.e. to determine the subject of analysis and the parties involved);
- *Analysis* (i.e. to analyse stakes of the parties involved, to analyse the problems, to analyse and cluster the objectives);
- *Planning* (i.e. scoping of the project, design of the Intervention logic, identification of the assumptions, the indicators and sources of verification);
- *Implementation Planning* (i.e. identification of means, costs and scheduling, identification of the responsibilities and the design of the project organisation).

With or without knowledge of standing policies of organisations concerned, any actor may be in a position to identify "burning" issues in his/her environment. This could be for example individual lay people, local pastors, church boards, local NGOs, district councils of churches, staff of round table organisations, national council of churches and/or international funding agencies. To facilitate identification the *entity*, i.e. the actual concern, needs to be described as clearly as possible to prevent that the analysis becomes too wide and/or too cumbersome. The clearer the entity is described, the easier it becomes to identify closely related problems.

Everybody may come forward with proposals to address such issues. However, the actual formulation of proposals to be appraised by the "competent authorities" need to follow a systematic approach to guarantee that:

- stakeholders participate in the relevant stages of project development,
- problems are clearly analysed in their context, and
- relevant strategies are worked out and discussed in relation to the available capacity and resources.

3.4.1 Stakeholder analysis

Stakeholder analysis is the identification of the stakeholders in a certain problem issue, an entity, a project or a programme, an assessment of their interests and the ways in which these interests affect the viability of the proposed intervention¹⁵. It is linked to both institutional appraisal and social analysis: drawing on the information deriving from these

¹⁴ See Annex 4: Steps in Objective Oriented Project Planning, which may be seen as a summary of chapter 3.4.

¹⁵ ODA - DFID, (1995): Guidance Note on How to do Stakeholder Analysis of Aid Project and Programmes

approaches, but also contributing to the synthesis of such data in a single framework. Stakeholder analysis contributes to project design through the logical framework, and to identify appropriate forms of stakeholder participation. Stakeholder analysis¹⁶ includes:

- drawing out the interests of stakeholders in relation to the problem being addressed (the “why factors”);
- identification of conflicts of interests;
- identification of relations between stakeholders which can be built upon;
- assessment of appropriate types of participation by different stakeholders at different stages of the planning process.

Stakeholder participation should enable stakeholders to play an active role in decision making and in the consequent activities that affect them¹⁷. This way the project objectives are more likely to be achieved, and the project activities are likely to be more sustainable.

3.4.2 Problem analysis

Problems are defined as negative perceived situations. The problem analysis is of major importance with regard to project planning, since it strongly influences the design of a possible intervention. An adequate problem analysis is a prerequisite to develop different strategies to address the key problems.

The procedure for a problem analysis includes:

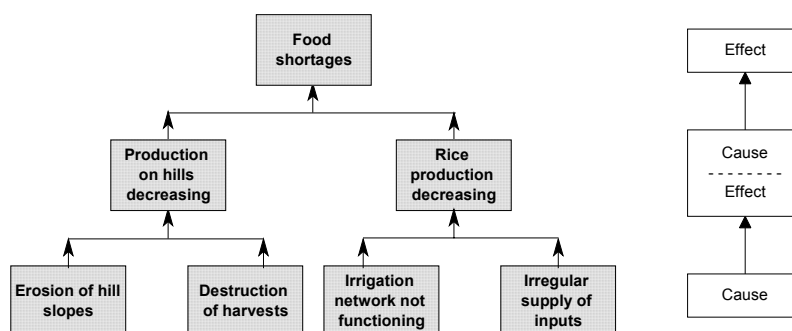
- the precise definition of the subject of analysis;
- an inventory of problems as perceived by the various stakeholders
- an analysis of the problem situation by the establishment of a cause-effect hierarchy between the identified problems;
- the visualisation of the cause-effect relations in a diagram.

In this problem analysis cause-effect relations are established between negative statements about an existing situation. The analysis aims to identify high priority bottlenecks. Experts, informal groups as well as representatives of institutions and organisations concerned contribute to this analysis. The analysis is represented in the form of a diagram, called a problem tree, in which the relations and hierarchy among all identified problems are expressed: each stated problem is preceded by the problem(s) which cause(s) it, and followed by the problem(s) that are its effect(s). See Figure 4.

¹⁶ See Annex 5: "Steps in Stakeholder Analysis"

¹⁷ See Annex 10 for an overview of roles and responsibilities of stakeholders in the RTO PME process.

Figure 4: Diagram of problems (example¹⁸)



3.4.3 Objective analysis

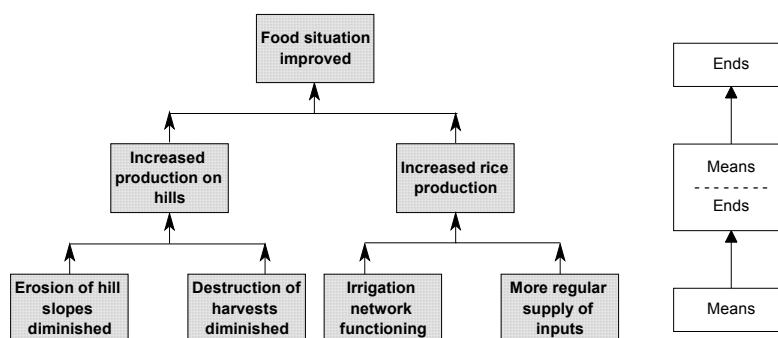
After the problem analysis follows the analysis of objectives. Objectives are defined as positively achieved situations. The analysis of objectives is usually based on a participatory analysis and a number of reports and other documents for factual and therefore more objective information.

The procedure for objective analysis comprises:

- the translation of each problem in the problem tree into a realised positive state (the objectives);
- verification of the hierarchy of objectives;
- visualisation of means-end relationships in a diagram.

The negative states of the diagram of problems are converted into positive states; for instance, 'low agricultural production' is converted into 'agricultural production increased'. All these realised positive states are presented in a diagram of objectives visualising a means-end hierarchy.

Figure 5: Diagram of objectives (example)



This diagram, or objective tree, provides a general and clear view on the desired positive future situation. Often such a diagram shows many objectives that cannot all be reached by the intervention that is being planned. Therefore, choices have to be made. Certain

¹⁸ See Annex 6: for more realistic examples of problem and objective tree analysis of MCC (Myanmar), PDR (Uganda) and ICNDR (Lebanon)

objectives seem unrealistic or not feasible within the context of the intervention, so that other solutions need to be generated for the problem concerned. If, for example, one of the objectives is formulated as 'number of mosquitoes diminished', and this seems not feasible, one might find an alternative solution in 'regular intake of nivaquine by population concerned'. Alternatively, the choice can be made not to address this problem in the intervention under concern.

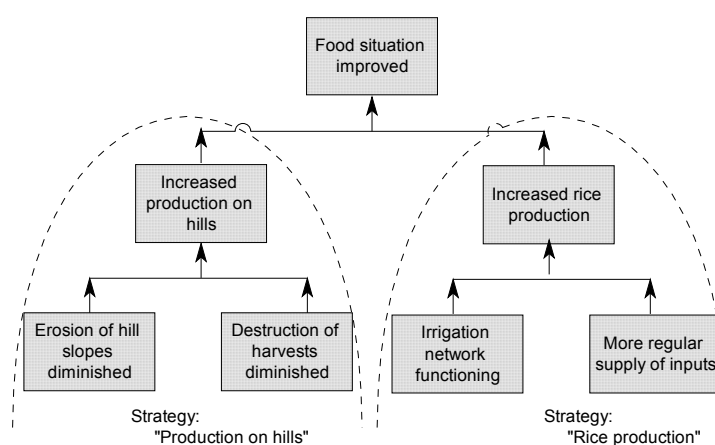
3.4.4 Strategy analysis

The procedure for strategy analysis includes:

- identification of the different possible strategies contributing to an overall objective;
- choice of a strategy for the intervention.

In the diagram of objectives, the different clusters of objectives sharing the same nature can be considered to be strategies. Out of these strategies, one (and sometimes more) will be chosen as the strategy for the future intervention. Based on a number of criteria, the most pertinent and feasible strategy is selected. Criteria may include available budget, significance of the strategy, likelihood of success, the time available, etc. The selected strategy is to be elaborated upon in the planning phase of the project.

Figure 6: Analysis of strategies (example)



Based on the above strategy analysis decisions are made to assign implementation of certain strategies to relevant actors within or outside the (project) organisation, or to assume that certain objectives are achieved through intervention of other stakeholders. The various objectives can be translated in logical framework terms.

3.4.5 Logical Framework

The logical framework is a set of related concepts that describes in an operational way the most important aspects of an intervention. The description is presented in the form of a matrix. With help of a logical framework it can be verified whether the intervention has been well designed. It also facilitates improved monitoring and evaluation.

Figure 7: The format of a logical framework

	Intervention logic	Objectively verifiable indicators	Sources of verification	Assumptions
Overall objective				
Project purpose				
Intermediate results				
Activities		Means	Costs	
				Preconditions

The logical framework is a way of presenting the contents of an intervention. The objectives, results, activities and their causal relationships are systematically presented in the first column of the matrix (vertical logic). In addition to the logic between objectives, results and activities, external factors (assumptions) that influence the intervention's foreseen results, are included in the fourth column. The objectives, results and activities are more precisely described by means of objectively verifiable indicators (second column). To be able to obtain the necessary information for measuring these indicators, also sources of verification are described (third column). Means and costs to realise the activities are presented in the activity row (fourth row). The matrix is concise and easy to use in documents.

The terminology for objectives among organisations, and sometimes within one and the same organisation, is used in a variety of ways. Objectives, goal, purpose, aim, results and targets are used simultaneously, which may give confusion. Within the context of this manual "objectives" are used to describe positive achieved situations in general terms. They are differentiated towards the "change or impact" level, the "use or effect" level, the "result or output" level and the "action" level. As long as those levels are clearly observed, there may be no confusion, even in case any of the underneath terminology is used.

Level of Intervention	Terminology of objective concerned as used among RT stakeholders in practice.
Change level	Overall objectives, goal, overall goals, long term perspective (<i>many objectives</i>)
Users' level:	Project purpose, aim, outcome, medium term perspective (<i>only one objective</i>)
Result level:	Results, intermediate results, specific objectives, output, products, services, short term achievements (<i>many objectives</i>)
Action level	Activities (<i>required to achieve result level</i>)

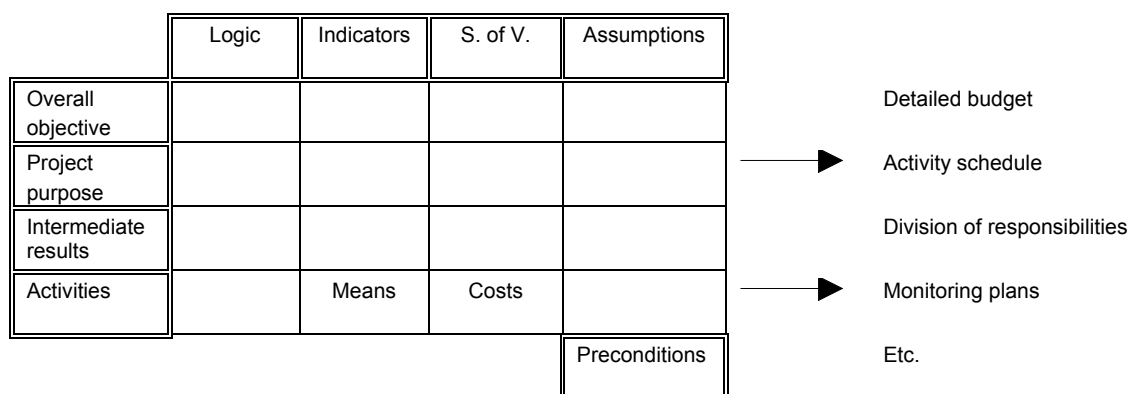
For the sake of uniformity, this manual uses the terminology of overall objective, project purpose, results and activities for the objectives on the four levels of change, use, result and action.

The logical framework assists people who are preparing a project to formulate and structure their considerations, and to clearly describe the project in a standardised way. The logical framework has no other aspirations. For example, if the project is based on poor policies or wrong criteria, the logical framework will reveal contradictions and missing links. The project

designer may not change or replace the policy or criteria, but it may ask additional questions about their relevancy. This way the logical framework is a tool that can contribute to improved planning of a project or programme. The success of a project depends on many other factors as well; for example whether the project addresses the real problems; whether the competence, the know-how and the organisational capacity are available within the project team or within the organisations involved in the execution of the project; or whether the different parties involved stick to their commitments. Consequently, the discipline imposed by the logical framework can never replace the professional qualities of those who use these tools.

Logical frameworks are useful in all phases of the project cycle. In the identification phase, the logical framework is developed, yet without the pretension of being complete. During the next phases (formulation, appraisal, implementation and evaluation) the logical framework is progressively further completed serving as a basis for the conception, realisation and evaluation of a project. It is in this way that a detailed planning and a detailed budget, a monitoring and other management tools can be developed, all based on the logical framework.

Figure 8: Relationship logical framework and other Management Tools



As a method of visualisation, it is useful to organise a workshop with representatives of all stakeholders in which each cell of the framework is written on a card (different colours for each matrix row), and attached on the wall. Thus a clear picture on the main elements of the intervention is provided. This method of visualisation is useful not only to develop the logical framework, but also to have a point of reference while the project is being executed. During and after the intervention, the same logical framework serves as a point of reference for monitoring and evaluation.

The *logical framework* is a matrix of four vertical columns and four horizontal rows.

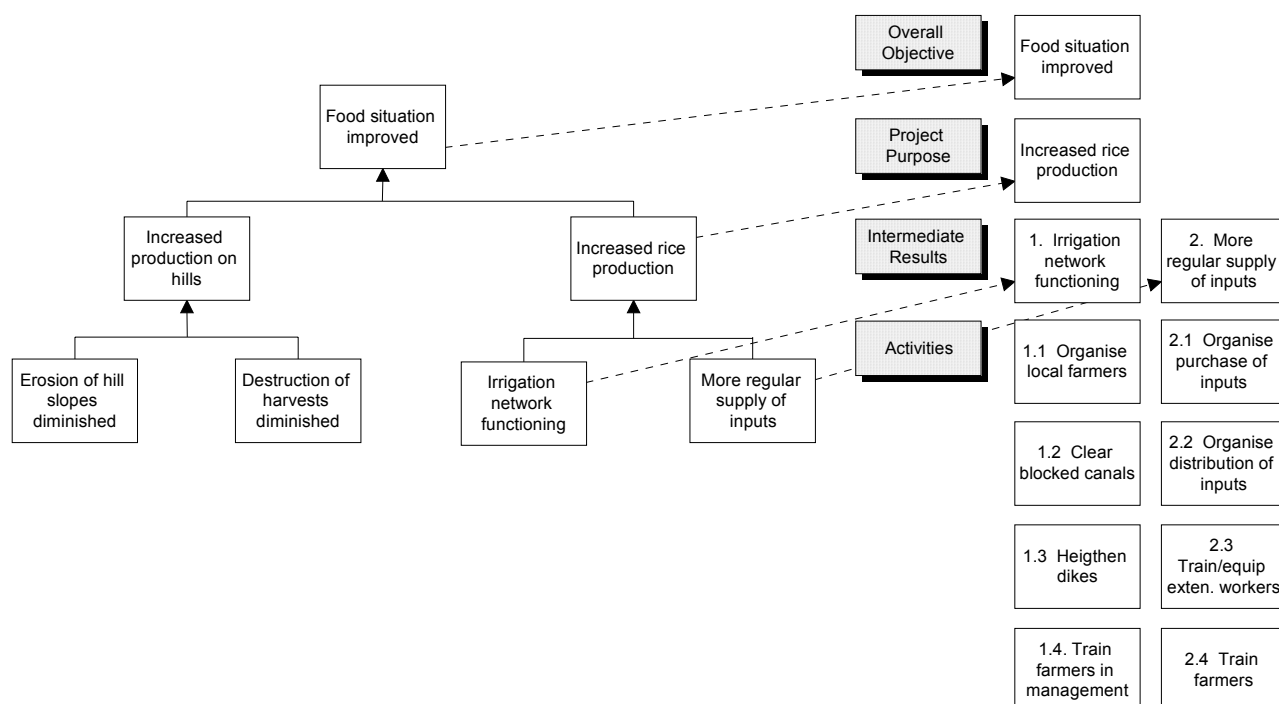
The *first column* describes the logic of the intervention:

- **Overall objective(s)** are a description of the intended *impact* or *change* in the environment" as the consequence of achieving the purpose of the intervention. They are high level objective(s) to which the intervention will contribute (e.g. overall sub-sector objectives). Other interventions and activities will also contribute to the realisation of this objective.

- The **project purpose** describes the level of objective in which the intended *target group uses the project results*. It is the objective to be reached by the intervention. There should be a fair chance that this objective will be realised directly or some time after the project has been accomplished. Sustainable benefits for the target groups are always the underlying purpose of the project.
- **Intermediate results** describe the *services* delivered or the *products* or *output* achieved as the consequence of activities undertaken. The results together will lead to the realisation of the project purpose.
- **Activities** describe the *action* to be taken during the intervention in order to reach the intermediate results.

The relationship between the various levels of objectives in the objective tree and the proposed intervention logic can be depicted as follows:

Figure 9: Relation between objective tree and Logical Framework



The *second column* of the logical framework contains the **objectively verifiable indicators**. The indicators present an operational description of the elements of the intervention logic, in terms of target groups (*who?*), quality (*what?*), quantity (*how many?*), place (*where?*) and time (*when?*). The indicators are in fact a precise or SMART (*specific, measurable, attainable, reliable and time-bound*) description of overall objective(s), purpose and results. The physical and non-physical **means** (*inputs: human and material resources*) necessary to carry out the activities are placed in the 'activities' row (fourth row).

The *third column* contains the **sources of verification**. The sources of verification state how and where the realisation of the overall objective(s), purpose, results and activities (made operational through the indicators and means) can be verified. Which reports,

statistics, etc. need to be consulted to get information on the level of achievement of the objectives concerned.

The **costs** of the intervention and the sources of funds (financial resources: local contribution, local churches, funding agencies, RESS/WCC, government, etc.) are placed in the 'activities' row (fourth row).

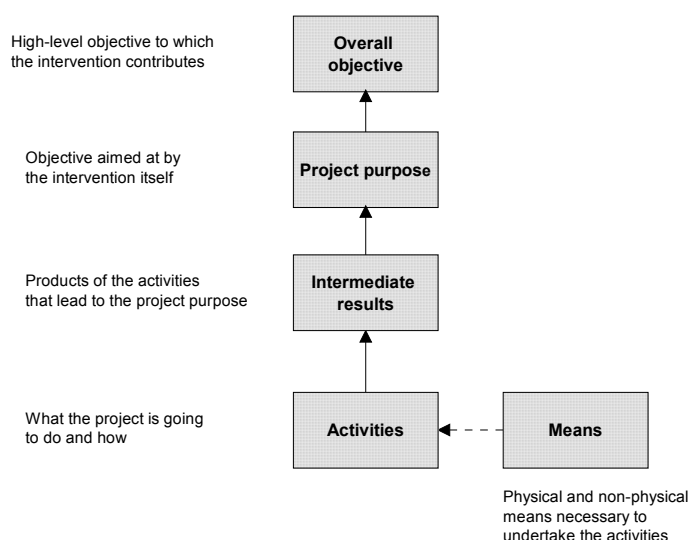
The *fourth column* contains the **assumptions** that are outside direct intervention control, but very important for the realisation of the intermediate results, the project purpose and the overall objective. For example: 'no sabotage of irrigation system' is an external factor, which decisively determines whether one of the intermediate results will sustainably contribute to the project purpose. If - without additional measures - it is unlikely that rivaling tribes refrain from sabotage, the assumption is considered a 'killer' assumption.

Killer assumptions make a successful implementation of an intervention impossible. In the case of a killer assumption the concerned part of the project conception must be reviewed. For instance, the government may be required to launch a 'programme for tribal reconciliation'.

The actual launching of such a programme may be put as a **precondition**. Preconditions have to be met before the start of the project. They are placed in the lowest cell of the 4th column.

The intervention logic - as described in the first column - runs from the means to the overall objective: through the availability of the means, activities can be undertaken; through the activities, intermediate results are achieved; the intermediate results will lead to the project purpose; and through the project purpose, the intervention contributes to the overall objective.

Figure 10: The Intervention Logic



Procedure to determine the intervention logic

- 1. Identification of the project purpose:* The project purpose is always an expression of sustainable benefits for the project's or programme's target groups, in case *the results are used by the intended target group*.

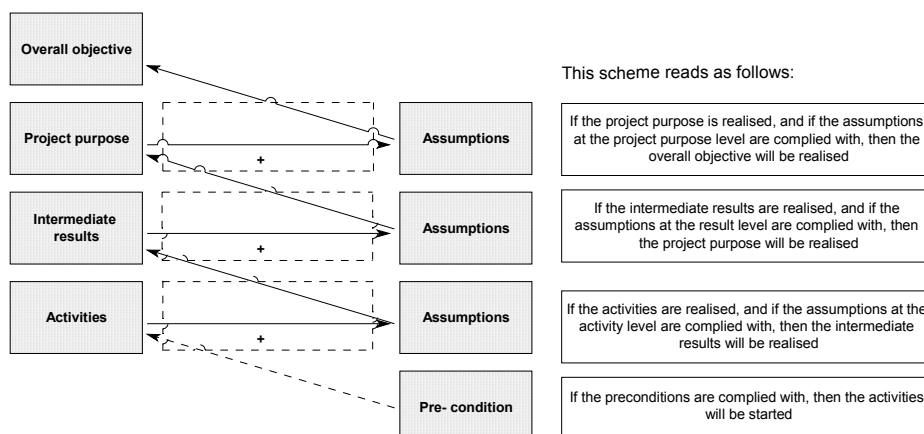
Select the 'objective' from the objective tree that is situated on top of the strategy chain or, in case you want to combine several strategies, formulate an objective that covers them all. In the example, "Improved food situation " is an objective, formulated to combine the strategies relating to "rain-fed agriculture on the slopes", and "irrigated rice cultivation". In case more objectives (purposes) at the same level in the diagram would be selected, a logical framework must be made for each different purpose.
- 2. Identification of the overall objective:* The overall objective(s) describe in broad terms the *intended change in society or the project environment* as the consequence of the target group using the project results. They describe the perspective in which the intervention will be executed. Select from the diagram of objectives an 'objective', which is situated higher than the project purpose. Usually, this will be an objective at the 'sub-sector' level.
- 3. Identification of intermediate results:* The results describe the *actual output*, products or services, delivered by the project. Select from the diagram of objectives the 'objectives' that - following the means-end logic - lead to the project purpose, and thus are intermediate results. If necessary, add other results that are also needed to realise the project purpose. These additional results are identified through a complementary analysis of opportunities and risks of the situation.
- 4. Identification of activities:* The activities are a description of the *action* undertaken by the project. Select from the diagram of objectives the 'objectives' that - following the means-end logic - lead to the intermediate results and translate them into activities. Add other activities that are needed to realise the intermediate results. These additional activities are identified by means of a brainstorm or by a complementary analysis of opportunities and risks.

While filling in the logical framework, it remains necessary to continuously check whether the logic remains valid, despite a sound problem and objective analysis at the start of the identification and formulation phase. Continuous brainstorming with the stakeholders concerned to check and countercheck helps to guarantee the feasibility and sustainability of the proposed intervention.

3.4.6 Assumptions

Assumptions are external factors for which the intervention is not responsible, but on which the realisation of the intermediate results, the project purpose and the overall objective depend. Assumptions answer the question: "Which are the external factors that are not influenced by the intervention but affect the realisation of the intervention significantly?" The realisation of such external factors may either be taken up by other actors, or are beyond anybody's control and are only to be monitored to enable the "project manager" to take adequate remedial measures if necessary. In the logical framework, they are presented as indicated in figure 11:

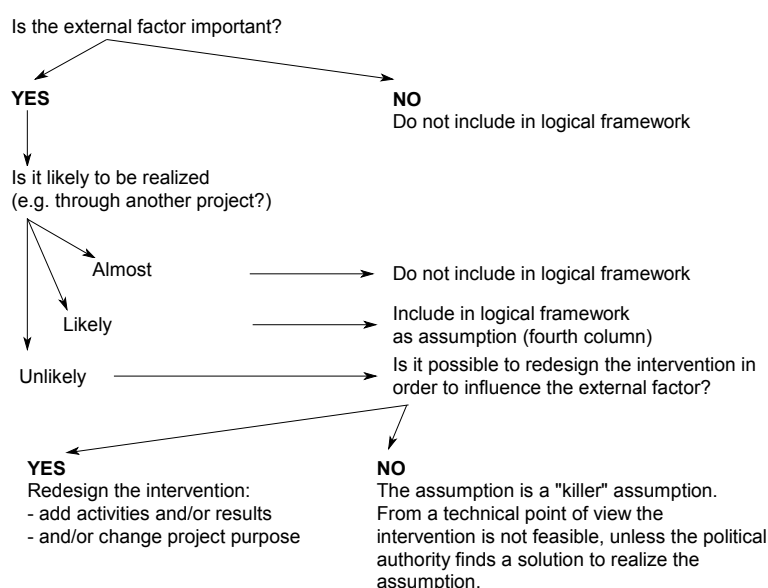
Figure 11: Reading External Factors in reference to the Intervention Logic



Procedure to determine the assumptions and preconditions

1. Identify in the diagram those 'objectives' that are not included in the intervention logic (first column), but that are important for the realisation of the stated objectives in the intervention logic.
2. Place these objectives as external factors at the appropriate level.
3. Identify other external factors, not included in the diagram, but important for the success of the intervention (see e.g. stakeholder analysis).
4. Assess all external factors upon their importance and chance to be realised, using the algorithm depicted below.
5. This assessment leads to one of the following three conclusions:
 - the external factor can be left out as it is almost 100 percent certain to be realised;
 - the external factor will be kept as an assumption or a precondition;
 - the intervention should be redesigned.
6. Check, using the diagram above, whether the intervention is logical and complete.

Figure 12: Algorithm to assess external factors



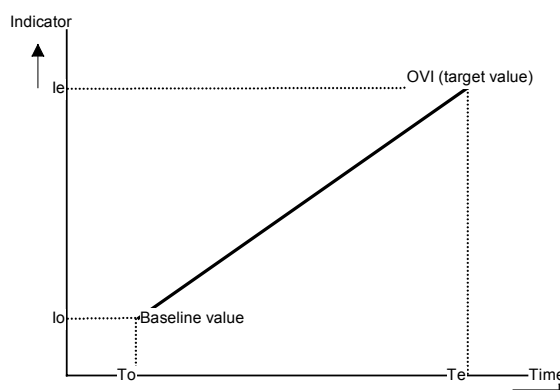
Clarification of important aspects of the assumptions

Why introduce assumptions?	The intervention logic never covers the whole reality concerned. External factors often have an important influence on the success of the intervention, and should therefore be identified and taken into account.
What is the importance of assumptions?	Assumptions influence or even determine the realisation of intermediate results, project purpose and overall objective. Already in the planning phase, these external factors should be known and it should be assessed whether they are likely to become true.
How to identify the assumptions?	Some of the 'objectives' included in the diagram of objectives may be assumptions. Other assumptions may be identified by experts or other parties involved.
When do external factors become assumptions?	External factors should be checked on their importance regarding the success of the intervention. If of (vital) importance, and if impossible to include in the intervention, then factors should be kept as assumptions.
What to do if assumptions that are important for project success are unlikely to be realised (killer assumptions)?	Cancel or reformulate the project, by adding certain intermediate results or by modifying the project purpose.
How to formulate assumptions?	Assumptions should be formulated as positive, reached states, so that they can be verified.
At which level in the logical framework should assumptions be included?	Assumptions link the different levels of the intervention logic. They should therefore be included at the appropriate level. The level at which an assumption is placed, depends upon whether the assumption contributes to the realisation of either the overall objective, the project purpose, or (one of) the intermediate results.
What is a pre-condition?	A pre-condition is an external factor that must be realised before activities of the intervention will be started.

3.4.7 Indicators

Individual interventions know two types of indicators: the objectively verifiable or planning indicators (OVIs) and the monitoring indicators or milestones. An *Objectively Verifiable Indicator (OVI)* or shortly a *Planning Indicator* should give a clear picture of the situation to be reached at the end of a certain period.

Figure 13: Baseline and Target Value of Indicators



The following points should be included in well-defined objectively verifiable indicators (QOTTP):

Variable / Quality:	the element to be measured	(<i>what?</i>)
Quantity:	the current situation (baseline) and the situation to be reached (target value) i.e. the change over time	(<i>how much?</i>)
Target group:	the people affected by the project	(<i>who?</i>)
Time:	the time concerned: when does the project take off and at what time should the purpose have been reached	(<i>when?</i>)
Place:	the location concerned	(<i>where?</i>)

All indicators should be *SMART* (i.e. Specific, Measurable, Attainable / Achievable / Agreed upon, Reliable / Relevant, and Time-bound)

Procedure to define the objectively verifiable indicators

1. Specify for each objective, but specifically for each intermediate result and the project purpose, the quality, the quantity, the target group, the place and the time as mentioned above.

Note: The activities are supposed to be described in clear quantifiable terms, ready to identify the means required and the budget concerned.

2. Verify whether each OVI describes the objective, purpose, or result accurately. If this is not the case, another indicator or additional indicators should be defined.
3. When assessing whether the OVIs for the project purpose actually include the notion of 'sustainable benefits for the target groups', it should be checked whether the following elements are included:

- (a) the clear description of the 'product' or the 'services' for the target group;
- (b) the target groups that are meant to profit from it;
- (c) the responsibility to maintain these services and products;
- (d) the period of time in which the benefits will be available for the target groups.

In general it is complicated to give examples of ideal indicators. Indicators are case specific and therefore depending on 'the one who is asking the information' and on 'the available information'. Underneath there are two examples: one in the field of agriculture and one in the field of gender lobby¹⁹.

¹⁹ See Annex 7: for some more examples of indicators in reference to Networking, HIV/AIDS and Training
See Handbook of Democracy and Governance Program Indicators

Examples of the formulation of an Objectively Verifiable Indicator:

Steps	Element indicator in reference to Agricultural Development
1 Identify objective	E.g. increased rice yield of small farmers
2 Quantify	10,000 small farmers (owning 7 rai or less) increase production by 50%
3 Set quality	10,000 farmers increase rice production while maintaining same quality of harvest
4 Specify time frame	between January 2003 and January 2006
5 Set location	Bakurian Foothills
Combine	10,000 farmers in the Bakurian Foothills (owning 7 rai or less) increase their rice yield by 50% between January 2003 and January 2006, maintaining the same quality as in 2002 harvest

Steps	Element indicator in reference to Gender Lobby²⁰
1 Identify objective	E.g. adequate lobby to have women participating in decision making processes in the diocese
2 Quantify	50% of the members of the diocesan Board are women
3 Set quality	Women, equally representing the various parishes, income groups and educational levels
4 Specify time frame	Before January 2005
5 Set location	Diocesan Board of Bakurian Diocese
Combine	Adequate lobby results in the percentage of female members of the Diocesan Board increased from zero at this moment up to 50% in January 2005.

Clarification of important aspects of objectively verifiable indicators

Why define OVIs ?	OVIs are particularly defined to: - clarify the characteristics of the project purpose and the results; - enable objective management of the intervention; - enable objective monitoring and evaluation.
What criteria should OVIs meet ?	OVIs should be: - specific as to quantity and quality; - substantive (cover the essential) and reliable; - independent from each other; each OVI should relate to a single objective, purpose or result; - verifiable, based on available and accessible information.
Is there just one OVI per activity, result, purpose or objective ?	Often it is necessary to define several indicators, which together will provide reliable information concerning the realisation of an objective, purpose, or result, but the more indicators defined, the more indicators to be verified, which could be cumbersome. Be as specific (and efficient) as possible.
Is it always possible to find an OVI ?	A good OVI measures in a direct way; e.g. 'increased production' is measured by combining the different crop results. If direct measurement is impossible, it is necessary to find 'proxy indicators'; e.g. for 'income of farmers increased', one may take improvements in housing conditions (tiles, use of cement, etc.).

²⁰ On actual lobby output level the indicators may be identified in terms of e.g.:

- # of times the issue is addressed on the radio
- # of times a Newsletter has been issued
- # of times an article has been published in one of the Newspapers
- # of times participating in decision making church meetings

Can all objectives, purposes and results be made operational by means of OVIs?	Sometimes it is difficult to make them operational, but it should always be attempted, as they greatly facilitate objective management, control and evaluation. OVIs could be defined to clarify the characteristics of the overall objectives as well. However, the definition of the overall objective quite often may be too wide, the number of external factors contributing to the achievement of the overall objective quite often may be too many, and the verification of the achievement of the overall objective quite often may be too cumbersome and even beyond the capacity of the project management, so that the actual definition of the OVI for the overall objective may be done superficial.
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Activities are conducted (*action*) to achieve a result (*output*), which is intended to be used (or benefited from) by the target group (*use*) in order address the original "unwanted" situation (*change*). Consequently, in reference to one activity only, objectives could be defined on the level of activity (action), output (result or product), utilisation (users) and benefit (change or impact). Therefore their indicators need be defined accordingly, as is the case in the health education example underneath in a village, where the original problems were identified as a *high incidence of preventable diseases, including water borne diseases, lung affections and malnutrition*.

Levels of Indicators: Health Education

Overall Objective	Change	After 1 year among x women the incidence of preventable diseases diminishes with 40%
Project Purpose	Use	After 3 months 75% of x women apply their knowledge by changing their behaviour: <ul style="list-style-type: none"> • They start boiling water before drinking • They stop smoking • They include all required nutrients in daily family diet
Result	Output	At the end of the training programme X women acquire knowledge (pass test) about e.g.: <ul style="list-style-type: none"> • prevention of water borne diseases • influence of smoking and cooking habits on bronchial tubes • minimum requirements for daily diet
Activities	Action	In 2003 out of women x women (ex-patients of Rural Health Centre) in village A participate in PHC session on causes, remedy and prevention of e.g.: <ul style="list-style-type: none"> • water borne diseases • lung affections • malnutrition

Sources of verification

For the verification of indicators of all objectives and assumptions data sources need to be determined. The following procedure may be followed:

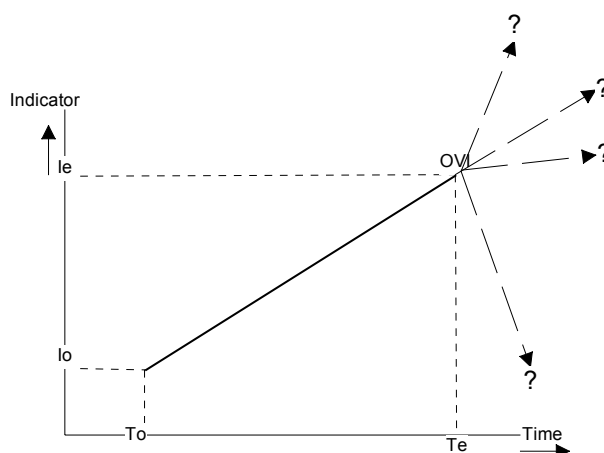
1. Determine which sources of verification are necessary to obtain information on the objectively verifiable indicators.
2. For the sources of verification that are situated outside the intervention, it should be verified whether:

- a. their current form and presentation is manageable;
 - b. they are specific enough;
 - c. they are reliable;
 - d. they are available, can easily be obtained;
 - e. the costs to obtain the information are reasonable.
3. Define the sources of verification that should be collected, processed and stocked by the intervention itself.
 4. The objectively verifiable indicators for which no sources of information can be found, cannot be used and should be replaced by others. Sources of verification for these new indicators should then be established.

3.4.8 Sustainability

Sustainability can be defined on activity, project or programme level, in reference to the level of functioning of an organisation, or on global level. At development programme or project level a sustainable intervention is defined²¹ as the situation, in which the project is able to deliver an appropriate level of benefits for an extended period of time after major financial, managerial, and technical assistance from an external donor is terminated.

Figure 14: Measuring Sustainability



Within a project or programme proposal all activities, all results and the project purpose can be screened on their level of sustainability. Yet, not all activities or results need to be sustained. Even the purpose itself may not necessary to be sustainable. However, it is useful to consider the sustainability question for all individual activities, for all results and for the project purpose using the following criteria²²:

- ownership by beneficiaries, focus or target group
- policy support
- socio-cultural factors, gender

²¹ Development Assistance Committee (DAC) of the Organisation for Economic Co-operation and Development (1988):

²² The sustainability criteria are sometimes called "quality criteria" as well.

- financial / economic factors
- environmental factors
- institutional / management factors

Consequently on all activities, results and the purpose questions may be asked like:

- Is the ownership of planning and implementation of the activity concerned well embedded with the beneficiaries?
- Is there adequate policy support of the individual church, the national council of churches, the local and/or central government to implement/maintain the activities concerned?
- Does the activity have a positive/negative gender-sensitive impact?
- Are there sufficient financial, human and material resources available to proceed with the activities after external support has been terminated?
- Does the activity have a negative influence on the environment?
- Do the beneficiaries have sufficient management capacity to implement and maintain the activity concerned?

3.4.9 Project Organisation

The stakeholder analysis, the participation matrix and the sustainability questions stated above may give direction for an adequate organisational set-up and/or additional "strengthening" activities. Depending on the operational responsibilities of the various actors, all kinds of co-ordination mechanisms need to be defined. Where co-ordination is assessed²³ not to function adequately additional activities may be designed to be added to the logframe.

3.5 Appraisal

The appraisal of a project proposal is not directly the task of the person preparing the proposal. However, the person who formulates the proposal needs to be aware of the appraisal criteria that are used by the various committees and/or organisations concerned. Different questions are asked in different phases of planning and implementation²⁴. From that perspective the appraisal criteria of all committees and/or organisations the proposal is presented to, should be known to the project initiator and/or formulator. Specifically it should be clear what the criteria for appraisal are of the:

- local church council
- national church council and/or the council of bishops
- round table / round table organisation
- national council of churches
- RRES team / WCC
- funding agency concerned

²³ See Annex 8 for Steps in Organisational Assessment

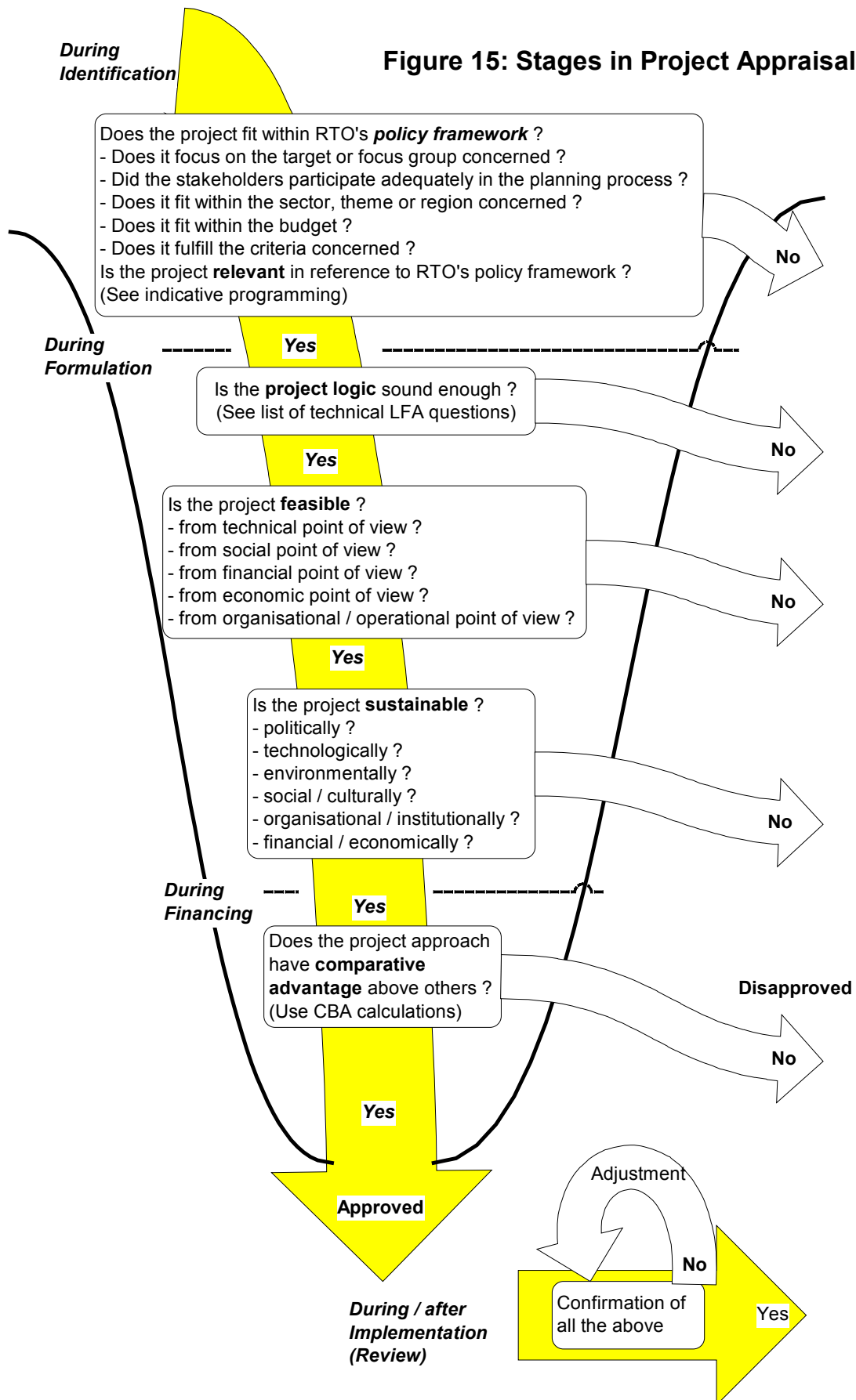
²⁴ See Chapter 4.3 Project Appraisal for an overview of the different levels of appraisal.

In addition, in case activities are proposed that need to be implemented in line with local and/or national government policy, the appraisal criteria of government should be known as well. During identification emphasis is given to the relevancy of the proposed intervention. Relevant from the focus or target group point of view and relevant in reference to the policy intentions of the potential supporting organisations concerned. (See figure 15: Stages in Project Appraisal). After the proposal has been formulated the portfolio manager of the supporting organisation concerned may raise questions about the project logic, the technical, social, economic, financial and/or organisational feasibility and sustainability.

Although it hardly ever occurs, the proposal may be subject to a cost-benefit analysis to verify the proposal's comparative advantage above that one of other proposals during the financing phase.

Considering all above questions, one may conclude to approve or disapprove the proposed intervention. In case of disapproval, the project initiator may be able to adjust the proposal accordingly and (s)he may propose the intervention again. Once approved, in the implementation phase continuous or regular confirmation of all above questions may be sought in review(s), which may then lead to adjustments in the intervention. Reviews may be conducted in conjunction with the monitoring of the intervention.

Figure 15: Stages in Project Appraisal



3.6 Implementation and Monitoring

During implementation the management on various levels monitors the implementation of the activities and the achievement of the results and purpose. Monitoring is in the first place a management tool. Monitoring is the “regular collection and analysis of information for the surveillance of progress of the project implementation”.

The *functions of monitoring* are:

- documentation of the process of implementation;
- to facilitate decision making by the management;
- to take remedial action;
- to learn from experience / feedback to planning.

Monitoring can be done in a formal way by elaborating a system to receive information and to send feedback and decisions. However, a lot of information can be gathered only or even better, by adding to this formal system another more informal way of gathering information. For example, sensitive information that will not be written in documents can be communicated better through informal meetings and discussions. The combination of methods for gathering information and giving feedback will yield the best results.

Setting up of a monitoring system²⁵ at project level requires:

- 1 Clarity of objectives, results, activities and resources of the project(s);
- 2 Clarity on the responsibilities and decision making power of the project officer;
- 3 Clarity on the information requirements at the level of the project officer;
- 4 Clarity on the information to be supplied by the project and/or by others;
- 5 Frequency, flow and format of reporting by the project and others to the project officer;
- 6 Frequency and format of feedback by the project officer.

This actually means that:

1. The preparation of logframes for all projects helps to clarify objectives, results, activities and resources.
2. The responsibilities of the project officer are for example to approve resources and funds to be used by the project (on an annual basis); to supervise the project results and to play a “messenger” function between the project and national and international relevant parties.
3. The project officer is most interested in knowing whether the intermediate results have been achieved (output) and how many of the resources have been used to achieve these results (inputs). The project officer wishes to be informed on the realisation of assumptions and the difficulties the project is facing; both these aspects may be influenced by the intervention of the project officer at other or higher levels.

²⁵ See Annex 9: Steps in designing a monitoring system

4. For all information required by the project officer clear indicators should be made and agreed upon by the two parties: the receiver and the sender. Targets should be specific, measurable, achievable, reliable and time related (SMART).
5. The system should indicate how often written information should be sent, which format should be used and how this information will be sent to the project officer. In addition to reports, meetings and visits are important ways to gather information in a formal and informal way.
6. There are different ways in sending feedback to the project. **On demand** interference and feedback are important from a management point of view. The project requires approval, an intervention or assistance from the project officer in order to continue functioning along agreed plans. This should be an immediate action from the project officer. **On line** interference is the regular feedback in progress or planning meetings at the level of the project. **Visits** are a third source of feedback and supervision. A regular scheme will be beneficial for all parties. Finally the project officer has to confirm formally reception of progress or planning documents of the project and mark his or her approval for a go ahead. In addition to these bilateral meetings the project officer may be involved in meetings at the sector and national level where the programme progress is discussed with the national or sectoral counterpart organisations.

Introducing a system for monitoring requires all parties to agree on sending the right information and feedback in time. Parties should trust each other and be convinced that the information is used not only to supervise but also mainly to support the project. This trust is an important condition for a successful introduction of the system.

A Monitoring Indicator or Milestone measures the change, which took place in the selected variables during a certain period. The monitoring indicator has to be SMART too. The milestone (or benchmark) should be:

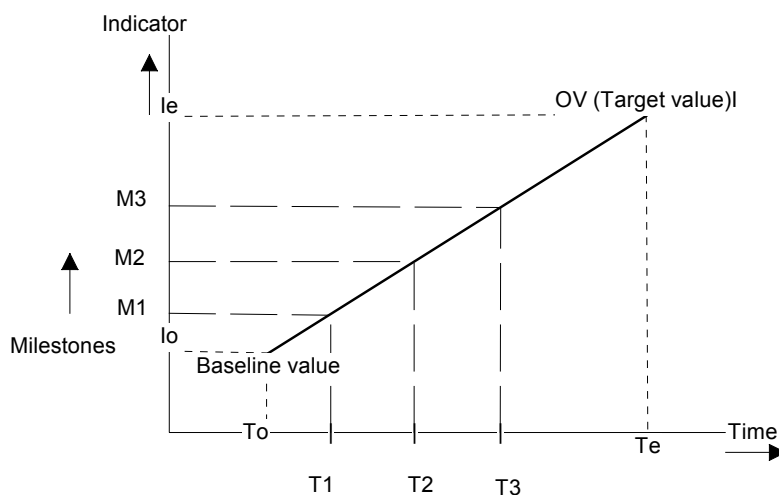
- valid: i.e. there should be a clear causal relation between what you want to know and what you want to measure,
- sensitive: i.e. that the reaction time between the change in the 'element' to be known and the indicator to be used should be short,
- measurable: i.e. it should be quantifiable with an acceptable degree of accuracy,
- simple: i.e. easy to measure at limited costs (cost effective).

In order to select a proper monitoring indicator, you formulate a manager's question (MQ), which expresses exactly what you want to know. To identify such questions and related benchmarks the following steps need to be considered:

1. Analyse the management structure and describe the responsibilities at each level²⁶;
2. Clarify the objectives, analyse the implementation process and identify possible bottlenecks or critical moments;
3. Formulate your manager's question and determine the indicators. Check, e.g. whether the MQ is formulated sufficiently gender specific;
4. Define the information flow and the corresponding responsibilities of staff involved to collect and process relevant data;
5. Assess means, costs and risks to get quality data at the right time at the right place.

²⁶ See Annex 10: for an Overview of Responsibilities of RTO Stakeholders.

Figure 15: Milestones



There are two types of monitoring indicators. Those that are deduced from the planning indicators, but taken over shorter periods of time. And those that are related to the implementation process, i.e. to the sequence of activities itself. An example of the first type could be that *"in three years 300 "x" should be achieved, which means that every quarter 25 "x" needs to be achieved"*. Such indicators are relevant in case a number of similar activities are undertaken, of which the results are consequently aggregated within one and the same project. An example of the second type may be depending on critical moments during the implementation process. The manager needs to be informed in case activities, in which more actors are involved, are about to start and co-ordination is required, or in case a certain activity has been accomplished.

When a manager's question like 'How many wells have been completed?' has been formulated it has to be screened whether this question is really worthwhile to be integrated in the regular monitoring system. It has to be screened as well against the availability of the beforehand well defined milestone of "the number of wells that should have been completed at that particular moment". For this reason the MQ can be checked by asking:

- Why do I need to know this information?
- What can I do with the possible answer? With other words: what is the link with my responsibilities?
- Do I still want to maintain the question?

Based on these questions the MQs to be included in the monitoring system can be selected. The more MQs are taken along in the monitoring system the more information has to be collected, processed and reported on and the more time the demander needs to read the information received and to take it along in decision-making. These consequences have to be seriously considered. Monitoring costs time and money.

The monitoring questions for the project, based on the process flow, can be divided into different sections which follow the logic of the logframe: the availability of inputs enables the project to take off (action); the execution of activities leads to services (results); these

services will be used by the beneficiaries (project purpose) which leads to a change (overall objective). In line with the logframe, we can distinguish the following types of monitoring.

a. Monitoring of input / action

The monitoring of action often deals with the deployment of the resources which are at the disposal of the project, such as:

- | | |
|------------------|--|
| Finance: | Financial information is gathered and processed in the bookkeeping system, which will be designed in order to provide management the statements of the relevant level of detail.
<i>Example MQ: How much did we spend on materials over the last two weeks?</i> ²⁷ |
| Equipment: | The deployment, use and performance of equipment (cars!) are often kept in several recording systems.
<i>Example MQ: How many days per month have the lorries been fully utilised for transport of materials for the wells?</i> |
| Materials: | The use of materials, in quality and quantity, is often relevant for most management levels.
<i>Example MQ: What is the average quality of materials used (e.g. cement) for a well?</i> |
| Human resources: | The human resources which are deployed (the 'head count') are usually integrated in the information system of large organisations. However, when strict cost control is paramount, person-day investments per activity can be included in the system.
<i>Example MQ: How many villagers have participated in the construction of the wells in villages x, y and z. and how many days on average per villager?</i> |

b. Monitoring of results (products, outputs)

The monitoring of results is concerned with the organisation's output in terms of products and services for the target group. It often concerns goods, services and infrastructure realised with the participation of the target group, for example a certain amount of training for male and female farmers, the construction of wells for drinking water, the organisation of Village Water Committees. Managers are interested to know whether the planned results as described in the logical framework are being achieved, in quantitative and qualitative terms. It is not enough to know how many training sessions have been given; the manager also wants to know the quality of the training.

In principle, a manager at supervision/co-ordination level looks for information, which is in line with his/her responsibilities. He will not be interested in details like the manager on implementation level (following the actions to be executed), but he wants to know the overall achievements of the project.

Example MQ: How many wells have been completed?

c. Monitoring of reaction (level of project purpose, effects)

With respect to all goods, services and infrastructure realised by the project (results), it will be necessary to know the reaction of the target group. Their reactions can be measured by evaluating the utilisation of the different services, goods, etc. The use of the realised products shows whether these outputs are in line with the wishes and needs of the beneficiaries.

²⁷ The examples of the MQs are based on the case 'Village Water Project'.
See Annex 9: Monitoring Village Water Supply Project for an overview of MQs of various stakeholders.

Examples MQ: 'What is the percentage of villagers active in the VWC, in relation to the number of villages trained for participating in the committee?' 'How many families (absolute and in percentage) draw water from the new wells?'

d. Monitoring of impact (level of overall objective(s))

Finally, it is assumed that the use of the services provided by the project to the target group will lead to a certain *change* in the living conditions or the behaviour of the target group. This is often expressed in the overall objective(s). This change can be economic or social, and it can be positive but it can also be negative. It may directly be linked to the utilisation of a certain result, but it may also be indirectly linked. The question to be asked in order to find the exact nature of the linkage should be reserved for evaluation.

Example MQ: What is the change in the number of water borne diseases comparing different years?

e. Monitoring of context

The context of a project is as vast as the world that surrounds it. For this reason a careful selection has to be made of what in this context has to be monitored. A first idea for selection of factors that are useful to be monitored, will be taken from the assumptions mentioned in the logframe. The project is highly influenced by external factors as for example the rainfall, which influences the ground water level.

Example MQ: 'What is the change in ground water level in the villages with new wells, for the last year?' 'What is the population growth in the concerned villages?'

Emphasis on either one of the information requirements as described in a, b, c, d, or e is based on the information needs of the managers in relation to the objectives of the project. This is the base for the monitoring system. During the implementation of the project, the objectives of the project might change, causing the managers' responsibilities and thus their information needs to change as well. It is necessary to adapt the management questions for information from time to time.

When formulating the managers' question it may be verified whether the question is formulated in such a way that it takes into account possible gender aspects. For example: 'Is the number and position of female and male members of the Village Water Committee according to requirements?' If necessary data for monitoring are collected so as to be able to compare the execution of the project to the planned objectives as they are expressed in the planning indicators, these planning indicators should always be formulated in a gender-sensitive way, right from the planning stage.

The information which is collected with the monitoring system can be divided into two main parts: the information generated within the organisation - i.e. monitoring of action and of results - and the information which is generated outside the organisation - i.e. the monitoring of reaction and of the context. For the information that is gathered within the organisation, the phenomena of interest can usually be measured directly. The indicator takes the form of aggregate data. Such is the case with financial figures, used materials, production levels etc. Measuring the target group reaction is altogether a different matter. Direct measurement is often not possible because the target group is far too large. Somehow an indirect indicator or an estimate has to be found, based on a sample survey, or by measuring a related phenomenon. For example, if we want to measure the increase in income in a certain area, the change in *expenditure* on certain items like housing, motor cycles or refrigerators may be used as an indirect indicator.

Indirect indicators should be used with care. Managers have to be aware of the limitations in scope and validity of the indicators used in the system. The manager is interested in getting answers to the manager's questions, for which the indicators are a means. In the table below a classification of some types of indicators is presented for three different types of development interventions, which may provide an overview of the kind of information that is usually collected.

Table 1. A classification of indicators according to intervention type

Monitoring type	Product delivery	Service delivery	Infrastructure construction
Monitoring of action	* Resources used	* Resources used * No. of activities realised • Frequency of contact	* Resources used
Monitoring of result	* Product quality * Quantity distributed	* Coverage of service network * Respect for time scheme * Quality of delivery	* Completion rate * Timeliness * Quality of the works
Monitoring of reaction	Marketing: * Appreciation of the product * Utilisation of the product	Beneficiary contact: * Adoption rates * Satisfaction level * Levels of production	Use: * Rate of use * Users satisfaction * Maintenance * Administration • Contribution of Users
Monitoring of context	* Competitive position * Market fluctuation * Economic policy * Inflation rate * Labour market * Political stability * Etc.	* Client environment * Economical setting * Institutional setting * Climate * Etc.	* Distribution of benefits * Public-administration policy * Institutional setting * Economical setting * Etc.

3.7 Evaluation

Evaluation²⁸ is defined as an examination as systematic and objective as possible of an on-going or completed project or programme, its design, implementation and results, with the aim of determining its efficiency, effectiveness, impact, sustainability and relevance. The purpose of an evaluation is to guide decision-makers. Traditionally, this assessment is seen as an external, retrospective activity at one point in time. But it also includes “on-going evaluation”, built into the project, and “self-evaluation” (continuous or “once off”) by the implementing organisation²⁹. Large projects and programmes often have a mid-term evaluation halfway project implementation to assess their progress. The aim of this type of evaluation is to see whether the project is still on the right track, following the project outline as agreed upon in the formulation phase. These evaluations, or reviews, assess the project organisation and project structure. Mid-term evaluations are usually internal evaluations.

²⁸ UN

²⁹ ICCO, c.s. (2000): Building Bridges in PME

Such "internal evaluations" are mainly initiated by the project organisation itself. They primarily serve the project's own internal information needs.

An external evaluation is initiated by a party external to the project, for example the RTO or funding agency, and mainly serves to meet this external party's information needs. This type of evaluation is discussed in chapter 4.

4. Round Table Planning, Monitoring and Evaluation

The Round Table Organisation can be understood as a kind of multi project organisation³⁰, which is defined as an organisation in which activities, projects and/or programs within a portfolio are executed simultaneously or consecutively, whereby all projects make use of the same resources. In case of the Round Table Organisation these resources, although contributed by different funding agencies and/or (local) churches, are all dealt with during the Round Table. Hereby it is assumed that the progressing results of the project portfolio contribute optimally to the strategic objectives of the Round Table (Organisation). The programme officer, or sometimes called the desk officer or the portfolio manager, within the Round Table Organisation controls a variety of projects throughout the phases of the project cycle.

4.1 Project Cycle Management for Portfolio Managers

Project cycle management for portfolio managers, multi project management or portfolio management, means to control simultaneously a number of projects, which do not necessarily have any relevant connection with respect to content. The common factor of the projects is that they are executed on behalf of one supporting organisation (the Round Table).

Programme management may be defined as a form of portfolio management, in which a variety of projects and/or programs are selected, planned and managed in a co-ordinated way, that together achieve a set of defined objectives. The portfolio of projects may here be defined as a programme, i.e. a coherent set of projects that is not necessarily finite, that is jointly co-ordinated and managed and in which a continuous flow of projects may be incorporated.

A portfolio can be defined in two ways. The first definition is from the point of view of the Round Table Organisation, the multi project organisation. The objectives to be achieved concern the efficient and effective resource management of the organisation.

Figure 17: Portfolio Management in a Multi-Project-Organisation

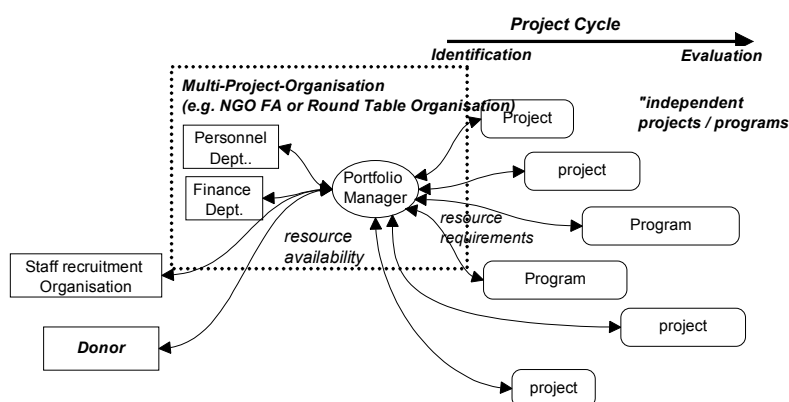
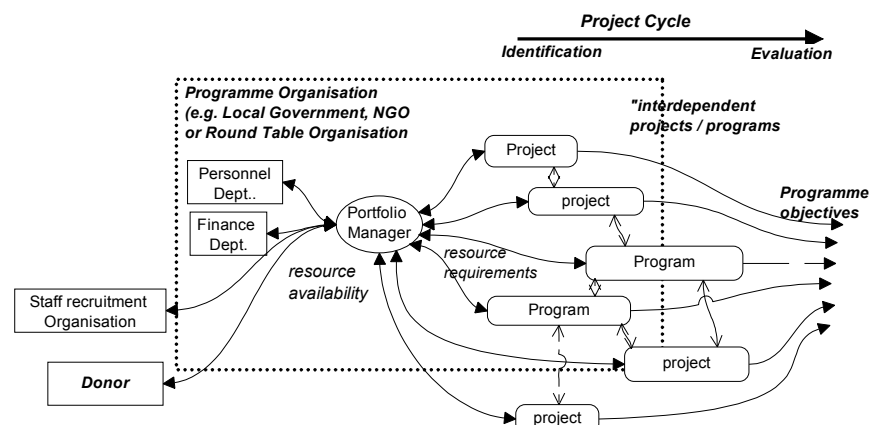


Figure 18: Portfolio Management in a Programme



The second definition starts from the target issue and is described as the programme approach. The concern here is the coherent approach towards efficient and effective achievement of specific regional or sectoral objectives with respect to the beneficiaries.

Irrespective which definition of portfolio is concerned, portfolio management concerns the management of limited capacity to steer a dynamic set of projects within the context of a general policy (indicative programming) or strategic setting to which:

- Projects may be added continuously;
- Projects may be terminated according to plan or just abruptly;
- Priorities or external factors may change, which may lead to changes in the resource allocation towards the various projects;
- Resource availability may be subject to sudden changes;
- Resource allocation may change (because of internal departmental changes) as a result of which projects may be speeded up or slowed down;
- Internal project changes may occur; or
- The principal (the management or the stakeholders) may change the specification of the product or services to be delivered.

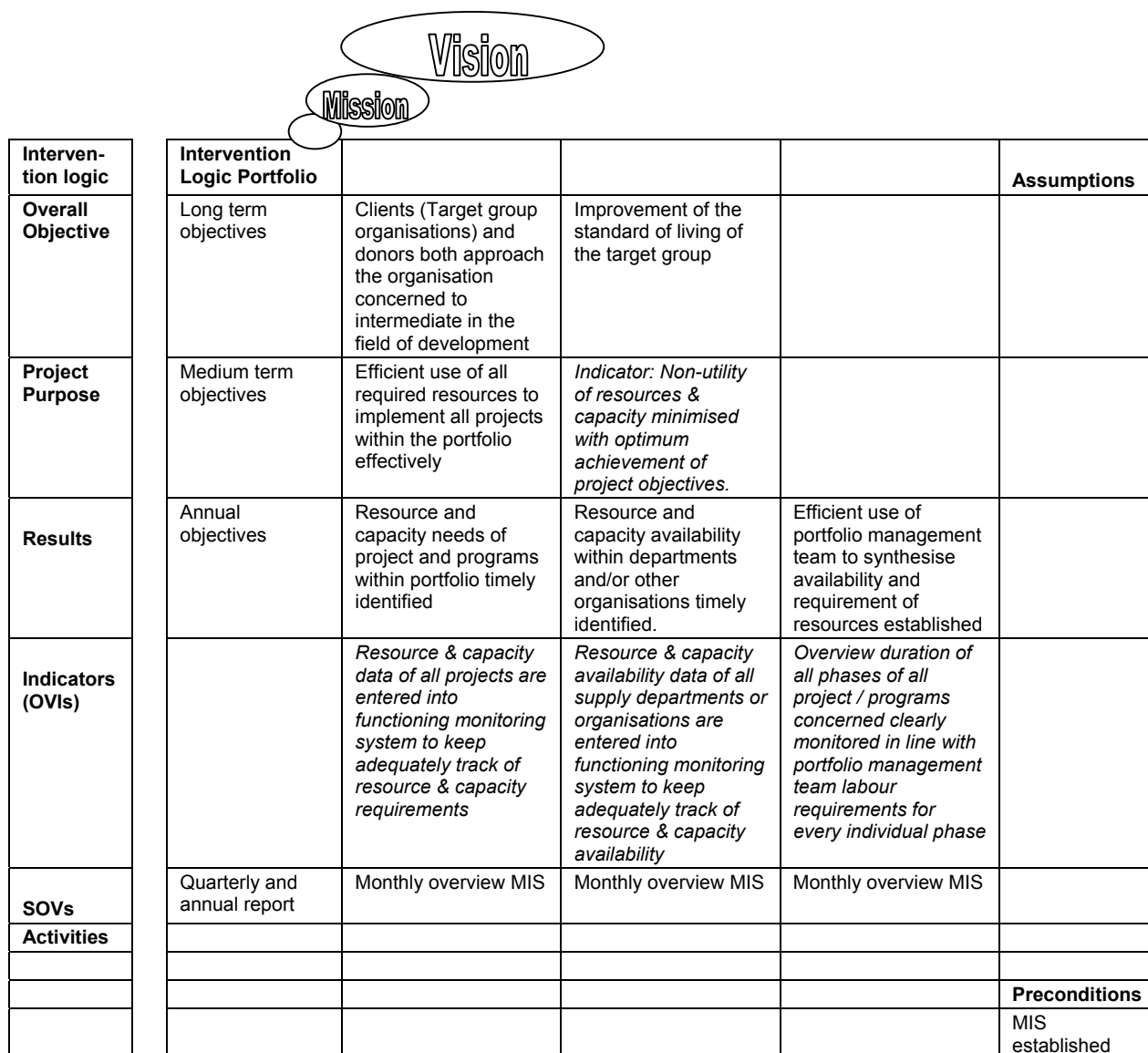
This scarce capacity is just one of the management aspects. The other aspects are scope, time, financial resources, organisation, information, quality, risk, stakeholders and social dynamics. The portfolio manager has to manage the natural uncertainty factor during the identification and formulation period towards certain execution at the moment that the resources are just available. The required resources should be available at the moment the implementation of a programme or project is about to start and at the right time during implementation. “New” programmes and/or projects should have been well identified, formulated and appraised at the moment that “old” programs and/or projects are reduced, phased out or terminated, to keep the utilisation of capacity and/or resources going.

In view of the organisation’s long and medium term planning perspectives a balance has to be found between the organisation’s available capacity and other available resources on the one hand, and the required capacity and needs for an efficient and effective achievement of the indicated program and/or project objectives on the other hand.

30 Frohlich, Guido & Platje, Adri (2000): Project Based Management

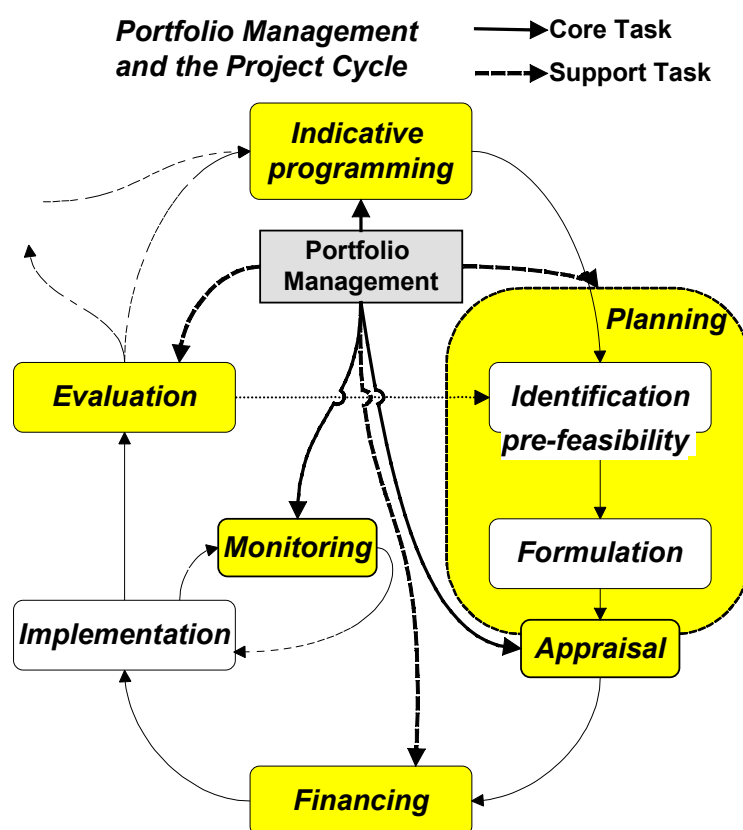
Within the Round Table Organisation’s vision/mission statement and its long and medium term objectives, the portfolio manager may be held responsible for the adequate availability of human, financial and material resources (capacity) regarding the foreseen needs for those resources, along with his/her own (portfolio team) utilisation of resources to oversee the ongoing or routine work. The management of such resources may be worked out in a logical framework, of which the purpose is to have an efficient and effective utilisation of human, financial, material and organisational resources at the moment that the various programs and/or projects are in need of them, all within the vision, mission and policy (indicative programming) of the organisation concerned. The achievement of such a purpose may lead to the organisation’s overall objective to have a well functioning organisation involved in efficient and effective implementation of its objectives, that is approached continuously by suppliers (donors and personnel organisations) to intermediate in development implementation.

Figure 19: Logical Framework of Portfolio of Projects



4.2 Tasks and Responsibilities of the Portfolio Manager

The tasks and responsibilities of the (RTO) portfolio manager during the various phases of the project cycle are distinct from those of other stakeholders in the PME process as indicated in Annex 10, which gives an overview of general responsibilities of all stakeholders. The tasks and responsibilities of the portfolio manager are indicated underneath:



4.2.1 The role of the Portfolio Manager during Policy Development

Regarding indicative programming or policy development the portfolio manager:

- advises the RT about the design of the overall policy framework;
- may be responsible for the preparation of strategic discussions about types of interventions, sector and implementing organisations; preparation of estimates for the coming period; the identification of possible interventions and/or potential partners.

The portfolio manager is assumed to be aware of and to have access to sector analyses, general (donor) guidelines, the overall budget allocation, and to have an overview of and knowledge about all parties involved (authorities and implementing organisations).

4.2.2 The role of the Portfolio Manager during Planning

During the planning process (i.e. during identification and formulation) the portfolio manager takes responsibility for the conceptualisation of projects. He/she advises project initiators about RT policy and donor requirements at the earliest possible stage. Tasks are to:

- assure regular requests for assistance formulated along the lines of the strategy and criteria of the donor organisation;
- assure a smooth flowing of project proposals to the next phase;
- appraise project ideas following the set criteria;
- prepare Terms of Reference for formulation of proposals;
- maintain the portfolio file, which means that he/she needs to manage the supply and demand of available resources;
- report to the head of unit, core group and Round Table.

The portfolio manager is assumed to be aware of and to have access to local institutions and local leaders and authorities, other parties involved (other donors, ministries, possible implementing organisations), guidelines and criteria, and to have an overview of prospects (project identifications), up to date financial information, a good filing systems, and clear decision making systems and procedures.

4.2.3 The role of the Portfolio Manager during Appraisal

At the end of the formulation phase, the portfolio manager takes responsibility to prepare for appraisal of project proposal(s). His/her tasks are to:

- assure an efficient handling of project proposals and preparation for decisions;
- appraise project proposals including budgets on policy criteria, project logic, feasibility (in particular in reference to organisation capacity), sustainability and, if necessary, to do a comparative analysis;
- assess the implementing organisation's capacity;
- to prepare the decision to be made by the RT.

The portfolio manager is assumed to be aware of and to have access to technical knowledge about his/her project portfolio, an overview of formulated projects, to up to date financial information, and to guidelines and criteria of all relevant funding agencies, inclusive the formats for reporting

4.2.4 The role of the Portfolio Manager during Implementation, i.e. Monitoring

During implementation of projects the responsibility of the portfolio manager is to monitor the implementation, partly on behalf of the RTO, partly to account for the spending of the funds to the funding agencies. His/her tasks are to:

- define relevant manager's questions;
- prepare ToRs for external monitoring of projects;
- assure (external) monitoring of projects;
- visit project sites and have meetings with responsible executors;
- aggregate information from individual projects and preparation of (internal) progress reports on the portfolio;
- manage budgets and control expenditures (balancing income and expenditure);
- regularly inform the head of department, core group and Round Table;
- intervene in projects if and when required;
- maintain relations with implementing organisations and authorities;
- maintain the portfolio file.

The portfolio manager is assumed to be aware of and to have access to know-how to write ToRs, to clear project plans / documents, to reporting lines between projects and office, to formats for reporting, to clarity on division of responsibilities between portfolio manager and project manager, and to procedures on how to use (external) monitoring information for decision making.

4.2.5 The role of the Portfolio Manager during Evaluation

During the evaluation the portfolio manager prepares for the assessment of the results and impact of the individual interventions and the policy as a whole. Tasks are to:

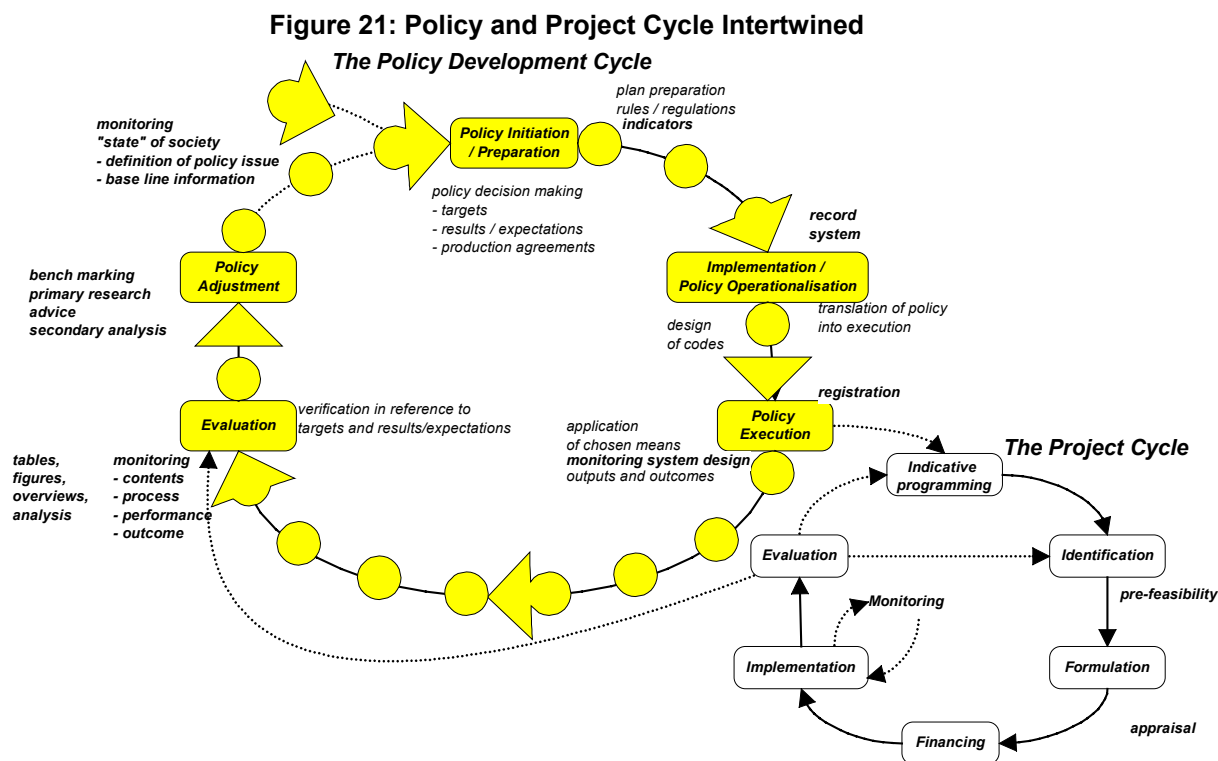
- prepare ToRs for evaluators and/or to select them;
- inform evaluators and guide them;
- inform internal and external parties on the results of the evaluation;
- recommend on a next phase or similar projects;
- propose policy changes;
- close project files;
- review the portfolio in terms of results achieved and resources used;
- organise (internal) discussions about portfolio results.

The portfolio manager is assumed to be aware of and to have access to information on orientations on new policy and to all information as in previous phases.

4.3 Portfolio Management and Policy Development

The portfolio manager plays a key-role in the development and implementation of RT policies. Based on his/her experience the portfolio manager prepares the policy decisions to be taken by the Round Table. Simultaneously he/she plays the role of the expert to translate RT policy decisions in operational terms. After decisions have been taken the portfolio manager is responsible to design the policy implementation process and to indicate in measurable terms how and when to implement the policy concerned.

The policy development cycle (see figure 21) describes the cyclical process of policy development that precedes and is intertwined with the process of the project cycle. The policy cycle itself identifies the stages of policy initiation or preparation and decision-making, policy operationalisation (i.e. the implementation of the policy), policy execution inclusive its monitoring, policy evaluation and eventually policy adjustment.



4.3.1 Policy initiation (preparation)

Changes or happenings in society, requests from partner organisations or member churches, or through systematic monitoring the “state” of society, issues may be brought forward on the agenda of the Round Table. Policy initiation may include:

1. Facilitation of discussions to define policy issues and the identification of relevant cause - effect relationship, after which the collection of baseline information may lead to gain knowledge about the factual situation.
2. Collection of baseline information including:
 - Relevant statistics (benchmarking)
 - Definition of current output / outcome of the sector as a whole and of individual (church) organisations concerned
 - (Inter)national and/or specific (church) organisation policies, guidelines, and ways of operation, decision making or legislation.
 - Overview and characteristics of all stakeholders
3. Definition of long term perspective: vision
 - *Shaping the future: short and medium term options.* What short and medium term socio-economic options might be viable for the ecumenical society ? What policies might be required ? Which options might be the most attractive and why ?
4. Definition of targets, results, expectations

- Definition of desired output / outcome of sector concerned
 - *Managing winners and losers.* Which groups might perceive themselves to be winners and losers in the scenarios developed ? What tactics might be used to maintain support for new socio-economic strategies ?
5. What policy makers and administrators need to define is what a RT's national / church strategy actually was. Leaders have to ask themselves³¹:
 - *Reconstructing the past and understanding the present.* What socio-economic strategy has the RT or individual pursued in recent years and how successful was it? What current problems exist ?
 6. Decision to adopt policy

4.3.2 Policy operationalisation / implementation (decision making):

The portfolio manager plays a role to translate the policy into implementation. Such operationalisation process includes:

1. The definition of the policy implementation process, e.g. in reference to existing participatory processes being in force in the RT or within individual churches.
2. Plan preparation; definition of rules & regulations.
3. Selecting organisations through which policy may be implemented (district and/or village administration, private enterprise, NGO, target group, line ministry, etc.)
 - *Adjusting the organisation to change.* What organisational adjustments must be made should any scenario become a reality ?
4. Identification of indicators / milestones to keep track of the implementation rate.
5. Design of record and registration system

4.3.3 Policy execution

The actual step from policy execution into policy evaluation in the policy cycle goes through the implementation of a (number of) project(s), i.e. through the various stages of the project cycle. The first three steps in the policy development cycle together, actually form the first phase of "indicative programming" in the project cycle.

Policy Development Cycle	Project Cycle	Intervention Logic
Policy initiation (<i>preparation</i>)		
Policy operationalisation		
Policy execution → → →	Indicative programming	→ RT policy
→	Identification (<i>pre-feasibility</i>)	
	Formulation (<i>feasibility, appraisal</i>)	→ Project document, (incl. budget)
	Financing (<i>funds seeking</i>)	
←	Implementation (<i>monitoring</i>)	→ Annual planning / monitoring
Evaluation ← ← ←	Evaluation	
Policy adjustment		

³¹ Turner, Mark c.s. (1997): Governance Administration & Development. Making the State work.

The actual step of policy execution includes application of chosen means, i.e. the implementation of all kind of (individual) interventions, the definition of results (outputs) and outcomes and the design of a monitoring system. The monitoring system here may include the ordinary project monitoring system, for the project manager to keep track of the project implementation in reference to the set objectives. However, the emphasis here should be to monitor the way the intervention(s) contribute(s) to policy implementation in particular. It means that milestones should be clearly set to monitor in particular on effect, impact and relevancy level.

The monitoring should give clear answers on the question whether the policy implementation has been successful and therefore it has contributed or it did not contribute to the policy objectives. Or, the implementation of the intervention was not successful and therefore, no conclusions may be drawn from this part of the intervention.

4.3.4 Policy evaluation (feedback)

Evaluation includes the analysis of the monitoring results. Monitoring is to be done in reference to the policy contents, the process, the performance, the outcome and the context. It should be clearly described in tables, figures and overviews, through which it can be analysed whether the “successful” interventions effectively contribute to the implementation of the policy and whether the assumed change has taken place accordingly. It should be clearly assessed too, that unsuccessful implemented interventions do not allow negative conclusions to be drawn in reference to the policy intentions. Verification of the monitoring results is to be done in reference to targets, results and expectations set originally.

4.3.5 Policy adjustment

In case well designed and according plan well implemented interventions address the original policy issue inadequately, the set policy need to be adjusted. In reference to the original benchmarking the planned interventions have unwanted or inadequate consequences, which may lead to have the policy maker starting the policy cycle thinking process afresh, the recently faced experiences included in the deliberations

4.4 Portfolio Management and Planning

As described in chapter 4.2.2 the portfolio manager facilitates others to plan, i.e. to identify and formulate project interventions within the RT policy framework. In case there is need of, the portfolio manager may support the preparation of Terms of Reference³² for either pre-feasibility studies or the actual project formulation. The key role portfolio managers play in the planning process is actually the appraisal, i.e. the preparation for the approval or disapproval by the 'project appraisal committee' concerned, which is discussed in chapter 4.5.

³² See Annex 11: Formats of Terms of Reference.

4.5 Portfolio Management and Appraisal

Appraisal of project proposals is an essential task of RTO portfolio managers. Proper appraisal is done in various stages. In all these stages specific information³³ is required to enable the portfolio manager to take or advise on certain decisions. The first decision a portfolio manager needs to take pertains to the question whether the proposal is in line with the RT's general policy framework and whether the proposal is relevant considering the focus group's problem description and/or needs. Secondly, the project logic needs to be appraised from a planning point of view. It needs to be assessed whether the project is good enough in terms of effectiveness and impact. Thirdly, the technical, social, financial, economic and organisational feasibility need to be appraised. In addition the sustainability of the proposal needs to be looked into. Lastly, the portfolio manager needs to assess whether the project proposal concerned is better than other - similar - proposals. In other words, whether it is worthwhile to spend scarce funds on this project or that these funds can better be allocated to other, more cost-effective projects. Normally these decisions are not taken in isolation. They are part of an appraisal process in various stages as indicated in figure 15. In their life cycle projects are assessed several times in different ways.

4.5.1 Appraisal in the Project Cycle

In general, projects are or should be appraised during the following phases of the project cycle:

- After initial *identification*, when the decision has to be made to continue with an identified project to the formulation phase, sometimes called pre-feasibility.
- After *formulation*, when the decision has to be made whether or not the project will be proposed for funding.
- During the *financing* phase, or after an approved project has been tendered, when the project proposals as written by the parties participating in the tender are appraised. Strictly speaking, this appraisal does not concern the project proper but only the implementation proposals. The results and purpose of the project are no longer under discussion.
- After a project has been under *implementation* for some time (project review), when an extension has been requested, or when the project has been terminated. Usually, in these cases the term evaluation is used. Sometimes, the term project evaluation is also used for appraisal just after formulation, but this is not recommended.

In all these instances, similar techniques, criteria and formats can - or better - should be used.

4.5.2 The main dimensions of project appraisal

Activities, projects or programmes are funded from scarce funds. Therefore, the decision to fund (part of) a project always contains an element of **comparison** between funding this project or another one (now or later). Basically, this decision relates to the issues of policy relevance and cost effectiveness. The **policy** decision will be taken at the beginning of the

³³ See Annex 13.1 for Key information requirements and its use by Funding Agencies, and Annex 13.2 for an overview of optimum information requirements during the various phases in the project cycle. Annex 8.4. describes an example of information requirements of one specific Funding Agency.

appraisal process and the comparative **cost-effectiveness** decision may be taken towards the end of the appraisal process (or sometimes not at all). (See figure 15: Stages of Project Appraisal).

A second dimension concerns the **project logic**. It concerns the relationship between on the one hand planned project inputs and expected effects and impact, and on the other hand issues such as risks, assumptions and how progress can be monitored.

A third dimension concerns the project **feasibility**. In this context a distinction can be made between various forms of feasibility: technical, social, operational, financial and economic.

A fourth dimension concerns the long-term **sustainability** (political, environmental, institutional, organisational, technical and/or cultural).

Sometimes all these (interrelated) dimensions are also included in the analysis of the project's feasibility. This is just a matter of definition. What is important however is that during appraisal in all phases of the project cycle these dimensions should be seriously taken into account. It is evident that in each phase of the cycle the importance of these dimensions can vary. In the *identification* phase the emphasis will be put much more on the policy relevance. Appraisal after *formulation* focuses more on the project logic, the project's feasibility and sustainability. In the *financing* phase the dimension of comparison in terms of cost-effectiveness may be more important.

4.5.2.1 Political or policy relevance

At the beginning of the appraisal process the portfolio manager appraises whether the proposed ideas or interventions fit in the RT's and/or funding agency's policy framework. The question "how relevant are the ideas in reference to the policy framework?" needs to be answered. For that reason the policy guidelines should be clear and the proposed projects should fit the policy guidelines of the organisation concerned. The policy framework should be sufficiently clear to guide the initiators to work out their ideas in proposals. The appraisal here may be nothing else than just checking whether everything will be done conform the guidelines.

- Does the project fit within RTO's **policy framework**?
 - Does it focus on the target or focus group concerned?
 - Did the stakeholders participate adequately in the planning process?
 - Does it fit within the sector, theme or region concerned?
 - Does it fit within the budget?
 - Does it fulfil the criteria concerned?
- Is the project **relevant** in reference to RTO's policy framework?

Sometimes, such appraisal may be done informally: the representatives of the funding organisation are expected to be so familiar with the policy, that the criteria are assumed to be automatically applied when appraising a project. In other instances checklists are used³⁴. Checklists have been developed by all kinds of developmental organisations, usually

³⁴ The Dutch Directorate General for International Co-operation (DGIS) for example has developed a 'development screening test' which is mainly concerned with policy relevance in terms of poverty alleviation, gender issues and environment. The British DFID uses a number of very good and recommendable sector specific checklists for formulation and appraisal.

organised per theme (e.g. a checklist on gender, a checklist on environment, etc.), derived from the policy intentions of the organisation concerned.

4.5.2.2 Project logic

Appraisal of the project logic could be defined as a major responsibility of the desk officer of the Round Table Organisation (or any NGO or funding agency) concerned. He/she is responsible for the actual technical appraisal of the project logic, on the basis of which he/she may advise the Round Table or "project appraisal committee" concerned to take a positive or negative decision. To assess the project logic³⁵, two sets of criteria need to be applied. The first set relates to "technicalities" concerning the structure of the logical framework. The second set of criteria relates more to the contents of the proposal: is the proposed intervention relevant, effective and efficient; are the assumptions realistic and the risks acceptable (feasibility) ?

The questions that need to be raised for the *technical assessment* of a project proposal or its logical framework are directly related to the way in which the proposal or logical framework is formulated:

Project Logic	scoring categories			
	fully	fairly	partly	no
• Are the objectives clearly differentiated in those referring to <i>action</i> , those referring to the <i>outputs or services</i> , those referring to the <i>use</i> of the output, and those referring to the <i>chance</i> as the consequence of the target group using the outputs ?				
• Is the gap between overall objective and project purpose not too wide ?				
• Does the project have one purpose ?				
• Is the purpose clearly stated in terms of (immediate effects of) utilisation ?				
• Are all objectives clearly defined as positive achieved situations in measurable terms, i.e. in terms of SMART indicators ?				
• Do the purpose indicators have the five required dimensions (QQTTP) ?				
• Is the purpose not a reformulation of the project results ?				
• Are the indicators at purpose level independent from the outputs ?				
• Are the results clearly formulated as attained situations ?				
• Are all the results together indeed sufficient to achieve the project purpose ?				
• Do the result indicators have the five required dimensions (QQTTP) ?				
• Are the assumptions and risks clearly spelled out ?				
• Are the activities mentioned under each result indeed sufficient to achieve that result ?				
• Does the sources of verification column indicate clearly where the information for each indicator will be found ?				
• Are there assumptions at result and activity level that might be considered as "killer" assumptions ?				
• Do the assumptions at activity level not include pre-conditions ?				
• Can progress be monitored easily?				
•				

³⁵ See Annex 8.4: Organisation and Project assessment in reference to specified IOM and LFA criteria.

<ul style="list-style-type: none"> Does the project or programme, when formulated in the form of a logical framework, make a convincing and solid impression ? 				
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The most important *content-wise criteria* are relevancy, effectiveness and efficiency. In addition, it should be assessed how realistic the intervention logic is and whether assumptions and risks are acceptable and realistic (feasibility/viability). Basically the following questions need to be answered:

With regard to **relevancy** the key question is to find out whether the objectives - particularly the overall objectives and the project purpose - are the right answers to the problems as formulated by the target group/beneficiaries. In case of a negative conclusion the money spent and the objectives realised will not guarantee the use of these results by the beneficiaries. The question of relevancy is often posed already in the identification phase, before the project proposal is further elaborated in activities, means and budget. The following, non-exhaustive list of questions guide you to answering the basic question regarding relevance:

Relevance	scoring categories			
	fully	fairly	partly	no
• Have the beneficiaries been clearly identified?				
• Are the problems of the beneficiaries described sufficiently?				
• Is the problem analysis comprehensive?				
• Do the overall objectives explain why the project is important for society?				
• Does the purpose clearly contribute to one or more priority programmes from the Round Table, the funding agency and/or the government ?				
• Is the project purpose formulated as a benefit for the beneficiaries?				
• Does the purpose indicator measure what is important ?				
• Has the need for the results been clearly demonstrated?				

When it is concluded that the project purpose contributes in a meaningful way to an overall objective that reflects one or more (political) priorities of the target group, it can be concluded that the project is relevant.

With regard to **effectiveness** the major concern is whether the combined activities really lead to the result concerned, and whether the results really lead to the achievement of the purpose.

Effectiveness	scoring categories			
	fully	fairly	partly	no
• Is the "if - then" relationship between purpose and overall objective logical and does it not skip important steps ?				
• Are all the results indeed needed to achieve the project purpose ?				
• Are the results and the assumptions at result level producing the necessary conditions to achieve the purpose ?				
• Are all activities mentioned for each result indeed needed to achieve that result ?				

When it is concluded that it is highly likely that (a) by implementing the mentioned activities the projects results will be achieved and that (b) achieving all project results will lead to the realisation of the project purpose it can be concluded that the project is effective.

To assess the **efficiency** of the project the relation between inputs and expected outputs (results) needs to be considered.

Efficiency	scoring categories			
	fully	fairly	partly	no
• Are the inputs described at the activity level adequately translated into a resources allocation plan and subsequently into a transparent budget ?				
• Is the relation between inputs and expected outputs (results) convincing				
• Do the sources of verification clearly supply the required information conc the fulfilment of indicators and assumptions ?				

When it is concluded that the relation between activities and resources is fair and realistic it can be said that the project is efficient.

To assess the general project **feasibility** the question is asked whether it is possible to realise the project objectives by carrying out the planned activities with the proposed budget. Is there a logical connection between activities, intermediate results, project purpose and overall objectives? Is the list of major activities comprehensive? Are the assumptions spelled out clearly so that risks can be assessed? The LFA helps to assess feasibility in more general terms: logic, comprehensives and consistency. If feasibility has to be assessed also in technical, social, financial, economic or organisational terms, additional information is required, as described in the next paragraph. The following, non-exhaustive list of questions may guide you answering the basic question regarding overall feasibility:

Feasibility	scoring categories			
	fully	fairly	partly	no
• Does the project purpose contribute to the overall objectives?				
• Will the project purpose be achieved if the results are delivered?				
• Are the Intermediate results described adequately and realistically?				
• Are the assumptions (and risks) at result level realistic and acceptable (no killer assumptions) ?				
• Are the assumptions (and risks) at activity level realistic and acceptable?				
• Are the means sufficiently justified by quantified objectives?				
• Are the activities and the assumptions at activity level producing the nec conditions to achieve the results ?				
• Have important external conditions been identified?				
• Is the probability of realisation of the assumptions acceptable?				
• Will the implementation agencies be able to implement the project?				

When it is concluded that the assumptions and risks at activity and result level are sound, realistic and acceptable it can be concluded that the project is feasible.

4.5.2.3 Technical, financial, economic, social, organisational and political feasibility

Technical feasibility usually has to be appraised by technical specialists and the overall appraisal will be based on their conclusions. Such feasibility surveys are normally not done by the RTO portfolio manager, but - if necessary - the portfolio manager takes the initiative to invite the experts concerned. For that reason he/she writes the ToR³⁶ of such studies. In general, technical feasibility studies are hardly ever conducted by RTOs.

The same often applies for financial and economic feasibility studies. Such studies are required for economic interventions. Especially for (large) industrial or productive sector projects the technique of cost-benefit analysis is frequently used. *Financial* feasibility relates to the economics of the project in the context of the project alone, including cash flows etc. *Economic* feasibility is a more complicated dimension, as it appraises the contribution of the project in a much wider context, e.g. the country or the state.

Social feasibility may be appraised by experts as well. For example, the portfolio manager can be assumed to be able to do a gender assessment of the intervention concerned³⁷.

Organisational feasibility relates to the capacity the implementing organisation should have in order to be able to adequately implement the intervention³⁸. Sometimes funding agencies request implementing partner organisations to observe a transparent decision making process or transparent procurement or accounting procedures, but in general there are no "hard" minimum requirements for organisations to meet. Although done in a systematic way, organisational assessment hardly ever concludes in the rejection of the proposal. Usually it is advised to include organisational strengthening activities to sustain results and purpose concerned. An organisational assessment may lead to a SWOT and a strategic orientation exercise for the implementing organisation(s).

Although almost never mentioned in textbooks the *political* feasibility might be the most important dimension of feasibility in decision taking. Can sufficient political support for the project be generated among local politicians, local leaders or bureaucrats?

4.5.2.4 Sustainability

Sustainability refers to the capacity of the project owners to guarantee the continuous availability of the outputs of a project after external support has been terminated. It is defined as the capability to maintain/sustain the project results and purpose after withdrawal of the temporary technical and financial assistance. Maybe not all results have to be maintained: once a school is built, it will need maintenance, but the building as such will stop. So it is important to check which activities and results need to be continued, who is going to do so and how much money is required.

Sometimes it may be predominantly a question of the *political* will to continue support. Sometimes it may refer to the question whether the *technology* introduced can locally be adequately operated and maintained. Sometimes it may refer to the way in which the project influences the *environment*. The intervention may draw on ecological resources in such a way that after a period of time there are not enough natural resources left to continue. Sometimes the proposed approach does not consider the pre-dominant *cultural* or gender

³⁶ See Annex 11: Draft ToR Feasibility Study.

³⁷ See Annex 12: Gender Assessment

³⁸ See Annex 8: Steps in Organisational Assessment

values in society. The target group may revert to their old behaviour. *Institutional* sustainability refers mainly to the organisational unit as part of - and partly depending on - various organisations, parties, persons, etc. in its environment. *Organisational* sustainability refers to the expected capacity of the organisation responsible for the project to continue carrying effective responsibility in the future in terms of organisational structure, culture, management, human resources, etc. Sustainability from a *financial* and/or *economic* point of view may refer to the intervention's internal and/or economic rate of return. The following, non-exhaustive list of questions guide you to answering the basic question regarding general sustainability:

Quality indicators	scoring categories			
	fully	fairly	partly	no
• Can adequate policy support of competent authorities be expected ?				
• Is the technology used appropriate for local conditions ?				
• Will the ecological environment be preserved after the project ?				
• Is the permanent part of the project properly embedded in local organisation structures ?				
• Will ownership of the project by the beneficiaries be adequate ?				
• Gender equity assured for access to benefits and production factors ?				
• Are implementing agencies able to give follow-up to the project ?				
• Will financial and economic benefits compensate for O&M and depreciation costs and future investments ?				

The judgement per question and per criterion will be the basis for a more general assessment of the project proposal. A more exhaustive checklist may guide you to ask the right type of questions. As a result the proposal may be approved, or more information may be required before finally approving or refusing the proposal. The final judgement requires in many cases more than just applying the checklist. It may request expert surveys to investigate the sustainability questions in depth. It also requires common sense and a serious dialogue with the persons or organisations that have formulated and submitted the project, using the concepts and terminology of the LFA as one of the communication tools. In particular in relation to organisational sustainability the portfolio manager may assess the implementing organisation concerned along specific criteria.

Sustainability in an organisation can be defined as the capability of the organisation to continue its core activities. In an organisation we can distinguish two types of sustainability: external or institutional sustainability and internal or organisation sustainability.

External or institutional sustainability refers to external factors and actors influencing the continuity of the organisation. The focus is on external factors (socio-political, cultural, economic, and environmental) and actors involved (clients, financiers, suppliers, regulators etc.). The sustainability is determined by an assessment of the opportunities and threats to the organisation's preservation and development. Main external assessment criteria are:

- *Legitimacy*: for how long will the stakeholders support the organisation under the present circumstances?
- *Suitability*: is the organisation suitable for carrying out the tasks as defined by its stakeholders?

- *Effectiveness*: is the organisation effective in carrying out its tasks?

Internal or organisational sustainability refers to internal factors influencing the continuity of the organisation. The focus is on the internal organisation: strategies, structure and systems, management style, staff motivation and internal culture. The sustainability is determined by an assessment of the strengths and weaknesses of the organisation in relation to its tasks. Main internal assessment criteria are:

- *Efficiency*: the utilisation of resources for achieving results
- *Flexibility* of the organisation: its ability to adapt to changes in the environment.

The concept of **viability** at organisation level is similar to sustainability at this level as it considers the opportunities for an organisation to survive.

The concept of **feasibility** is much more related to plans for concrete activities, considering the chances to carry out an activity successfully. Different forms of feasibility can be distinguished:

- technical feasibility is an activity technically possible
- social feasibility is an activity socially acceptable
- economic feasibility is an activity economically attainable

Major management questions at organisational level related to sustainability are:

- Does my institution have the right scale?
- Does my institution involve the right partners?
- Do the structures act as catalysts or as barriers to environmentally sound decisions?
- Are there ways to establish clearer accountability throughout the organisation?
- Can we provide more comprehensive training programmes to train staff in multi dimensional decision making, taking into account the various components of sustainability?

4.6 Portfolio Monitoring

Besides being responsible for individual project monitoring as described in chapter 3.5 the RTO portfolio manager is also responsible for the (external) monitoring of all projects within his/her portfolio in aggregated terms. Partly to keep track on the balance between demand and supply of resources. Partly to keep track on how the projects relate to the implementation of RT's policy. It is of utmost importance to have a systematic approach so that all actors involved know which information is required for what reason. Clear formats to enable aggregation are conditional for efficient and effective portfolio monitoring.

Requirements for Portfolio Monitoring

The objective of portfolio monitoring is to ensure an effective and efficient use of resources in reference to the effective and efficient implementation of the RT's policy. Therefore the

objectives of the RT programme concerned should be clearly defined in measurable terms (SMART) and all individual projects should be clearly explained in terms of their contribution to the policy implementation. The portfolio monitoring system³⁹ should incorporate all information concerning:

- individual projects in reference to their OVIs and milestones
- aggregation of human, material and financial resources available and required
- policy implementation in reference to its OVIs and milestones
- the state of society in reference to the policy implementation concerned.

The portfolio manager concerned defines his/her manager's question regarding these information chapters during the policy implementation process. The policy development cycle and the project cycle are intertwined as indicated in figure 21.

Steps in the design and use of a portfolio monitoring system

The development of a portfolio monitoring system requires the following steps to be taken:

1. *Situational analysis:*

- Clarify the portfolio in all phases of policy and project cycle;
- Clarify the responsibilities of the portfolio manager(s);
- Clarify the objectives of the portfolio policy in general and of the individual projects in particular;
- Clarify the role of the executing agencies.

2. *Information needs:*

- Identify the manager's questions regarding:
 - individual projects;
 - policy implementation;
 - aggregated requirements of available resources;
 - aggregated requirements of required resources;
 - projects in reference to their position in project cycle;
 - projects in reference to policy implementation;
 - the state of society, i.e. to the policy context;
- Determine the (SMART) indicators (milestones) for monitoring.

3. *Operations design:*

- Design the information flow:
 - determine the type of information to be supplied by projects and others;
 - determine the frequency, flow and format for reporting and feedback;
 - determine who is responsible for collection, processing, aggregation and reporting;
- Assess the risks of receiving the wrong information and define checks and balances;
- Assess means and costs.

³⁹ See figure 14 for a general Policy Logframe

Monitoring is a management control function between planning and evaluation. It is important that such continuous recording of what happens is done in an efficient and effective way. A systematic use of inter-linked formats of project documents, plans of operations, annual work plans, progress and evaluation reports facilitates monitoring⁴⁰. Depending on the size of the project portfolio an automated aggregation of information may be introduced, but such is beyond the scope of this Manual.

4.7 External Evaluation

In general terms, evaluation may be defined as an objective assessment of an ongoing or completed project or programme in terms of impact, results or whatever value is selected for this assessment. The values most often relate to:

- relevancy (addressing focus group's problems or identified needs)
- inputs (making available what was planned)
- efficiency (proper use of resources)
- outputs (doing what was planned to be done)
- effectiveness (realising intended purposes)
- impact (including positive and negative side-effects or not)
- sustainability (basically, involving dimensions of policy support, appropriate technology, environmental protection, socio-cultural / gender aspects, time and organisation. economic and financial aspects related to effect and impact)

In addition, the RTO portfolio manager is free to select any main theme for the evaluation as he/she - either or not on behalf of other supporting organisations - may deem important. Such themes may include e.g. reconciliation, environment, job creation or gender.

Evaluation of projects is done at the end of the project cycle. As terminal evaluation just before the end of the project, or as ex-post evaluation when the project has been terminated some time ago. However, long lasting projects - and in particular programmes – often have mid-term evaluations (or reviews) as well. Such reviews intend to answer the question whether the project or programme is still on track within the limits set during the formulation. They may give less attention to policy issues.

⁴⁰ See Annex 13.2 for an Overview of Formats in reference to the optimum requirements for information required during the various phase.

4.7.1 Steps in evaluation

An evaluation can be considered a (small) project in its own right, with its own objectives to be achieved, activities to be done and organisational aspects to be arranged. The process of evaluation consists of various steps, which are described below.

Step 1. Decision to evaluate

First, the decision to conduct an evaluation has to be made. By whom this decision is made, depends on whether it is an internal or an external evaluation. Often, the decision to have an evaluation has been pre-planned in the project's formulation phase. Often the project plan already foresees in the execution of mid-term, final and/or impact evaluation. The reasons to have an evaluation need to be clear. Other common reasons for deciding that an evaluation (or review) should take place are:

- to justify a decision (e.g. project extension);
- to solve problems;
- to address political questions (e.g. impact of a development programme).

The Terms of Reference⁴¹ (ToR) reflect why the evaluation will be held, i.e. the evaluation's objectives, and the evaluation's design.

Step 2. Prepare Terms of Reference

When it is decided that an evaluation has to take place, it has to be determined what exactly will be the object and scope of the evaluation. These are laid down in the ToR. In addition to the object and scope, the ToR also includes a description of the background of the project, provisions regarding the approach to be followed, the expertise required and other functional or technical specifications. The drafting of the ToR can be a difficult process when there are conflicting interests and maybe even hidden agendas among the parties involved: the project team, the donor(s) and the (various) beneficiaries. Difficulties like these can to a certain extent be avoided by discussing the ToR with all parties concerned.

Step 3. Select and contract an evaluation team

The selection of the evaluator or evaluation team has to be done following pre-established criteria, as described in the ToR. These criteria should cover the technical and personal qualifications that are relevant for the proper execution of the evaluation.

Step 4. Planning and preparatory work

Next, the evaluation team has to prepare a timetable and finalise the plan of work in terms of methodology and division of tasks among the team members. Also, the team will have to prepare itself for the actual implementation by reviewing the relevant documentation, if available.

⁴¹ See Annex 11 for a general Format for Terms of Reference.

Step 5. Implement the evaluation

In the implementation phase of the evaluation, all relevant data are collected and a start is made with data analysis. In the process of data collection, the evaluation team will need the assistance from the project team in various ways, e.g. to arrange interviews, to identify respondents for questionnaires, to organise site visits or meetings, etc.

Step 6. Prepare the report

After all data has been collected and analysed, the evaluation team prepares a draft version of the report. Next to the conclusions and recommendations, the report should contain an exhaustive description and justification of the methodology used and, if applicable, a description of problems encountered and the way in which they were dealt with.

Step 7. Final phase

The draft report is distributed among the relevant parties, like the donor, the project team and representatives of the beneficiaries to give their comments. It may be advisable to organise a meeting in which the findings of the evaluation are discussed. Finally, the evaluation team prepares the final version of the report and distributes it. The work of the evaluation team ends here, but the project team and the donor now have to give follow-up to the recommendations made.

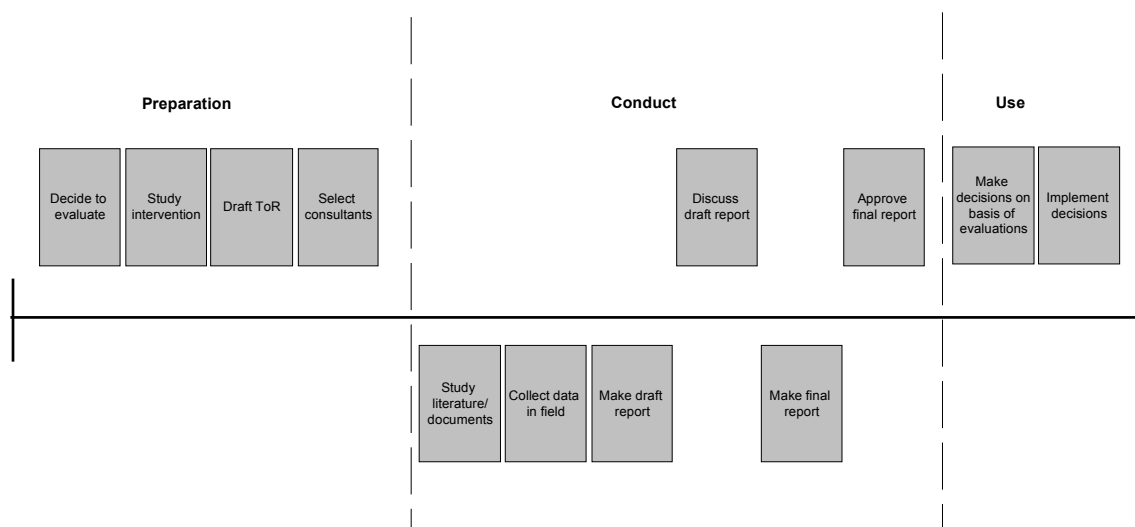
Step 8. Implementation of the recommendations

The portfolio manager is responsible to implement the recommendations of the evaluation. The recommendations may either affect individual projects, the programme in general or the implementing or supervising organisations. In case policy changes are proposed the portfolio manager may initiate strategic discussions concerned.

4.7.2 Role of the portfolio manager during the evaluation process.

In the evaluation phase, the portfolio manager plays a major role in the preparation of the ToR and the use of the evaluation's recommendations. During the evaluation itself, the role of the portfolio manager may just be supportive and he/she may give feedback on the draft report. See figure 22.

Figure 22: Role Portfolio Manager during Evaluation



Decision-makers need information that is relevant, timely, accurate and usable. Actual data collection is the role of the evaluator. However, the selection of the most appropriate method for data collection is an important moment in every evaluation and the portfolio manager should advise the evaluator properly. Before selecting the methods to be used the following questions should to be answered:

1. Who is the information for and who will use the findings of the evaluation?
2. What kinds of information are needed?
3. How is the information to be used? For what purposes is evaluation being done?
4. When is the information needed?
5. What resources are available to conduct the evaluation?

Answers to these questions will determine the kinds of data that are appropriate in a particular evaluation. The challenge in evaluation is getting the best possible information to the people who need it and then getting those people to actually use the information in decision making. According to the type of evaluation (and other factors) to be carried out you will determine whether the accent will be on quantitative or qualitative information.

- Annexes:**
- I. Working Definitions of Concepts
 - II. Overview Institutional Setting Round Tables in Africa (Ghana, Kenya, Uganda and Sudan), Asia (Indonesia and Myanmar), Eastern Europe (Armenia, Belarus, Romania and Russia), and the Middle East (Egypt, Lebanon and Jordan)
 - III. Steps to describe and analyse PME processes. Cases from Armenia, Bangladesh, Egypt, Ghana, Jordan, Middle East, Myanmar and Uganda.
 - IV. Steps on Objective Oriented Project Planning
 - V. Steps in carrying out Stakeholder Analysis
 - VI. Examples of Problem and Objective Trees. Cases from Lebanon, Myanmar and Uganda
 - VII. Examples of Indicators
 - VIII. Steps in Organisational Assessment
 - Steps in describing and assessing the Institutional Setting
 - Steps to design a Coverage Matrix
 - Steps to design a Collaboration Matrix
 - Steps in making an Environmental Scan
 - Steps in analysing Structures
 - Steps in development of Process Flow Chart: Describing and assessing Systems and Procedures
 - IOM Checklist
 - Steps in developing a Strategic Orientation
 - Information requirement Organisation Assessment
 - IX. Steps in development of Monitoring System
 - X. Overview responsibility Round Table Stakeholders
 - XI. Format Terms of Reference Feasibility / Evaluation Studies
 - XII. Gender assessment in the Project Cycle
 - XIII. Overview of Formats
 - Policy development
 - Identification (Pre-feasibility study)
 - Formulation (Feasibility study)
 - Project Appraisal
 - Organisational Assessment
 - Plan of Operations
 - Annual Workplan
 - Progress Report
 - Evaluation Report
 - XIV. Bibliography for Reference

1. Working definitions

The list underneath is an overview of working definitions of concepts concerning planning, monitoring and evaluation, as generally used in this Manual. The definitions given are working definitions as no unambiguous definition exists yet. There seems to be no uniformity in definition. It seems that many organisations define the various concepts in their own way, which may slightly differ from the given definition. Some examples of definitions of concepts are given while the source is indicated in a footnote.

The purpose of this list is only to give clarity on the use of the concepts in this Manual, to enable the reader to compare the given definition with his/her own understanding of the concept.

Ability	The fact of having the skill, power, or other qualities that are needed in order to do something. Your ability to do something is the quality or skill that you have, which makes it possible for you to do it. If you do something to the best of your abilities, you do it as well as you possibly can.
Activities	Actions ⁴² or series of action undertaken in order to produce the planned outputs (results) and thus achieve the intended objectives. They are processes and not – as is the case with outputs – states to be achieved.
Advocacy	The act of supporting a particular plan or action publicly (<i>Collins</i>).
Aim	See purpose.
Assumption	An event which must take place, or a condition which must exist, if a project is to succeed, but over which the project management has little or no control. Conversely, a risk factor refers to the possibility that an assumption will not hold ⁴³ .
Baseline	The situation or conditions before an intervention starts. Baseline data can be compared with the findings of a later study of the situation / conditions to see what has changed, and can be used as part of a monitoring system ⁴⁴ .
Capability	If you have the capability to do something, you have the ability, the skills or the qualities that are necessary to do it. (You may not have the resources)
Capacity	The capacity of a person, organisation, society or system is the power or ability that one has to do a particular thing (to deliver a certain output) or to keep on doing it, and having the resources to do it.
Centralisation	Centralisation is the tightest means of co-ordinating decision making in an organisation. A structure is called centralised when all power for decision making rests at a single point in the organisation.

⁴² ICCO, c.s. (2000): Building Bridges in PME

⁴³ ICCO, c.s. (2000): Building Bridges in PME

⁴⁴ ICCO, c.s. (2000): Building Bridges in PME

Community managing role	The community-managing role is defined as the tasks a person takes on in addition his/her normal responsibilities for the sake of his/her community. Such tasks are often an extension of his/her (re)productive role, e.g. joining with other men and women to ensure that scarce municipal services such as water are maintained and shared equally, or helping to organise a village festival.
Continuity (sustainability)	The probability that an organisation is capable to continue (sustain) its core activities.
Cost-effectiveness	<p>“Value for money” or the degree to which the project will benefit the largest number of people at the lowest reasonable cost.</p> <p>Thus cost-per-beneficiary measure: the total cost of the project, divided by the number of direct beneficiaries.</p> <p>Cost-effectiveness means being able to achieve objectives at a reasonable cost, if not the lowest possible cost.⁴⁵</p>
Culture	<p>Culture⁴⁶ is the collective programming of the mind, which distinguishes the members of one group⁴⁷ or category of people from another. Manifestations of culture are described in terms of symbols, heroes, rituals and values.</p> <p>Five dimensions of cultures can be measured:</p> <ul style="list-style-type: none"> • power distance (from small to large) • collectivism versus individualism • femininity versus masculinity • uncertainty avoidance (from weak to strong) • long-term versus short-term orientation in life
Decentralisation⁴⁸	<p>A structure is called decentralised when decision-making power is dispersed among many people. Decentralisation is required only because one person (one brain) can just not understand read, take up, or collect all information which is required to take decisions. Decentralisation allows the organisation to respond quickly to local conditions. And in addition decentralisation is a stimulus for motivation.</p> <p>Decentralisation is used in three different ways in the literature:</p> <ol style="list-style-type: none"> 1. The dispersal of formal power down the chain of line authority is called vertical decentralisation. Such power is vested in first instance in the chief executive at the strategic apex. He/she may choose to disperse - delegate - it to lower levels in the vertical hierarchy. 2. Decisional power may remain with line managers in the system of formal authority, or it may flow to people outside the line structure to analysts, support specialists and operators. Horizontal decentralisation will refer to the extent to which non-managers control decision-making processes. 3. Decentralisation is used to refer to physical dispersal of services to other locations. Such decentralisation has nothing per se to do with power over decision making. Here decentralisation is not used to describe physical location.

⁴⁵ ICCO, c.s. (2000): Building Bridges in PME

⁴⁶ Hofstede, Geert (1991): Cultures and Organisations.

⁴⁷ A group means a number of people in contact with each other. A category consists of people who, without necessarily having contact, have something in common: e.g. all women managers, or all people born before 1940.

Development ⁴⁹	<p>Development is defined as the process of improving the quality of all human lives. Three equally important aspects of development are:</p> <ol style="list-style-type: none">1. raising people's standard of living, i.e. their incomes and consumption levels of food, medical services, education, etc. through 'relevant' economic growth processes.2. creating conditions conducive to the growth of people's self-esteem through the establishment of social, political and economic systems and institutions, which promote human dignity and respect, and3. increasing people's freedom to choose by enlarging the range of their choice variables, e.g. increasing varieties of consumer goods and services.
Economic Rate of Return	<p>The Economic Rate of Return (ERR) is the Internal Rate of Return (IRR, see further) calculated using economic values.</p>
Economics	<p>Economics is concerned primarily with the efficient (i.e. least cost) utilisation of scarce productive resources and with the optimal growth of these resources over time, so as to produce an ever-expanding range of goods and services.</p>
Effects	<p>Changes that a project may bring about, during the project period or soon after, usually at the level of its results⁵⁰.</p>
Effectiveness	<p>The extent to which the project purpose been achieved.</p>
Efficiency	<p>Optimum utilisation of resources (inputs) while producing a certain level of outputs.</p>
Empowerment	<p>Empowerment includes the following elements⁵¹:</p> <ul style="list-style-type: none">• Priority for dialogue at grass roots level. Target groups and individuals should benefit meaningfully. The project aims to reach a situation where communities, groups and individuals have the capacity and ability to negotiate with district (local) authorities, and are able to influence the decision making process when their own interests are concerned. In addition they play an active role in the planning, implementation and monitoring of development initiatives in their communities.• Support to sectors or departments in the districts concerned is perceived as a means to achieve a situation where the population has access to adequate social services and is able to seek adequate technical and managerial support for which they are willing and able to contribute financially as a result of increased economic activity and higher incomes.• Identification of "services" and "products" for which there is solvable demand, meaning that target groups and individuals are prepared to make financial and other contributions and are motivated to organise themselves before requesting assistance.

⁴⁸ Mintzberg, Henri (1993); Structures in Fives: Designing effective Organisations.

⁴⁹ Todaro, Michael P. (1992): Economics for a Developing World. An introduction to principles, problems and policies for development. (3rd edition)

⁵⁰ ICCO, c.s. (2000): Building Bridges in PME

Evaluation	<p>Evaluation⁵² is defined as an examination as systematic and objective as possible of an on-going or completed project or programme, its design, implementation and results, with the aim of determining its efficiency, effectiveness, impact, sustainability and the relevance of the objectives. The purpose of an evaluation is to guide decision-makers.</p> <p>Evaluation⁵³ is defined as a set of measures designed to assess the outcome of the project in relation to its stated objectives and intended impact. Traditionally, this assessment is seen as an external, retrospective activity at one point in time. But it also includes “on-going evaluation”, built into the project, “self-evaluation” (continuous or “once off”) and/or “learning” by the implementing organisation.</p>
Evaluation ex-post	<p>Evaluation ex-post⁵⁴ is defined as an evaluation of an intervention after the intervention has taken place in order to assess the intervention to draw lessons for possible similar interventions in the future</p>
Flexibility	<p>The ability of an organisation to adapt itself to a changing environment.</p>
Gender	<p>Refers to the roles a society assigns to men and women. Gender roles define who does which work, both inside and outside the household. Gender affects the division of power and the influence that men and women have in decision-making at all levels of society⁵⁵.</p>
Goal (or overall goal)	<p>The wider development purpose to which a project or programme should contribute.</p> <p>The goal is expressed as a statement of intended or hoped for change in relation to the key-issue or problem that is addressed.</p> <p>The time frame is usually longer than the project period. Indeed, successful completion of the project may not be sufficient to ensure that the goal is attained⁵⁶.</p>
Governance Indicators	<ul style="list-style-type: none"> • Rule of law • Financial integrity and oversight • Comparative budgetary priorities • Administrative and bureaucratic equity • Political openness and tolerance • Participation and communication • Enabling environment for private enterprise

⁵¹ SNV, DRDP Tanzania

⁵² UN

⁵³ ICCO, c.s. (2000): Building Bridges in PME

⁵⁴ ABOS

⁵⁵ ICCO, c.s. (2000): Building Bridges in PME

⁵⁶ ICCO, c.s. (2000): Building Bridges in PME

Impact

Changes that the project may bring about or contributes to among the target group and others, usually at the level of the overall goal (objective).

Impact assessment: the systematic analysis of the lasting or significant changes – positive or negative, intended or not – in people’s lives, brought about by an action or a series of actions⁵⁷.

Indicator

Objectively verifiable indicators (OVI) are operationalisations of the intervention logic. They describe the overall objective(s), purpose and (sub)results in terms of quantity, quality, target group(s), time and place (QQTTP).

Indicators should be SMART, i.e. specific, measurable, attainable, reliable and time bound.

A **planning indicator** describes in measurable terms, what is meant with an objective and therefore composed of the following elements:

- the variable which describes or measures the phenomena of interest **(what?)**
- the target group **(who?)**
- the place **(where?)**
- the present value and the target value **(how much?)**
- the time in which change will be achieved **(when?)**

An **indicator for monitoring** answers the question: "To what extend are the objectives being achieved?"

Information generated **inside** the organisation is related to its **performance**

- **Aggregate indicators** give information about the status of inputs used for a production process (e.g. related to money, materials, equipment, people, etc.)
- **Deliverables** give information about the outputs or products delivered according to the planned time table

Information generated **outside** the organisation deals with the **reaction of the target group**

- **Direct indicators** are directly related to the phenomena to be measured.
- **Proxy indicators** are indirectly related to the phenomena to be measured. They should be:
 - sufficiently valid (MQ)
 - measurable with an acceptable degree of accuracy
 - sensitive enough to changes in the phenomena of interest
 - cost effective

Evaluation indicators are used to provide information about how the project has been implemented; they are used to reconstruct the transformation process

- are the objectives (planning indicators) achieved? (what happened and why?)
- in case of “yes”, did it go as planned, or were there other factors, which influenced the achievement?
- in case of “no”, what factors, on what level, obstructed the fulfilment?

⁵⁷ ICCO, c.s. (2000): Building Bridges in PME

Indicators	<p>Indicators⁵⁸ are defined as well as the qualitative and quantitative evidence, which will be used to assess progress towards and objective.</p> <p>An objective may have one or more indicators.</p> <p>Indicators should be important, plausible, sufficient, independent and verifiable; and precisely defined in terms of nature, quality, quantity and timing. Impact indicators are needed to assess what difference the work has made to the target group, usually at the level of the overall goal.</p>
Institute (concrete institution)	<p>An organisation that has acquired such a degree of value, status and stability that society generally accepts it as a permanent organisation providing guidelines for societal and institutional behaviour.</p>
Institution	<p>A complex of norms, values and types of behaviour that persist over time and serves collectively valued purposes.</p>
Institutional setting	<p>The institutional setting of a development intervention is the whole of organisations and institutions, including their interrelations that influence the functioning of the intervention at different levels.</p>
Institutiogramme	<p>An institutiogramme is an image of the relations between institutions active in a certain field.</p>
Institutional development	<p>The creation or reinforcement of a network of organisations to generate, allocate and use human, material and financial resources effectively to attain specific objectives on a sustainable basis.</p>
Internal Rate of Return	<p>The Internal Rate of Return (IRR)⁵⁹ is the discount rate, which makes the Present Value (PV) of the project equal to zero. It is the maximum interest rate, that a project can pay for the resources used, if the project is to recover its investment and operating expenses and still just break even. When using the IRR the selection criteria is to accept all independent projects with an IRR greater than the cut-off rate, which generally is the opportunity costs of capital</p>
Legitimacy	<p>Acceptance of the organisation in its environment.</p>
Lobby	<p>An attempt to persuade a government/council that a particular thing should be done; e.g. a law should be changed. (<i>Collins</i>)</p>
Local government	<p>Elected or appointed bodies, such as the village government, that have authority to deal with development and regulatory tasks and that are accountable to the local population.</p>
Logframe	<p>The logical framework (logframe) is a set of related concepts that the most important aspects of an intervention in the form of a matrix describes in an operational way.</p>
Monitoring	<p>Monitoring is the continuous or periodic review or surveillance by management at every level in the organisation to ensure that activities are proceeding according to</p>

⁵⁸ ICCO, c.s. (2000): Building Bridges in PME

⁵⁹ Little, I.M.D. & J.A. Mirrlees (1982): Project Appraisal and Planning for Developing Countries.

plan.

Monitoring⁶⁰ is defined as well as the systematic and continuous assessment of a project's progress over time in relation to its planned inputs, activities and outputs (results). It is known as **participatory monitoring** when it involves beneficiaries and not just project staff. **Impact monitoring** includes assessment of progress towards hoped for impact among the target group.

Monitoring system

A monitoring system can be defined as a set of procedures to channel information within an organisation to different management levels in order to support decision making.

Net Present Value

The Net Present Value (NPV) is a discounted measure of the project value. An investment project will be deemed acceptable if the sum of the discounted net benefits (i.e. benefits (B) minus costs (C)) is positive. This sum is called the NPV. Therefore:

$$B > C$$

$$\mathbf{NPV = B - C > 0}$$

When using NPV, the selection criteria is to accept all independent projects with a net present value greater than zero, when discounted at a suitable discount rate. When analysing mutually exclusive alternatives, accept the alternative with the greatest NPV.

Network

A Network is described as formal or informal co-operation of three or more organisations with a common interest to reach together a certain, implicit or explicitly formulated, common goal. Important in this definition is the following:

- relations between two organisations only, are not considered to be a network;
- the co-operation does not have to be formalised in terms of a written agreement;
- there should be some kind of common interest that leads to activities aimed at a certain common goal;
- the organisations have a certain independence, which implies that there is no clear hierarchical structure. Power is divided along more or less horizontal lines;
- there are areas in which the organisations depend on each other or complement each others efforts (each others information, each others services etc.);
- apart from common interest there might be conflicting interests;
- a network has a limited scope (geographical, sectoral or topical).

Networking

Networking⁶¹ is the active process of building and managing productive relationships: a vast network of personal and organisational relationships. The process includes relationships with and between organisational units. It includes relationships with customers, suppliers, competitors, investors and communities.

⁶⁰ ICCO, c.s. (2000): Building Bridges in PME

⁶¹ Baker, Wayne E. (1994): Networking Smart. How to build relationships for personal and organisational success?

Objectives	<p>What a project or programme intends to achieve.</p> <p>Objectives are expressed as statements that describe in concrete terms the intended or hoped-for effects to be achieved among the target population, within the project period or soon after it⁶².</p> <p>Objectives can be defined on the level of</p> <ul style="list-style-type: none">• action, i.e. activities• output, i.e. result achieved, product or service delivered• use (of output), i.e. project purpose or aim• chance (as the consequence of the use of the output) i.e. the overall objective or (overall) goal
Opportunity	<p>In organisation development opportunity is defined as an external fact or development that - if taken advantage of - can substantially contribute to the realisation of the organisation's mission.</p> <p>In commercial enterprises an opportunity is defined as an attractive area for co-operation and/or marketing action.</p>
Organisation	<p>A complex of people and/or groups that, according to commonly agreed rules and procedures, strive to realise one or more pre-set objectives.</p>
Organisational strengthening:	<p>The package of measures necessary to improve the performance of an organisation so it can operate more effectively, efficiently and capable to execute selected activities, while striving to achieve certain objectives of a (development) intervention.</p>
Output (LF)	<p>The specific results, during the life of a project, of successful implementation of activities.</p> <p>Specifying outputs in advance helps define the accountability of management, as outputs have to be guaranteed by the project. The project manager may be held accountable for their achievement.</p> <p>An output should be specified as a measurable product, not merely as the delivery of some input⁶³.</p> <p>In logical framework terms output may be compared with results, intermediate results, products, services, specific objectives and/or medium term objectives.</p>
Participatory Rural Appraisal (PRA)	<p>A research method in which the researcher collects and analyses data and information together with a group of local (resource) persons. He/she walks through the village/rural area together with the local group, is confronted with the local problems and analysing them.</p>
Participatory Technology Development	<p>A development approach in which farmers are encouraged to find solutions for their problems by experimenting. Traditional knowledge of the farmer and modern knowledge from elsewhere are mixed to enable the farmer to find his own solutions.</p>
Political economy	<p>Political economy goes beyond simple economics. It studies among other things the social and institutional processes through which certain groups of</p>

⁶² ICCO, c.s. (2000): Building Bridges in PME

⁶³ ICCO, c.s. (2000): Building Bridges in PME

(mainly) economic and political elites choose to allocate scarce productive resources now and in the future for their own benefit and possibly also for the benefit of the larger population. Political economy is concerned with the interaction between politics and economics.

Portfolio	<p>A set of different projects managed and/or supervised by one entity or person and implemented by one or more organisations. A portfolio either consists of</p> <ul style="list-style-type: none">• related projects aiming at the realisation of defined objectives (programme portfolio), or• unrelated or not directly related projects and programmes (multi project portfolio)
Productive role	<p>The productive role of people means the work done by both women and men for pay in cash or kind. It includes work that has a potential exchange value, e.g. subsistence farming on a family plot of which the produce can be sold, even if it is meant purely for home consumption.</p>
Programme	<p>A group of related projects, interventions and/or (ongoing) activities managed in a co-ordinated way and aiming at achieving a set of predetermined common (programme) objectives.</p> <p>A programme⁶⁴ is defined as well as a collection of projects that are executed or supported by an organisation – usually identified in terms of a geographical area, a section of the population, or a theme – to which a co-ordinated approach is adopted. This may also involve other activities, complementary to the projects. A programme, like a project, may involve collaboration between several organisations.</p>
Project	<p>An endeavour in which human, material and financial resources are organised to undertake a unique scope of specified work within given time and costs, so as to achieve beneficial change expressed in qualitative and quantitative objectives.</p> <p>A project⁶⁵ is defined as well as a discrete piece of work undertaken by an organisation or by a group of collaborating organisations, usually with a defined target group in a particular location.</p>
Relevancy	<p>Programme relevance can be defined as the degree to which the rationale or objectives of a programme are, or remain, pertinent, significant and worthwhile, in relation to the identified priority needs.</p>
Reproductive role	<p>The reproductive role of people includes domestic tasks as well as child bearing and rearing. It refers not only to biological reproduction, but also the care and maintenance of the work force (partner and working children) and the potential work force (infants and school going children).</p>
Rightfulness	<p>The quality of being just or legally correct.</p>
Socio-economic	<p>Socio-economic development is concerned with the economic, social and</p>

⁶⁴ ICCO, c.s. (2000): Building Bridges in PME

⁶⁵ ICCO, c.s. (2000): Building Bridges in PME

development	institutional mechanisms, both public and private, necessary to bring about rapid (at least by historical standards) and large scale improvements in levels of living for the masses (of poverty-stricken, malnourished, and illiterate people). Thus socio-economic development is concerned with the economic and political processes necessary for effecting rapid structural and institutional transformations of entire societies in a manner that will most efficiently bring the fruits of economic progress to the broadest segments of their populations. As such the role of government and the need for some degree of co-ordinated economic planning and broad based economic policies are vital components.
Stakeholder	Those individuals, organisations, categories or groups of people with an interest in a project (e.g. beneficiaries, paid and voluntary workers, donors, partner and other agencies, local government). They include both those who may be affected by the project and those who will be involved in making it work.
Stakeholder analysis	Stakeholder analysis ⁶⁶ is defined as an analysis of the interests and concerns of those who may be affected by a project or may affect its outcome. Stakeholder analysis ⁶⁷ is defined as well as the identification of the stakeholders of a certain problem issue, an entity, a project or a programme, an assessment of their interests and the ways in which these interests affect the viability of the proposed intervention.
Strength	Existing internal asset within the organisation that helps to achieve its mission.
Suitable / Suitability	Someone or an organisation is suitable for a particular purpose or occasion when (s)he / it has the qualities that are right or appropriate for that purpose.
Sustainability	The capability of maintaining the benefits obtained for the target group or of continuing the generation of benefits ⁶⁸ over a long period of time.
Sustainable development	Sustainable development ⁶⁹ is defined as a development strategy to manage all assets, natural resources, and human resources, as well as financial and physical assets to increase long term wealth and well being. Sustainable development rejects policies and practices, that support current living standards by depleting the productive base, including natural resources, and that leaves future generations with poorer prospects and greater risks than our own.
Threat	Challenge posed by unfavourable trends or developments in the environment that, in the absence of purposeful action, can lead to the erosion of the organisation's position, if no corrective action is taken.

⁶⁶ ICCO, c.s. (2000): Building Bridges in PME

⁶⁷ ODA - DFID, (1995): Guidance Note on How to do Stakeholder Analysis of Aid Project and Programmes

⁶⁸ ICCO, c.s. (2000): Building Bridges in PME

⁶⁹ Robert Repetto (1986, p.15)

Weakness

In organisation development terms a weakness is defined as an internal characteristic of the organisation that negatively and substantially influences the functioning of the organisation.

In commercial terms a weakness is defined as an existing internal condition, which tends to favour the erosion of the competitive position of the organisation.

2. Overview Institutional embedding Round Table Organisations

Underneath an overview is given of some institutional analysis of selected RTOs in Africa, Asia, Eastern Europe and the Middle East along the lines of annex 8.3.1. The analysis is conducted in a classroom situation and reflects some dated information. The indicated issues therefore only present examples of what information may become available in case institutional analysis is conducted. The institutional setting of the following RTOs have been assessed:

Africa

- Christian Council of Ghana (CCG)
- National Council of Churches of Kenya (NCCK),
- Planning, Development and Rehabilitation Department of the Church of Uganda (PDR)
- Sudan Council of Churches (SCC)

Asia

- Communion of Churches in Indonesia (PGI),
- Myanmar Council of Churches (MCC)

Eastern Europe

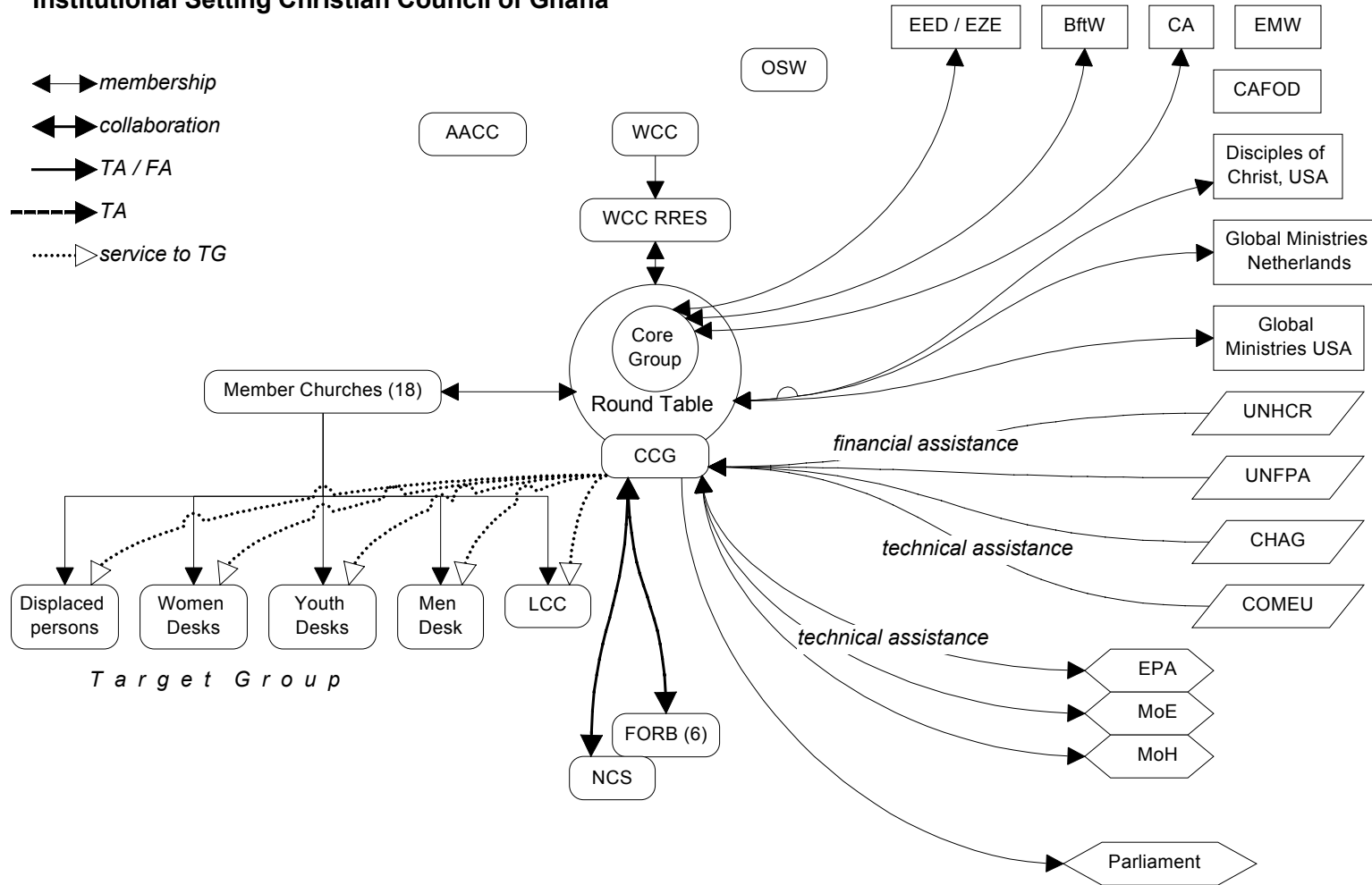
- Armenia Round Table (ART),
- Belarus Round Table (BRT),
- AidRom, Romania
- Christian Interchurch Diaconal Council, St. Petersburg, Russia (CIDC)

Middle East Council of Churches (MECC)

- Bishopric of public Ecumenical & Social Services in Egypt (BLESS),
- Inter-Church Network for Development & Relief in Lebanon, (ICNDR),
- Development Service Palestine Refugees (DSPR)
- Middle East Youth Programme



Institutional Setting Christian Council of Ghana



Issues:

- The services include training, research, advocacy, relief & rehabilitation, networking, chaplaincy and consultancy
- The services are given around the issues of human rights, HIV/AIDS, inter-faith, governance, development and environment, irresponsible parenting
- Among the collaboration with FORB, there is a special strong collaboration with National Catholic Secretariat (NCS)
- There are about 35.000 refugees
- 70% of all educational institutions in the country are controlled by religious bodies
- 80% of the health institutions in the country are controlled by religious bodies

Threats:

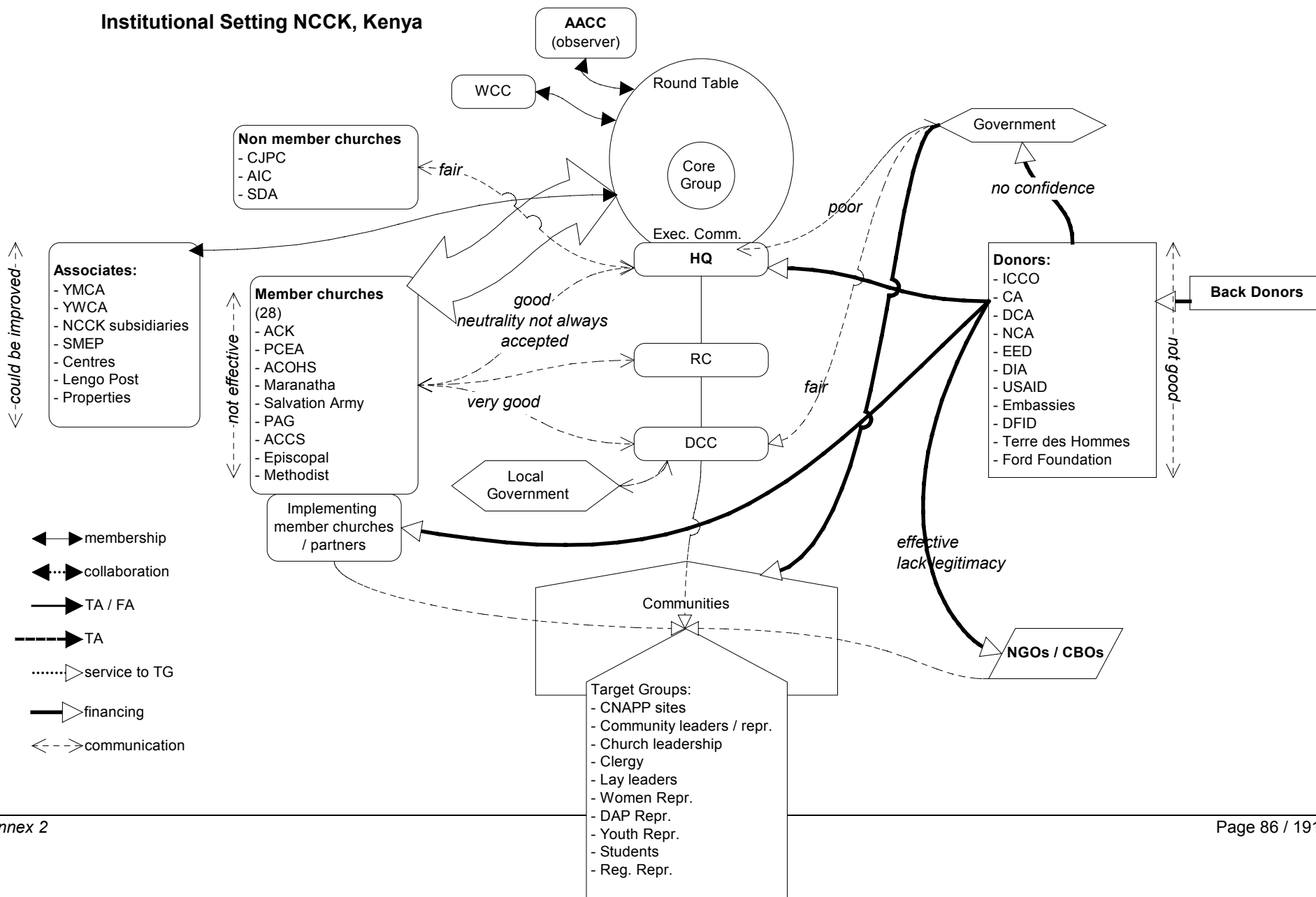
- Donors may cut their contributions
- Member churches are competitors to donor funds
- Government emphasises the churches to be registered, although legislation was not in place yet. Some small ones have done, but CCG and NCS resisted
- Government requests churches to pay tax (which has been refused)
- Churches are subject to pay VAT.

Opportunities:

- Increased funding in case "the house is in order, i.e. if problem analysis is alright".
- More services to member churches
- Government tax relief (to be advocated for)
- HIPC country resources (IMF) to be tapped for social services; we strengthen our member churches to tap such funds)
- National health insurance policy is to be established, which has been initiated by the church (through the experience in one pilot district)
- Advocacy & lobby to change policy (e.g. education curriculum includes now sex education, HIV/AIDS prevention)



Institutional Setting NCK, Kenya



Explanation:

- One third of the ExCom members comes from the RCs
- RC comprises five representatives of all DCCs
- USAID, Embassies and DFID, although among the FAs, do not participate in the Round Table discussions
- Small financial contributions are coming from the member churches and the NCKK affiliates
- DCCs meet about four times a year (roughly 40 participants) at their own costs. There is no financial assistance from NCKK.

Issues:

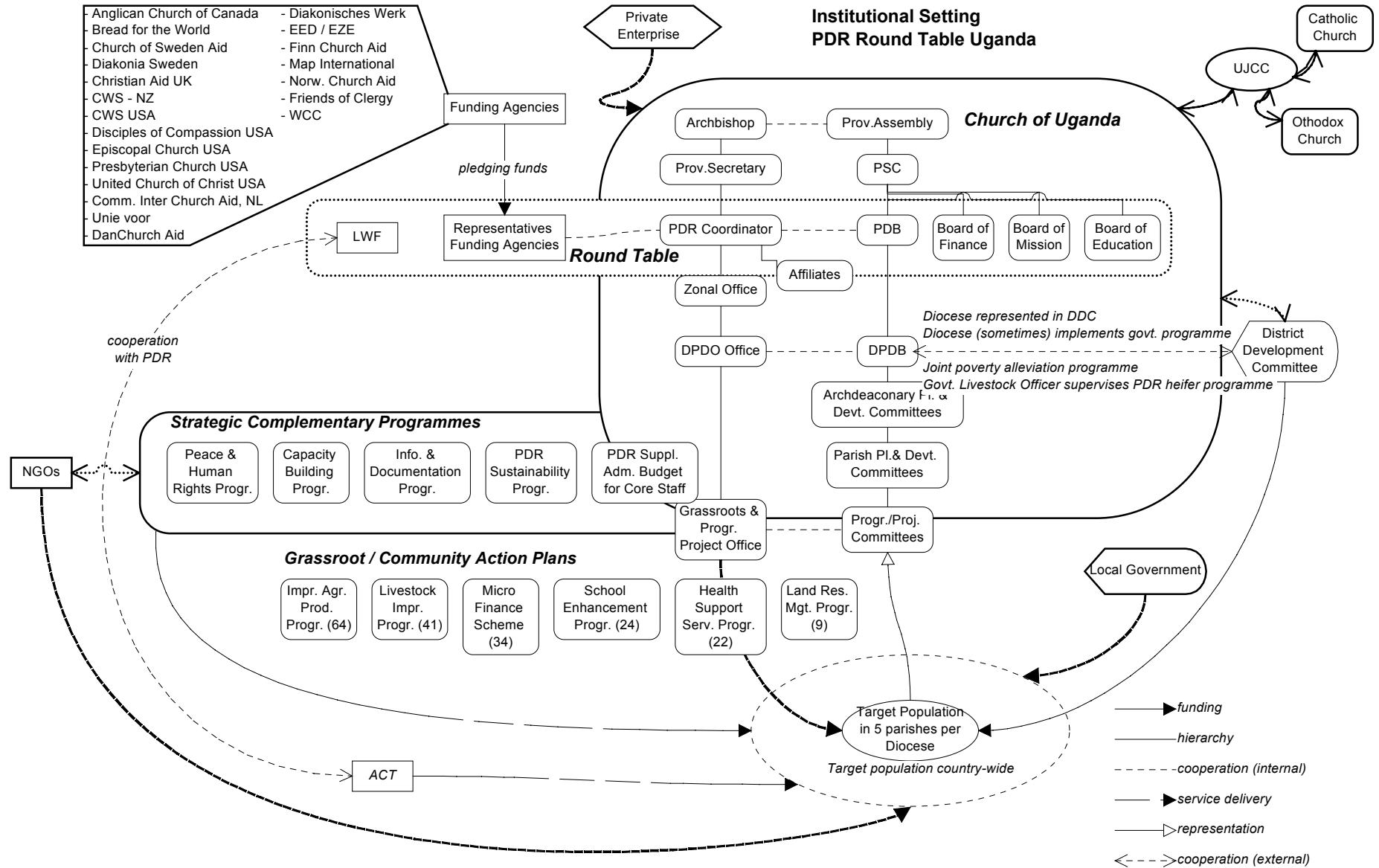
- Relations NCKK HQ - FAs is good, but in reference to 1. perception and 2. the way of implementation vs. reporting needs improvement
- Non member churches relationship is fair to good. AIC has stepped out of NCKK because of political affiliation with the current president
- Operational relationship with AACC could be better
- Co-operation among member churches seems not to be effective
- Co-operation among associate members could be improved
- Operational service delivery to community seems not to be effective
- Communication with donors could be better
- Donors have lost confidence in government and therefore does not support it financially any longer
- NCKK - government relationship is poor at national level, but at district and local level there is a good working understanding
- Government service delivery to the community is not adequate
- NGOs lack legitimacy, although they are effective
- NGOs are not accountable to the community
- Although non-member churches do not participate in the Round Table, operationally there are good working relations at DCC level
- Donors support member churches and NGOs/CBOs independently without communicating the matter to NCKK, which gives confusion, and sometimes overlap. When donors go directly to member churches or NGOs, it undermines NCKK's capacity building initiatives
- NCKK's financing relationship with RC seems fair and with DCC seems poor
- DCCs are depending on own resources
- DCC - local government operational relationship is fair
- There is a good relationship with the Catholic Secretariat
- NCKK structure has internal weaknesses. How to streamline those to safeguard the interest of the FAs
- DCC level needs to be focused upon

Opportunities:

- NCKK actually intends to influence through community action

Threats:

- The SMEP office operates with loans, which sometimes confuses the target group when other NCKK operations 'give' support free.
- Among members there is not always a good co-operation. One competes for FA funds.



Issues:

- UJCC focuses on advocacy, civic education, election monitoring and corruption
- Core Group members PDR are: ALC, CWS-NZ, DCA, EZE (chair) and WCC
- NGOs sometimes are just briefcase NGOs
- 3 churches UJCC rejected to be registered, from the point of view that they were existing earlier than the government. Government therefore does not have a legal standing with the churches, i.e. no financial support; but at district and local level there is good co-operation.
- Local contribution needs to be quantified in monetary terms
- Sustainability projects enable PDR to pay for its overhead

Opportunities:

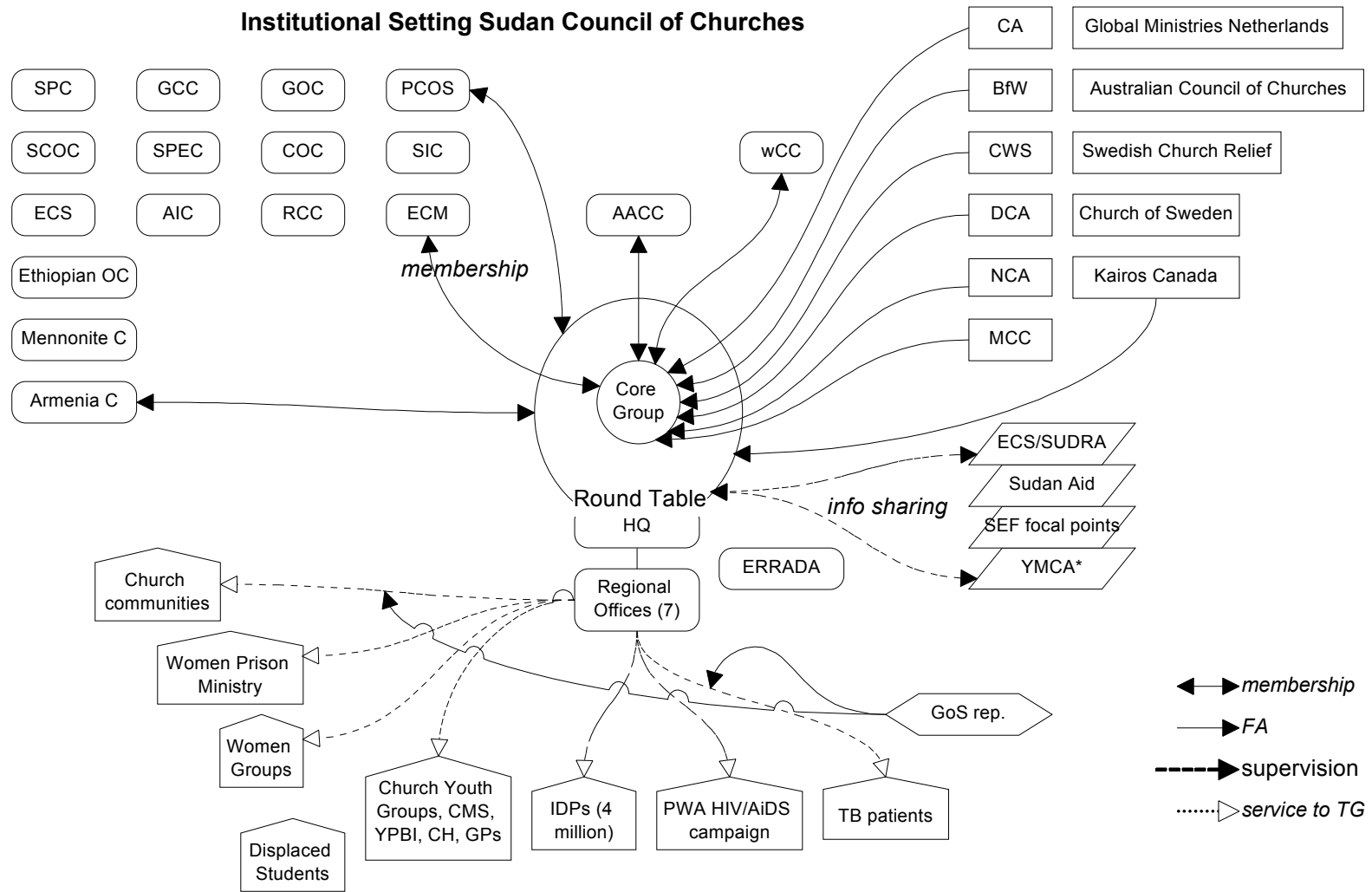
- The royal structures can be used for mobilisation of the grassroots level
- Local FAs and international NGOs have not sufficiently been tapped yet
- Registration enables PDR to tap government funds

Threats:

- CoU sees PDR as a favoured organisation, because it is staffed by professionals
- CoU sees threat in PDR as it services all
- Dioceses are autonomous and therefore PDR lacks effective control
- In CoU everybody wants to become a bishop and therefore too many dioceses are generated, which makes it difficult for PDR to cope with. PDR needs to train all those DPDOs all the time
- FAs have different requirements
- Payment DPDOs has not always been done adequately, which means that PDR cannot really rely upon them



Institutional Setting Sudan Council of Churches

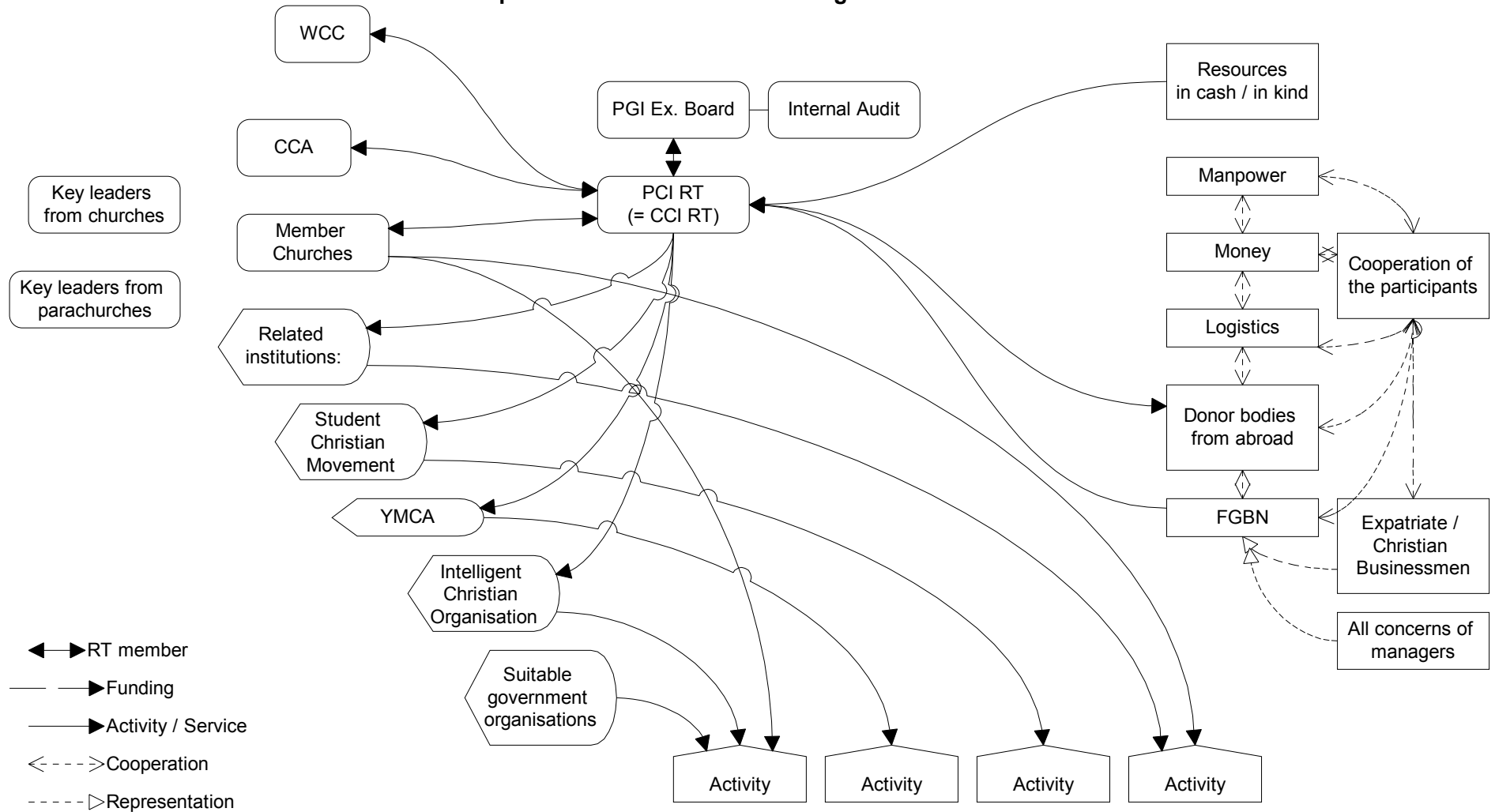


Issues:

- Churches do not want to be registered, because they don't want to be exposed to government decisions. (Only when Islamic organisations are registered one wants to be registered as well.)
- Women, youth, & scholarship activities are not registered either, as one fears government involvement
- ERRADA = Emergency, relief, rehabilitation & development agency
- ICC - integrated church committee
- There is difficult communication between SCC and the churches in the South of Sudan
- Partners are eager to support Internal Displaced People (IdPs), but government not
- Many of the supportive NGOs have an office somewhere in Europe or Canada
- One has the potential to preach in the North

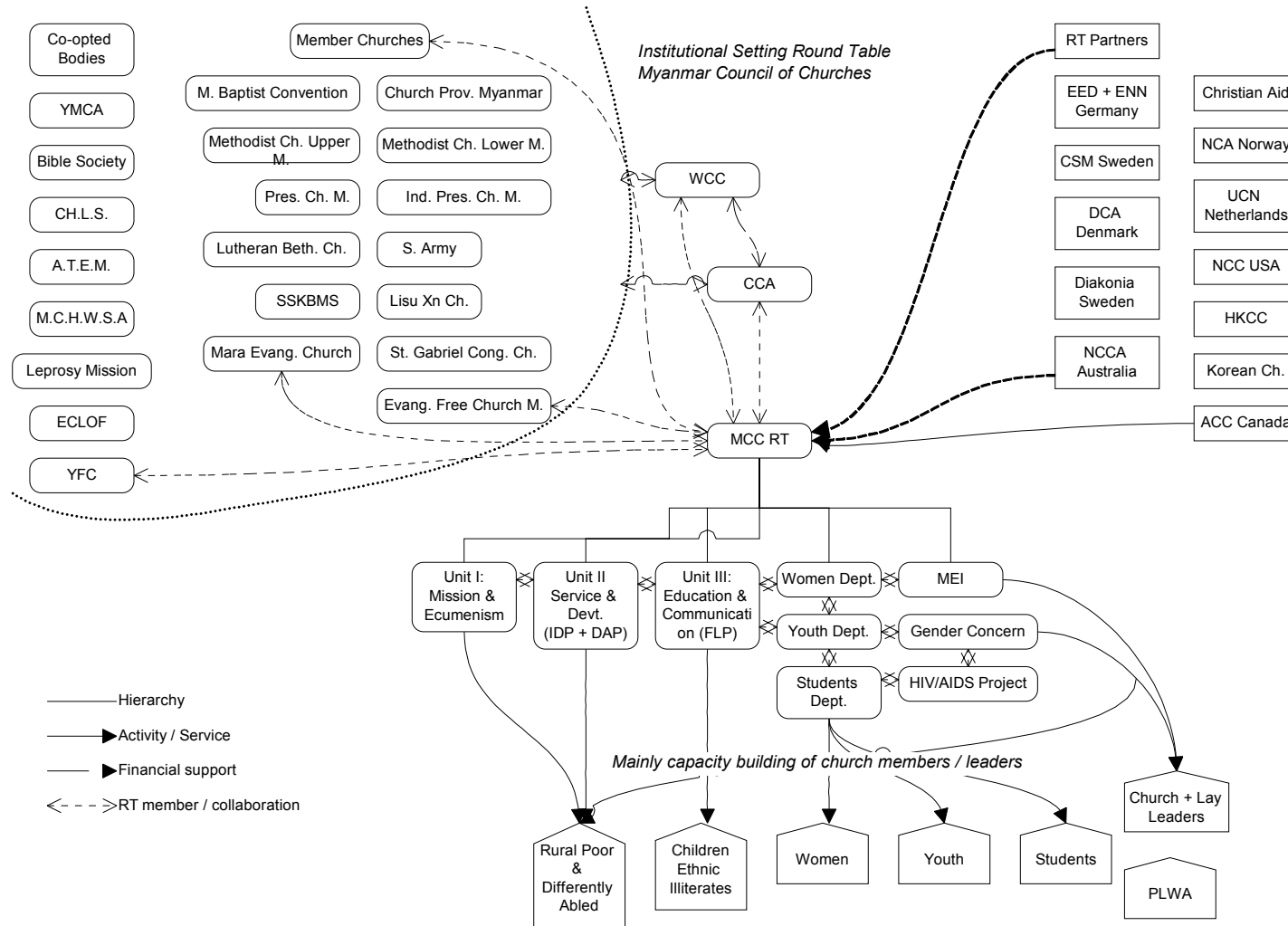


**Institutional Setting Round Table Organisation PGI (= Communion of Churches in Indonesia)
Specific focus on Victims of Religious Conflicts**



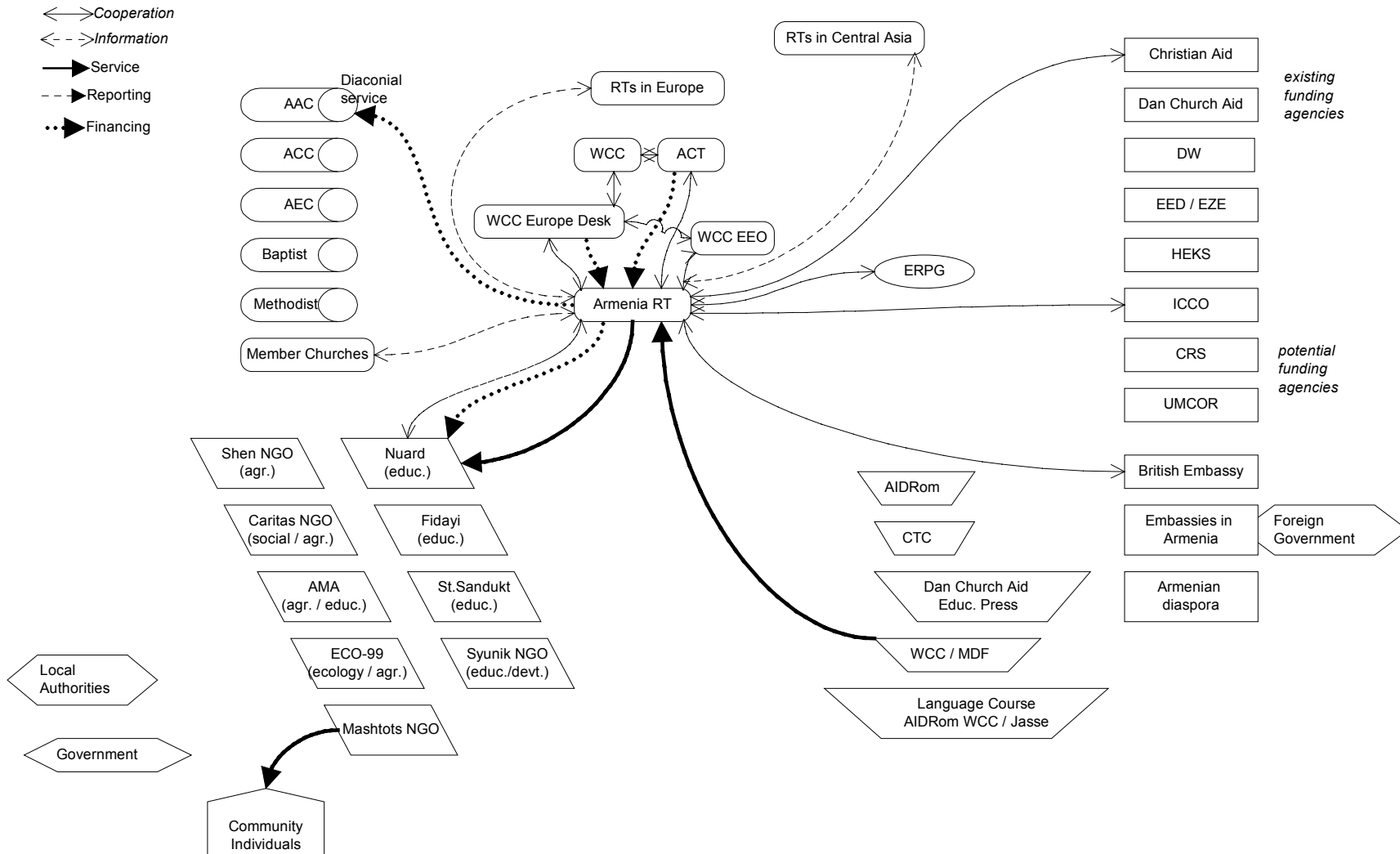


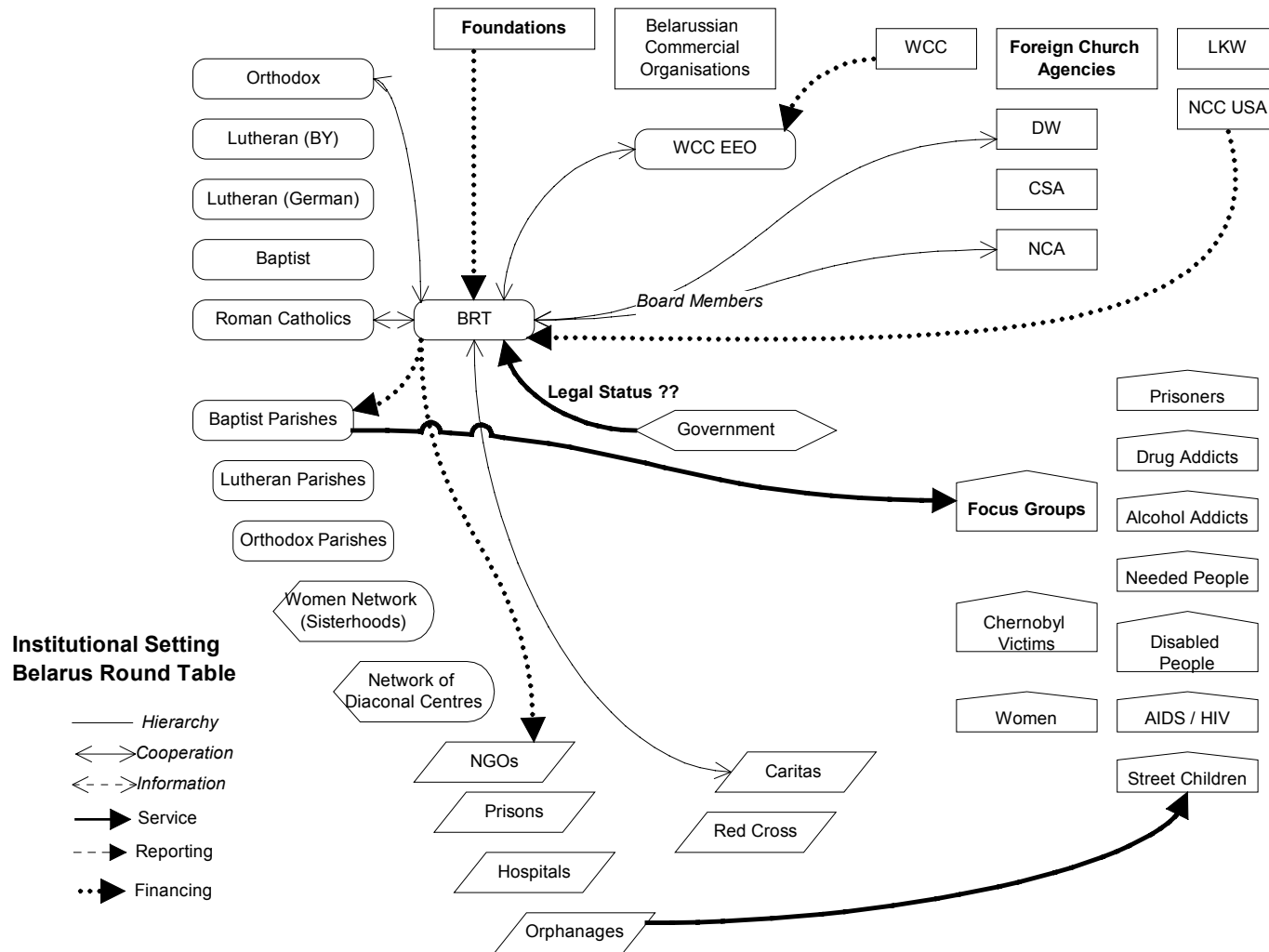
Annex Institutional Setting Myanmar Council of Churches

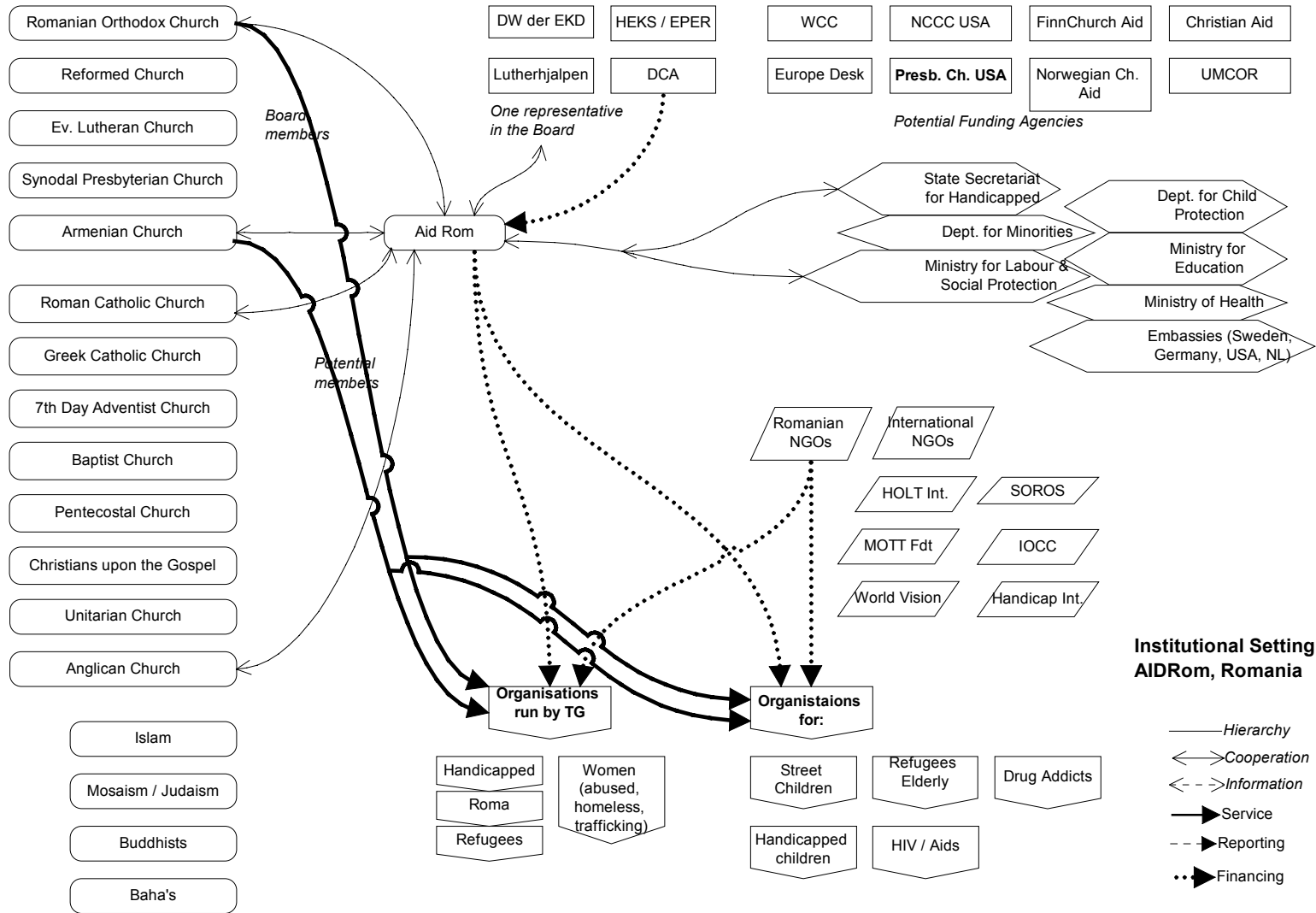


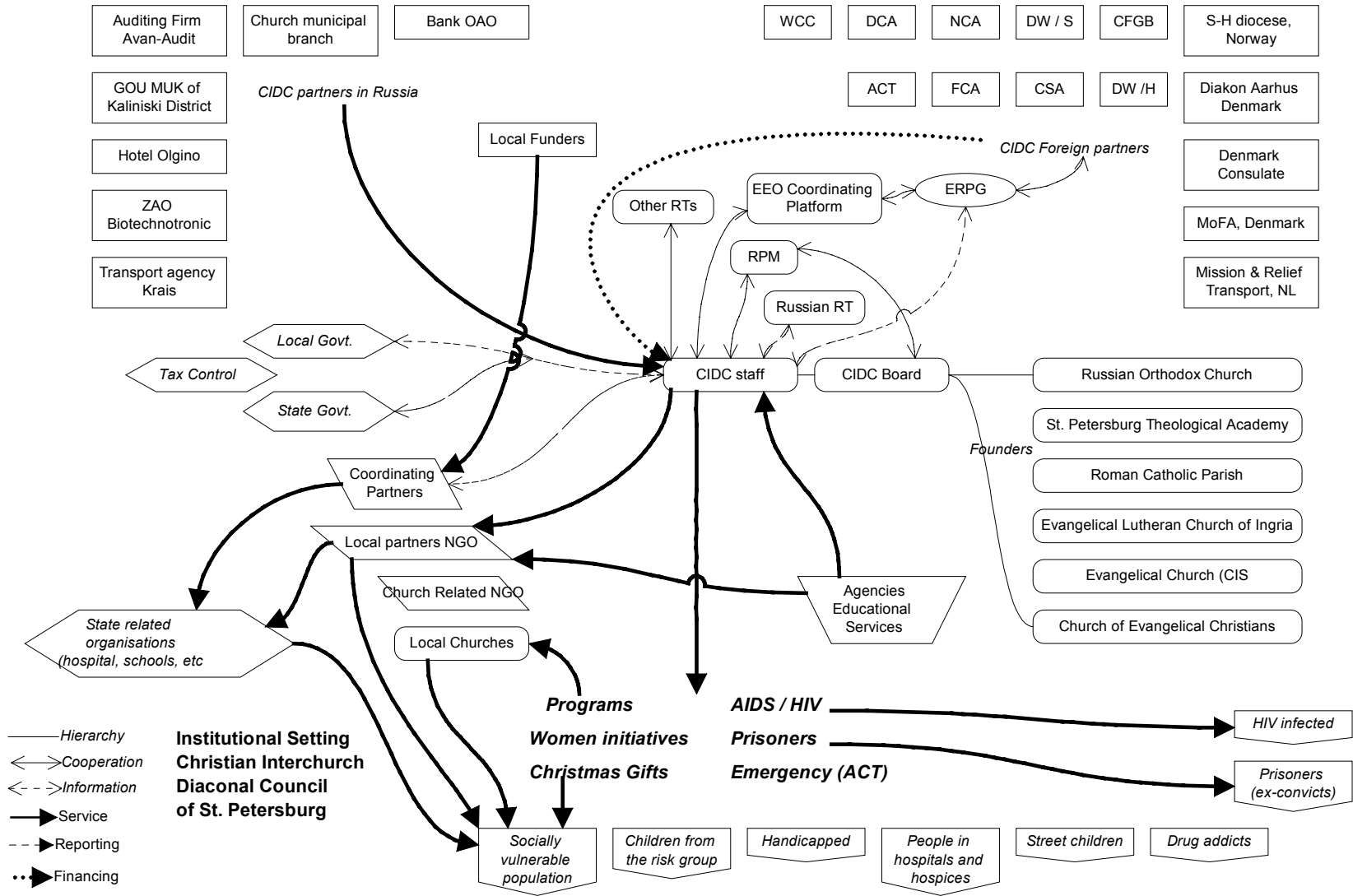


Institutional Setting Round Table Armenia









Coptic Orthodox Church:

Bishopric of Public Ecumenical & Social Services (BLESS)

BQ: How can we guarantee the sustainability of development in the target community after BLESS' exit

BLESS: since 1962 related to COC

It works in Comprehensive Integrated Development through 6 main programmes in 30 villages from Aswan to Alexandria: Agricultural development; Health & environment; Economic development; Community organisation; Children and Education

Problems:

- Some village have conflict relation between Community Development Committee (CDC) and Field Worker (FW)
- Priests are not development oriented
- Not enough experience for the member of the local association to be effective in the community. As a church it is difficult to gain trust of GOs
- Challenge of team building
- Time of sending of funds by donors is nor regular

Relations that can be developed:

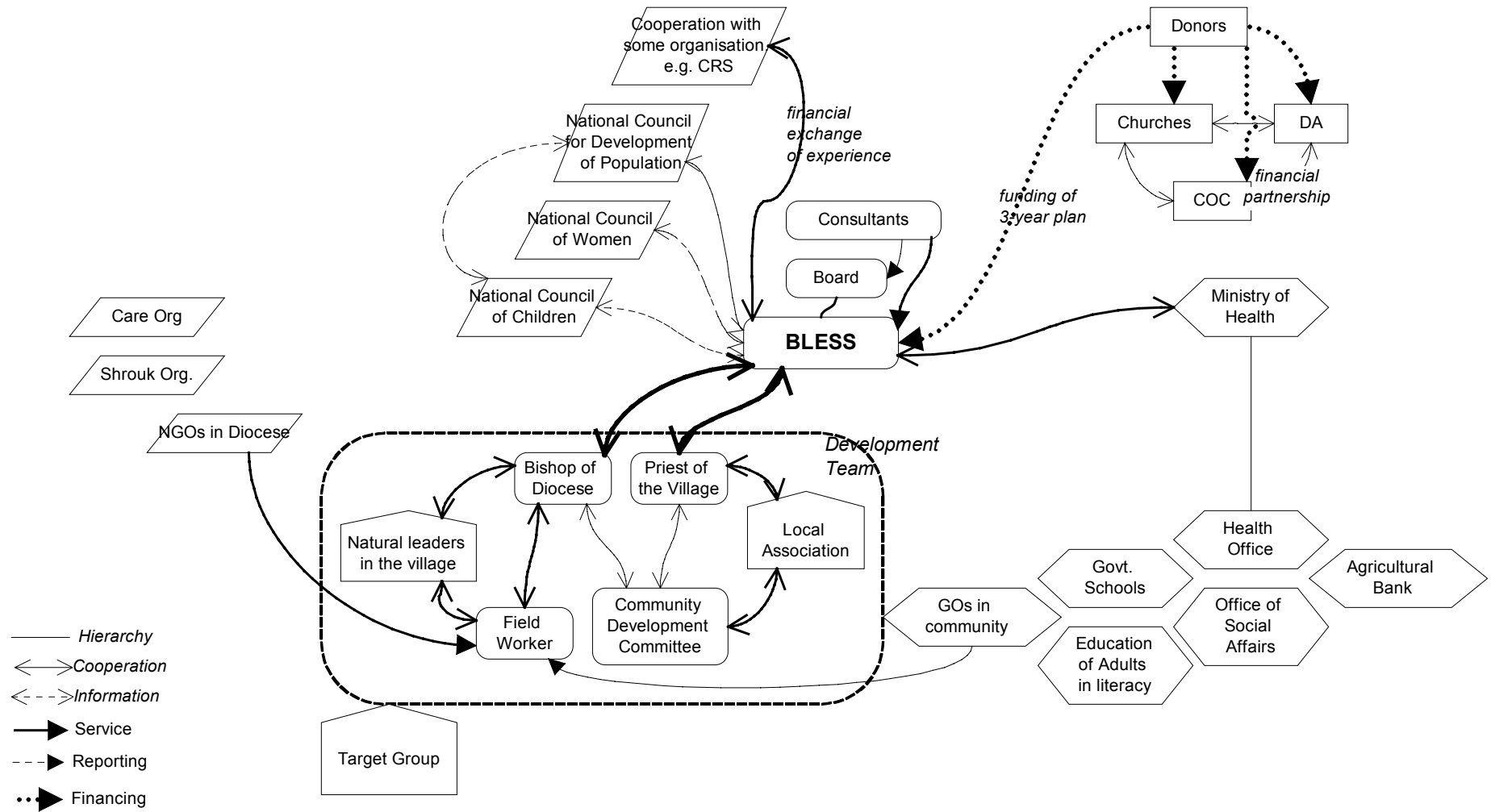
- CDC, FW, natural leaders and the local association (LA) with each other as the Development Team (DT)
- DT with GOs
- DT with consultants
- CDC in different villages with each other to exchange experiences
- LA with funding agencies

Relation that should get less attention

- BLESS with DT

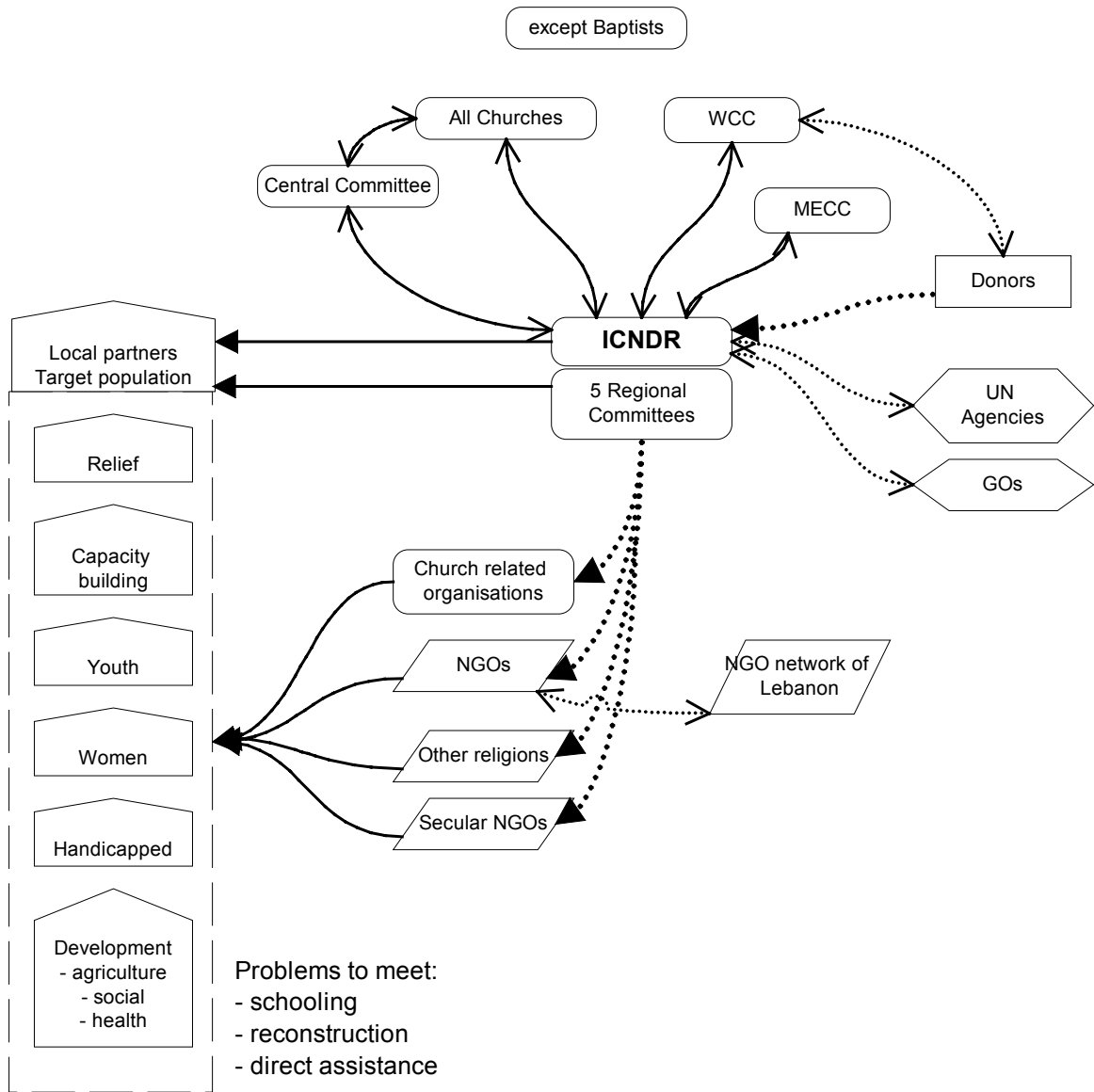
What can be done to strengthen the network:

- Capacity building for the DT
- DT will write a project proposal to BLESS as an example
- BLESS act as a consultant for DT before exit time
- DT will do checklist with all GOs and NGOs they are related with



ICNDR

BQ: To enable churches to develop social and economic human capacity to prevent poverty and social injustice



Problems to meet:
 - schooling
 - reconstruction
 - direct assistance

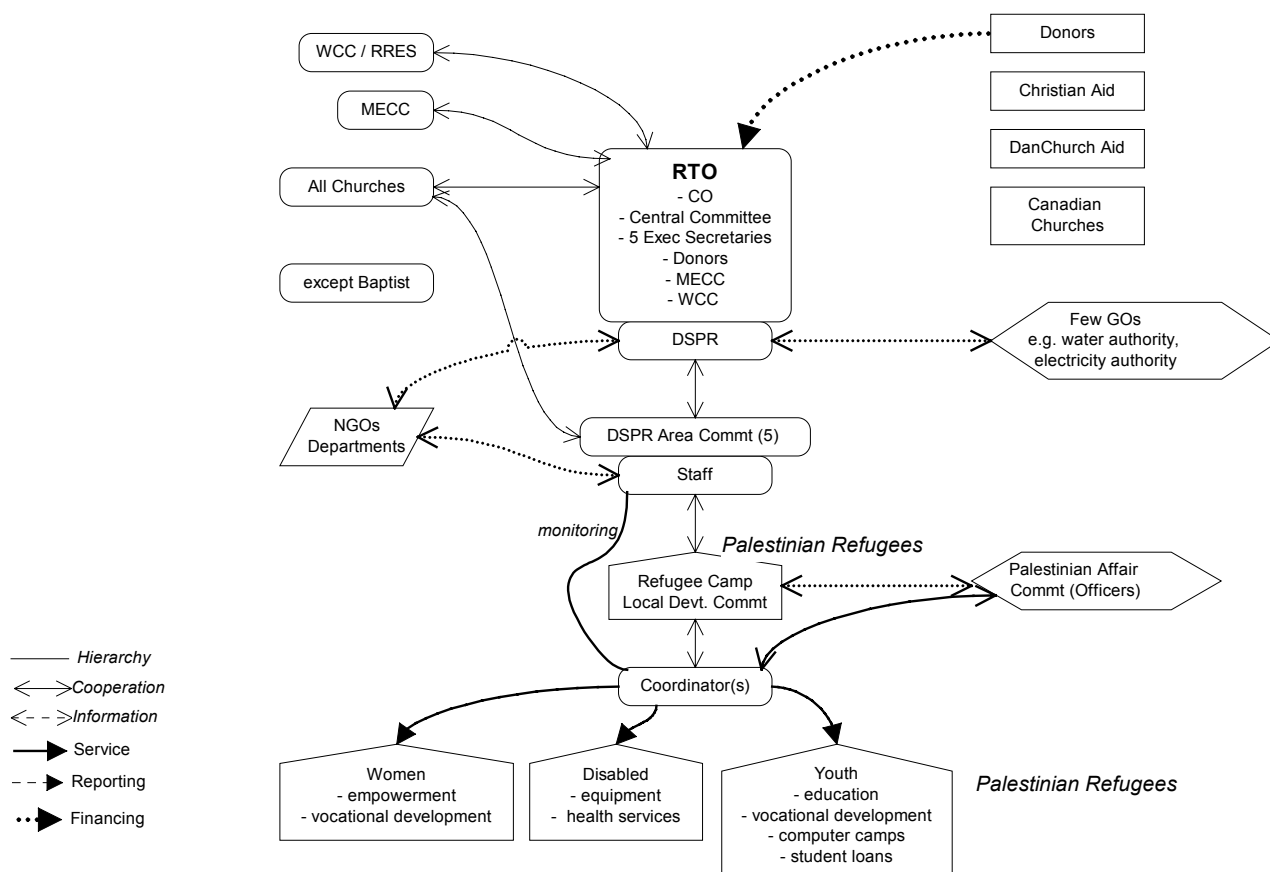
Organisational Problems:
 - Involving some regional committees in the whole process
 - Funds don't arrive on time
 - ICNDR doesn't have a separate financial department

- Hierarchy
- ↔ Cooperation
- ⋯ Information
- ➔ Service
- Reporting
- Financing

DSPR: BQ: Is our RTO able to execute all projects according to our plan of action ?

DSPR has been the first ecumenical body established in the region (before the MECC)
 The DSPR focussed first on relief, thereafter on relief and development and nowadays on relief, development and advocacy. However the relief component is diminishing over time.

DSPR: BQ: Is our RTO able to execute all projects according to our plan of action ?

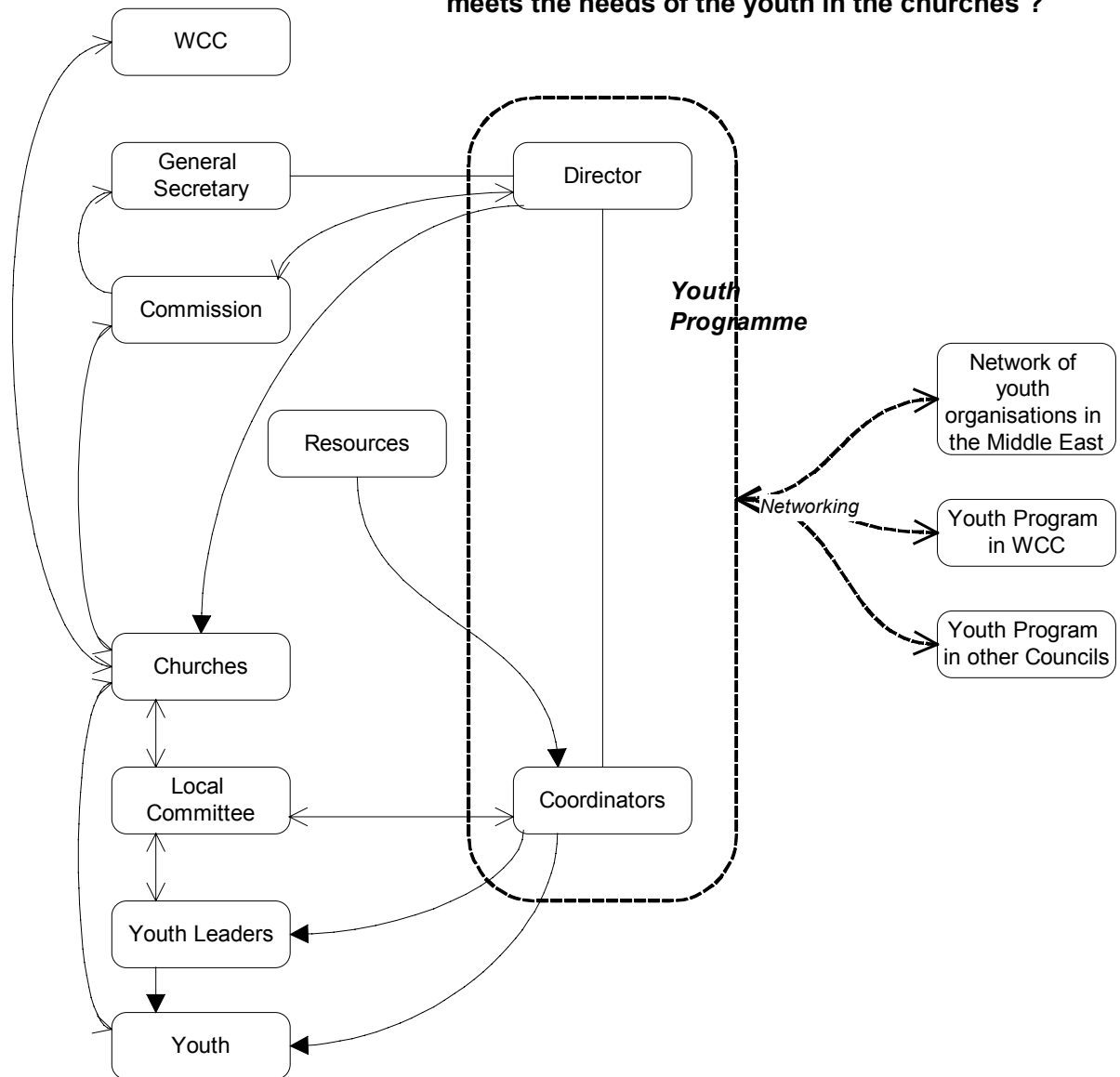


Conclusions institutional analysis:

- Not all churches participate in RTO (Baptists do not participate)
- Insufficient funding from donors to enable to implement plan of action
- Insufficient co-operation and support from NGOs
- Co-ordinators do not provide the necessary information
- Co-ordinators lack (?) qualifications
- Lack (?) of attendance and participation of target group due to lack (?) of awareness and education

MECC Youth Programme

BQ: To what extent the Youth Programme meets the needs of the youth in the churches ?



- Problems in the relations between :
- the representative of the church (local committees) and the coordinators
 - the coordinators and the youth leaders
 - the coordinators and the youth
 - the churches and the youth

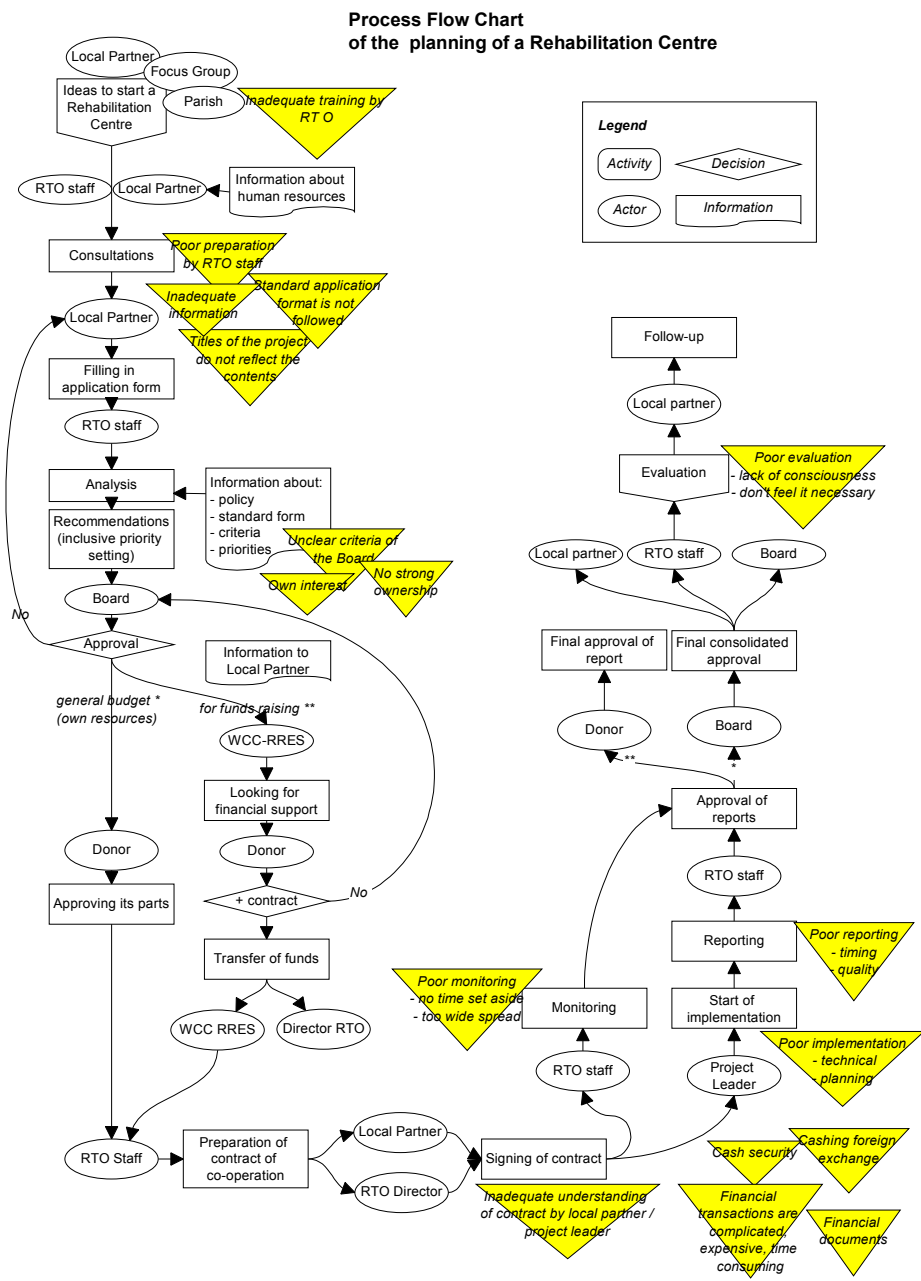
- The youth programme is mainly implementing in stead of enabling

- Hierarchy
- ↔ Cooperation
- ↔ Information
- ➔ Service
- ▶ Reporting
- ▶ Financing

3. Process Flow Chart: Steps to describe and analyse PME Processes

a. What is it?

A process flow chart is an instrument that describes and analyses the various systems and procedures (e.g. planning, delivery of services, decision-making, resource allocation, accounting and monitoring) within an organisation. The process flow chart is based on the "critical path method" and describes all activities, related responsibilities, decision moments and information requirements in reference to an indicated process in a logical and sequential order. The planning, monitoring and evaluation process is one of the "steering mechanisms" within an organisation that could be described and analysed through a process flow chart.



Observations: Problem analysis in reference to (IOM) elements that hamper to fulfil the RTO mission:

Mission	<ul style="list-style-type: none">• <i>Unclear criteria of the Board</i>• <i>No strong ownership</i>
Output	<ul style="list-style-type: none">• <i>Inadequate training by RT O</i>• <i>Titles of the project do not reflect the contents</i>
Input	<ul style="list-style-type: none">• <i>Inadequate information</i>
Primary Process	<ul style="list-style-type: none">• <i>Poor implementation (technical, planning)</i>
Systems	<ul style="list-style-type: none">• <i>Poor monitoring (no time set aside, too wide spread)</i>• <i>Poor reporting (timing, quality)</i>
Management	<ul style="list-style-type: none">• <i>Poor preparation by RTO staff</i>• <i>Standard application format is not followed</i>
Actors	<ul style="list-style-type: none">• <i>Own interest</i>• <i>Inadequate understanding of contract by local partner / project leader</i>
Factors	<ul style="list-style-type: none">• <i>Cash security</i>• <i>Financial transactions are complicated, expensive, time consuming</i>• <i>Cashing foreign exchange</i>

b. What can you do with it ?

The process flow chart is an instrument to analyse the steering mechanisms within the organisation. By describing and analysing the steering mechanisms that are cumbersome the actual weaknesses within the organisation that may cause problems of non-functioning will become apparent.

A process flow chart can help you answering these core questions:

- What are the major steps in what sequence?
- Who is responsible for an activity?
- What are the major decision moments?
- What are the major information moments?
- What are the delays and bottlenecks in the process?

Results

The flow chart analysis helps to identify bottlenecks in different processes within the organisation. It identifies unnecessary involvement of actors, loopholes in decision making or unnecessary delays in the process. It assists to make the organisation more efficient in its operations. In addition the process flow chart helps to design new procedures, and to analyse bottlenecks in existing procedures. It is also very useful to help those concerned understand the interrelation of the work activities and to realise how the work of one actor influences the others.

Follow up

Depending on the problems identified it can be followed by other analysis tools e.g. using the Integrated Organisation Model to dig deeper into the problem or combining the problems with other related problems in a problem tree analysis or a SWOT.

c. How to use it?

Steps in making a process flow chart

- Define the process, the starting and the ending point(s);
- Identify the major activities and put them in logical sequence;
- Identify who is responsible for each step;
- Identify the major decision points and who actually takes the decision;
- Identify incoming/outgoing information for key decisions or executing activities;
- Identify (possible) problems/bottlenecks in reference to specific elements in the organisation, in reference to loopholes or in reference to schedule or quantity of work;
- Analyse: define the relations between the causes, identify priorities for improvement.

Process

A process flow chart can be made by an individual person, or in a group (not more than 20 people) on a participatory basis. If made with a few key actors it should be reviewed and/or endorsed by all actors in the process. Decision-making is to be prepared for the management concerned to improve the process. It is also a useful tool for presentation purposes, to show how procedures look like or should look like.

d. Requirements and limitations

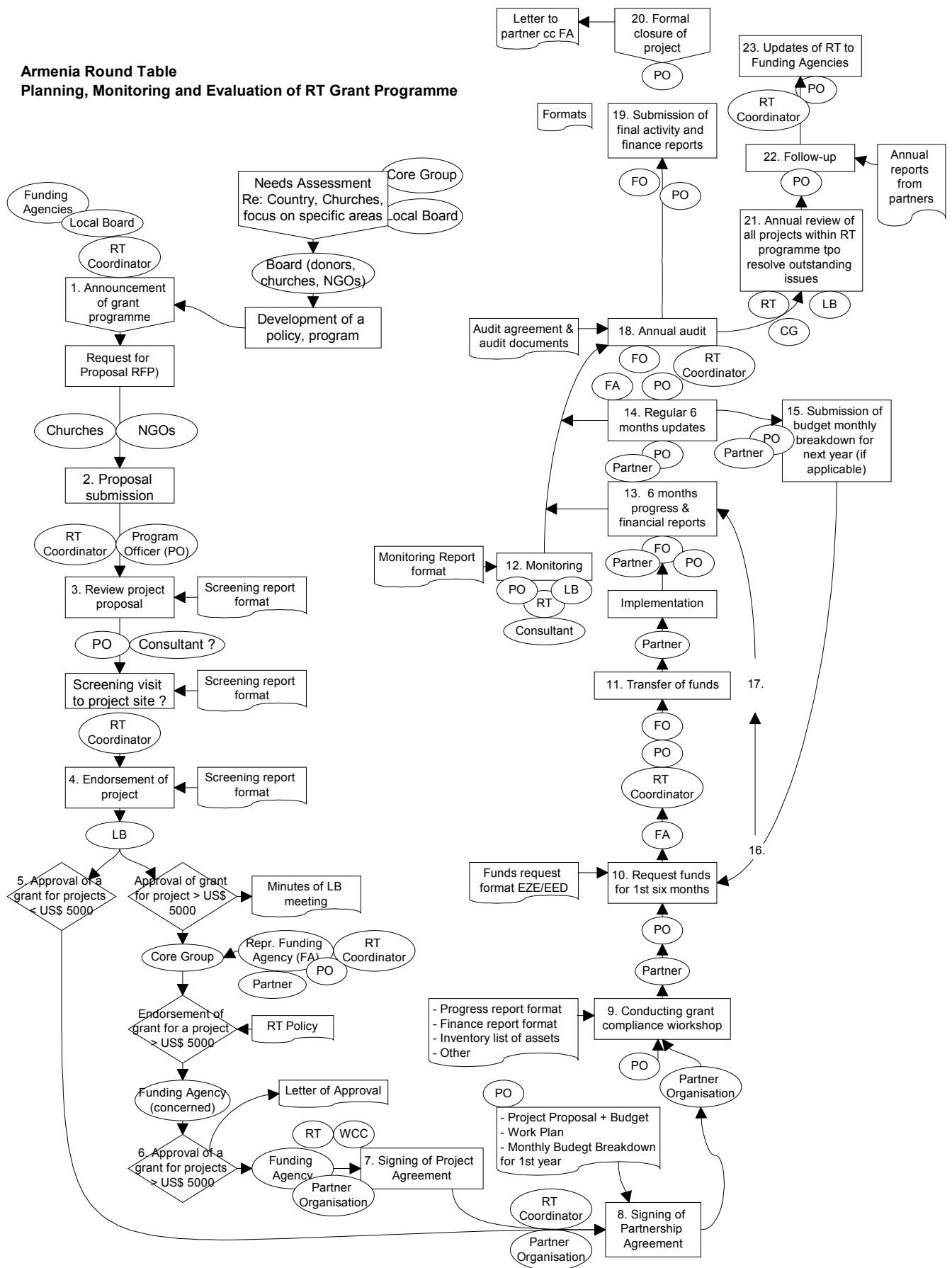
It is important not to mix up different process or different levels of abstraction (activities and sub-activities) in one chart. Sometimes it is difficult to define the process to analyse. Certain activities are cyclic and do not have a clear beginning and end. If not used adequately it may turn simple activities into a complicated chart.

In a participatory approach there is a danger that participants mix up the present and the desired situation. Depending on complexity of the process, it will take 1-2 hours to describe and assess a process.

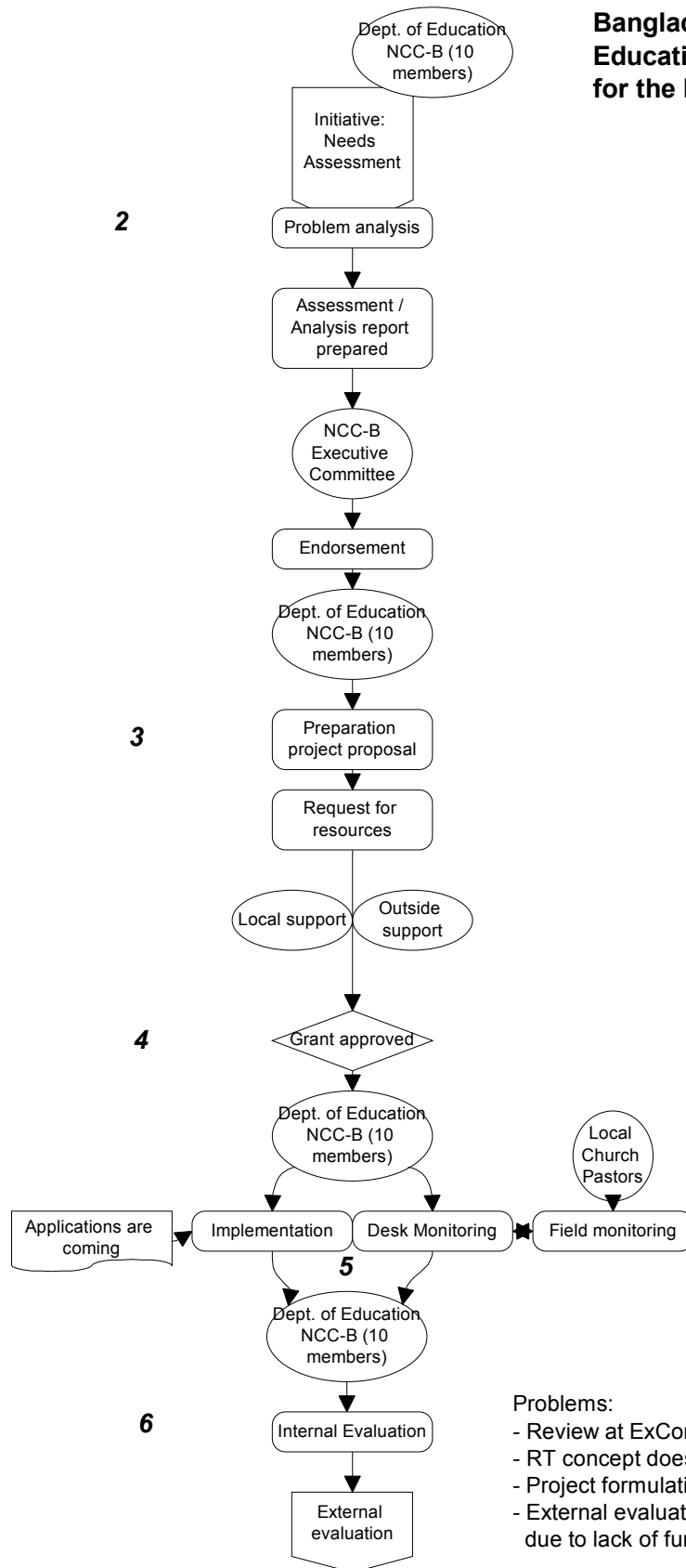
e. Examples of (draft) PME processes of identified RTOs:

- Armenia Round Table: PME process RT Grant Programme
- Bangladesh: Educational assistance for (poor) Rural Students
- Egypt: BLESS PME process flow chart
- Ghana: PME process Council of Churches
- Jordan: DPSR PME process flow chart
- Middle East: MECC Training process flow chart
- Myanmar: PME process flow MCC
- Uganda: PDR project planning & implementation

**Armenia Round Table
Planning, Monitoring and Evaluation of RT Grant Programme**



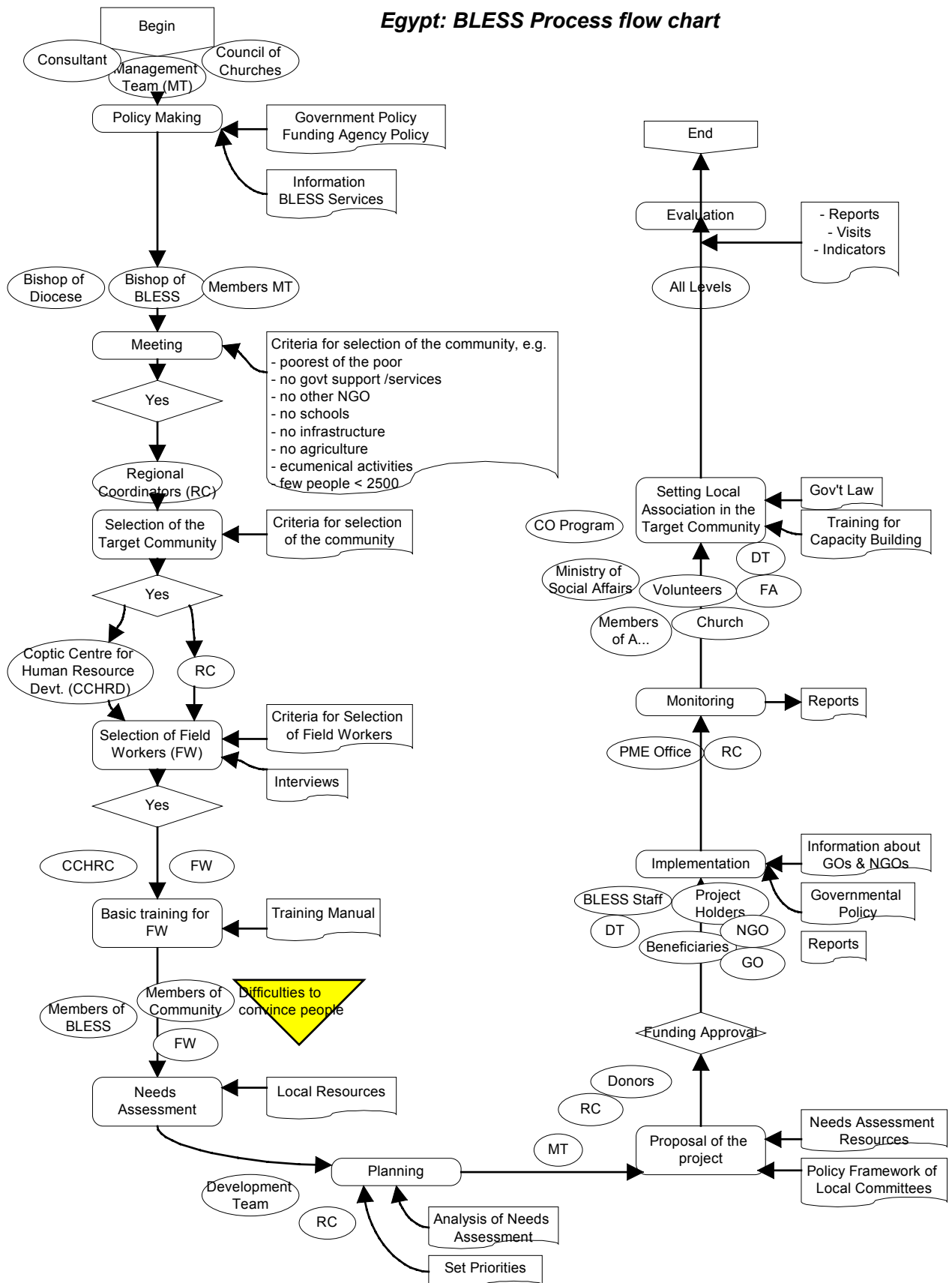
**Bangladesh:
Educational Assistance
for the Poor Rural Students**



Problems:

- Review at ExCom level is not as expected
- RT concept does not exist for NCC-B projects
- Project formulation not done as per formal guidelines
- External evaluation is not done most of the time, due to lack of funds

Egypt: BLESS Process flow chart



Council of Churches of Ghana (CCG)

Membership of local councils of churches does not automatically include the membership of the CCG. CCG has 16 member churches and 2 organisations.

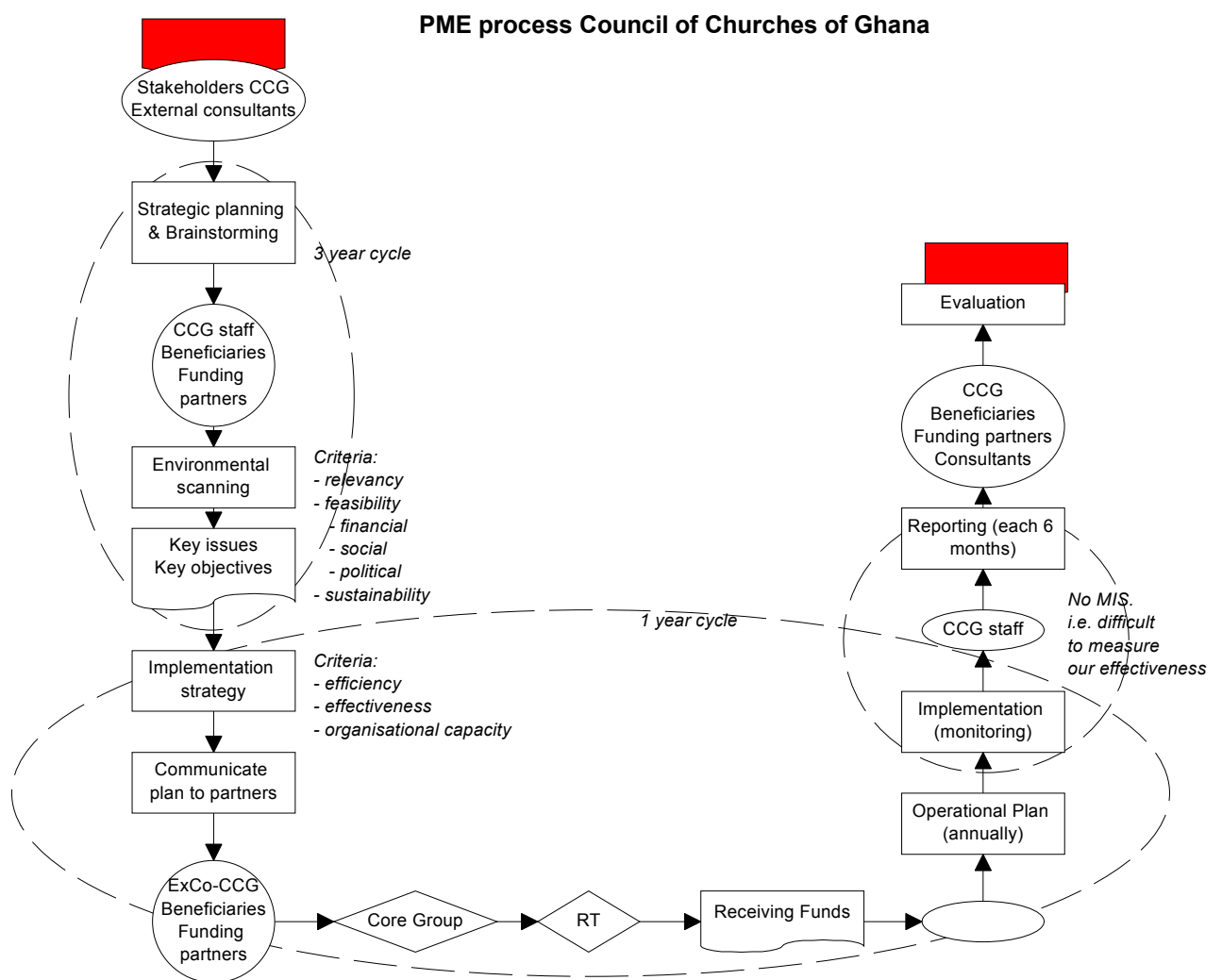
Outside the CCG, there is the Ghana Pentecostal Council, the Council of Charismatic Churches and the Roman Catholic Church, with whom CCG has cordial working relations.

At local level they may come together to fellowship. At local level, there are only a few examples of co-operation on development issues, other than advocacy issues.

In Ghana there is a strategic relationship between Christians and Muslims on certain issues.

The RTO comprises a financial/administrative department and a programme department to facilitate implementation. It does not implement itself.

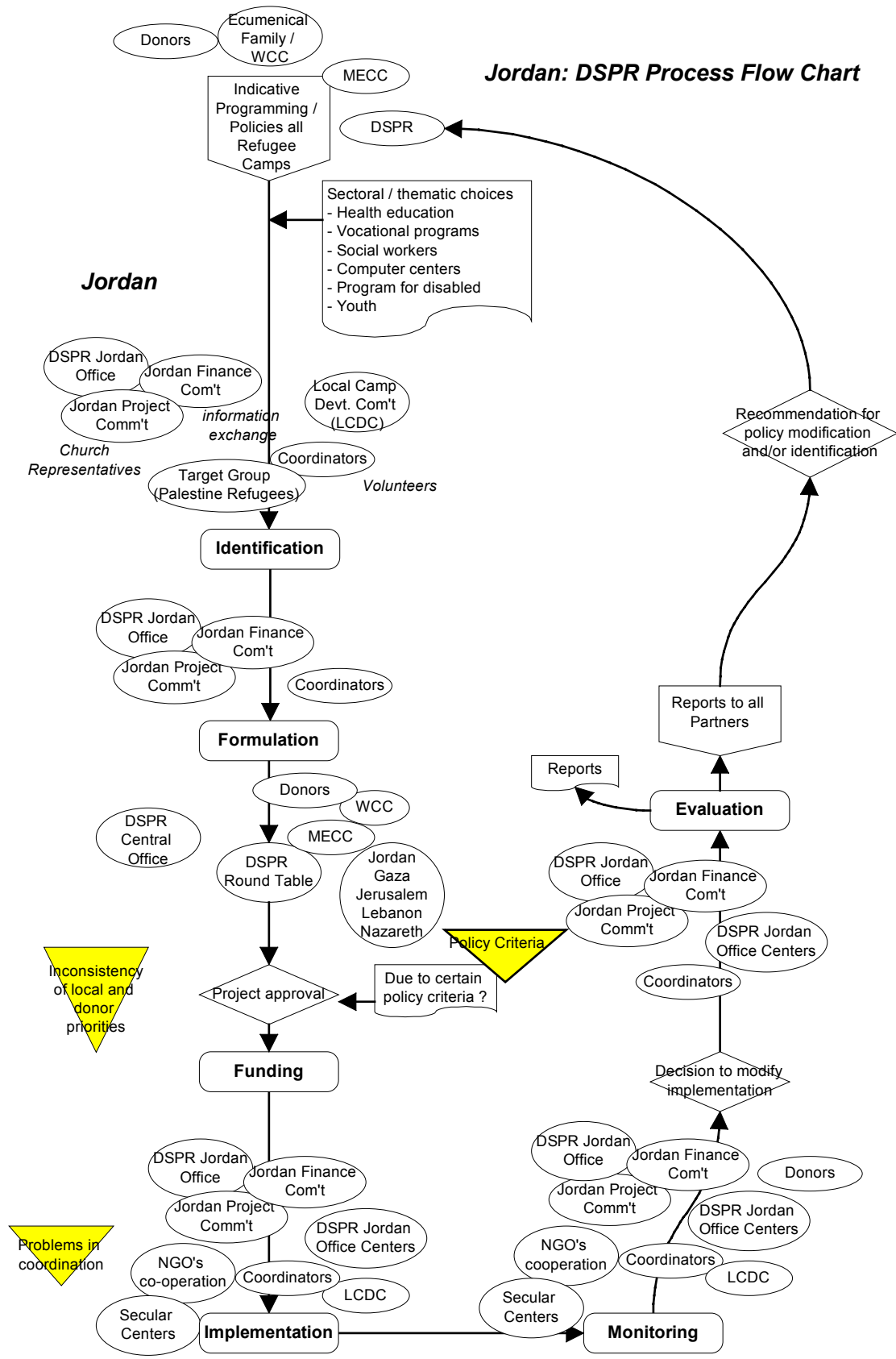
The RT's policy statement includes vision, mission and procedures, with a number of criteria for appraisal. However, it does not have the capacity (yet) to monitor the implementation according to these criteria.



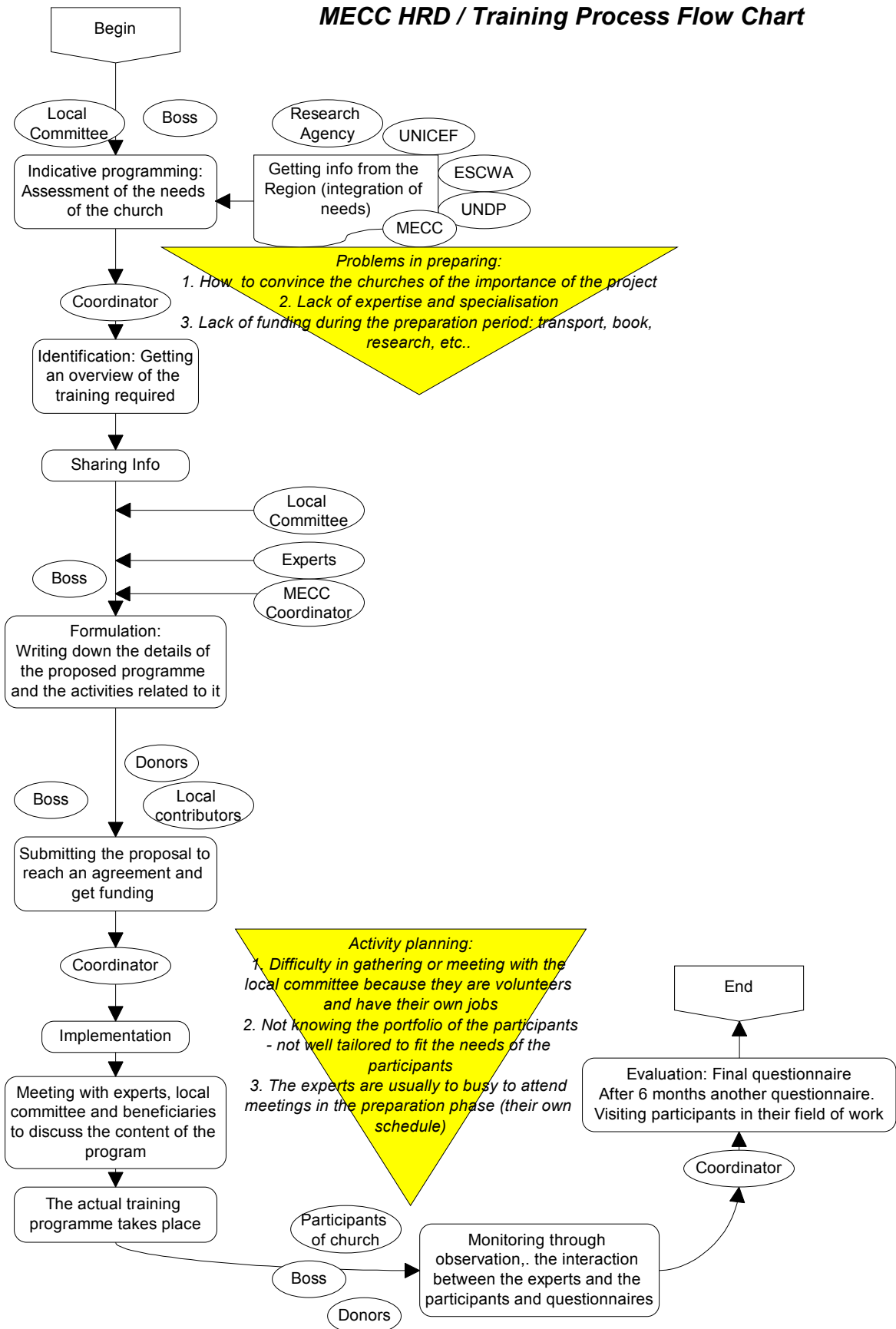
Bottlenecks / constraints

- Inadequate staffing for environmental scanning (skills)
- Varying reporting needs from funding partners
- Delays in funding
- Inadequate reporting vs. original plan
- Inadequate resources for the planning exercise
- Lack of qualified staff (attract and retain qualified staff)
- Inadequate monitoring.

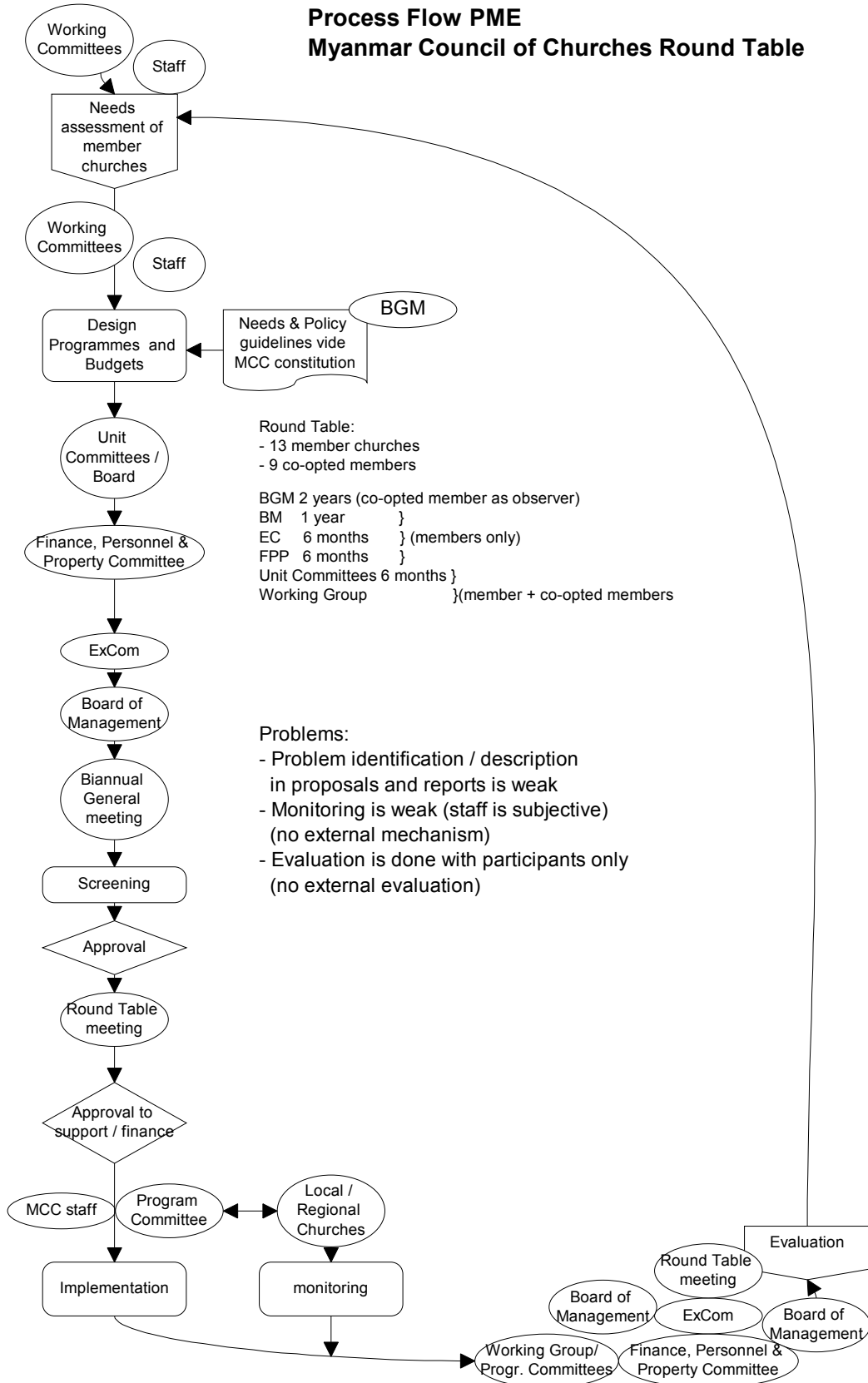
Jordan: DSPR Process Flow Chart



MECC HRD / Training Process Flow Chart

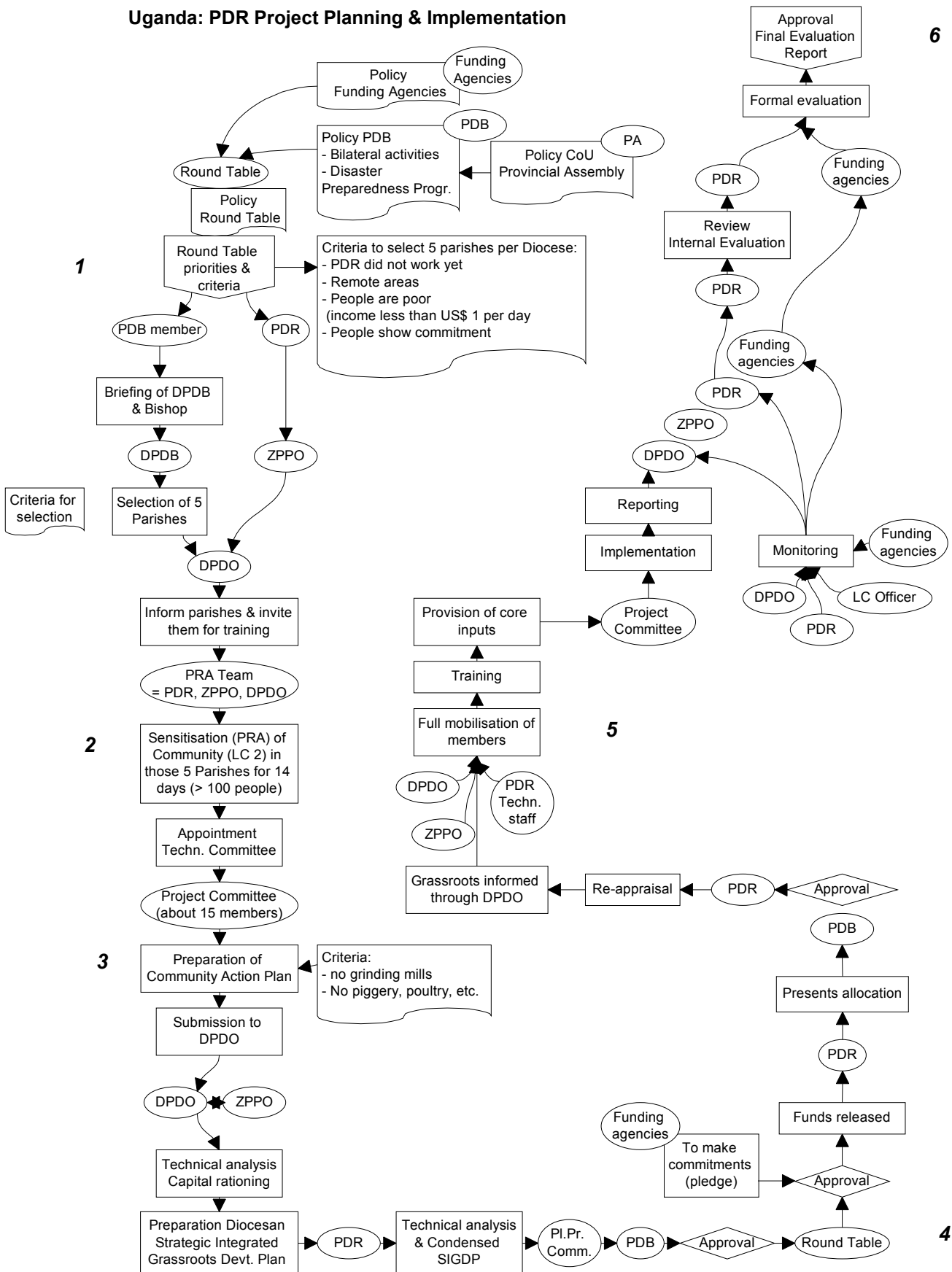


Process Flow PME Myanmar Council of Churches Round Table



Uganda: PDR Project Planning & Implementation

6



Issues in reference to the Planning & Implementation Process of PDR⁷⁰

(not in order of priority)

- The representatives of the Funding Agencies (normally) do not have decision making authority.
- The funding agencies do not have a uniform decision making process concerning their commitments / pledging. Some take a month, others over half a year to decide. Some require spending the funds in the same calendar year, others require to spend it within a year after receipt, etc.
- The actual release of funds quite often is delayed.
- The expectations of the funding agencies are that they want to see quick results and impact. But how to measure in such a short time?
- Funding agencies are biased towards certain projects or themes.
- Funding agencies tend to change their priorities regularly (without consulting the receiving partners).
- Funding agencies shift their objectives regularly.
- The RT is the right place to discuss assistance of PDR, but PDR fears what would happen if funding agencies change their priorities overnight.
- DPDOs serve two masters and therefore their supervision of PDR projects may not be as effective as required.
- Grassroots level has limited capacity to report according to requirements.
- Accountability at both project and Diocese level is not according to standard.

⁷⁰ Issues as expressed by Management PDR in a discussion on 23rd of November 2001 at PDR HQ, Kampala

4. Steps in Objective Oriented Project Planning

a. What is it?

Objective Oriented Project Planning (OOPP) is an effective technique to assist all parties involved through a participatory communication process to identify and analyse those problems they see as inhibiting progress and to prepare a concrete and realistic plan.

The idea for a project or programme often comes from a desire to improve an unsatisfactory situation. Although the idea may be realistic, the initial plans may not meet the approval of staff and/or target group concerned. If plans are prepared by one person only, there is often no commitment to implement such plans by other parties. For a project to succeed, it is essential that all those involved accept the plans and are committed to implement them. This is where Objective Oriented Project Planning (OOPP) comes in.

OOPP brings together representatives of all parties concerned. By discussing the problems and possible solutions, the participants can come to a mutual understanding of each other's points of view. Once some form of consensus is reached, these problems are organised into a logical sequence. They are then reformulated into objectives to be achieved in order to solve the problems. On the basis of a number of criteria, objectives are selected which now serve to focus the project.

During the formulation phase that follows, a logical framework technique is used to prepare a Project Planning Matrix (PPM). This is done partly by drawing on what has been learnt in the earlier analysis. The planning matrix shows information about the objectives at different levels, referred to as overall objectives (change), purpose (use) and results (output), a description of these objectives by means of indicators, assumptions at various levels and activities (action) required to reach the different results. The planning session is rounded off by drafting time schedules of the most important activities, indicating the responsibilities for implementation of all parties involved at the same time.

b. What can you do with it ?

The OOPP planning method can help you answering these core questions:

- Who are the stakeholders⁷¹ ?
- What are their problems and the relations between the problems⁷² ?
- What are the priorities to address ?
- What should be objectives, activities, indicators, assumptions and budget⁷³ ?

Results

The OOPP results in a project plan based on a consensus among participants on problems and priorities.

⁷¹ See Annex 5: Steps in Stakeholder Analysis

⁷² See chapter 3.4.2 and 3.4.3 and Annex 6

⁷³ See chapters 3.4.5 up to 3.4.9

Follow up

The OOPP should be followed by a more concrete operational planning process (concrete activities and time schedule). Often a budget still has to be worked out and specified.

c. How to use it?

Steps in OOPP

Analysis phase

- Bring together representatives of the stakeholders;
- Determine the topic of concern for the analysis (entity);
- Discuss problems related to the entity;
- Build a 'problem tree' organising the problems in 'cause-effect' relation to one other;
- Build an 'objective tree' by reformulating problems into objectives and checking the 'means-end' relationships;
- Cluster objectives, select clusters based on predetermined criteria and determine the project focus.

Planning phase

- Scope the project
- Prepare a Project Planning Matrix (Logical Framework) using information from the analysis phase;
- Identify (SMART) indicators and Sources of Verification
- Define external factors (assumptions and risks)
- Draft time schedules of activities;
- Indicate the responsibilities of all parties in implementing activities.
- Design the budget and a financing plan

Process

The core of the OOPP method is an adequate problem analysis in which participants write their problems anonymously on cards, which are then displayed on a wall. In this way, difficulties some people feel in expressing problems in front of others with conflicting interests can be overcome. A session moderator then leads a group discussion to clarify the issues. Thereby avoiding linking what is written on the cards with either the writer or the source of the problems.

Problems of those parties not represented in the workshop have to be considered too and discussed thoroughly.

d. Requirements and some OOPP limitations

The visualisation method and the intensive interaction between participants call for specific seating and room arrangement. This limits the optimal number of participants to 15, which may create a bias in the problem identification. It may be possible sometimes to organise more workshops and integrate the findings during a plenary session.

It could also be difficult for illiterate people to participate, as visualisation is the core of the OOPP method. Other ways of gathering information may then be more applicable. Although OOPP tries to assure an anonymous presentation of viewpoints, discussion on problems may still be difficult.

Approval by the decision-makers, who did not join in the workshop, is also a serious constraint. They may disagree with a plan developed by the participants, and ultimately not support it.

The success of OOPP depends heavily on the moderator, who should be a strong and determined, but flexible, creative, objective and independent person.

5. Steps in Stakeholder Analysis

a. What is it?

Stakeholder analysis⁷⁴ is the identification of the key stakeholders in a planning or change process, an assessment of their interests, and the way in which these interests are likely to affect the planning process. It helps with designing the plan and also helps to identify appropriate forms of stakeholder participation.

Stakeholders are persons, groups or institutions with interests in a project or programme. *Primary stakeholders* are those ultimately affected, either positively (beneficiaries) or negatively (e.g. those involuntarily resettled). They can be categorised according to social analysis: e.g. men/women, rich/poor, young/old, small scale/large scale farmers or industries, rural/urban dwellers, landowners/landless, farmers/traders, etc. *Secondary stakeholders* are the intermediaries and can be categorised e.g. in funding, implementing, monitoring or advocacy organisations.

b. What can you do with it?

- Draw out the interests of stakeholders in relation to the problem being addressed (the “why factors”).
- Identify conflicts of interests among stakeholders.
- Identify relations between stakeholders, which can be built upon.
- Assess the appropriate type of participation by different stakeholders at different stages of the planning process.

Results

Stakeholder participation should enable stakeholders to play an active role in decision making and in the consequent activities that affect them. This way, objectives are more likely to be achieved, and activities are more likely to be sustainable.

Follow-up

All conflicts of interests among stakeholders need to be dealt with adequately in the overview of assumptions in the logframe.

c. How to use it?

Steps in carrying out a stakeholder analysis

- Define the entity
- List the stakeholders. Group them into “primary” and “secondary” stakeholders. See checklist underneath.

⁷⁴ This text is adapted from: **Alan Rogers** and **Peter Taylor** (1998). *Participatory curriculum development in agricultural education*. Rome: Food and Agriculture Organisation.

Checklist to identify stakeholders:

- have all primary and secondary stakeholders been listed ?
- have all potential supporters and opponents of the project been identified ?
- has gender analysis been used to identify different types of female stakeholders ?
- have primary stakeholders been divided into user / occupational groups / income groups ?
- have the interests of vulnerable groups been identified ?
- are there any new primary or secondary stakeholders that are likely to emerge as a result of the project ?

- Identify their interests in relation to the problems being addressed by the intervention and its objectives (expectations, benefits, and resources offered/withheld). See checklist underneath.
- Note conflicting interests;
- Highlight relationships between stakeholders (--/+);
- Assess impact of developing the plan on these interests (+/-/?);
- Construct a stakeholder table, as follows:

Stakeholder Table

Stakeholders	Interests (see checklist)	Impact of Change	Relative priority of interest
Primary stakeholders			
Secondary stakeholders			

Checklist for drawing out interests:

- how do the current problems affect the stakeholder ? (financial, non-financial, power)
- what are the stakeholders' expectations to the project ? (financial, non-financial, power)
- what benefits are there likely to be for the stakeholders ? (financial, non-financial, power)
- what resources will the stakeholder wish to commit (or avoid committing) to the project ?
- what other interest does the stakeholder have which may conflict with the project ?
- how does the stakeholder regard others on the list ?

Develop and analyse an “importance and influence” matrix (as follows):

- **Importance** indicates the priority given by e.g. the RTO or the funding agency concerned to satisfying stakeholders’ needs and interests through the planning and subsequent implementation in order for it to be successful.
- **Influence** is the power which stakeholders have over the planning and implementation process. It is the extent to which people, groups or organisations are able to persuade or force others into making decisions and taking action.

High Importance	A. Stakeholders of high importance to the project, but with low influence. They will require special initiatives to protect their interests	B. Stakeholder appearing to have a high degree of influence on the project, and who are also of high importance for its success. A good working relationship must be created with this group to ensure an effective coalition of support for the project
Low importance	D. Stakeholders with low influence on, or importance to project objectives may require limited monitoring or evaluation, but are relatively of low priority. They are unlikely to be the subject of project activities or management	C. Stakeholders with high influence, who can therefore affect the project outcomes, but whose interests are not the target of the project. This group may be a source of risk, and will need careful monitoring and management
	Low Influence	High Influence

From the above matrix assumptions and risks will be identified to be entered in the "fourth" column of the logframe. Stakeholders with high influence, but whose interests are not in line with the project intervention (C), may be able to block the project ("killer assumptions"). See checklist underneath. *Key stakeholders* are those with "high influence" and/or "high importance".

<p>Checklist for drawing out assumptions (and risks deriving from) stakeholders.</p> <ul style="list-style-type: none"> • what is the role or response of the key stakeholder that must be assumed if the project is to be successful? • are these roles plausible and realistic? • are there negative responses, which can be expected, given the interest of the stakeholder? • if such responses occur, what impact would they have on the project? • how probable are these negative responses and are they major risks? • which plausible assumptions about stakeholders support or threaten the project?

Key stakeholders with high influence and importance to project success are likely to provide the basis of the project "coalition of support" and are potential partners in planning and implementation. Key stakeholders with high influence but low importance to project success may be "managed" by being consulted or informed.

Identify appropriate stakeholder participation.

Develop a stakeholder participation matrix (as follows): Identify for all relevant stages in the planning and implementation process which actors do play a role and need either to be informed, to be consulted, are worked together with in partnership, or are involved in decision making.

<i>⇒ Type of participation</i>	To Inform	To Consult	Partnership	To Control
↓ Stages in the planning (and/or implementation) process				

Based on above overview relevant co-ordination mechanisms among the stakeholders may be designed. The main findings are referred to in the project document.

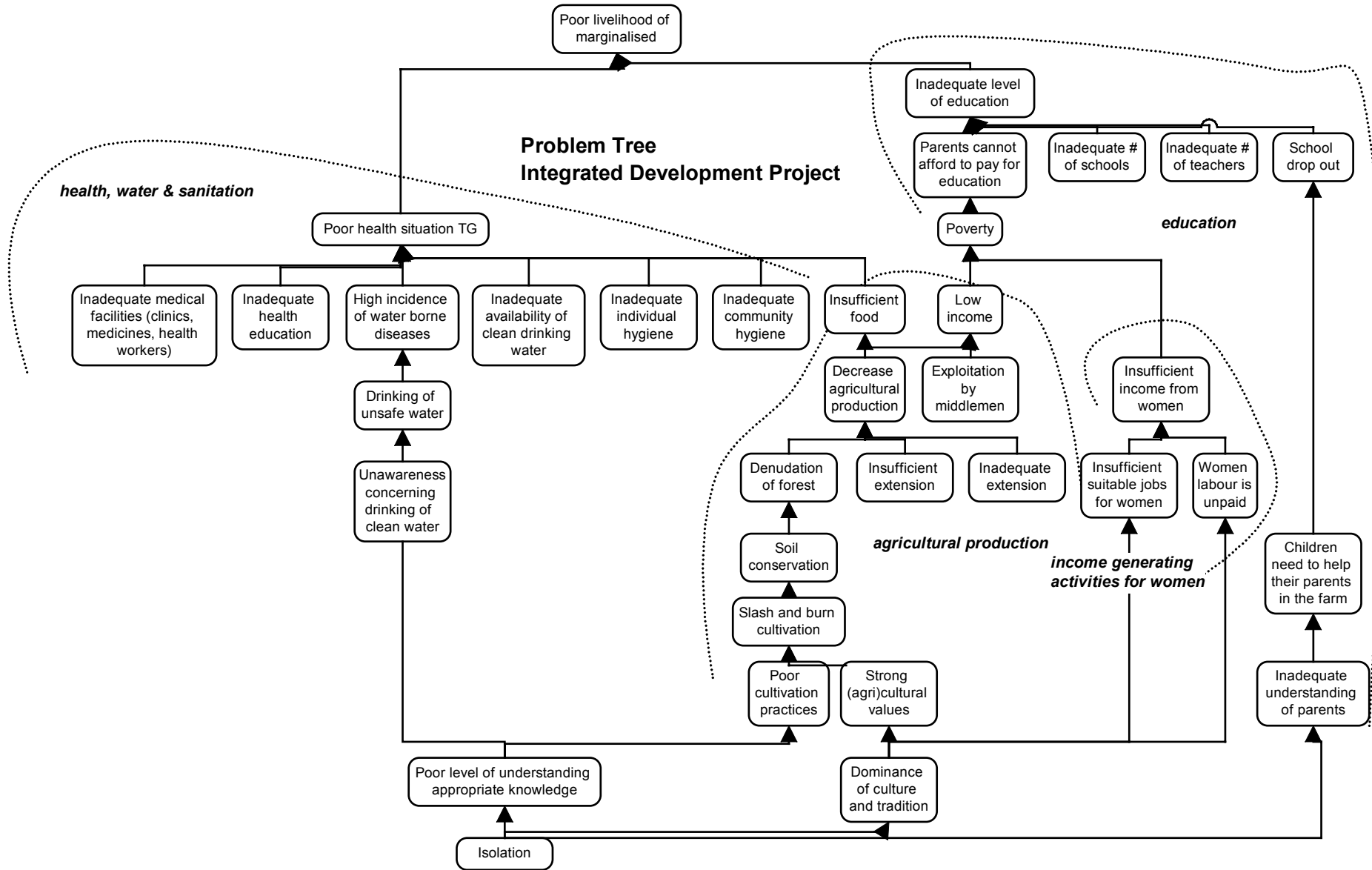
d. Requirements and some limitations

Information on secondary stakeholders will be available from institutional appraisals. Information on primary stakeholders will be available from social analyses. The interests of the primary stakeholder may be defined by people with the best "on the ground" experience, but a double check may be necessary to confirm their reliability.

6. Examples of Problem and Objective Analysis

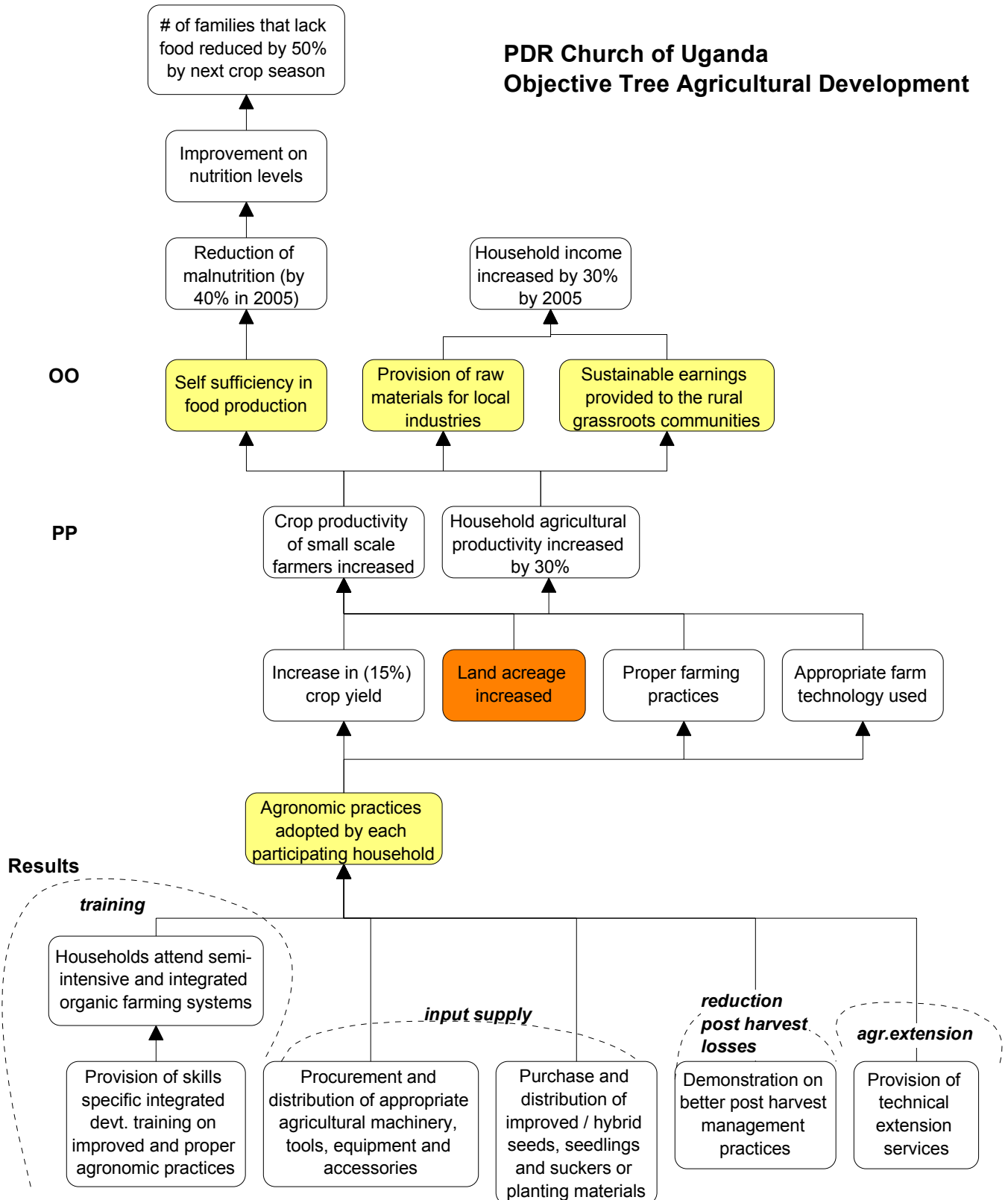
Underneath some examples of problem and objective tree analysis are given. The problem and objective trees have been developed, based on the information given in the project documents concerned. The problem and/or objective tree analysis here is a tool for the portfolio manager to understand and appraise the 'logic' in the proposal and serves as a means to discuss the proposal with the project owner, in case there are any misunderstandings.

- Myanmar: Problem Analysis MCC Integrated Development Project
- Uganda: Objective Analysis PDR Agriculture Development
- Lebanon: Problem analysis ICNDR Agricultural Rural Development



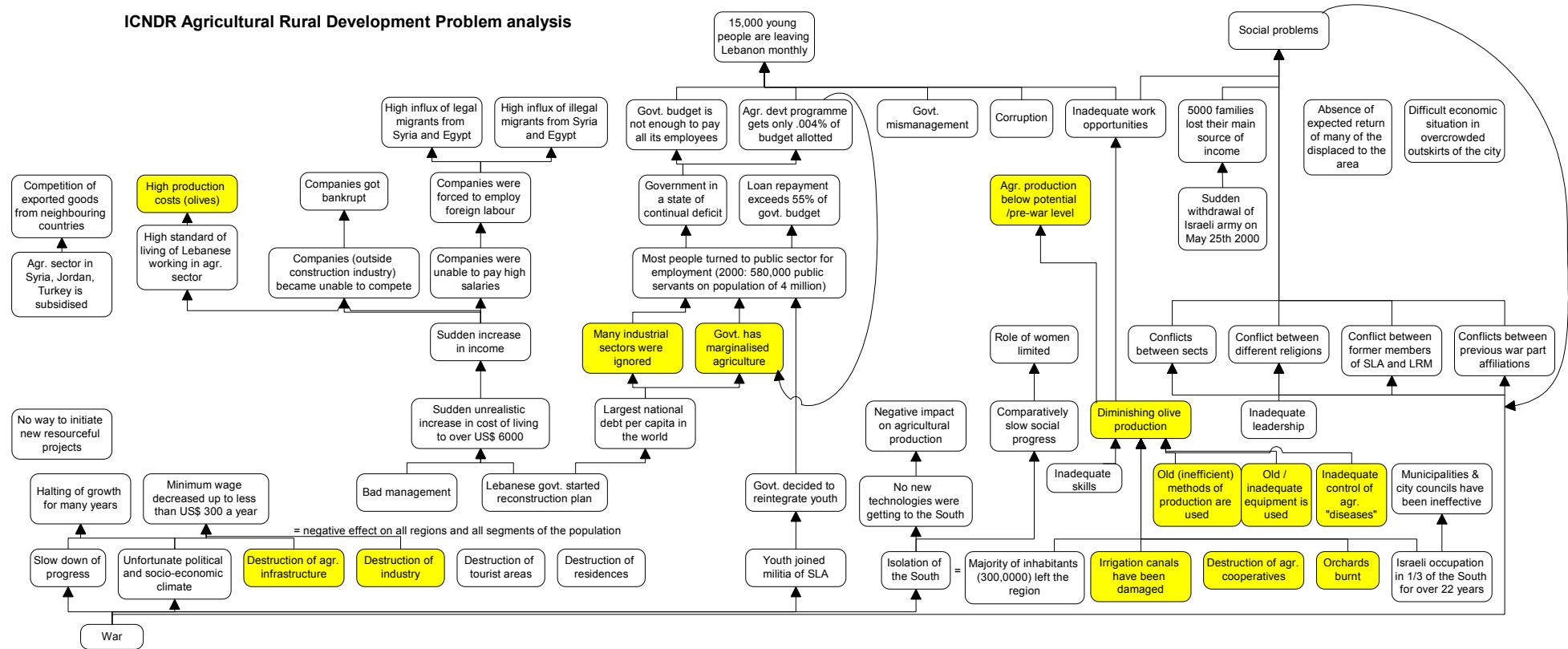


**PDR Church of Uganda
Objective Tree Agricultural Development**





ICNDR Agricultural Rural Development Problem analysis



7. Examples of Indicators

Underneath examples are given of logical frameworks with some indicators on purpose and result level in reference to networking and in reference to HIV/AIDS programmes.

An additional example of training is given in which indicators on different levels describe the action, output, use of the change and the change as the consequence of the use of the output.



7.1 Example of a Logical Framework and some indicators of a Capacity Building program for Regional Peace Networks

	Intervention Logic						Assumptions
Overall Objective	To secure lasting peace and stability in Europe	To enhance stronger civic society in South Eastern Europe (SEE)	Indicator OO:				
Project Purpose	To promote, develop and organise (implement) models of regional co-operation by local NGOs and municipalities committed to stability, peace and democracy	Indicator PP: <i>More visible and effective performance of the civil society in SEE in the regional context</i> <i>More visible and transparent lobby of actors in SEE</i>	<ul style="list-style-type: none"> • <i>Influence partners in national political debate</i> • <i>Charisma in society</i> • <i>Development of active citizenship</i> • <i>Renewing activities</i> • <i>Transparent organisation</i> 				Wars in the South Eastern Europe region do not hamper a well functioning Citizens Pact
Results	1. A forum of youth exchange in SEE established	2. A forum of municipality exchange in SEE established	3. A forum of civic initiatives in SEE established	4. International links in support of regional trans-border project developed.	5. Outcome of regional co-operation projects effectively presented to SP structures via conclusions and recommendations (via signatory states)	6. Efficient and successful Citizens' Pact structures established	<ul style="list-style-type: none"> • Stability P does turn into a relevant factor in South Eastern Europe • Party political influences remain outside Citizens Pact
Indicators	"15" regional trans-border youth and/or education projects established along the lines of CP strategy	"15" regional trans-border municipality projects established along the lines of CP strategy	"15" regional trans-border civic initiatives projects established along the lines of CP strategy	At least 3 x 5 = 15 international links in support of part of the regional projects developed	"9" times participation of SP representatives in regional activities in SEE	Establishment of regular meetings of Co-ordination Committee CP	<ul style="list-style-type: none"> • Human relationships allow the achievement of the objective of regional co-operation



7.2 Example of a Logical Framework and some indicators of a HIV/AIDS Prevention and Care programme

	Intervention logic		Objectively verifiable indicators	Sources of verification	Assumptions
Overall objectives	Negative socio-economic impact as a consequence of HIV/AIDS prevalence reduced	Life expectancy of population in country prolonged	- <i>Life expectancy at birth increased from 39.4 to 44.0 years for males, and from 40.2 to 45 for females, 2002-2012</i> - <i>Labour force increased from 35% to 40% of the total population, 2002 - 2012</i>	World Bank country statistics	
Project purpose	HIV/AIDS related mortality stabilised		<i>Crude mortality rate from AIDS is 22% in 2002 and will be 22% in 2005</i>	UNAIDS statistics	- Orphans are taken care off - AIDS widows' are better able to support themselves (income generating projects)
Results	1. Social stigma on HIV/AIDS patients diminished	2. HIV/AIDS patients properly cared for in home situation (HBC)	3. More HIV patients psycho-socially supported (VCT)	4. Sexual behaviour of people changed	- Sufficient anti-retroviral drugs available at reasonable price - Rates of STI decreased (well diagnosed and treated)
Objectively verifiable indicators	<i>Percentage of HIV/AIDS patients in HBC programme asking whether confidentiality will be maintained decreased from 90% to 40%, 2002-2005</i> <i>Percentage of HIV/AIDS patients indicating that the quality of social life is good increased from 18% to 60%, 2002-2005</i> <i>Average score of adults(above 18 years) on test about causes and effects of HIV infection is 3 in 2002 and will be 8 in 2003</i> <i>Average score of youth (10-18 years) on test about causes and effects of HIV infection is 2 in 2002 and will be 9 in 2003</i>	<i>Bed occupancy rate of HIV patients in hospital reduced from 50% in 2002 to 10% in 2005</i> <i>HIV patients in HBC programme have weight gain at least 10% of their starting weight after 3 months in the programme</i> <i>Acceptable material living conditions at home according to programme checklist is 20% of the households in 2002 and will be 60% in 2005</i>	<i>Percentage of HIV patients participating in counselling programme is 5% in 2002 and will be 50% in 2005</i>	<i>Average age of first sexual contact of male youth is 14 in 2002 and will be 16 in 2005</i> <i>Average age of first sexual contact of female youth is 16 in 2002 and will be 17.5 in 2005</i> <i>Use of condoms by adults (above 18 years) is 18.1% in 2002 and will be 30% in 2005</i> <i>Use of condoms by youth (under 19 years) is 15.5% in 2002 and will be 35% in 2005</i>	



Sources of verification					
<p>Activities</p> <p>1.1 To organise an education programme (including gender aspects) for schools & youth clubs on what HIV is and how it is transmitted</p> <p>1.2 To organise an education programme for traditional healers and birth attendants</p> <p>1.3 To organise community care for HIV/AIDS patients involving community leaders</p> <p>1.4 To involve HIV infected people, preferably (local) celebrities, as volunteers in the education campaign</p> <p>1.5 To encourage economic activities of HIV infected people in small businesses</p>	<p>2.1 To set up a system of regular group counselling for HIV/AIDS patients for mutual psycho-social support (through VCTs)</p> <p>2.2 To organise health monitoring programmes at group counselling sessions</p> <p>2.3 To train relatives in practicalities of home care</p> <p>2.4 To set up a system of voluntary health workers (VHW) to provide primary health care and basic psycho-social issues as far as not covered by VCT</p> <p>2.5 To train the VHWs</p> <p>2.6 To provide the VHWs with simple curative medicine kits</p> <p>2.7 To set up a monitoring system for VHWs</p>	<p>3.1 To increase density of VCT centres to 1 per district</p> <p>3.2 To staff each VCT centre with 1 physician, 1 nurse and 3 counsellors</p> <p>3.3 To equip all centres with laboratory equipment and HIV kits</p> <p>3.4 To train nurses in diagnosing</p> <p>3.5 To train counsellors in pre-testing and after testing counselling</p> <p>3.6 To develop a unifying 'brand name' for the VCTs to promote familiarity</p> <p>3.7 To organise mass media campaign to promote VCTs</p> <p>3.8 To set up a supervision programme led by hospitals</p> <p>3.9 To refer people who tested HIV positive to HBC system</p>	<p>4.1 To develop materials explaining frequent unequal gender relations in sexual practices</p> <p>4.2 To organise peer education programmes for youth adolescents presenting factual info, identifying pressures, role playing responses to pressures, teaching assertiveness and discussing problem situations</p> <p>4.3 To organise a campaign (group and mass media) promoting use of condoms in schools, health centres, community centres</p> <p>4.4 To promote distribution of condoms among general public + focussed campaigns for youth (boys/girls), sex workers, male travellers and the army people</p> <p>4.5 To organise mass media campaign stressing risk of high level of promiscuous behaviour</p>	<p>Preconditions</p> <ul style="list-style-type: none"> - Improved government commitment towards combating HIV/AIDS (financial support and support objectives programme) - Agreement with pharmaceutical industry to provide simple curative medicines at a reduced price 	



7.3 Example of Levels of indicators of a Training Intervention of Entrepreneurs in Bookkeeping

Intervention Logic	Level of Objective	Operationalisation of Objective in measurable terms.
Overall Objective	Impact (change)	After 6 months 10 entrepreneurs have increased their net profit with at least 10%
Project Purpose	Effect (reaction)	After 3 months 15 entrepreneurs keep their books of account adequately
Results	Output (product)	20 entrepreneurs are trained in bookkeeping and passed their test
Activities	Action	1 training in bookkeeping conducted

8. Steps in Organisational Assessment

a. What is it?

Organisational assessment is a systematic description and analysis of the external and internal elements of an organisation using e.g. the *Integrated Organisation Model (IOM)*. The basic question⁷⁵ behind the organisation assessment may be "*whether the organisation concerned has the adequate capacity to implement the project as indicated, besides the other ongoing activities it is involved in ?*".

Additional instruments to be used to deepen the analysis along the IOM to identify opportunities and threats are the:

- *Institutiogramme and/or Institutional Sector Analysis*, to describe and assess the institutional embedding of the project (organisation) concerned. It emphasises other actors and their relationships. (See annex 8.3.1)
- *Coverage Matrix*, to describe the gaps and overlaps among the actors in reference to the core activities of the project (organisation) and/or to the needs/interests of the focus group concerned. See annex (8.3.2)
- *Collaboration Matrix*, to describe and assess the binding and unbinding factors among key-stakeholders. (See Annex 8.3.3)
- *EnviroScan*, to describe and assess all external factors that influence the project (organisation) concerned in reference to enabling aspects, resource aspects, demand aspects and/or competing aspects. (See annex 8.3.4)

Additional instruments to be used to deepen the analysis along the IOM to identify strengths and weaknesses are the:

- *Mintzberg Model*, to describe and assess distribution of tasks and responsibilities within the organisation. (See annex 8.3.5)
- *Process Flow Chart*, to describe and assess the steering mechanisms within the organisation, like decision making, planning, procurement, monitoring, accounting, and/or reporting. (See annex 8.3.6)
- *IOM checklist*, to describe and assess all aspects within the project (organisation). (See annex 8.3.7)

b. What can you do with it?

An organisational assessment is actually meant to conduct a SWOT of the project organisation in order to ensure adequate capacity of the organisation, or - in case the capacity is not adequate yet - to design additional strengthening activities to be taken up in the logframe to enable the project organisation to implement the project adequately.

⁷⁵ See e.g. Annex 8.3: IOM WCC Eastern Europe Office.

Results

The result will be an overview of all positive and negative external and internal factors that facilitates or frustrates the achievement of the project purpose.

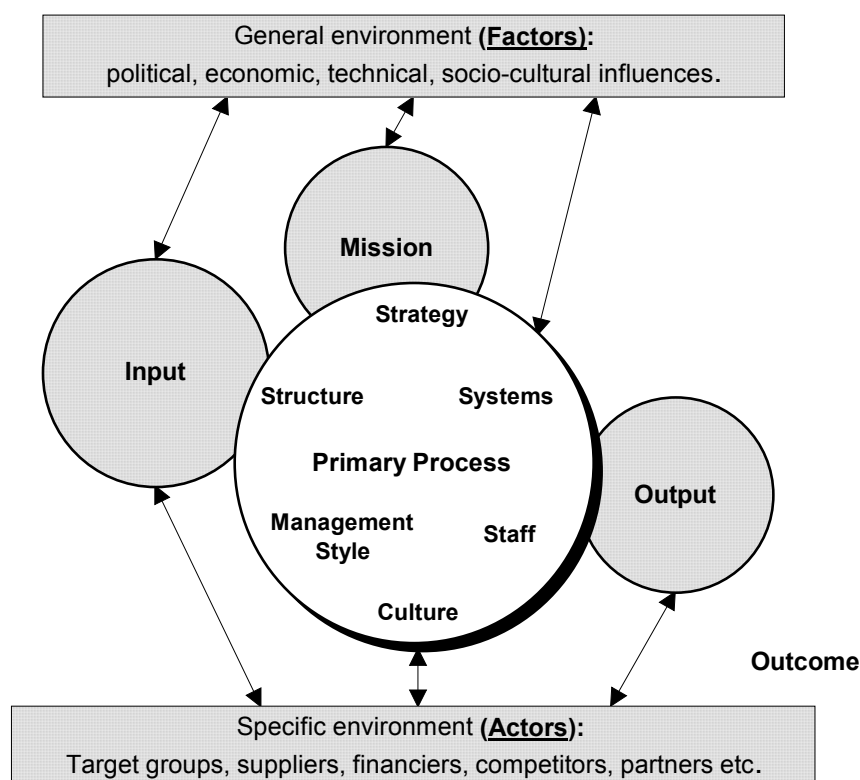
Follow up

After the SWOT, a *strategic orientation* (SOR) will be conducted to design adequate strategies to strengthen the organisation concerned to adequately implement the project. (See annex 8.3.8)

8.1 Description of an organisation

The Integrated Organisation Model consists of 7 external components: mission, output, outcome, input, primary process, general environment and specific environment and 6 internal components: strategy, structures, systems, staff development, styles of management and culture.

Figure;: Integrated Organisation Model



8.1.1 The external components of IOM

The *mission* of an organisation is its 'raison d'être', or in other words, the overall objective(s) and main approach that explains why the organisation exists and what it wants to achieve with which means.

The **output** of an organisation comprises all material and immaterial products and services delivered by the organisation to its various target groups (clients or customers).

- The *quality* of a product or service determines to what extent the products and services match the needs/demands of the target group. To what extent is the target group satisfied with the products and services delivered.
- The *quantity* refers to the volume of products delivered or the number of clients served.
- The *coverage* can be described in terms of geographical coverage or in different types of target groups (income, social position, gender, etc.).
- *Experience* refers to how long have the products and services already been delivered by the organisation. Did it develop specific knowledge on these specific products and services?
- *Specialisation* implies the extent to which the organisation is specialised in certain products and services or whether it has a large range of different outputs.

The **outcome** (of the output or services) of the organisation incorporates the use of output by the focus or target group and the possible effect and/or change as a result of that.

The **inputs** of the organisation include all the resources available for generating the products and services of the organisation. The following categories of inputs and resources can be distinguished:

- *Staff*: This includes the available staff in terms of quantity, qualifications, age and experience, geographical coverage, male-female ratio, ethnic grouping, permanent versus temporary staff, etc.
- *Buildings and installations*: Type, quantity and quality of the buildings and installations used for the delivery of goods and services.
- *Equipment, tools and materials used*: Description of available equipment, tools and materials used for the production of goods or the delivery of services in terms of quantity, quality, condition, etc.
- *Services of third parties*: E.g. electricity, water, insurance, accountancy, etc.
- *Information* used from research institutes, statistics etc. for the running of the organisation.
- *Finance*: How is the organisation financed ? Are there liquidity problems ? What is the capital structure ? Is the financing fixed (fixed budget) or variable ? To what extent is the management entitled to (re)-allocate funds ?
- *Natural environmental resources*: Natural resources (those transferred into products and those wasted during the transformation process). What is the environmental impact of the organisation? Which natural resources are used in the production process and which resources (air, water, and earth) are affected?

The **primary process** includes the core activities of the organisation that transform the inputs into the outputs.

With **general environment** is meant the complex set of political, economic, technical, social and cultural factors that influences this (type of) organisation. The general environment influences the performance, creates opportunities and threats, influences the demand for

products/services, the supply of inputs, the internal organisation and the possibilities for collaboration and competition.

The **specific environment** comprises of the relations with those actors that the organisation is directly dealing with. These relations may include:

- *Formal/vertical linkages* with head offices, branches, regional officers, other departments. What are the formal and informal linkages, horizontal as well as hierarchical.
- *Customer and target or focus groups*: What kinds of relations do exist with customers and target groups? What is the organisation's attitude towards customers and target groups? How do the latter view upon the organisation (does the organisation have legitimacy from the point of view of customers or target groups)?
- *Competitors*: Are there any competitors in the environment that deliver the same (type of) products and services? What is the relation between the organisation and its competitors? How is the market divided between them?
- *Suppliers of inputs*: Financiers, suppliers of material inputs, research institutes, etc.
- *Policy makers and regulators*: Local churches and governmental organisations, politicians, pressure groups and interest organisations (e.g. labour unions).

8.1.2 The internal components of IOM

Strategy refers to the way the mission is translated into concrete objectives and approaches. The strategy of an organisation can be defined as the long-term plan of action of an organisation to realise its objectives with the available means (inputs). A strategy aims to give direction to the activities of management and staff. A condition for giving direction to the organisation is that the objectives and activities are clear, concrete, realistic and acceptable to the various parties involved. In general we can distinguish long term (5-10 years), medium term (1-5 years) and short-term (up to 1 year) strategies.

The **structure** of an organisation can be defined as the formal and informal division and coordination of activities and responsibilities. This component of the structure of the organisation includes the division of the organisation in groups (units/teams, departments, divisions, etc.), the division of tasks, responsibilities and powers among people and groups and the way the co-ordination of activities between people and groups is taking place.

The aspect of **systems** comprises the internal processes that regulate the functioning of the organisation. A process is a sequence of activities aimed at a certain result. A system is a set of agreements that aims to regulate the activities of management and staff with one or more related organisational processes. As such, systems are agreements about and give direction to the internal processes. These internal processes can be divided into:

- *Primary processes*: directly focused on transformation of 'inputs' into 'outputs'. These include working methods and techniques.
- *Control processes*: focused on control of other processes. These include feedback, monitoring, communication decision processes, etc.
- *Strategy formulation (policy) processes*: focused on the formulation and adaptation of the organisation's strategies. This includes the planning processes.

- *Support processes*: aimed at supporting the primary and other processes. This includes the financial-administrative and logistic systems.
- *Improvement processes*: aimed at improving the quality of other processes. These include research and development, quality care and evaluation activities

The component **staff** refers to all activities, rules and regulations related to staff motivation and utilisation and development of staff capacity. The behaviour of people in an organisation is of crucial importance. In some organisations you need more creative persons and in other ones more formal 'procedure' people, but usually combinations are most fruitful. The behaviour of people is a result of a complex process in which the personal characteristics are integrated or adapted to the organisation and its environment. Well-functioning of people within organisations is very much determined by a good balance and integration of both factors: organisation/environment and personality. Some major elements staff policies are:

- staff selection (hiring and firing)
- staff appraisal
- staff motivation systems
- career opportunities
- staff training possibilities

The **style of management** can be described as the characteristic pattern of behaviour of the management. The management function includes strategy formulation, organising, steering/controlling/monitoring and problem solving. The manager brings together the objectives, the strategy, the people and the means. Planned activities have to be realised and the manager's main task is to steer and coordinate, using systems, procedures and regulations, but also informal communication. A management style consists of two major components:

- Where does a manager put priorities? Which aspects does he/she feel are important and how does the manager spend his/her time:
 - internal or external relations
 - people or means
 - relations or performance
 - inputs or outputs
 - quality or quantity
- What is his/her attitude in making decisions? E.g.:
 - participatory or directive/authoritarian
 - risk taking or risk avoiding
 - long or short term oriented
 - formal or informal
 - rational or intuitive

The **culture** of an organisation is defined as the shared values and norms of people in the organisation. In general the organisational culture is expressed in the way the organisation is structured, relations between management and staff, relations among staff and how the organisation deals with the external actors (target groups, suppliers, financiers, etc.) The

aspect 'culture' refers to the reasons (the norms and values) why 'things are done the way they are done'. In this sense culture influences all other aspects of the organisation.

Attitude towards	Examples of priorities
Influencing external factors	Emphasis on opportunities or threats
Other stakeholders	Who has priority: owners, target group, financiers, supplier, government
Inputs	Emphasis on people or means
Outputs	Emphasis on quality or quantity
Strategy	Emphasis on long or short term
Structure	Formal or informal central (control) or de-central (trust)
Systems	All regulations or all free (flexibility)
Management style	Authoritarian or participatory
Personnel	Relations or performance
Internal relations	Taking responsibility/avoiding responsibility Punctuality Openness Giving and taking feedback Tolerance

Important means to create a strong culture include selection of new personnel and deliberate socialisation processes, in which people are taught how they are expected to think and to behave within this organisation.

8.2 Assessing organisations: criteria for judgement

To judge an organisation, a number of criteria can be applied using the description of the organisation under the various parameters. In practice, a judgement will be made on a combination of parameters. As an indication, for every criterion the most relevant parameters to be included are given.

Suitability assesses whether or not an organisation is fit to carry out required activities to deliver specified products/services. Not all organisations are equally suitable to assume responsibility for the sustenance of the yields of development efforts. The type of activities in which the organisation has been involved until now, its size (one should be very careful to avoid overloading successful but small organisations with too many resources and responsibilities), and with that the absorption capacity, the nature of the organisation and various other factors play a role. In applying this criterion it is important to look at:

Mission	Does the planned activity fit into the general objectives of the organisation?
Inputs	Does the organisation have sufficient resources (human, material, etc.) to carry out these activities? Does the organisation have a sufficient basic level of resources to be able

	to grow?
Outputs	Does the organisation have sufficient basic experience and affinity with the planned activities?

Legitimacy deals with the acceptance and imbedding of the organisation in its environment. An organisation has to fit in its environment and requires adequate relations various other organisations, institutions, public, target groups, etc. In judging legitimacy attention has to be paid to:

Mission	Are the overall objectives accepted by society?
Outputs	How does the target group perceive the quantity and quality of the products and services? How long is the organisation already involved in these products and services? Which effects do the outputs have on the environment?
Relations	What is the image of the organisation? Which position does the organisation have among the other actors? Are the relations with financiers, suppliers, partners government adequate?
Factors	Which social, cultural and political developments influence the image? Which regulations influence the position of the organisation and its activities?

The **effectiveness** of an organisation can be defined as the extent to which the products and services actually meet the needs of the target groups (customers/clients). Effectiveness differs from the quality of a product or service. For example, an extension training can be of high quality (well-trained extension officer, well-prepared manuals, adjusted to the audience), but very ineffective if the necessary fertilisers to use the knowledge are not delivered in time; or if only men attend the training, while the crop concerned is cultivated by women. The most important aspects to judge effectiveness:

Outputs	What are the quality, quantity and diversity of products and services in view of the mission?
Actors: the target group	To what extent do products and services fulfil the needs of the target group?

Efficiency refers to the utilisation of resources (inputs) in relation to its outputs. The question here is to find out whether the inputs are used in an economic way in order to produce services or products. The organising component determines this relation between the inputs and outputs. How many villages are under the responsibility of one extension worker, how much does the extension department cost in order to cover a region, what is the relation between the non-productive (overhead) versus the productive parts of the organisation, etc.? In addition to norms, which however do not always exist in these fields, comparisons with other similar types of organisations may give an indication of the efficiency achieved. Costs and benefits are compared in financial, economic and social terms. It is difficult to fix norms to judge an organisation, especially for government institutes or development organisations. They operate in a specific field that can hardly be compared to the field of commercial organisations, who have markets, sales and costs that can be measured more easily. Hard norms are rarely applicable, because figures like those

presented in balance sheet or profit and loss accounts hardly exist in the development world.

Outputs	Could the organisation produce more with the same means?
Inputs	Could the organisation produce the same products and services with fewer means, including time spending?

Continuity (sustainability) is the probability that an organisation is capable to continue (sustain) its core activities for an extended period of time. Continuity is an important overall criterion, especially since one of the main aims of co-operating with existing organisations is a sustainable flow of benefits after termination of specific attention or outside assistance. One would like to know whether the organisation is likely to persist and therefore, whether it is worthwhile to invest in co-operation with the organisation and/or in strengthening the organisation concerned.

Outputs	To what extent is the organisation capable of delivering products and services that are needed?
Inputs	To what extent is the organisation capable of securing its inputs?
Actors	To what extent do other actors support the organisation?
Factors	Are there major threats to the organisation?
Strategy	Does the organisation have an adequate strategy to address major threats and opportunities?

Flexibility is the ability of the organisation to adapt itself to a changing environment. Development interventions often intend to provide new, additional products and services. Another characteristic of development interventions is that innovation, horizontal co-operation and co-ordination between a number of organisations is required. Consequently, it is necessary to establish whether an organisation has the flexibility to adapt itself in order to play a role in the intervention. Major aspects to address flexibility include:

Inputs	To what extent can buildings, machines and installations be adapted to changes in the situation? To what extent is the staff capacity adaptable?
Outputs	To what extent can the organisation change its products and services?
Structure	To what extent can the organisational structure be adapted?
Systems	To what extent is it possible to change the systems?

8.3.1 Steps in describing and assessing the institutional setting

An institutiogramme is an image of the relations between institutions active in a certain field. See Annex 2 for examples of the institutional embedding of various RTOs.

1. *What is your basic question behind making the institutional setting:*
 - identifying where to position a project
 - identifying opportunities for strengthening co-operation between actors
 - identifying opportunities for expansion of services
2. *Define the field of analysis:*
 - the sector: water, health , enterprise development etc.
 - the geographical area (a region, a country, a province, a city etc.)
 - present or future operations
3. *Define the type of actors to include:*
 - organisations (church, public/private, sectoral)
 - level of analysis (desk officer, unit, department, organisation, clusters of organisations)
 - target /focus group(s) (women, different abled, youth, farmers, etc.)
4. *Define the type of relations to look into:*
 - hierarchical lines (who gives orders to whom)
 - communication.(who is communicating with whom)
 - co-operation: (who co-operates with whom)
 - operational (who provides inputs/services to whom)
 - financial (who finances/pays who)
5. *Draw the map indicating the actors involved, using different types of lines for different types of relations:*

In general depict the actual situation (not only the formal part).
6. *Indicate the intensity of the relations:*
 - frequency/volume
 - importance
7. *Identify the adequacy of the relations:*
 - timely
 - sufficient quantity/volume
 - acceptable quality
8. *Analyse the network*

Use the picture and your knowledge of the various actors involved to analyse the network in terms of opportunities and threats in relation to the services offered.

 - what are opportunities to improve relations between actors in order to improve quality, effectiveness and/or efficiency of services
 - what are threats to the present quality, effectiveness and/or efficiency of services offered
 - what can be done about these threats



8.3.2 Steps to design a Coverage Matrix

- Formulate a question for analysis⁷⁶.
- Define your field of analysis, i.e. the sector and the geographical area of operation.
- Choose your focus: activities or target group⁷⁷.
 - List activities in the sector (products / services delivered)
 - Select around 10 major activities
 - Cluster the activities and give a heading to each cluster
 - Order the clusters
 - Mark the 3 most important ones with an asterisk (*)
- List organisations related to your field of analysis, i.e. related to the sector/geographical area and/or related to the activities.
 - Cluster the organisations and give a heading to each cluster
 - Order the clusters
- Draw the matrix.
- Indicate the involvement of the different actors.
 - no involvement
 - + limited involvement
 - ++ substantial involvement
 - +++ major involvement
- If there are many actors/activities: indicate involvement per cluster.
- Analyse the matrix. Formulate your observations
 - Identify gaps and concentrations/overlaps
 - Identify possibilities for improved referral, co-ordination and collaboration
- Draw your conclusions in relation to your question of analysis. Identify opportunities and threats.

Coverage Matrix: Field of analysis:

Actors ==>									
Activities/ Target groups									
Observations/Conclusions									

X = limited involvement XX = substantial involvement XXX= major involvement

⁷⁶ Based on your basic question (BQ) as e.g. identified for the organisation assessment..

⁷⁷ In case the coverage matrix is designed in relation to the target groups involved, than step 2 will be:

- List the target groups in the sector/geographical area;
- Cluster the target groups in 5 - 10 clusters and give a heading to each cluster;
- Identify the importance of the target group in the sector.

8.3.3 Steps to design a Collaboration Matrix

- Identify two actors for which (potential) collaboration requires analysis.
- Identify the (potential) area(s) of collaboration. E.g.:
 - Exchange of information in
 - Joint / co-ordinated services of to target group
 - Specific services to each other
 - Policy influencing in the field of
- Identify the binding (==>) and unbinding (<==) factors for each type of collaboration in relation to the organisational components, e.g.:
 - General factors
 - Mission/objectives
 - Output
 - Input
 - Internal organisation/functioning
- Indicate the strength/importance of the factor
 - => some importance
 - ==> substantial importance
 - ===> major importance
- Analyse the matrix: (Observations)
 - Assess the impact of the (un)binding factors
 - Are the binding factors stronger than the unbinding factors or vice versa
- Draw your conclusions: identify opportunities and threats.
 - Is there potential for collaboration? If yes, what are the best areas for collaboration?
 - What can you do about the major unbinding factors?

Collaboration Matrix between and
 Area of Collaboration:

Organisation aspect	Binding Factors	Assessment of strength factor <=== ===>		Unbinding Factors
		+	-	
Environment				
Mission/ Objectives				
Output				
Input				
Internal organisation				
<i>Observations/Conclusions</i>				
<i>Opportunities / Threats</i>				

8.3.4 Steps in making an Environmental Scan

1. Define your field of analysis (e.g. a project or an organisation).
2. List all (external) factors influencing your field of analysis.
Checklist: political, physical, infrastructure, technological, psycho-social, socio-cultural and/or economic
3. Identify the impact, positive or negative, of the external factor.
4. Identify the probability. Is it likely to happen?
5. Identify the span of control over the external factor.
6. Classify each factor according to:
 - Policy/regulations
 - Supply/resource base/input
 - Demand/output
 - Competition/collaboration
7. Place each factor in the diagram, in accordance with an asterisk (*).
Prioritise and choose approximately five opportunities and five threats.

8.3.5 Steps in analysing structures⁷⁸

1. Define your organisation.
2. List all major activities within the organisation (write them on white cards):
 - core activities;
 - management activities;
 - support activities.
3. Place the activities in Mintzberg's Mushroom:
 - The *operating core* of the organisation encompasses those members - the operators - who perform the basic work related directly to the production of products and services;
 - The *strategic apex* is charged with ensuring that the organisation serves its mission in an effective way, and also that it serves the needs of those who control or otherwise have power over the organisation;
 - The strategic apex is joined to the operating core by the chain of *middle line managers* with formal authority;
 - The control analysts of the *techno structure* serve to effect certain forms of standardisation in the organisation;
 - Any (large) organisation reveals a great number of units, all specialised, that exist to *provide support* to the organisation outside its operating work flow.
4. Indicate number of staff involved in each activity/basic part in man/women years.
5. Indicate the basis for grouping in the operating core and, if applicable, in the techno and support structure (on red cards).
6. Indicate major co-ordination mechanisms used in the organisation between different basic parts / departments.
7. Define the type of co-ordination mechanism in terms of:
 - mutual adjustment;
 - direct supervision;
 - standardisation of work processes;
 - standardisation of outputs;
 - standardisation of skills.
8. Indicate major co-ordination problems between different activities / parts / departments. Identify strengths and weaknesses. List conclusions how to improve the organisational structure and co-ordination:
 - in order to minimise co-ordination problems;
 - in order to reduce imbalances.

⁷⁸ Mintzberg, Henri (1993): Structures in Fives

8.3.6 Steps in describing and assessing systems and procedures

Development of a process flow chart

1. Define the process. Name the process. Define the starting point(s) and the end point(s)
2. Identify the major activities. Divide the process in around 5 steps/activities. Name the activities. Put them in a logical sequence
3. Identify who is responsible for each step. Indicate the responsible persons/groups in the chart. Check the flow
4. Identify the major decision points. Identify decision points that influence the sequence. Add those decision points. Replace an activity if necessary. Add activities/responsibilities. Check the flow
5. Identify incoming/outgoing information. Identify information moments that are essential for executing activities. Check the flow
6. Identify (possible) problems/bottlenecks. For each step identify major problems/bottlenecks. Indicate them under/beside the flow
7. Improve the process, if necessary. Incorporate ideas on how to improve on the process

See Annex 3 for an overview of planning, monitoring and evaluation processes in various Round Table Organisations

8.3.7 IOM check-list

Relevant questions need to be selected and adapted based on the organisation and the basic questions concerned⁷⁹.

01.0 Mission	positive aspect (+)	neutral +/-	problem (-)
01.1 Is the mission clearly formulated?			
01.2 Is the mission relevant for the field of development?			
01.3 Is the mission understood & accepted by stakeholders?			
01.4 Is the mission clearly supported by the staff & management?			
01.5 Is the mission adequately translated into long term objectives?			
01.6 Is the organisation legally registered?			
01.7 Does the organisation have a clear constitution?			
02.0 Output / Results			
02.1 Does the organisation offer a relevant range of products/services?			
02.2 Do the products and services adequately address the needs of the target groups?			
02.3 Are the existing products/services in line with the mission and long term objectives?			
02.4 Do products/services adequately address the different gender roles and positions of the target group?			
02.5 Is there sufficient demand for these products/services?			
02.6 Does the organisation deliver a substantial volume of outputs?			
02.7 Can the organisation meet the demand for its products/services?			
03.0 Input			
03.1 Is there a sufficient number of staff?			
03.2 Is there sufficient skilled staff?			
03.3 Are premises and equipment adequate?			
03.4 Is the location of the premises adequate?			
03.5 Are offices and equipment adequate?			
03.6 Are inputs & supplies of sufficient quality?			
03.7 Are services of third parties adequate (water, electricity, accountancy, etc.)			
03.8 Are financial means adequate?			
03.9 Is the organisation able to fulfil its short-term debts?			
03.10 Are there major financial risks and are they covered?			
03.11 Is there sufficient access to necessary information?			

⁷⁹ See Annex 8.5 for an IOM checklist example of WCC Eastern Europe Office

03.12 Are inputs adequately utilised considering the volume and quality of outputs?			
04.0 External Relations / Actors	positive aspect (+)	neutral +/-	problem (-)
04.1 Is the target group satisfied with the quality of products and services delivered?			
04.2 Is the target group satisfied with the volume of products and services delivered			
04.3 Are relations with financiers/donors satisfactory?			
04.4 Are the financiers/donors satisfied with the results?			
04.5 Are relations with other agencies adequate?			
04.6 Has the organisation adequate relations with policy makers in the region and country?			
04.7 Has the organisation a good public image?			
05.0 External Factors			
05.1 Is the socio-economic situation conducive to the performance of the organisation?			
05.2 Is the legal framework conducive to performance?			
05.3 Are socio-cultural norms and values among the target group and in society conducive to performance?			
05.4 Is the physical environment (climate, infrastructure) conducive?			
05.5 Is the political climate conducive?			
06.0 Strategy			
06.1 Is the strategy in line with the mission?			
06.2 Is the strategy clear and realistic?			
06.3 Is the strategy translated in a clear, realistic annual plan?			
06.4 Is the annual plan regularly monitored and adapted?			
06.5 Did the organisation realise earlier annual plans and budgets?			
06.6 Is there a clear and effective work planning?			
06.7 Is the plan of work monitored?			
06.8 Is the staff adequately involved in planning and monitoring?			
06.9 Do strategies and plans address gender differences among the staff and target groups?			
07.0 Structure			
07.1 Is the decision making structure based upon a clear division of responsibility?			
07.2 Is the division of tasks and responsibilities clear and understood by the staff?			
07.3 Is there a clear division in departments and units?			
07.4 Is the logistical support adequately arranged?			
07.5 Is there sufficient coordination between departments/units?			

07.6	Is there sufficient communication between management levels?			
07.7	Is there an adequate balance in the position of men and women in different units and management levels?			
08.0	Systems and Processes			
08.1	Are financial/administrative procedures adequate?			
08.2	Does the organisation adhere to its procedures?			
08.3	Are working methods/approaches adequate?			
08.4	Are working methods/approaches followed by the staff?			
08.5	Is there an adequate planning system?			
08.6	Is there a good system for monitoring and evaluation?			
08.7	Are realistic monitoring indicators developed?			
08.8	Is there sufficient attention to quality control?			
08.9	Is sufficient information about performance easily available?			
08.10	Is there an adequate reporting system (financially, non-financially)?			
08.11	Is there a positive audit report on the last year?			
08.12	Are recommendations of the auditor being implemented?			
09.0	Staff			
09.1	Is staff performance adequate, considering the circumstances?			
09.2	Are the staff salaries and secondary benefits adequate?			
09.3	Is the performance of the staff reviewed periodically?			
09.4	Is performance adequately linked to salaries and benefits?			
09.5	Are recruitment procedures adequate?			
09.6	Is the staff turnover within normal limits?			
09.7	Is the staff adequately utilised?			
09.8	Are there adequate the staff development activities?			
09.9	Do the staff have sufficient career perspectives?			
09.10	Does the staff policy adequately address gender differences?			
10.0	Management Style			
10.1	Is concern of management adequately divided over internal and external relations?			
10.2	Is attention of management adequately divided over quality and volume of outputs?			
10.3	Is concern of management adequately divided over people and means?			
10.4	Is concern of management adequately divided over relations with staff and task performance?			
10.5	Is there adequate balance between giving			

responsibilities and control?			
10.6 Are decisions taken in time?			
10.7 Is the staff adequately involved in decision making?			
10.8 Is the staff adequately informed on decisions?			
11.0 Culture			
11.1 Is there an adequate balance between hierarchy and participation?			
11.2 Is there an adequate balance between attention to performance and concern for people?			
11.3 Is there an adequate balance between short and long-term thinking?			
11.4 Is there an adequate balance between risk taking and risk reduction?			
11.5 Is there an adequate balance between individual responsibility and team spirit?			
11.6 Is adequate attention paid to accountability and transparency?			
11.7 Is there adequate attention to inequalities (gender differences & minority groups)?			
11.8 Is the organisation willing to learn from its past mistakes?			

8.3.8 Steps in developing a Strategic Orientation (SOR)

1. *Define the entity or problem area*
2. *Identification of strengths, weaknesses, opportunities and threats*
 - from internal analysis: strengths and weaknesses
 - external analysis: opportunities and threats
 - based on joint discussion or brainstorm
3. *Developing strategic options*

For each opportunity and each threat generate concrete strategic options (concrete objectives/aims) that would make advantage of this opportunity or that would reduce the threat.
4. *Select the 4-5 best options*

Method 1: develop one or more criteria to select the best options and apply the criteria to the options. Often criteria will follow from a basic question;
Method 2: select the 5 best options using consensus or using voting by participants.
5. *Matching the strategic options with strengths and weaknesses*

Use the Strategic Orientation Matrix. Identify for each of the options, which strengths can be used and which weaknesses should be reduced to be able to realise this option.
6. *Formulate tentative strategies*

Select now the 2 or 3 options that have the most strengths and relatively few weaknesses;
Formulate major tentative strategies for these options.
7. *Follow-up*

Identify areas for further investigation (e.g. further analysis of the cost-effectiveness of the tentative strategies formulated);
It is often possible to continue with the formulation of a project plan based on the strategies identified.



8.4 Organisation and Project Assessment in reference to specified IOM and LFA criteria respectively.
Information requirement vs. assessment criteria

Funding agencies require information concerning the implementing (partner) organisation and concerning the specific project. On basis of such information they intend to assess whether the implementing organisation has the adequate capacity and whether the project proposal is sound enough to support. Underneath an example is given of the information requirements of a funding agency⁸⁰, which are compared to general organisation assessment criteria, derived from the Integrated Organisation Model and project assessment criteria, derived from the Logical Framework Approach. General policy criteria have been taken from RRES and/or Round Tables Mission statements and diaconal core values.

Format information requirements	Organisation assessment			Format information requirements	Project assessment		
Information requirements of Funding Agency concerning a Partner / Project Organisation	<i>Frame of reference to know whether the partner organisation fits FA requirements :</i> <ul style="list-style-type: none"> • <i>Assessment Criteria (IOM)</i> 	+	-	Information requirements of Funding Agency concerning a Project / Programme	<i>Frame of reference to know whether the project or programme fits FA requirements:</i> <ul style="list-style-type: none"> • <i>Assessment Criteria (LFA)</i> 	+	-
				Location and context			
				Social, political and economic conditions: <ul style="list-style-type: none"> • In the country • In the region • In the project zone (inclusive gender) 			
				Target group / Focus group Justification for the project and target group analysis			
				<ul style="list-style-type: none"> • Origin of project • Definition target group <ul style="list-style-type: none"> • Criteria for selection • Description TG regarding sex, age, ethnicity, number, etc. • Organisational structure • TG participation during different 	<ul style="list-style-type: none"> • <i>Diaconal core values</i> • <i>Democratic participation</i> 		

⁸⁰ Information requirements have mainly (but not exclusively) been taken from the Brot fuer die Welt Project Format



Format information requirements	Organisation assessment		Format information requirements	Project assessment		
			phases (gender specific) <ul style="list-style-type: none"> Gender specific analysis of basic needs 			
			Primary issue / concern Problem analysis			
			<ul style="list-style-type: none"> Concrete problems of the target group⁸¹ Overall goals 	<ul style="list-style-type: none"> Overall objective, project purpose, assumptions 		
Mission			Objectives			
<ul style="list-style-type: none"> For what purpose has the organisation been founded ? Which development problems does the organisation address ? 	<ul style="list-style-type: none"> Mission / Overall objectives Round Tables Diaconal core values 		Project goals and expected results: <ul style="list-style-type: none"> With regard to TG <ul style="list-style-type: none"> Gender sensitive Quality / quantity Gender sensitive changes With regard to outside project environment <ul style="list-style-type: none"> Local / regional National With regard to project organisation Expected sustainability impact: <ul style="list-style-type: none"> On social level On political level On economic level On ecological level 	<ul style="list-style-type: none"> Project purpose +Indicator 		
Organisational characteristics						
<ul style="list-style-type: none"> What kind of organisation ? Which development has the organisation gone through ? 	<ul style="list-style-type: none"> Ecumenical implementation 					
Output / working experience			Results			
<ul style="list-style-type: none"> Relevant experience of 			<ul style="list-style-type: none"> Concrete objectives achieved 	<ul style="list-style-type: none"> Results + Indicators 		

⁸¹ Has not been asked for in the BftW format



Format information requirements	Organisation assessment			Format information requirements	Project assessment		
organisation in reference to proposed intervention ?				during project period ? (see above under objectives)			
				Relevance:	results + project purpose ↔ original problem analysis (overall objective)		
					<ul style="list-style-type: none"> • The degree to which the rationale or objectives of a project are, or remain, pertinent, significant and worthwhile, in relation to the identified priority needs • Have the beneficiaries clearly been identified ? • Are the problems of the beneficiaries described sufficiently ? • Is the problem analysis comprehensive ? • Do the overall objectives explain why the project is important for society ? • Is the project purpose formulated as a benefit for the beneficiaries ? • Has the need for the results clearly been demonstrated ? 		
				Effectiveness:	results → project purpose activities → results		
	<ul style="list-style-type: none"> • Are quality, quantity and diversity of products and services adequate in view of the organisation's mission ? • Do products and services fulfil the needs of the target group ? 			Effectiveness:	results → project purpose activities → results		
					<ul style="list-style-type: none"> • A measure of the extent to which a project or programme is successful in achieving its purpose 		
Institutional embedding							
<ul style="list-style-type: none"> • How is the organisation embedded in society ? • Co-operation with other 							



Format information requirements	Organisation assessment		Format information requirements	Project assessment		
organisations ? (civic society, development organisations, networks, NGOs, government institutions) • Kind of co-operation (information exchange, co-ordination, joint implementation)						
Legitimacy	Legitimacy deals with the acceptance and embedding of the organisation in its environment		Local conditions and risks			
	<ul style="list-style-type: none"> • <i>Is the Mission accepted by society ?</i> • <i>How does the target group perceive the quantity and quality of the products and services ?</i> • <i>Which position does the organisation have among other actors ?</i> 		<ul style="list-style-type: none"> • General conditions that cannot be influenced • Risks with TG • Other factors 	<ul style="list-style-type: none"> • <i>Assumptions and pre-conditions</i> 		
Structure			Structure / co-ordination			
<ul style="list-style-type: none"> • Structure and size (organogramme) • Staff composition (male/female, local/expat.) 			<ul style="list-style-type: none"> • Tasks and responsibilities • Co-ordination mechanisms • List of co-operating organisations • Planned co-ordination: division of labour 			
Board						
<ul style="list-style-type: none"> • Target group representation • Involvement in policy decision making and implementation • Monitoring of policy implementation 						
			Strategy			
			<ul style="list-style-type: none"> • How are objectives achieved ? • In which way does the target group participate ? 	<i>Results + indicators / activities</i>		
			Activities			



Format information requirements	Organisation assessment		Format information requirements	Project assessment		
			<ul style="list-style-type: none"> Detailed description of activities (for the first year) ? Relation activities - project purpose Relation activities - budget 	Activities		
Input			Human resources			
			<ul style="list-style-type: none"> Number of staff (local / expat)? Tasks / responsibilities ? 	Means		
Suitability	Is the organisation fit to carry out required activities to deliver the specified products ?		Feasibility	The project is feasible when assumptions and risks at activity and result level are sound, realistic and acceptable		
	<ul style="list-style-type: none"> Does the planned activity fit into the general objectives of the organisation ? Does the organisation have sufficient (human, material, financial) resources to carry out these activities (now and in the future)? Does the organisation have sufficient basic experience and affinity with the planned activities ? 			<ul style="list-style-type: none"> Are all aspects of the project logic adhered to ? Have important external factors / conditions been identified ? Is the probability of realisation of the assumptions acceptable Are the implementing agencies able to implement the project ? 		
Efficiency	Means → activities → results		Efficiency	Means → activities → results		
	<ul style="list-style-type: none"> Could the organisation produce more with the same means ? Could the organisation produce the same products and services with fewer means, including time spending ? 			<ul style="list-style-type: none"> A measure of “productivity” of the implementation process – how economically inputs are converted into outputs 		
Financial position			Financial means			
<ul style="list-style-type: none"> How financed (donor, government, target group / local contribution) ? 			<ul style="list-style-type: none"> How will project / programme be financed ? Proposed duration BftW funding 	<ul style="list-style-type: none"> Budget 		



Format information requirements	Organisation assessment		Format information requirements	Project assessment		
<ul style="list-style-type: none"> Adequate financial position (liquidity) ? 						
Systems			Planned procedures / methods			
<ul style="list-style-type: none"> Target Group involvement in policy decision making and implementation Reporting formats Financial discipline Annual audits 	<ul style="list-style-type: none"> <i>Ecumenical / democratic participation of target group in all levels of decision making</i> <i>Memorandum of understanding</i> 		<ul style="list-style-type: none"> If necessary, preliminary studies Description of working methods PME regulations <ul style="list-style-type: none"> Monitoring requirements Evaluation / impact studies 	<ul style="list-style-type: none"> <i>Memorandum of understanding</i> <i>Reporting formats</i> <i>Financial discipline</i> <i>Annual audits</i> 		
Sustainability:	<i>Sustainability is the probability that an organisation is capable to sustain its core activities for an extended period of time.</i>		Sustainability:	<i>Availability of adequate means → activities → results → project purpose ←→ original problem analysis</i>		
	<ul style="list-style-type: none"> <i>Is the organisation capable of delivering products and services that are needed, when external support is terminated /</i> <i>Is the organisation capable to secure its inputs ?</i> <i>What are the major threats to the organisation and is there a strategic plan to address such threats ?</i> 			<ul style="list-style-type: none"> <i>The extent to which partner country institutions will continue to pursue the purpose and the goal after external assistance is terminated</i> 		
			Other aspects (info)			
			<ul style="list-style-type: none"> First application ? Passed experiences ? Implementation of recommendations of evaluations / impact studies ? Results preliminary studies ? Comments local consultants ? Recommendations by others ? Consistency with BftW policy papers: <ul style="list-style-type: none"> BftW criteria 			



Format information requirements	<i>Organisation assessment</i>		Format information requirements	<i>Project assessment</i>		
			<ul style="list-style-type: none"> • Sector papers • Policy documents, principles and guidelines of Churches' Development Services 			

Conclusions:

- It seems there is inadequate consistency between the information requirements of a Funding Agency and "hard" criteria for assessment. A lot of information is required to describe the situational context of the implementing organisation and/or project intervention, which cannot be used for assessment. Information that is required to assess implementing organisations and/or projects, quite often, has not been asked for.
- For a project proposal the minimum requirements are to describe the overall objective(s), project purpose + indicator(s), results + indicators, activities, means (human, financial, material), assumptions + risks, (pre)conditions, time schedule and agreements about (reporting) formats used and possible adjustments between times.
- Assessment criteria for any project proposal should include:
 - efficiency: means → activities → results
 - effectiveness: results → project purpose
 - feasibility: results + purpose vs. external factors, risks and available implementation capacity
 - relevance: results + project purpose ↔ original problem analysis (overall objective)
 - sustainability: availability of adequate means → activities → results → project purpose ↔ original problem analysis
 -

9. Steps in developing a Monitoring System⁸²

a. What is it?

A monitoring system is defined as a set of procedures through which planned information travels through the organisation to different management levels in order to support decision making.

b. What can you do with it?

A monitoring system can help you answering these core questions:

- Does implementation takes place according to planning (e.g. schedule, budget)?
- Are results and purpose achieved?
- Do assumptions behave as expected?

Results

A monitoring system is instrumental to:

- document the process of implementation;
- facilitate decision making by the management;
- take remedial action;
- learn from experience / provide feedback to planning

Follow up

The design of a monitoring system needs to be followed up by issuing the formats on information requirements to all information suppliers concerned. See also Annex 13.

c. How to use it?

Steps in monitoring system design:

Step 1. Define the management structure

Define for whom the monitoring system is intended, and clarify the position of the manager vis-à-vis staff and superiors. Which are the responsibilities of the manager?

Step 2. Clarify the objectives

Analyse the logical framework of the project, and assess inputs, outputs/results purpose overall objective and assumptions.

Step 3. Analyse the process

Analyse the major steps in the process of the project and identify major potential bottlenecks and crucial steps/critical moments.

⁸² See chapter 4.6 for 'Steps in the design and use of a Portfolio Monitoring System'

Step 4. Formulate the managers question

What do the different management levels need to know about each information chapter in order to be able to take the proper decisions?

Make a selection of key questions, using the following checklist:

Monitoring of input (action)

- Finance
- Equipment
- Materials
- Human resources

Monitoring of output/results: the products/services to be delivered by the project.

Monitoring of use: the use of provided products/services by the target group

Monitoring of change: the effect of the use of the products/services

Monitoring of context: the external factors influencing the project

Monitoring of process: (potential) bottlenecks and crucial steps/crucial moments.

Are the questions formulated sufficiently gender sensitive?

Step 5. Determine the indicators

Determine direct or indirect indicators for all manager's questions.

For the indirect indicators proceed as follows:

- Identify quantifiable elements in the manager's question
- Analyse the variables, starting with the one which is easiest to measure, using the following checklist:
 1. Is the indicator valid: is there a causal relationship with the manager's question ?
 2. Can the variable be measured with sufficient accuracy ?
 3. Is the indicator sufficiently sensitive ?
 4. What is meant exactly by each term used ?
 5. Under which conditions are the indicator valid ?
 6. Which aspects of the manager's questions are not covered ?
- Select the most suitable and cost-effective indicator(s) based on this analysis.

Step 6. Define the information flow

Make a complete list of all data, which have to be collected for the indicator.

Define for all data:

1. Where will the data be collected ?
2. With what method and by whom ?
3. Where will the data be stored ?
4. Who should process and report ?
5. How and when will be reported ?

Step 7. Assess means, costs and risks

1. Which means are necessary for organising the information flow ?
2. What will be the costs (time, money etc.) involved ?
3. Will the information be reliable ?
4. Do costs weigh up against the importance of the information, taking into account the expected reliability ?

Process

The manager him/herself remains responsible to use the gathered information at the right time at the right place for his/her contribution to the decision making.

d. Requirements and some limitations.

It may happen that problems are met during execution of monitoring systems. It is better to try to foresee them right from the phase of conception. The problems might be of a various nature, like technical problems (difficulties to measure what one wants to know); problems of a 'political' nature (certain persons might for certain reasons be afraid of having clear data on (lack of) progress); problems relating to cultural aspects (one does not want to lose time with monitoring, one is of the opinion that the picture of what happens is clear enough).

A key-element in the design of a monitoring system is to forecast such problems and to develop activities to deal with them, for example by letting various actors participate in the development of the system, or by realistically estimating the time needed for the tasks related to the implementation of the system and the subsequent consequences for other work.

9.1 Case: Monitoring System Design. Development of Manager's Questions in reference to a Water Supply Project

Case information

A Village Water Supply Project (VWSP) assists local communities with the construction of shallow wells (up to about 20m), which are equipped with a hand pump. The project supplies technical assistance, materials and transport as well as organisational and training assistance in well maintenance and administration to the Village Water Committees (VWC). The communities supply the necessary labour. The construction works are organised with project assistance.

The project is financed by an International Donor Agency and executed by a national NGO (*Round Table Organisation*). The project is organised as a separate unit headed by a project manager. The project has a Technical and an Organisational Department (TD & OD). After construction, the wells are handed over to the Village Water Committee, who will take care of operation and maintenance of the wells.

The project will create reliable water supply facilities in the villages in the District: one well per 200 families. The project area covers about 100 villages with each village accommodating 200 to 400 families.

At the end of the project, it is envisaged that the facilities are used by at least 80% of the target population. This will contribute to a reduction of the very high incidence of water borne diseases in the project area.

The Logical Framework of the project looks as follows:

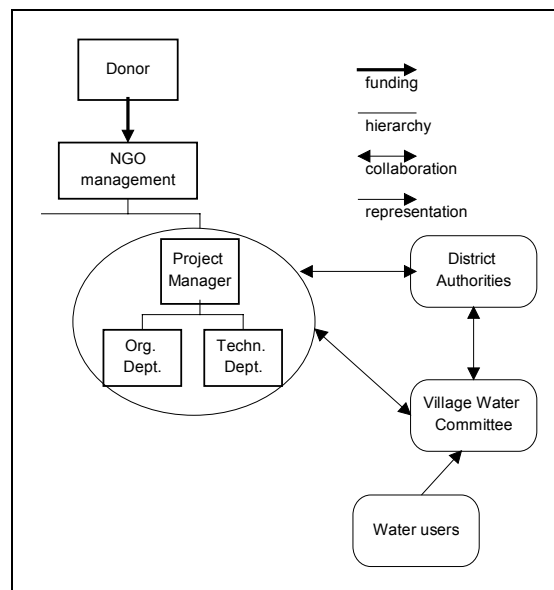
		Indicators	Assumptions
Overall Objective	To improve the health situation within the District		
Project Purpose	To create reliable water supply services within the District	Facilities are used by at least 80% of the target population	
Results	1. Construction of shallow wells	100 shallow wells are constructed in 100 villages in 3 years	The communities supply the necessary labour
	2. Training of VWC in operation & maintenance	100 VWC are trained in O&M	VWCs are formed.

It should be mentioned that there is a high rate of immigration into the area because of recent violence in the surrounding districts.

An operational plan is available, and the project has made a good start in the first project year, but the project manager is not satisfied with the information she receives from the operational units. Moreover, she is not certain about the information she should supply to the management of the NGO and the Donor. Neither is she aware of the way local authorities observe the implementation of the project. After careful consideration, she decides to start developing a project monitoring system, which should arrange for adequate information supply to all parties involved. This should contribute to a proper implementation of the project.

Assignment

There are 7 stakeholders - besides the target group of water users - which have an interest in the implementation of the project, 1) the Donor, 2) the Management of the NGO, 3) the Project Manager (PM), 4) the Technical Department (TD), 5) the Organisation Department (OD), 6) the District Authorities and 7) the Village Water Committees (VWC).



Each stakeholder is asked to do the following from its own perspective;

1. Analyse the management structure and describe the responsibilities at each level.
See figure above and column 1 of the table underneath: tasks / responsibilities of stakeholders.
2. Analyse the implementation process and identify possible bottlenecks or critical moments.
See e.g. the process flow of a village water project in which a number of critical moments have been identified in figure underneath, on the basis of which the manager (stakeholder) concerned may identify his/her specific manager's questions.
3. Formulate your manager's question and determine the indicators.
See column 2 and 3 of the table underneath for examples of respectively the manager's questions of concerned stakeholders and their corresponding indicators
4. Define the information flow and the corresponding responsibilities.
See column 4 of the table underneath for examples of sources of verification of the indicators concerned.
5. Assess means, costs and risks.



Monitoring Village System Design Water Supply Project

All stakeholders may have their own manager's questions in reference to their own task and responsibilities:

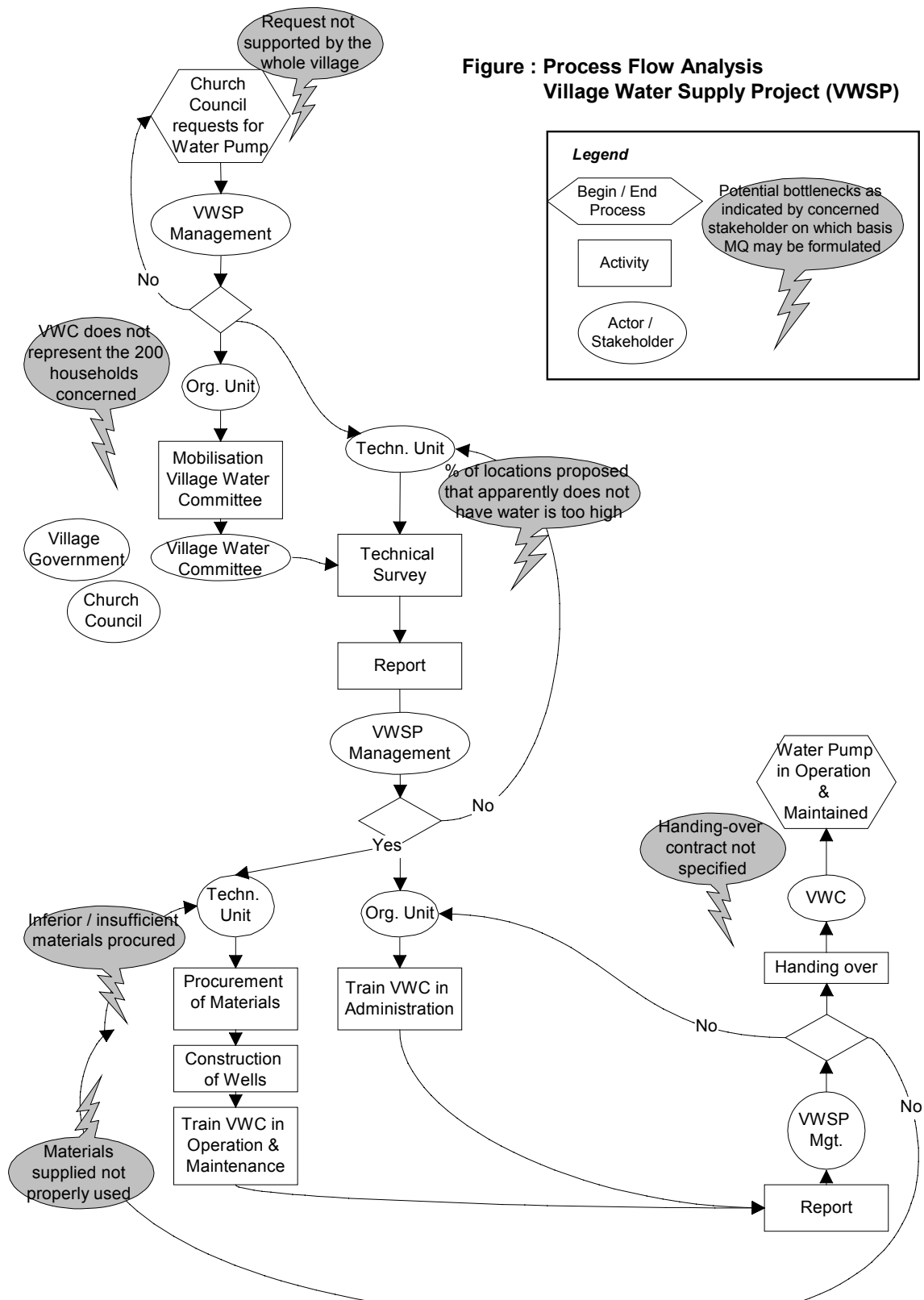
Stakeholder	Tasks / responsibilities	(Potential) Managers' questions	(Potential) Indicators	(Possible) Sources of Verification
Village Water Committee (VWC)	<ul style="list-style-type: none"> to support TD to indicate potential places for water points to organise labour to collect local building material to organise labour for construction activities to satisfy the requirements of people (during construction and in reference to water availability) to operate the water point to maintain the water point 	<ul style="list-style-type: none"> are people satisfied with the training ? are people satisfied with the water availability ? 	<ul style="list-style-type: none"> any observations from villagers any observations from villagers 	<ul style="list-style-type: none"> VWC members listen to neighbours & gossips Village Government (VG) meetings
District Authorities / Local Government (DA / LG)	<ul style="list-style-type: none"> to ensure social services (sustainability) to ensure acceptable health conditions to guarantee quality standard drinking water to guarantee adherence to engineering standards to ensure that project adheres to government regulations to ensure that project is implemented according to agreement / schedule 	<ul style="list-style-type: none"> are VWCs able to maintain water points ? does health situation improves ? does water have minimum quality ? is engineering according to standard ? is project on schedule ? 	<ul style="list-style-type: none"> 100% functioning of existing water points incidence of water borne diseases in district chemical, etc. ingredients engineering standards project proposal vs. progress reports 	<ul style="list-style-type: none"> reports VWCs & field visits water engineer statistics health centres regularly laboratory tests DA engineer (DAE) controls construction regularly progress reports PM & field visit DAE
Project Organisation	<ul style="list-style-type: none"> to mobilise to village to elect a 	<ul style="list-style-type: none"> does VWC represent all users ? 	<ul style="list-style-type: none"> adequate geographical spread of VWC members 	<ul style="list-style-type: none"> confirmation meeting



Department (OD)	<p>VWC</p> <ul style="list-style-type: none"> to train the VWC in administrative matters to be able to manage O&M to 'ensure" functioning VWC during implementation to 'ensure" functioning VWC afterwards (sustainability) 	<ul style="list-style-type: none"> is labour organised by VWC to assist TD ? is income & expenditure well accounted for ? 	<p>over the village</p> <ul style="list-style-type: none"> timely availability of labourers at arrival of TD acceptance financial report by village government 	<p>village government</p> <ul style="list-style-type: none"> "hear say" report TD minutes meeting VG
Project Technical Department (TD)	<ul style="list-style-type: none"> to do technical water survey to ensure quality building material to construct the water point to train the VWC members / villagers concerned in O&M of water point 	<ul style="list-style-type: none"> is VWC formed to represent the village to assist in survey ? is local and foreign material according to quality standard ? are villagers available at the given time ? do trainees implement knowledge ? 	<ul style="list-style-type: none"> availability of VWC members during water survey quality standards availability of labourers functioning water points 	<ul style="list-style-type: none"> TD's own observation TD's own observation TD's own observation complaints VGs and official reports DA
Non-Government Organisation (NGO) RTO Portfolio Manager	<ul style="list-style-type: none"> to guarantee timely availability of resources to ensure that project adheres to NGO and donor regulations to account for funds received to ensure that project implementation is not disturbed by external factors to guarantee adequate reporting to donors 	<ul style="list-style-type: none"> are resources timely available ? is project implementation according to schedule ? does manager faces problems ? are PM's reports timely and adequate ? 	<ul style="list-style-type: none"> scheduled transfers in reference to scheduled requisitions e.g. according to format and schedule 	<ul style="list-style-type: none"> bank account / reconciliation the availability of the report
Donor	<ul style="list-style-type: none"> to guarantee policy implementation to ensure availability of funds to supply funds according to schedule to account for donations 	<ul style="list-style-type: none"> does current project favours implementation donor's policy ? does NGO / project have sent audit report timely 	<ul style="list-style-type: none"> approved evaluation report accepted audit report 	<ul style="list-style-type: none"> minutes Board meeting audit report
Project Management	<ul style="list-style-type: none"> to manage adequate (efficient) use of resources 	<ul style="list-style-type: none"> is all staff effectively used ? 	<ul style="list-style-type: none"> minimum idleness of staff 	<ul style="list-style-type: none"> regular reports HoDs / time writing



(PM)	<ul style="list-style-type: none"> • to ensure achievement of objectives according to schedule. • to account for all expenditure • to report achievements 	<ul style="list-style-type: none"> • is staff project approach according to agreement ? • is implementation according to schedule ? • do external factors behave as expected ? • any misuse of funds ? • formats ? 	<ul style="list-style-type: none"> • achievements according schedule (LFA) • comments internal audit • timely reporting 	<ul style="list-style-type: none"> • progress reports HoDs vs. plan document / management information system • internal audit report • comments recipients
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10. Responsibilities of Stakeholders

Potential Users (Focus group, Target group, Beneficiaries, Clients)

- Initiative
- Problem definition / identification
- Local contribution (in cash and/or in kind) / operation
- Operation and maintenance (in particular after handing over) / sustainability

Representatives Focus group (Local Parish, Local Church)

- Representation of "ideas" and/or "interest" of the "potential users" with local council of churches, local authorities, NGO
- Formulation of proposal
- Co-ordination with project management during implementation
- Organisation of local contribution (in cash and/or in kind)
- Management (project holder, ownership) after handing or taking over

Local Council of Churches (could be the representation of the focus group)

- Local policy definition
- Local contribution
- Local ownership
- Monitoring of policy implementation

Local Authorities (District Authorities, Municipality)

- Regulation
- Standardisation (health indicators, water quality, engineering certification, etc.)
- Guarantee of minimum standards
- Local policy formulation
- Monitoring of policy implementation
- Resource mobilisation
- Co-ordination / facilitation of implementation socio-economic services / infrastructure
- Monitoring of external factors

Project Organisation (Project Manager)

- Operational planning (plan of execution)
- Supervision of implementation of project (technical expertise)
- Management / distribution of (financial, material, human) resources
- Monitoring of project implementation / reporting

Technical department Project Organisation

- Technical implementation of intervention
- Technical training of target group to sustain operation & maintenance after handing over

Community development department Project Organisation

- Mobilisation of target group
- Management training of target group to ensure / sustain management capacity after handing over.

Round Table Organisation (Non Government Organisation, national level)

- Policy formulation
- Funds raising to be able to implement policy
- Being aware of policies, criteria, conditions, etc. of funding agencies
- Policy implementation (Portfolio management)
- Monitoring of policy implementation (Monitoring of portfolio)
- Monitoring of external factors
- Ensure / facilitate projects to be implemented

Central Government

- Regulation
- Standardisation
- Guarantee of minimum standards
- Policy formulation
- Policy implementation (Portfolio management)
- Monitoring of policy implementation (Monitoring of portfolio)

National Council of Churches

- Policy formulation
- Policy implementation (Portfolio management)
- Monitoring of policy implementation (Monitoring of portfolio)

Regional Relation and Ecumenical Sharing Team (World Council of Churches)

- Policy formulation
- Policy implementation (Portfolio management)
- Monitoring of policy implementation (Monitoring of portfolio)

Donors (Funding Agencies)

- Policy formulation
- Policy implementation (Portfolio management)
- Ensure ability of funds
- Channelling of funds
- Monitoring of policy implementation (Monitoring of portfolio)
- Monitoring of external factors



Overview of responsibilities of stakeholders involved in various aspects in the project cycle:

	Target Group <ul style="list-style-type: none"> Local parish Potential users 	Project Organisation / Implementing Agency	Experts Consultants (on behalf of)	RTO Desk officers Planning officers Portfolio Managers	Intermediary organisation: <ul style="list-style-type: none"> Council of Churches RTO 	Government <ul style="list-style-type: none"> Central Local Municipality 	Funding Agency <ul style="list-style-type: none"> RRES WCC Donor
<i>Indicative programming</i>				<ul style="list-style-type: none"> Contribution to strategic discussions Preparation of estimates Identify possible interventions and potential partners 	<ul style="list-style-type: none"> Policy formulation, resource allocation & publication 	<ul style="list-style-type: none"> Policy formulation, resource allocation & publication 	<ul style="list-style-type: none"> Policy formulation, resource allocation & publication
<i>Identification</i>	<ul style="list-style-type: none"> Initiative Problem definition / identification 			<ul style="list-style-type: none"> Prepare / supply project document formats Ensure regular requests Compare ideas with policy criteria Advise initiators 	<ul style="list-style-type: none"> Enabling environment 	<ul style="list-style-type: none"> Enabling environment 	<ul style="list-style-type: none"> Enabling environment
<i>Pre-feasibility</i>			<ul style="list-style-type: none"> Pre-feasibility 	<ul style="list-style-type: none"> ToR Pre-feasibility 			
<i>Formulation</i>	<ul style="list-style-type: none"> Draft formulation of proposed intervention 		<ul style="list-style-type: none"> Formulation of project document 	<ul style="list-style-type: none"> ToR formulation 			



<i>Appraisal</i>	<ul style="list-style-type: none"> • Within TG capacity • What support required 		(on behalf of) <ul style="list-style-type: none"> • Technical, social, economic, organisational feasibility • Sustainability • Comparison (IRR) 	Preparation for decision making: <ul style="list-style-type: none"> • Within policy • Project logic • Organisational feasibility • Sustainability ToR feasibility study	Within policy Within budget	Within policy <ul style="list-style-type: none"> • Regulation • Standards • Levels of certification Consequences for recurrent (govt) support	Within policy Within budget
<i>Financing</i>	Local contribution (in cash)			Prepare financial agreements / contracts Appraise tender documents	Resource mobilisation	Funding	Funding
<i>Implementation</i>	Ownership Local contribution (in kind)	Project management Plan of operations Distribution of resources Direct supervision of implementation	(on behalf of)	Monitoring <ul style="list-style-type: none"> • Prepare / supply reporting formats • Field visits • Aggregate information / report • Maintain relations with stakeholders 	Monitoring	Monitoring	Monitoring
<i>Monitoring</i>		Management tool: Activities / expenditure according to schedule <ul style="list-style-type: none"> • Milestones (result level) Reporting	(on behalf of)	(on behalf of) Prepare ToR for external monitoring	Resource utilisation Achievement of results & purpose	Achievement of purpose & overall objectives Behaviour external factors	Achievement of purpose & overall objectives Behaviour external factors
<i>Evaluation</i>	Operation & maintenance Sustainability	Internal evaluation	(on behalf of)	<ul style="list-style-type: none"> • Prepare ToR for evaluation • Guide evaluation team • Inform stakeholders • Implement recommendations 	Relevancy Efficiency Effectiveness Impact Sustainability		Relevancy Efficiency Effectiveness Impact Sustainability

11. Format Terms of Reference

The format presented here contains the basic elements for a ToR but leaves room for further interpretation. The focus is on the ToR for an evaluation mission, but the format can also be used for other services, like identification, formulation or feasibility studies. The format contains the following chapters: 1. Introduction and context, 2. Objectives of the evaluation, 3. Expected results, 4. Methodology and approach, 5. Required expertise, 6. Planning, 7. Services to be delivered and 8. Bibliography. For each of the chapters some attention points are given.

1. *Introduction and context*

In the first chapter three issues are described:

- Project background information:
 - description of the project region,
 - problems to be addressed by the project,
 - (potential) beneficiaries and other stakeholders, including their role in the intervention.
- The project:
 - its origin,
 - the logical framework (intervention logic),
 - some information on its progress.
- The context in which the evaluation takes place:
 - the reasons why the evaluation is needed,
 - the decisions taken and the actors that were involved in the decision to have the evaluation,
 - a description of the phase of the project cycle in which the evaluation is to be carried out.

2. *Objectives of the evaluation*

The second chapter describes the objectives of the evaluation itself. What will be done with the outcome of the evaluation? It describes the strategic decision-makers' responsibilities after the evaluation has been carried out. How will these decision-makers (for example the project management) use the outcome of the study?

- Description of the purpose of the evaluation, or the reason why the evaluation study needs to take place, for example:
 - to redesign the project,
 - to decide whether to finance a next phase of the project,
 - for policy development,
 - because more studies are required,
 - to assure accountability.
- Description of those who will make use of the evaluation's outcome.

3. *Expected results*

This chapter describes the responsibilities of the evaluation team, or the information that has to be delivered.

- Content of the evaluation report. What questions are to be answered with regard to for example:

- performance indicators (relevance, sustainability, effectiveness, efficiency and impact),
- project results,
- collaboration with branches or departments,
- collaboration with target groups or stakeholders,
- geographical area.
- Technical standards of the report:
 - the total number of reports to be produced,
 - the format and language that have to be used,
 - the annexes,
 - the recipients of the reports.

4. *Methodology and approach*

In the fourth chapter a description is given on how the evaluation is to be conducted.

- The methods and tools of data collection, like:
 - documentation,
 - desk study,
 - survey: self administered questionnaire or interviews with groups or individuals,
 - observation by field visits.
- The levels of intervention to be evaluated:
 - beneficiaries,
 - head of departments,
 - project management,
 - head quarters.
- A description on the degree of participation and the roles of different stakeholders to collect the necessary information for the evaluation.
- Sequence in which the activities should take place.

5. *Required expertise*

The contents of this chapter depend on what has been described in previous chapters. It contains a description of the necessary qualifications of the contractor.

- Profile of qualities and characteristics of the contractor:
 - legal status, company/ individuals,
 - some characteristics of the contractor, like experience with participatory approach, decision-making, type of manager.
- Description of the required expertise (education and experience), for example sectoral focus, previous evaluations, knowledge of Project Cycle Management.
- Regions and/or cultures in which the contractor should have experience.
- Details on the team: number of team members, team leader, nationalities.

6. *Planning*

The chapter on planning provides information contractors need to be able to make a proper planning. Issues that can be of importance:

- A realistic time table, sufficient time given for:
 - preparation: selection and availability of contractor, field work,

- execution: time needed to achieve results and purpose of the evaluation, correct distribution (including debriefing) of time over the involved stakeholders, field work;
- reporting: deadlines for draft and final versions of the report, a list of all stakeholders who will receive a (draft) report, procedures for commenting on draft version(s);
- follow up to make use of the evaluation's outcome.
- Visits to be made (relevant authorities, institutions and beneficiary groups).
- Road conditions, weather conditions, local festivals, elections, seasons.
- Inclusion of feedback mechanisms.
- Sufficient budget reserved.

7. *Services to be provided*

The seventh chapter gives a description of the services that can be provided by the project. What supportive facilities (transport, secretariat etc.) are needed for the field study and who is responsible for their provision?

- Available documents.
- Transport.
- Administrative support.

8. *Bibliography*

In the last chapter, information can be given on the key documents the evaluation team will need to study (like the project proposal, progress reports, the appraisal memorandum, or previous evaluation reports).

12. Gender Assessment in the Project Cycle

Within RRES gender assessment is supposed to be fully integrated in the whole appraisal process. From that perspective different gender related questions have been asked concerning proposed interventions in the various phases in the project cycle. Sometimes still specific attention is required and during the appraisal process questions may be asked in reference to either the gender sensitiveness of the proposed intervention itself, or in reference to the gender sensitivity of the implementing organisation(s). Below examples are given of questions to ask in the different phases of the project cycle.

Indicative programming phase

Where it concerns round table or church policies the following questions may be asked to check on gender sensitivity:

- What is the round table or individual church position on gender? Are there policy papers expressing this position on the national level or related to specific themes or sectors?
- Are there policies and priorities regarding sectors of direct relevance for women?
- To what extent has gender been taken along as an analytical concept in the policy setting ?
- What general documents exist, e.g. national reports on development indicators in the country, and do they include disaggregated data for men and women? Are there differences of opinion among the different Round Table members concerning the focus on gender?

At organisation level:

- Does the organisation that (co) finances the project or organisation pay special attention to gender and how does it do that? Do they mainstream gender issues in all their subjects and/or do they have special guidelines to support women (concerning the target group and their own organisation)?
- What measures are proposed to realise the gender policy intentions (internal organisation and concerning the target-group)?
- Are there churches or organisations that specifically address women's issues like women departments or specialised NGOs?

Identification phase

In the identification phase, the focus or target groups have to be invited to express their problems, to discuss them and to set their priorities. A base line study will be done to underline the feasibility of proposed ideas. The following questions can be asked:

- Have women (of the focus group) been sufficiently consulted in the design of the project and had women and men the same opportunities to voice their ideas?
- Are women explicitly or implicitly mentioned as a focus group?
- What needs and opportunities exist to increase:
 - women's productivity and/or production;
 - women's access to and control of resources;

- women's access to and control of benefits.
- How do these needs and opportunities relate to the Round Table's other general and sectoral development needs and opportunities?
- Which of the activities of men and women does the project affect: productive, reproductive and maintenance and/or socio-economic activities?
- Are the objectives of the project reflecting women's needs for access to and control of resources related to their usual roles in this area?
- What are possible negative effects on gender relations concerning the identified interventions (gender analysis on short term and long term consequences)?
- Have there been similar efforts on such interventions and what has been their outcome? Has this identification been built on these earlier efforts?

At organisation level:

- Which organisation has identified the project? Is it known for being gender-sensitive? Does it have a gender policy? If yes, what does it say? If no, why not?
- Which other organisations have been involved in the identification of the project and are they known for their gender-sensitivity?
- Is the planned component consistent with the national/regional policy on gender?

Formulation phase

Focussing on the target-group questions to ask are:

- Has a gender assessment study been carried out and which instruments have been used?
- What has been the outcome of the assessment study concerning the division of labour: the activity profile and/or the resources and benefits profile?
- Which factors influence the participation of women and what can be done to encourage their involvement and empowerment?
- Has attention been paid to practical and/or strategic needs? With which consequences?
- What assumptions are made about women's and men's participation in and benefits from the project?
- Are the planning indicators formulated in a gender-sensitive way⁸³?
- Has the collection of these (and other) data specifically been formulated as one of the activities of the project?
- What was the outcome of the gender impact analysis?
- Has an external analysis for identification of opportunities and threats been done? If yes, what will be the effects of the project on short term and on long term? Might the project have negative consequences for women?
- Has identification of constraints (literacy, time for training available etc.) for especially female participation been identified? What measures have been proposed to overcome these constraints, and what conditions have to be created to enhance women's position in the project area?

⁸³ See Example of Indicators Development Screening further in the text.

- If no organisation gender analysis has been done, what may be the causes that no special attention has been paid to gender issues? What can be proposed to overcome this lack of information?
- Are the planned interventions consistent with:
 - the policy of the implementing organisation;
 - the national/sectoral gender policy (degree of consistency among objectives, strategy, activities, inputs and expected outputs).

Concerning the organisational and institutional aspects the following questions can be asked:

- Has an internal analysis on strengths and weaknesses of the organisation been carried out?
- If yes, is the organisation fit for the implementation of gender strengthening activities? Does it have the capacity to implement the proposed gender activities (staff composition, policy, number of staff, professionalism, gender awareness, training and educational methods). Is there a specialised gender expert or is there a provision for such expertise?
- Are there appropriate opportunities for women to participate in project management positions? If no, why not? Could it still be done?
- Does the organisation have enough flexibility to adapt its structures and operations to meet the changing or new situation for women?
- Has an external analysis for identification of opportunities and threats been carried out, and did it serve to find out other stakeholders' opinions on gender equality and their willingness and capacity to deal with gender issues?

Financing phase

The budget can be analysed to find out the percentage allocated for special gender interventions. Questions that can be asked are:

- Has a reservation been made in the budget to undertake extra activities if it appears that there is a gender imbalance?
- Is preferential access to resources by either of the sexes avoided, e.g. credit facilities and the conditions set to obtain it?

Implementation phase

Implementation concerns the execution of the project, by drawing on the resources provided for in the financing agreement, to achieve the desired results and the purpose of the project. In this phase various reports are produced like the Plan of Operations, annual plan of work and monitoring reports. Questions to be asked are:

- Are the women and men of the target group active participants during implementation of the project?
- What measures have been taken to get them equally involved?
- What are the short and long term effects of this participation (labour, time, resources, and attitudes)?

Concerning the implementing organisation questions to ask are:

- Has gender and development expertise been planned for (budgeted and utilised) during the execution of the project?
- Is there staff paying special attention to women of the target group? If not, why not? If yes, for which sector? And in what way is attention paid ?
- Has staff been trained on gender analysis concerning the target group of the project and implementation of alternative methods?
- Does the staff have the necessary skills to provide the special inputs required by women?
- Do male and female staff have the same transport facilities in order to carry out the same jobs? If not, why not and with which consequences?
- Are there equal opportunities for job-employment? If not, why not, with which consequences? If yes, which ones and with which consequences?
- Does the organisational structure improve women's access to resources where they do not have it now?
- Is the organisation able to obtain resources needed by women/men from other organisations?
- Does the organisation have the institutional capacity to defend women's' interests and handling conflicts?
- Are the organisation's delivery channels equally accessible to men and women in terms of personnel, location and timing?
- Do control procedures exist to ensure dependable delivery of the goods and services?
- Are there mechanisms to ensure that the project resources or benefits are not usurped by one of the sexes?

Monitoring is a powerful instrument to follow project implementation. Questions related to monitoring can be:

- Does the monitoring system pay attention to possible different effects of activities on men and women?
- Is it possible to trace funds for women/men from allocation to delivery with a fair degree of accuracy?
- Are funding levels adequate for the proposed activities?
- Have assumptions been confirmed by new monitoring-information?
- Are monitoring indicators expressed in a gender sensitive way?
- Does the data collection include data to update the activity analysis, the women's access and control analysis and other tools used?
- Are men and women (staff, target groups) equally involved in designating the data requirements, and who does the collection of data?
- Are the data collected frequently enough so that necessary project adjustments can be made during project execution?
- Are the data fed back to the project staff and beneficiaries in an understandable way and on a timely basis to allow project adjustment?
- Have special surveys been carried out during project implementation in order to find out causes of problems related to women, e.g. low participation of women in literacy classes, lack of/difficult access to credit facilities or access to land?

Evaluation

A gender-sensitive evaluation starts with a good preparation:

- Do the Terms of Reference (ToR) explicitly mention that attention should be paid to possible different effects of project activities for men and women?
- What does this mean for the composition of the evaluation team? Do the proposed mission members have enough experience and expertise to deal with this gender aspect? (regarding their background, working experiences etc.)
- Is there somebody who especially deals with gender issues, or is everybody expected to pay attention to gender aspects?
- What are the advantages and disadvantages of the proposed mission strategy in this project area?
- Are the evaluation methods as mentioned in the ToR sufficiently gender-sensitive to get women's opinions on project activities?
- To whom are the conclusions and recommendations brought forward?

Gender Sensitive Monitoring: Search for indicators

To find proper gender sensitive indicators, it may be useful to establish a base line data for a "Women and Development Profile". The following elements can be used as an entrance for both gender sensitive development screening and the development of gender sensitive monitoring indicators.

The **social system / family structure** is not subject to gender development screening, but it may be described in general terms to give background information, e.g. about:

- prevailing kinship pattern (patri-lineal, matri-lineal);
- marriage settlement (patrilocal, matrilocal, etc.);
- access to children in case of divorce or death;
- dominant land-use patterns (communal, private, etc.).

1. Nutrition

- per capita food consumption (calory intake per person, per day), by sex;
- adults suffering from malnutrition, by sex (height/weight for age);
- birth weight of newborn babies (reliable indicator for mother's nutritional status).

What are the expected effects on the nutritional status of women and on household food security, including aspects of food availability, distribution, access to food and quality? Be aware that an increased family income does not necessarily result in an improved nutritional status for women. For example, a dairy co-operation might require fixed quantities of milk to be delivered by its members. The effect might be that women decide to consume less milk than before and also less than other household members do in order to achieve the target milk delivery.

2. Health/Fertility

- live birth rate;
- life expectancy at birth, by sex (years);
- female and male child mortality rates, age 0 - 5 (per 1000);
- female and male child mortality rates, age 0 - 1 (per 1000);
- female and male survival rates, age 6 - 14 and 15 - 45;
- maternal mortality rate;
- breakdown of female and male population by age (e.g. 0 - 14, 15 - 24, 25 - 39, 40 - 59, 60), rural/urban;
- population growth rate;
- acceptance rate of contraceptives by men and women;
- laws and regulations on abortion, physical abuse, prostitution and birth control;

What are the expected effects on women's health situation, including control over their own fertility? Control over fertility refers to women's access to and control over the use of safe family planning methods. In case of 'health projects', more specific questions should be asked, such as: is attention paid to women's specific health needs and to their role as health manager and educator? Will women's access to and utilisation of health care services and facilities increase? Projects without a health component can still have effects on women's health situation, like for example an increase in workload, which affects women's health negatively, the occurrence of skin disease as a result of the introduction of pesticides, etc.

3. Living conditions

- access to safe drinking water, rural/urban (%);
- access to sanitation facilities, rural/urban (%);
- violence against women;
- geographical mobility (e.g. transport)

What are the expected effects on women's living conditions, e.g. shelter, contact with neighbours, transport services, safe drinking water and sanitation facilities? It is important what the effect will be on women's access to and control over their own living conditions.

4. Participation in decision making

- representation and participation of women in formal government legislative and administrative (public services) bodies at national, regional and local level;
- representation and participation of women in informal decision making structures (e.g. village council);
- prevailing customs and social attitudes regarding the decision making pattern at household and community level;
- legislation on women's participation in decision making bodies;
- percent of population voting, by sex.

What are the expected effects on women's effective participation in decision making? Changes in women's decision making power can take place at household, community, regional or national level. For example, in water supply and irrigation projects, the appointment of women as members of Water and Irrigation Committees can result in an increase in women's participation in decision making regarding operation and maintenance, water distribution, etc. Their absence from these committees might result in a negative effect on their decision making power. Check also the conditions for membership of decision

making bodies: formally women may be allowed membership, but when only one member per household is allowed on a committee this will often be a male member of a household.

5. Knowledge/Skills

- literacy rate female/male, by age;
- enrolment levels in primary, secondary education, by sex;
- enrolment levels in university and vocational education, by subject, by sex;
- average length of formal schooling and dropout rate, by sex, urban/rural ratio;
- enrolment of women and men in short term professional training programmes;
- ratio of female beneficiaries of demonstration, extension and community development programmes;
- existence of women's studies programmes and funds allocated to post secondary institutes for research to women;
- factors contributing to participation rates of female in formal and non-formal education and training programmes.

What are the expected effects on women's access to information, formal and informal education, extension and training? What is the effect on their control over curriculum development in an education project, for example? An important factor is also the effect on women's access to and control over information e.g. media, newspapers, brochures, information leaflets, neighbourhood news, etc.

6. Employment

- breakdown of total population and active population, by sex;
- percent of total labour force in agriculture and industry by sex;
- percent of total population in professional and administrative occupations, by sex;
- unemployment rate by sex;
- underemployment rate by sex;
- female and male participation in formal labour force, by age (e.g. 15 - 24, 25 - 44, 45 - 54) and occupation;
- percentage of female and male rural and urban heads of households;
- informal economy, position and roles of women and men;
- labour legislation related to women (e.g. maternity leave, childcare provisions, etc.)

What are the expected effects on employment opportunities for women, on changes in their working conditions and on possible changes in labour legislation? "Employment" refers to paid labour in the formal or informal sector, excluding non-remunerated family or household labour. Pay attention to the possibility that new employment opportunities for women, for example in the field of post-harvest technology or textile industries, can be at the cost of existing employment opportunities for women. The effect on women's labour conditions should also be assessed.

7. Means of Production

- access to and control over land, labour, capital, water, credit, public services, information, revenues, by sex;
- female heads of households access to and control of resources and revenues, urban/rural; property rights of women and men (land, assets etc.);

- cultural and legal constraints preventing women's access to available resources and services.

What are the expected effects on women's access to and control over productive resources such as land, water, tree, livestock, credit, inputs and equipment? Be aware of conditionalities placed on access and control over these resources. For example, a lot of credit institutions require collateral for a loan to be granted. This often poses a problem for women who lack control over these assets.

8 Income

- legislation on equal pay for equal work;
- ratio of female to male wages;
- distribution of and control over income (money, in kind) within the household.

What are the expected effects on women's own income, earned in cash or in kind? Be aware that an improvement in total household income does not automatically imply that women's income will also increase. Increased access to income for women, does not necessarily result in increased control over this income. The issue of equal pay for equal work should also be assessed.

9. (Self)image

- image of women in the society;
- prevailing customs and social attitudes regarding the behaviour of women;
- women's access to and control over the media;
- historical and current image of women in religion(s) and religious attitudes toward the role and status of women.

What are the expected effects on the (self) image of women: e.g. on changes in 'values', ideas and attitudes on gender roles, division of labour and cultural restrictions regarding mobility, for instance. "Self image", refers to the way women see and value themselves and their position and roles. Image refers to the way 'society' considers and values women, e.g. in stereotypes conveyed through the media, or in legislation. Possible effects of projects on the (self) image of women might include increased mobility, sense of dignity and self-confidence. Literacy and skill training projects have often led to an increased sense of self-esteem among women. Access to and control over the media is an important factor in the process of image creation. For example, newsletters from women's organisations, commercials and advertisements have considerable effects on the (self) image of women.

10. Organisation building

- history of women's movement; analysis of role in society;
- women's organisation at various levels (women-specific, mainstream);
- legislation on women's organisational building, e.g. co-operatives.

What are the expected effects on the formation and strengthening of women's organisations at various levels. 'Organisation building' refers to the available means to empower women and to enhance their leadership and management skills. Be aware that there are many kinds of women's groups and organisations. Women's organisations are often an integral part of development interventions. It is important to assess the expected effects on the

quality of these organisations, their institutional capability, managerial skills, power and influence within the project, etc.

11. Workload

- sexual division of labour (rural/urban);
- work-time distribution of rural and urban men and women in hours/day (by class).

What is the effect on the reduction of women's workload? When a reduction is brought about (e.g. less time needed for firewood or water collection), it is important to assess the effect on women's remaining tasks. Perhaps all the time gained will be spent on income generating activities and no net reduction will be visible. How do women themselves perceive the net result in this matter? A possible negative score on this indicator should be considered from the right perspective. Women may well accept an increased workload if this entails an improved income position, or a marked improvement of another kind.

During appraisal a development screening may be done according to e.g. the test on next page.



Development Screening: indicating the effects on women.

Attention should be paid to differences between categories of women, dependent on age, family-relationship, social class, status, etc.

	1	2	3	4	5	6	7	8	9	10	11
	Nutrition	Health	Living conditions	Participation in decision making	Knowledge & skills	Employment	Means of prod.	Income	Self image	Organisational building	Reduction workload
1. Positive											
2. Neutral											
3. Negative											
4. Unknown											
5. Not applicable											

13. Key Information Requirements of Funding Agencies⁸⁴

Introduction

The requirements of funding agencies include the information that an organisation is requested to provide so as to enable the supporting agencies to assess a proposal and to assess its implementation (including the utilisation of funds made available by these agencies); but they are not limited to this. In fact, requests for information by funding agencies serve several purposes:

1. To take responsible funding decisions.
2. To learn from programme experiences.
3. To account for programme expenditures, internally and externally (to back donors and the public).
4. To be in a position to act on behalf of partner organisations;
5. To take up lobbying and advocacy issues.
6. To help identify capacity building needs.

Underneath an overview is given of project information requirements, organisation information requirements, implementation information requirements and other information requirements in comparison to the availability of information in Logical Framework, the organisation description or progress reports. In the last 6 columns an indication has been given how the information is used in reference to six above mentioned purposes for information requirements.

⁸⁴ ICCO (2000): Building bridges in PME, Annex 4.

Information necessary to process requests for funding and decide about them.

All agencies require information about the proposed project (or programme) and information about the implementing (or responsible) organisation.

A) Project information

		Use of information						
	Project information	Information availability	1	2	3	4	5	6
1	Key information about target area and population.	Background information					X	
2	Summary of the situation analysis (understanding the problem).	<i>Relevancy</i> FA policy document: in reference to FA policy	X				X	
3	Goal and objectives:							
	<ul style="list-style-type: none"> description of overall goal (or general/long-term objectives), with indicators of impact / change 	<i>Relevancy</i> LF: OO in reference to problems TG	X				X	
	<ul style="list-style-type: none"> description of project purpose and results with indicators of effectiveness / use 	<i>Relevancy:</i> LF: PP in reference to problems TG LF: Effectiveness: Results in reference to PP	X					
	<ul style="list-style-type: none"> description of specific objectives (results) with indicators of output / targets 	<i>Efficiency:</i> LF: Input vs. output (results)	X					
4	Activities, with required inputs	<i>Efficiency:</i> LF: Input vs. output						
5	Approach to the work, strategy for implementation.	<i>Alternatives:</i> FA policy document: in reference to FA policy						
6	Assumptions or risk factors.	<i>Feasibility:</i> LF: Assumptions & risks	X					
7	Financial information - project period, total cost, local contributions, contributions from other donors, requested contribution.	<i>Budget,</i> <i>Time schedule</i> <i>Financing Plan</i>						

B) Organisational information

Use of information

	Organisational information	Information availability	1	2	3	4	5	6
1	Identity, date founded, formal registration details, constitution or statutes, organisational structure.	Organisation Profile						
2	A brief 'C.V.' indicating major activities and experiences in various fields.	Organisation Profile						
3	Strategic networks and alliances of which the organisation forms part.	Organisation Profile						
4	Composition and role of board.	Organisation Profile						
5	Staff composition, professional qualifications of key staff.	Organisation Profile						
6	Internal decision-making systems.	Process Flow Chart Systems & Procedures						
7	Participation of target population in decision-making processes.	Organisation Profile						
8	Systems and procedures for Planning, Monitoring and Evaluation.	Process Flow Chart Systems & Procedures						
9	Strengths and weaknesses as perceived by the organisation itself.	SWOT						X
10	Overall financial information.	Annual Plan & Annual Report						

C) Information requirements during implementation process

Agencies need to receive at least once a year both a narrative report and a financial report.

Use of information

	Information requirements during implementation process	Information availability	1	2	3	4	5	6
1	The narrative report should make clear which of the planned activities have been carried out how the outputs produced compare with those intended and what progress has been made towards achieving the specific objectives and overall goal.	LF: OVI's and milestones on PP and Result level in comparison to actual performance.		X	X			
2	The financial report should compare actual income and expenditure to the budget explaining any discrepancies, with audit attached or following afterwards.	Budget vs. actual expenditure per budget line (preferably per Result)		X	X			

D) Other information needs

Each agency also requires agency-specific information to be able to report on the extent to which funding decisions and implementation of projects relate to policy priorities and/or to be able to provide information for lobbying or advocacy work. For example:

		Use of information						
	Other information needs	Information availability	1	2	3	4	5	6
1	Most agencies require information about effects of the project with regard to gender issues.	LF: Gender specific OVIs and milestones on PP level in reference actual implementation		X			x	
2	Some agencies ask for information about environmental aspects.	<i>Review / Evaluation:</i> Environmental impact of all activities and objectives on all levels in reference actual implementation		X			x	
3	Some agencies ask to be informed about progress in relation to other topics that are seen as highly relevant from a policy point of view (e.g. self-reliance of people's organisations).	<i>Review / Evaluation</i>		X			x	
4	In certain circumstances, an agency may ask for specific information in connection with advocacy work in the North and/or with the agency's public relations needs.	<i>Review / Evaluation</i>		X			x	
5	Sometimes a partner organisation is requested to co-operate with an evaluative study initiated by an agency: this may be one of the conditions of the agreement between the agency and its back donor.	<i>Review / Evaluation</i>		X			x	

Concluding remarks

Where there is joint funding by two or more of BfdW, EZE, CA, DCA and ICCO, partners should not accept different formats for standard reporting requirements. If faced with such a demand, a partner should raise the matter with the desk officers concerned, requesting them to come up with a common reporting requirement, considering that these agencies have agreed to the same standard information needs and, more generally, have expressed a serious intention to intensify their co-operation at the institutional level. If the desk officers are not able to arrive at a solution, the matter should be referred to the management of the agencies concerned.



13.2 Overview: linkage between Project Documents in the Project Cycle: Proposed key information for Documentation

Logframe	Identification • Pre-feasibility study	Formulation • Feasibility study	Appraisal	Plan of Operations	Annual Workplan	Progress report	Evaluation report
	<ul style="list-style-type: none"> Executive summary Key information 	<ul style="list-style-type: none"> Executive summary Key information 	<ul style="list-style-type: none"> Executive summary Results appraisal Effectiveness Efficiency 	<ul style="list-style-type: none"> Executive summary Key information 	<ul style="list-style-type: none"> Executive summary Key information 	<ul style="list-style-type: none"> Executive summary Key information 	<ul style="list-style-type: none"> Executive summary Key information Results evaluation
	1. Introduction <ul style="list-style-type: none"> Background Current situation Reasons for intervention Parties involved 	1. Introduction <ul style="list-style-type: none"> Background Current situation Reasons for intervention Parties involved (Socio-economic) analysis of targetgroup 	1. Introduction <ul style="list-style-type: none"> Background Justification project Changes proposed Approaches/ strategies 	1. Introduction <ul style="list-style-type: none"> Background Current situation Approach and Strategies Linkages 	1. Introduction <ul style="list-style-type: none"> Background Review of current situation Special events 	1. Introduction <ul style="list-style-type: none"> Background Review of current situation Special events 	1. Introduction <ul style="list-style-type: none"> Background/ justification project Deviations project plans Evaluation methods
Overall Objectives	2. Project Outline Overall Objectives	2. Project Outline Overall Objective: <ul style="list-style-type: none"> Impact (focused on specific subjects) and sustainability 	2. Project Outline Overall Objectives + indicators, <ul style="list-style-type: none"> Appreciation of relevance (pp versus oo) 	2. Project Outline <ul style="list-style-type: none"> Overall objective / impact (indicators/SoV) 	2. Project Outline <ul style="list-style-type: none"> Overall objective / impact (indicators/ SoV) 	2. Project Outline <ul style="list-style-type: none"> Overall objective / impact (indicators / SoV) 	2. Project Outline <ul style="list-style-type: none"> Evaluation of impact: <ul style="list-style-type: none"> un/planned changes due to project
Project Purpose	Project Purpose	Project Purpose <ul style="list-style-type: none"> Indicators of PP 	<ul style="list-style-type: none"> Appreciation of effectiveness (IR-PP) 	Project (Indicators/SoV) purpose	Project (Indicators/SoV) purpose	Project (Indicators/SoV) purpose	Evaluation of effectiveness
Intermediate Results	Main Results	Results + Indicators <ul style="list-style-type: none"> Methods for reaching results 	Appreciation of Contribution of Results to PP. Efficiency of results (output) against methods and resources	Results + Indicators/ SoV (project period)	Results + Indicators/ SoV (yearly basis)	Results)+ Indicators/ SoV (yearly basis)	Efficiency evaluation: <ul style="list-style-type: none"> Output related to investment (mat./hum.)
Activities	3. Components	3. Components <ul style="list-style-type: none"> Main activities per result Main actors for execution 	3. Components <ul style="list-style-type: none"> Appreciation of: <ul style="list-style-type: none"> Planning schedule, Methods Main activities Main actors 	3. Components <ul style="list-style-type: none"> Activities per component Resources per component 	3. Components <ul style="list-style-type: none"> Activities (ongoing and new) Assumptions Deviations from PO/AWP 	3. Components <ul style="list-style-type: none"> Activities (realised/not realised) Deviations from AWP 	3. Analysis of Realisation of planned activities deviations
Assumptions	4. Assumptions Important external factors	4. Assumptions <ul style="list-style-type: none"> Actions by others: opportunities and threats, Preconditions 	4. Assumptions <ul style="list-style-type: none"> Factors affecting realisation of the project Preconditions 	4. Assumptions	4. Assumptions <ul style="list-style-type: none"> Actions by third parties 	4. Assumptions <ul style="list-style-type: none"> Realisations 	4. Appreciation of: Assumptions: <ul style="list-style-type: none"> Appreciation of unforeseen factors for realisation of plans
Organisational aspects	5. Project Organisation	5. Project Organisation <ul style="list-style-type: none"> Executing agencies Organisational analysis of actors including target-group 	5. Project Organisation Appreciation of <ul style="list-style-type: none"> Executing agencies: (S/W) Target group, (S/W) Supporting measures e.g. monitoring system 	5. Project Organisation <ul style="list-style-type: none"> Management structure Responsibilities Decision making procedures Reporting lines Monitoring system 	5. Project Organisation <ul style="list-style-type: none"> Management structure Responsibilities Decision making procedures Reporting lines Monitoring system Deviations from PO 	5. Project Organisation <ul style="list-style-type: none"> Management structure Responsibilities Decision making procedures Reporting lines Monitoring system Deviations from AWP 	5. Project Organisation <ul style="list-style-type: none"> Appreciation functioning; internal and external, Availability information and its utilisation,
Resources	6. Resources Main resources: <ul style="list-style-type: none"> Material and human resources 	6. Resources <ul style="list-style-type: none"> Timeframe Quantities Qualities Personnel/staff 	6. Resources <ul style="list-style-type: none"> Efficiency of resources and time frame 	6. Resources Resources and timeframe <ul style="list-style-type: none"> Personnel and staff Host country / organisation contribution Donor contribution Material & equipment 	6. Resources Resources and timeframe <ul style="list-style-type: none"> Personnel and staff Host country / organisation contribution Donor contribution Material & equipment Deviations from PO 	6. Resources Resources and timeframe <ul style="list-style-type: none"> Personnel and staff Host country / organisation contribution Donor contribution Material & equipment Deviations from AWP 	6. Resources Realisation <ul style="list-style-type: none"> Efficiency, deviations from plan Consequences (positive and negative)
Budget	7. Budget <ul style="list-style-type: none"> Estimation of contribution Donor/host country/ organisation /target groups 	7. Budget <ul style="list-style-type: none"> Cost estimates Local/foreign currency Contributions parties 	7. Budget <ul style="list-style-type: none"> Justification of contributions Alternatives 	7. Budget <ul style="list-style-type: none"> Host country / organisation contribution Donor contribution 	7. Budget <ul style="list-style-type: none"> Host country / organisation contribution Donor contribution Deviations from PO 	7. Budget/ Expenditures <ul style="list-style-type: none"> Host country / organisation contribution Donor contribution Deviations from AWP 	7. Budget <ul style="list-style-type: none"> Realisation, Deviations, Respect of procedures
	8. Conclusions and Recommendations	8. Conclusions and Recommendations	8. Conclusions and Recommendations	8. Conclusions and Recommendations	8. Conclusions and Recommendations	8. Conclusions and Recommendations	8. Conclusions and Recommendations
	Annexes:	Annexes:	Annexes:	Annexes:	Annexes:	Annexes:	Annexes:



Logframe	Identification • Pre-feasibility study	Formulation • Feasibility study	Appraisal	Plan of Operations	Annual Workplan	Progress report	Evaluation report
	<ul style="list-style-type: none"> Regional information Problem analysis/tree, Case studies from the field LF (OO, PP, main results) 	<ul style="list-style-type: none"> Methods used for formulation Parties involved in formulation Logical Framework (completed) 	<ul style="list-style-type: none"> Global timeframe Overview Staff planning (short/long term, expat/local) Budget analysis LF complete 	<ul style="list-style-type: none"> Calendar of activities (bar chart) Detailed activities (sub LF) List with names of staff and consultants Specification of material and equipment LF + sub LF (per component) 	<ul style="list-style-type: none"> Calendar of activities (bar chart) Staff planning chart (short and long term, expatriate and national) Inventory of Material and equipment Publications LF + sub LF (per component) 	<ul style="list-style-type: none"> Activities compared with realisations Staff presence chart (ST and LT, expat. and national) Inventory of Material and equipment Publications LF + sub LF (per component) 	<ul style="list-style-type: none"> Evaluation schedule LF planning + LF final phase

14. Bibliography & Internet resources

- EC / MDF (1993): Manual Project Cycle Management: Integrated approach and Logical Framework.
- EC (2001): - Manual Project Cycle Management
- Project Cycle Management: Training Courses Handbook
- FAKT (1999): PME guidelines for ELCT, Tanzania
- ICCO, c.s. (2000): Building bridges in PME: Guidelines for good practice in the planning, monitoring and evaluation of community-based development projects, implemented by Southern NGOs with support from European ecumenical agencies
(<http://www.icco.nl/english/publications/>).
- NORAD: The Logical Framework Approach (LFA). Handbook for Objectives-Oriented Planning
- Royal Ministry of Foreign Affairs (1993): Evaluation of Development Assistance. Handbook for Evaluators and Managers
- USAID (1998): Handbook of Democracy and Governance Program Indicators

Many related resources are available on the internet. Some examples include:

European Commission-Europe Aid

A range of resources and methodological tools related to the EU External Aid policy.
<http://europa.eu.int/comm/europeaid/evaluation/index.htm>

USAID Education & Training Resources

Useful resources from the US government's agency. Includes multiple links to databases of other organizations.
http://www.usaid.gov/educ_training/links2.htm

EUFORIC resources

Europe's Forum on International Cooperation offers a range of documents and links related to all aspects of capacity building.
http://www.euforic.org/by_theme/120.htm

UNDP gender training resources

A useful pack on gender mainstreaming in development from this UN agency.
http://www.undp.org/gender/capacity/Infopacks_TOC.htm

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Building bridges in PME



GUIDELINES FOR GOOD PRACTICE IN THE PLANNING, MONITORING AND
EVALUATION OF COMMUNITY-BASED DEVELOPMENT PROJECTS
IMPLEMENTED BY SOUTHERN NGOs WITH
SUPPORT FROM EUROPEAN ECUMENICAL AGENCIES

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Foreword

A commitment to the struggle of poor and marginalised people for justice, and a readiness to translate this commitment into activities aimed at overcoming poverty and exploitation, are clear strengths of non-governmental organisations (NGOs) acting in development. However, it is also true that an over-activist disposition can be a weakness and that the effectiveness of NGOs is increased when measures are taken to ensure that they reflect on their work, learn from experience and feed this learning into future work.

The need for a greater 'learning capacity' was one of the main findings of the Discerning the Way Together study carried out at the initiative of several major ecumenical funding agencies in Western Europe in 1994. This led to the launch of a North-South action-reflection project, aimed at developing practical guidelines for NGOs to help meet this need.

Between 1996 and 1999 the Joint Planning, Monitoring and Evaluation (PME) Project was carried out, involving representatives of five ecumenical funding agencies and nine Southern development organisations from Latin America, Africa, the Middle East and Asia. The group met four times in annual plenary meetings to share and discuss their working PME systems and methods and to decide upon steps to improve these. This North-South collaborative project, unique within the Protestant churches' ecumenical framework, provided participants with valuable insights into how they could instil a capacity to learn in the working practices of their organisations. Generally both Northern and Southern participants believe that the use of simple, systematic procedures can increase the strength of their organisations, the quality of the work, and the communication with and participation of the organisations with which they

collaborate.

Enthusiastic about their own learning experiences during the Joint PME Project, the participants decided not only to develop and refine their own PME but also to promote the application of their methods and tools among other NGOs in their countries and regions. This booklet of good practice guidelines is one step towards this. It represents a distillation of the key agreements made by project participants on what defines 'good practice' in PME, and sets out to share these with organisations interested in improving their PME and, ultimately, the quality and effectiveness of their work.

We all hope that this publication will stimulate sister organisations to reflect critically upon their own PME methods, systems and tools; and that the suggested guidelines will help towards the development and improvement of PME practice among organisations working for the eradication of poverty, for justice and dignity for all.

On behalf of the participants in the Joint PME Project
Coordinator

Date

Bram van Leeuwen

1 August 2000 ICCO

The following participants were also involved in the preparation of this document: Henk Gilhuis and Audrey Kenter (ICCO), Mary Kleinenberg (AFRA), Christoph Mann (Bread for the World), Margaret Mwaura (CORAT), Alonso Roberts (CESE), Gobinda Saha (CCDB) and Aidan Timlin (Christian Aid).

Introduction

MOTIVATION

When the participants met for the first time, they decided to take joint responsibility for the North-South PME project, with two objectives:

- (a) To improve their internal working methods, so that limited human and financial resources could be used optimally in the struggle against poverty and injustice.
- (b) To improve communication between Southern organisations and Northern funding agencies by harmonising their management information systems, orienting them towards learning and not just accountability, and ensuring the timely exchange of relevant information at the key stages of a project or programme. This should result in better co-operation between partners working together towards shared development goals.

In relation to the second of these objectives, the key questions concerned what information is required, when, and from whom:

- By the management of a Southern or Northern development organisation in order to be in a position to make the best possible use of its capacities and resources.
- In the communication between implementing and supporting Northern organisations, so that the latter are enabled to provide services to organisations that qualify for support, and to do so in a way that enables those organisations to become stronger actors in civil society.

THE PROCESS

Assisted by a consultant, Frits Wils, a senior staff member of the

Institute of Social Studies in The Hague, participants were introduced during the first plenary - in the Netherlands, January 1996 - to standard PME concepts and systems and how these are applied. All agreed to initiate PME experiments within their organisations as 'homework' during the period until the second plenary in Tanzania in February 1997. Discussions at this meeting focused mainly on the preconditions for partner organisations and supporting agencies to be able to communicate and co-operate on the basis of agreed PME systems. Southern participants argued that information generated through a PME system would make their organisations highly transparent to supporting agencies. They were concerned about whether agencies were sufficiently mature to deal with these insights fairly and whether there was enough trust and wisdom to interpret the information in a balanced way and use it constructively towards improved co-operation. Recognising the danger of jumping to conclusions, especially when supporting agencies look at Southern partners as (their) instruments for (their understanding of) development, participants affirmed that a common mission and common goals should serve as the basis and frame of reference for North-South co-operation. At the same time participants realised that the lack of appropriate information on projects and programmes could hamper and weaken a partnership relationship and negatively affect co-operation. This open debate about sensitive aspects of PME created a base for fruitful discussions about how PME systems could be installed and practised. Further experiments with the use of PME during 1997 prepared participants for an in-depth discussion of PME methods at the third plenary, held in Bangladesh in March 1998. This meeting agreed on a tentative set of guidelines for good practice in PME for both Southern and Northern organisations. Trial experiences with these guidelines during 1998 were fed into the final plenary in Honduras in April 1999.

An important part of each plenary meeting was a field visit, organised by the host organisation, designed to keep plenary

discussions focused on the practical realities of PME application rather than its theory. Through the field visits with CCDB in Bangladesh and with CCD in Honduras, the host organisations demonstrated the way they used PME systems, methods and tools. Working in small groups, participants acquainted themselves with the application of PME in the projects and in local communities, reflected on their observations, and brought these reflections back to plenary discussions where guidelines for good practice were gradually formulated and agreed.

AN OUTLINE OF THE BOOKLET

This publication is a summary of the main results of these four plenary sessions. Chapter One offers some initial comments about the changing context of development co-operation in which the issue of PME is approached. Chapter Two puts forward general principles for North-South co-operation and then looks at PME as a methodological tool, at the logical framework approach, and at the characteristics necessary for a PME system to be relevant and useful. In Chapter Three, focusing on the work of implementing NGOs, guidelines are formulated for the planning, monitoring and evaluation of a project. Chapter Four considers the essentials of community-based PME and how it relates to the PME system of a supporting NGO. Chapter Five discusses how the implementing NGO's project PME system relates to funding agencies. Here, recommendations are made about the type of information that agencies require to fulfil their role responsibly, and about ways to avoid or minimise negative effects on NGOs' own systems. Finally, Chapter Six contains an introduction to the challenge of developing PME systems at programme and institutional levels.

Chapter 1

PME IN THE CHANGING CONTEXT OF DEVELOPMENT CO-OPERATION

Interest in Planning, Monitoring and Evaluation has grown considerably among ecumenical agencies and partners over recent years, for several reasons.

Firstly, development concerns in the 1990s experienced a shift in focus away from ideology to greater emphasis on concrete, measurable results and iterative achievements. While previous expectations with regard to development co-operation were influenced by preoccupation with ideological motives and compatibility, recent debate has been characterised by increasing pragmatism and questions about effectiveness, impact, added value and attribution. More open, flexible attitudes also take into account the diversity of interests involved. Relations have begun to be built with other actors such as government institutions and international agencies, previously considered by many as monolithic entities more likely to constrain than to enable people's development. The non-governmental development community is showing greater modesty, and it recognises the need to identify and measure results that make a difference to the lives of poor people.

Secondly, the reduced role of the State in productive and social investment, and the failure of globalising markets to provide productive employment and income for the poorest, have prompted a strong expansion of the NGO sector in most countries. There is an increasing recognition of the potential of NGOs - through their close relationship with the poor, their adaptability to local situations, their capacity for innovation - so that expectations for the contribution of NGOs to poverty eradication and social development have grown considerably over the past decade.

Thirdly, despite the increasing visibility of NGOs in the development field, up to now the NGO community as a whole has largely failed to produce compelling evidence of the difference it makes to the lives and circumstances of poor people. Many recent publications point to the general weakness of NGOs in systematically identifying and documenting their impact. As a result, their overall contribution to development remains ambiguous and their capacity to learn from experience weak.

These factors affect the relations between Northern and Southern development NGOs which can suffer from an imbalance in several respects. Non-operational funding agencies, when questioned about the relevance of NGO interventions, are inclined to refer these questions to their implementing partners, often without seriously searching for themselves how best to present the results of their funding to their own supporters and donors in a more transparent and convincing manner. While passing the burden of these questions to their partners, some agencies generally remain rather vague as to what kind of information is required, why, when, for whom, and for what purpose. Often, uncertainty around this within agencies can result in an increase in the number of questions asked, not all of which are always relevant, and can thus create unnecessary workload for partners. Even when partners manage to respond, lack of adequate feedback from (often equally overburdened) agency staff inhibits a more in-depth dialogue with partners on broader policy matters.

The problems are aggravated by the fact that many Southern partners receive financial support from several agencies, each inclined to press its own particular information needs and interests. Partners are kept busy satisfying diverse agency requirements, which may have little relevance to the local context. This is particularly hard to excuse where a group of agencies, often with many interactions among them, has been co-operating with the same partner for some time.

In short, despite several decades of experience in development co-operation between Northern ecumenical agencies and Southern NGOs, we are still struggling with the flow of information related to the essence of our relationship - project and programme funding and support.

Three key questions facing us are:

- How do we improve our communication on issues related to the programmes and projects on which we co-operate?
- What kind of information should a Southern NGO be expected to make available to show it is acting as a responsible implementing agency?
- What kind of information should an agency be expected to make available to show it is acting as a responsible funding agency?

1.1 STAKEHOLDERS IN PME

Within the ecumenical framework for development co-operation, planned development interventions commonly take the form of programmes and projects involving three kinds of actors: local communities of poor people and grassroots organisations; facilitating or implementing Southern NGOs; and Northern funding and support agencies. Each of these usually employs (to varying degrees of rigour and systematisation) a set of criteria, practices, methods, tools or instruments to plan its work, organise its efforts and allocate its resources, as well as (implicit or explicit) expectations and standards against which to measure and value the results. However, these actors are highly interdependent, since usually no one of them has at its disposal the necessary knowledge and human and material resources to pursue its development goals single-handedly. Development outcomes therefore depend to a large extent on the quality of the relations between these interdependent actors. Their PME systems and the degree of 'fit' between them must therefore be of concern to all, as information for decision-making and resources for implementation are expected to flow at the right time to the right point in this 'aid

chain'. This section considers the perspectives, interests and concerns of each of these stakeholders.

1.2 POOR COMMUNITIES

The lives of poor and marginalised people are the common concern of most NGOs and aid agencies that share a commitment to the advancement and emancipation of the poor - in social, cultural, economic and political terms - and to development marked by equity and freedom. But poor people are not passive beneficiaries of externally devised interventions: they must be active participants in their own progress.

PME systems are essential in helping the various actors to define realistic objectives for their work, to select means and resources for achieving them and to measure their progress towards them while learning from experience. PME is also an indispensable means for ensuring that NGOs and aid agencies are accountable, not only to their supporters and donors - interested in efficient use of resources and value for money - but also to the poor, for whom PME may serve as a basis for self-reliance and empowerment. Indeed, in many cases PME can and should be related to an intervention strategy that, from the very start, envisages the transfer of responsibilities and resources towards the organised poor and the progressive withdrawal of the NGO. It is hoped that PME for the poor can represent an opportunity for learning and can enable them to hold accountable the organisations that aim to support them. In practice, however, difficulties arise.

Firstly, the better and more participatory the method for problem-diagnosis, the more likely that different aspects of poverty and inequality among the poor will appear, such as those of gender, age, class and ethnicity. The challenge is how to manage these differences and address the varying needs, interests and opportunities that come with them.

Secondly, poor people exercise a logic that may not always be mirrored in that of external organisations but which is intimately linked to their own perceptions and circumstances, sometimes with a limited margin for risk-taking, and with limited information, resources and time. The question then becomes: how to relate their versions of planning, monitoring and evaluation (the 'people's PME') to those of intervening NGOs and supporting agencies, which in turn are influenced by their own logic, time-frames, perceptions and constraints?

Applying a PME system at the grassroots which can be said to be 'owned' by the 'beneficiaries' is far from simple. Those working with and within a community often do not know how to manage the problems that arise there and those that arise between community and NGO. Appropriate methods are only just beginning to emerge.

1.3 SOUTHERN NGOS

While the perception of PME as an imposition by agencies remains strong among some Southern NGOs, many have come to see it as an indispensable instrument for their own self-determination and learning, as well as a tool for accountability to grassroots organisations and funding agencies, whether government, multilateral or private. Indeed, for some, NGO mission statements, development strategies and programme plans have become the point of departure in negotiations with funding agencies. For many, PME systems have evolved as an instrument for shaping an NGO's grassroots orientation and participatory approach, and for promoting the efficiency and effectiveness of its work.

However, methods are often inadequate, tending to be more oriented towards planning and appraisal (including participatory tools), than monitoring or reflection. Participatory Rural Appraisal, Planning by Objectives (ZOPP) and People's Action

Planning, for example, all focus strongly on the initial problem-diagnosis and the plans derived from it. Such exercises can be expensive and time-consuming, while the information generated is often difficult to use as a basis for monitoring and evaluation.

At the same time, the growing diversification of financing agencies poses problems for the PME systems of Southern NGOs, for some more than for others. The demands of agencies - in terms of preferred monitoring indicators and ways of accounting and reporting - vary considerably and are not always mutually compatible. This can confront an NGO with the problem of how to marry its agenda with that of agencies whilst remaining loyal to its own mission and goals; for instance when trying to juggle service delivery with an empowerment strategy, and handle two sets of corresponding indicators. This is exacerbated when an NGO's financing agencies differ widely in their fundamental approach - some with a closer ideological affinity or 'natural partnership' with the NGO, others more contractually driven.

Since the early 1990s, however, Northern ecumenical agencies have no longer played such a predominant role with regard to many of their Southern partners, with funding from other sources increasing.

Local and national governments are becoming more important for many NGOs, not only as sources of funding but also as allies or as targets of interventions. Many NGOs are now increasingly engaged in work at the 'macro' level, seeking to influence government policies, often in alliance with other groups in civil society. Such advocacy, lobbying and alliance-building has its own set of PME challenges, with the identification of stakeholders, the definition of indicators and the measurement of impact.

Thus the context for the work of NGOs becomes more complex, and their strategies and methods of intervention more varied, with implications for their approach to PME. There can be no blueprint.

The organisational fabric and culture, unique to a particular NGO, must be taken into account when developing and implementing any PME system.

On the other hand, PME systems often make insufficient provision for the empowerment of the poor during the implementation of a project. NGOs and agencies must consider when intervention should end and how to work towards self-reliant local communities. The question should be included in PME, in order to avoid the dependence that often results from operating an ongoing 'open agenda'.

No NGO system stands in isolation. Each must link up with community-based PME as well as with the systems of the often diverse funding agencies. These stakeholders demand transparency of an NGO's PME system, whilst the NGO may wish to protect its privacy of information, not just because of needing some room for manoeuvre to reconcile the often conflicting demands of different stakeholders but also because it might not wish - for political or other reasons - to share all its thinking with the outside world.

1.4 FUNDING AGENCIES

The Northern ecumenical agencies, for their part, must respond to different specific constituencies (churches, government, the general public, etc.) all of which increasingly seek evidence of efficiency, effectiveness and impact. However, agencies' needs in PME differ markedly from those of Southern NGOs, because agencies mainly fund projects implemented by Southern partners rather than formulating and implementing their own. But agencies are concerned with the formulation and implementation of funding policies, be they general, regional, country-specific, thematic or sector-based. Thus an agency always has two perspectives in PME. One is related to accomplishments at project level and should be shared with the implementing NGO. The other

is concerned with aggregation across projects and partners and how far these contribute to the achievement of programme objectives and ultimately of institutional goals. An agency may be able to provide evidence of the success of a particular project implemented by a Southern partner while failing to demonstrate its relevance to the agency's wider goals. Agencies therefore need to define policy-relevant indicators. Few have such indicators in place or know how to collect and process the corresponding information. Agencies will have to develop PME systems at programme and institutional levels.

Chapter 2

KEY CHARACTERISTICS OF PME SYSTEMS

As with most questions in development, the issue of 'good practice in PME' cannot be regarded as value free. To agree on a common frame of reference for PME systems requires a common understanding of the context of the relationships between Northern funding agencies and Southern implementing NGOs.

2.1 GENERAL PRINCIPLES OF NORTH-SOUTH CO-OPERATION

North-South relationships are marked by an interdependence in which there are differences in roles, resources and power. Not surprisingly, this sometimes leads to diverging perspectives between North and South on the scope and nature of the relationship itself. However, the following principles of North-South relationships have been teased out of debate and can be seen as stepping stones towards the Guidelines for Good Practice in PME which follow.

General principles of North-South relationships

- Our common purpose is to contribute towards struggles of people for a life in dignity, a more just and democracy society, and the empowerment of the poor and marginalised.
- We recognize the differences between Northern and Southern organisations and the consequent differences in our roles and responsibilities.
- We are convinced that joining the resources of South and North strengthens our contribution to achieving the common goal. Co-operation between North and South should be based on appreciation of each other's capacities, situations and cultures, rather than imposing predetermined policies. Northern agencies which implement projects of their own should, in doing so, take into account the views of Southern partners.
- A prerequisite for effective co-operation is open dialogue through which Southern NGOs can influence Northern agencies' policies.

A Southern organisation is accountable to those who 'own' it (be they individual members, affiliated groups or churches), to the people it aims to serve, and to the agencies which support its work. A Northern agency is accountable to its donors, churches and supporters, and to the partners it works with. Neither party can force the other to follow any course; each should respect the choices and the limitations of the other.

Northern agencies should actively seek the views of partners when they are developing policies. In particular they must take seriously the outcomes of National Platforms of Dialogue or other national consultations such as 'Round Tables'.

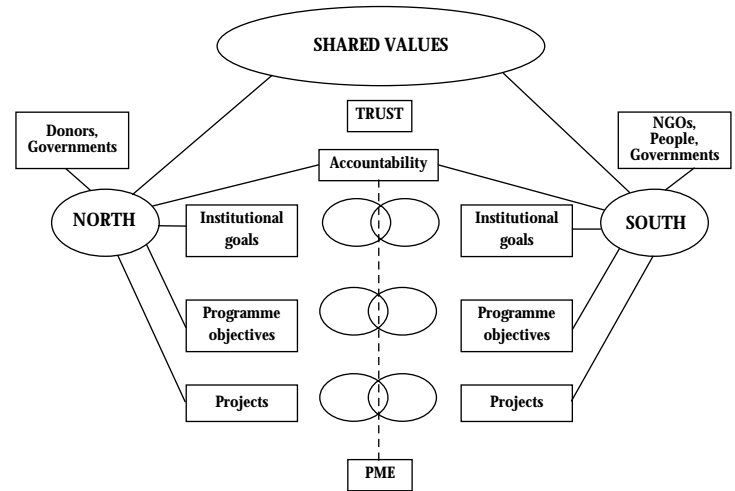
Southern organisations are generally the key actors in projects implemented in their region. Therefore the Southern organisation normally takes the lead in planning a project. The Northern agency, given its funding role, has the responsibility to assess whether the project is relevant, feasible, consistent with its own mandate and policies, and likely to contribute to the common goal.

In practice the relationship varies in distance and intensity. Usually, the Southern NGO undertakes the planning and implementation of a project and is responsible for decisions during its course; Northern agencies provide resources and eventually receive reports but are not involved in implementation. But, in other cases, the Southern NGO formulates a proposal that is discussed with the Northern agency to assess whether or not it is acceptable as a basis for co-operation. Then the implementation of the project, including problems and adjustments to be made, is discussed jointly, as well as plans for evaluation, so that NGO and agency are engaged in more of a joint venture. Collaboration may be even closer, with initiatives such as joint advocacy. What is essential is that both parties should be clear about the model they are operating under and their respective roles and responsibilities within it.

Trust is essential for meaningful co-operation. Trust has to be built, and sustained, through the sharing and discussion of values,

needs and goals, as well as through consultation on agency policies.

Figure 1: Conditions for North-South co-operation



2.2 PME AS A METHODOLOGICAL TOOL

A PME system provides a methodological tool that can be used to improve an organisation's capacity to manage and implement planned change. Because outcomes of social development processes are to a large extent unpredictable, development organisations need methods and instruments for adjusting their interventions in line with real changes on the ground as well as for improving communication. Thus it is possible to identify a range of purposes which any PME system should serve :

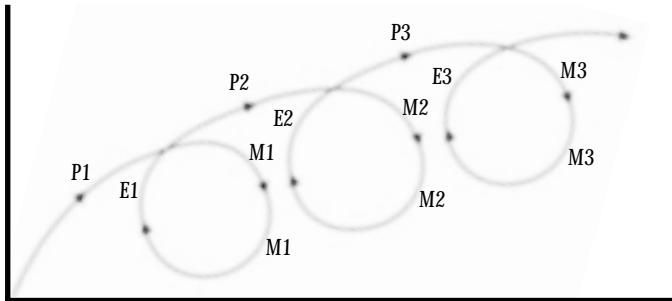
A PME system should promote	
- transparency	- learning
- accountability	- autonomy
- mutual understanding	- empowerment
- efficiency	- shared ownership
- effectiveness	- sustainability

Like most development interventions, PME systems are typically based on the following logic:

- After research and problem-diagnosis, a working hypothesis is formulated, that an intervention will produce certain hoped-for changes in line with the implementing organisation's development goals.
- This hypothesis is tested through action, reports on which provide feedback to those responsible, for:
 - a comparison between hypothesis and outcomes, with analysis of reasons for any divergence, followed by ...
 - adjustments of intentions, plans and objectives for subsequent activity.

The comparison between expected and actual outcomes puts in motion a further learning process, providing feedback for an adjusted working hypothesis. We change from actors back to researchers. Over time, this ongoing chain of action and reflection becomes what is intended to be an *upward learning spiral*.

Figure 2: The learning spiral - relating **P**lanning to **M**onitoring and **E**valuation



2.3 THE LOGICAL FRAMEWORK APPROACH TO PME

Much of the reasoning that underpins PME systems at the project level is encapsulated in the 'Logical Framework', a tool used by many organisations to help them think through the structure of a project and communicate this in a logical way. The

'Logframe' is not intended as a substitute for detailed plans but is meant to facilitate planning through the (usually, and ideally, collaborative) production of a clear, simplified representation of a project design. This design can then be used as a tool for explaining the project, and for reviewing its progress and making adjustments. It has considerable potential as a monitoring and evaluation tool, though most experience with it up to now has been at the design and proposal stage.

To be used effectively, the Logframe is best seen as a flexible tool to be adapted to specific project contexts, not as a mechanistic procedure for meeting funders' requirements. Different formulations of the Logframe exist, each with slightly different information requirements or terminology. Which form (if any) to follow will partly depend on the project funding source. The basic Logframe is as follows:

Narrative Summary	Indicators	Means of assessment	Key assumptions
Goal	of impact	sources of information on impact	
Specific objectives	of effectiveness	sources of information on utilisation	development hypothesis (objectives to goal)
Outputs (with indicators incorporated as targets)		sources of information on implementation	project assumptions (outputs to objectives)
Activities	list of key Inputs required to undertake the activities, including a summary of the budget		implementation assumptions (activities to outputs)

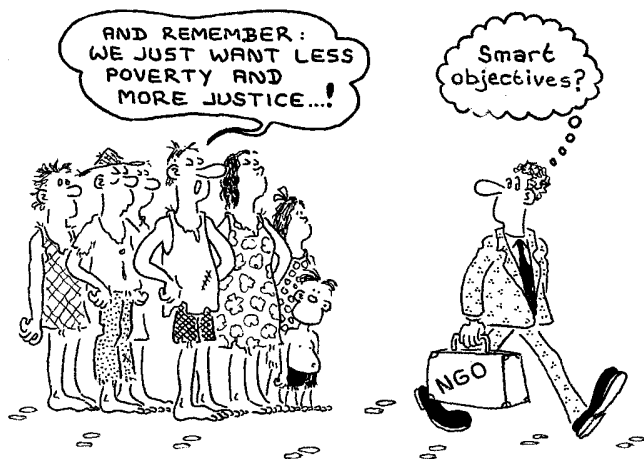
The *goal* is the wider developmental purpose to which the project is to contribute, relating to the change that is sought in addressing the key problem that is identified; it is called the *general objective* by some practitioners. The (*specific*) *objectives* relate to the

more immediate changes that the project is intended to bring about among the target population.

Thus, a project can be seen to consist of activities (normally specified in annual plans, with the *inputs* they require) which should produce outputs which in turn are intended to achieve specific objectives which contribute to the realisation of the goal.

As far as possible, the definition of objectives (with their related effectiveness indicators) and of outputs should fulfil SMART requirements, being:

- Specific
- Measurable
- Achievable
- Relevant
- Time-bound



(See Appendix 1 for fuller definitions of the terms that are applied and Appendix 2 for further information on using Logframes.)

2.4 ESSENTIAL QUALITIES OF PME SYSTEMS

Certain qualities are essential in a PME system if it is to function well:

- **Tailor-made:** a PME system must be adjusted to the mission, vision, goals, strategies and resources of the organisation that owns it, and at the same time be relevant to the other organisations to which it relates.
- **Flexible:** a PME system should always be open to adjustment in the light of experience.
- **Clear and transparent:** the purpose, operation and products of a PME system should be clear to its users and other stakeholders and be readily understood by them.
- **Usable and sustainable:** a PME system should be simple and accessible, so that those involved feel motivated to use it, making it possible to harness the necessary discipline and enforce standards of accountability.

NOTE TO THE FOLLOWING CHAPTERS:

Appendix 3 reports on the experience in planning of one of the NGOs that participated in the Joint PME Project - Christian Commission for Development Bangladesh (CCDB) - and of a community-based organisation (CBO) with which it works, Nayantara Forum. While not matching exactly the version of the Logframe outlined above or the Guidelines in the next chapter (which are not intended to be applied rigidly but rather adapted to the needs of a particular organisation), the experience does provide a useful illustration of the approach. In the course of Chapters 3 and 4, shaded boxes are inserted with references to the corresponding sections of Appendix 3.

In fact, the Nayantara Forum PME system is relatively advanced for a CBO and illustrates not only Chapter 4 (a simplified approach for community-based PME) but also Chapter 3 (the guidelines for NGO projects). The CCDB system illustrates both Chapter 3 and the second part of Chapter 4 (linking community-based PME with NGO PME); it is also relevant to Chapter 6 (programme and institutional PME).

Chapter 3

GUIDELINES FOR GOOD PRACTICE AT PROJECT LEVEL FOR IMPLEMENTING NGOS

These guidelines are applicable to a rural or urban development context where interventions are focused on local communities and people's organisations. They would require adaptation to be relevant to other types of intervention such as advocacy or emergency relief and rehabilitation.

Preliminary Assessment Preparing the ground.

Planning (Charting the path.)

Assessing Participation (Knowing who should be involved.)

Situation Analysis (Understanding the problem.)

Defining the Goal and related Objectives (Where do we want to go?)

Developing Indicators for Objectives (How will we know if we've got there?)

Defining Outputs, Activities & Inputs (How do we get there?)

Preparing For Monitoring & Evaluation (How will we check that we're getting there, and how will we know whether we've arrived?)

Monitoring (Checking that we are on track.)

Evaluation (Knowing whether we've arrived and what difference we've made.)

3.1 PRELIMINARY ASSESSMENT - PREPARING THE GROUND

It is assumed that, before drawing up specific plans or projects, the NGO has agreed its overall mission, vision and mandate, development goals and policy priorities. This fundamental decision-making often included in a strategic planning process falls outside the scope of these guidelines.

See Appendix 3, section 1.1: mission statement

A preliminary assessment of any project intervention commonly includes:

- A general assessment of the prospective intervention area, taking into account the national and regional context.
- A preliminary identification of the people who would benefit directly from the project - potential 'beneficiaries' or 'target groups' - and their characteristics and concerns, their problems and possible causes of these.
- An analysis of the interests and concerns of those present in the area who may be affected by or may affect the project ('stakeholder analysis'), including consideration of the responses already being made to the problems and concerns of the target groups.
- A preliminary definition of the response that the NGO might give, taking into account its mission, vision and mandate, and its resource base.

At this stage the NGO usually decides whether, given its mandate, it is best-positioned and equipped to intervene in the area. It also forms a first view of possible priorities and limitations that will affect the planning

3.2 PLANNING - CHARTING THE PATH

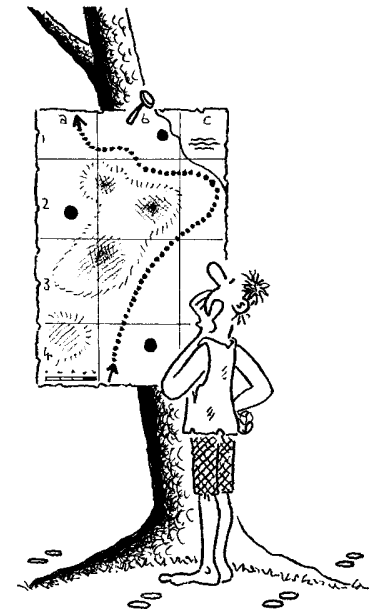
Having decided, in principle, that it should intervene, the NGO moves into the planning of the project, the first element in PME, when objectives are defined and strategies developed. But planning should not be seen as being quite separate from subsequent monitoring and evaluation: provision for these should be included in planning, and - as seen in the previous chapter - they in turn should feed into future planning

3.2.1 ASSESSING PARTICIPATION - KNOWING WHO SHOULD BE INVOLVED

See Appendix 3, sections 1.2 and 2.2: participatory planning process

NGO interventions at the grassroots require the active participation of the target group throughout the planning process. In planning community-based interventions, the following should be specified:

- Who is involved, clarifying particularly the role of women, but also the participation of other social groups or categories (e.g. youth, the landless.)
- For whom the benefits of the project are intended.
- Which methods and instruments are to be used in the participatory planning process (e.g. PRA, group discussion, semi-structured interviews.)



During the planning process, considerations of gender and environment and questions about the sustainability of project benefits should continuously and explicitly be kept in mind. Attention may also be paid to differences and influences of culture and faith.

Some projects that are not grassroots-based will not demand this degree of active involvement of local communities: for example, regional or national advocacy work, or service delivery projects aimed at individuals rather than communities.

3.2.2 SITUATION ANALYSIS - UNDERSTANDING THE PROBLEM

An essential element in a participatory planning process is the situation analysis, or 'baseline assessment', in which the key problems and possible responses are considered.

- A 'situation analysis' identifies:
 - (a) priority problems, as locally understood and more widely defined;
 - (b) their main causes, both local and wider - regional, national or international;
 - (c) causes that can be addressed by a local intervention;
 - (d) resources within the community, or from others, relevant to tackling the problems.

See Appendix 3, section 1.3 : context analysis ; and see the analysis of problems, causes and available resources in section 2.3

- A participatory baseline survey is the preferred vehicle of many organisations for obtaining detailed, reliable and validated information from the grassroots and for determining the problems and perspectives of the people concerned. At the same time, it helps increase awareness of the nature of the problems, their local causes, and the changes that are being sought. This makes possible the definition of specific objectives for an intervention and the identification of corresponding indicators, outputs and activities.

- The identification of problems and the baseline survey should help identify existing opportunities as well as obstacles.
- Grassroots representatives and NGO staff should together consult other key stakeholders to gain a better understanding of the problems, and of their immediate and root causes, and to consider the most appropriate actions to address them.
- Where causes and solutions are concerned, distinction should be made between those at 'micro' and those at 'macro' level; the possibility of combining analysis and action at both levels depends on the interest, awareness and capacity of the community and/or community-based organisation.
- It is important to identify those problems that cannot be addressed by the NGO involved. These may be referred to other organisations.
- It is, therefore, important also to identify what others are already doing or are planning to do.
- A risk analysis is needed to identify external factors that may jeopardise the production of outputs or the achievement of the effects and/or impact sought.
- Cost-benefit considerations and time constraints need to be taken into account in considering what problem or problems might be addressed, and how.
- A situation analysis is rarely complete before project start-up and should therefore be extended and updated through information and insights from monitoring, reviews and evaluation studies.

3.2.3 DEFINITION OF GOAL, SPECIFIC OBJECTIVES AND INDICATORS - WHERE DO WE WANT TO GO? HOW WILL WE KNOW IF WE'VE GOT THERE?

See Appendix 3, sections 1.4 and 2.4: definition of objectives

The goal and objectives for any intervention should be defined as statements of the changes to be brought about with the target groups. A clear distinction should be made between:

- (a) The goal - often, though not always, long-term - which relates to the key issue or problem that needs to be addressed at a wider level, beyond the project.
- (b) The specific objectives, which relate to what the project aims to achieve upon completion or soon after, perhaps addressing immediate causes of the wider problem, in order to contribute towards the goal.

As stated in the previous chapter, the definition of objectives should as far as possible meet SMART requirements. More particularly, the specification should make clear any boundaries for achievement in terms of location or target group. Indicators related to the goal and objectives should enable the measurement of change over time, relative to the situation at the outset of the project.

When defining the indicators, distinction should generally be made between:

- Indicators of impact, in terms of changes in the lives or circumstances of beneficiaries, usually related to the overall goal.
- Indicators of effectiveness, concerned with what the project is intended to achieve directly, upon its completion or soon after, and related to the specific objectives.

3.2.4 DEFINITION OF OUTPUTS, ACTIVITIES AND INPUTS - HOW DO WE GET THERE?

The next stage of planning is to determine just what needs to be done for those specific objectives to be achieved:

- The outputs that are needed to achieve the objectives should be specified.
- The activities to produce these outputs should be elaborated, making clear who will be involved in each activity, where and when.
- The necessary inputs (including human, material and financial resources) should be listed for each of the activities.

Like the definition of objectives (see above), the definition of outputs should, as far as possible, fulfil SMART requirements, with clarity about where and for whom each output is to be produced.

See Appendix 3, sections 1.5 and 2.5: versions of the Logframe approach

Specifying outputs helps define the levels of accountability of the project management. It is the outputs that, under given assumptions, can be guaranteed by the project and for which the project manager(s) responsible may be held to account. This means that outputs need to be clearly specified and achievable within the short run (for example over one year) so that they can be monitored. An output should be specified not merely as the delivery of some input but as the measurable product of activities (making it possible afterwards to express what is actually produced as a percentage of what was expected). That being so, there is no need to define separate indicators for outputs.

3.2.5 PREPARING FOR MONITORING - HOW WILL WE CHECK THAT WE'RE GETTING THERE?

Monitoring in its most basic form aims to capture the extent to which the inputs are being made available, the activities are being carried out and the expected outputs are being produced; but it may also provide information that serves evaluation purposes. The foundations for monitoring are laid at the planning stage when the following requirements need to be fulfilled:

- A disaggregation of the project plan through time-bound, usually annual, specification of activities and related outputs, broken down to the level of NGO field staff and discrete community activities. Further specification in quarterly, monthly and sometimes weekly plans may be necessary for management purposes, depending on the length and scope of the project.
- A specification of the organisational arrangements for monitoring, including responsibilities, procedures, methods and

tools for the collection and analysis of information, and time schedules. These arrangements should be specified in accordance with level and location within the organisation.

- In addition, methods and procedures need to be incorporated to observe and report on unforeseen but relevant activities and outputs, and on changes in the context and within the NGO itself.

Special attention is required for monitoring the scope of the project - that is, whether it reaches the intended beneficiaries - and the actual delivery of benefits.

The quality of any monitoring system depends in large part on the usability, completeness, reliability and validity of the information submitted by communities or gathered by field staff. To ensure the quality of field data, special measures are needed which may include appropriate training as well as regular attention by field supervisors.

As already mentioned, monitoring may go beyond the measurement and reporting of input provision and activity completion against plans, beginning to gather information of a more evaluative nature. This information provides an indication (including judgements by staff) of whether the project as it is unfolding is on course to achieve planned objectives. Recent experience supports the inclusion of impact assessment in ongoing monitoring - gathering especially the views of beneficiaries - as an essential means of learning about real change and impact. Some agencies have already moved in this direction.

See Appendix 3, sections 1.6 and 2.6: preparing for monitoring

The collection of monitoring data will only be useful for reporting, learning and adjustment of plans if it allows for comparison between planned and achieved inputs and outputs.

Analysis of this should be kept as near as possible to field level so that responsibility for any adjustments is affirmed.

3.2.6 PREPARING FOR EVALUATION - HOW WILL WE KNOW WHETHER WE'VE ARRIVED?

During the planning period arrangements need to be made for evaluation:

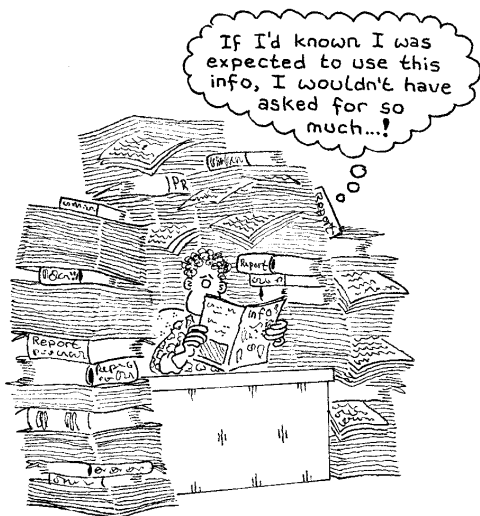
- The expected effects of the project in relation to specific objectives need to be listed, with effectiveness indicators; and also the expected impact, in relation to the goal, with its corresponding impact indicators. It should be made clear whether it is intended to evaluate effects and impact together or whether impact will be considered separately - perhaps as part of a long-term impact assessment (see section 6.3, below.) Recent experience suggests that better and more timely impact assessment may be made when consideration of impact is integrated into regular reviews and evaluations (and also into ongoing monitoring, as mentioned above.)
- Organisational provision must be made for evaluation, specifying responsibilities (such as for definition of the terms of reference and selection of the evaluation team), procedures, timing and instruments for the collection and analysis of data, and a budget.

See Appendix 3, sections 1.7 and 2.7: intended evaluations

3.3 MONITORING -CHECKING THAT WE ARE ON TRACK

- Monitoring should be carried out as far as possible in accordance with time schedules agreed at the planning stage. The systematic gathering and analysis of information that is implied in monitoring requires disciplined effort and the commitment of time. The more that monitoring activities are foreseen and built into working routines, the more likely it is that they will not be postponed because of more pressing daily chores.

- Projects should be monitored not just from a retrospective but also from a prospective point of view. That is to say that a monitoring exercise has most value when its outcome is used to adjust, where necessary, the current phase of a project, or to revise plans for the next phase, or both.
- Planned inputs and expected outputs should be compared with employed inputs and achieved outputs, with explanations for any discrepancies; and indications should be made of necessary or suggested adjustments to the subsequent planned activities.
- In addition, information should be collected and analysed on changes in the external environment and within the organisation itself. Information should also be collected on qualitative, subjective factors such as the involvement and motivation of NGO staff and of grassroots participants, in order to check continuing commitment to the project.
- The process of monitoring should be carried out with the active participation of staff at all levels, and should provide for openness in the upward and downward flow of information and for learning and organisational development.



- Data collection should be limited to such minimum information requirements as are necessary for use by field staff and/or for management decision-making. This will need to be negotiated and may change over time.

To avoid unnecessary delay in the feedback that managers and agencies need, it may be determined that effectiveness and impact data should be captured during monitoring. If so, staff who are monitoring inputs and activities will need to be encouraged also to observe effects and impacts, including unforeseen ones; they should ask people in the communities what changes they are experiencing and to what extent these are caused by the implementation of the project.

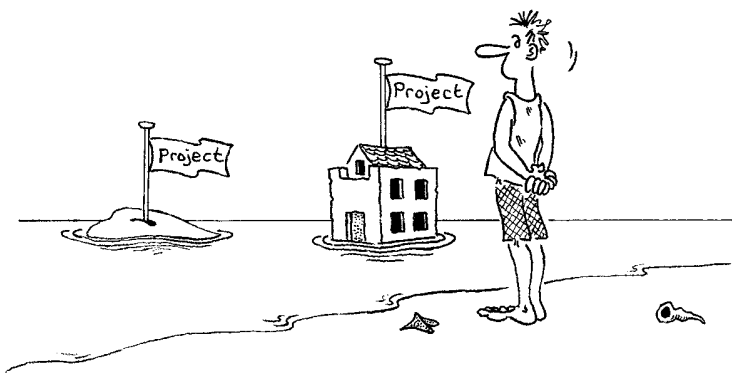
See Appendix 3, sections 1.6 and 2.6: process and impact monitoring

3.4 EVALUATION - KNOWING WHETHER WE'VE ARRIVED AND WHAT DIFFERENCE WE'VE MADE

- Periodic project evaluations are generally carried out in accordance with time schedules and procedures that are determined, and agreed with funders, in advance. Such evaluations usually involve a systematic effort to test the linkage between outputs and effects, and between effects and impact, in the light of realities on the ground. They use as reference points the corresponding indicators, formulated during the planning stage, which may have been revised during monitoring. Based on these indicators, comparison is made between intended and achieved effects and impacts, with discussion of the causes of any discrepancies. In addition, unplanned outcomes are identified, and a rationale is provided for any revision of project plans.
- Evaluations should primarily serve internal management and learning needs within NGOs (and within CBOs and agencies too). Indeed, an evaluation can be a convenient starting point for the consolidation of an organisation's PME system. More

particularly, evaluations are crucial for management decisions about the revision of ongoing plans or the formulation of new plans. They should not be seen as 'instruments of control' or the basis for funding decisions by donors. External accountability should be considered a secondary, though important, function of evaluation.

- Evaluations should be carried out increasingly as exercises in self-evaluation by implementing NGOs, although this will partly depend, in each case, on the particular purpose of the evaluation and on the maturity of the organisation and its PME system. Even if mainly internal, it is generally helpful if an evaluation is accompanied and shared by one or more experienced external evaluators, since a purely internal evaluation may not be sufficiently objective, may overlook important external developments and may lack a comparative perspective.



- Instead of including impact assessment within the evaluation, or in addition to this, evidence of significant or longer-term impact may be sought in other ways. In some cases it may be appropriate to carry out an evaluation that considers the impact of several projects, perhaps of the interventions of several NGOs. Such an evaluation may be focused on a region, a sector (such as education or health), or a theme (such as gender or environment).

Chapter 4

GUIDELINES FOR GOOD PRACTICE IN RELATION TO COMMUNITY-BASED PME

4.1 COMMUNITY-BASED PME

Community-based organisations (CBOs) engaged in projects also need to have PME systems, though these may be simpler and less formal than those of NGOs. In the case of a CBO the key purpose of a PME system is to facilitate participation, which must be based, at least implicitly, on a shared vision of development goals. In turn, participation contributes to the confirmation or extension of that shared vision by ensuring that the community owns the project. Local self-management should also enable the people to learn from the experience and equip them to take a fuller place in the wider society.

THE PME PROCESS SHOULD:

- Build on existing ways of working together, applying local knowledge and terminology.
- Consider the culture and capacity of the people, their natural pace and the time they have available.
- Consider differences within the community such as gender, ethnicity, age and literacy.
- Favour sustainability by minimising dependence on external inputs.

Serving the information needs of the community itself should be the primary function of the PME system. But, in addition, a facilitating NGO will need to derive information for its own monitoring from the CBO's monitoring and evaluation. Connections between NGO and CBO systems are discussed in section 4.2, below.

While the nature of a CBO's PME system must depend on the particular context, it should generally include the following

elements:

- A shared view of the problem and some understanding of its causes (*situation analysis*).
- The changes desired and a way of knowing about success and failure (*definition of objectives and indicators*).
- The actions to be taken and by whom (*definition of activities*).
- The resources needed, from the community and from outside (*definition of inputs*).
- Regular checks and by whom (*monitoring*).
- Reflection about how far the desired changes have been achieved, conducted with wide participation and in such a way as to promote learning for future projects (*evaluation*).

A simple PME system based on these six elements can meet the needs of many community-based organisations. Others, of course, may wish to elaborate more and may be comfortable with more technical language. Some larger people's organisations may work with PME systems similar to those of well-established NGOs.

The terms in brackets after each of the six elements are added only to bring out the correspondence with the way concepts are described elsewhere in this document.

See Appendix 3, second part: The Nayantara Forum planning exercise includes a quite elaborate situation analysis (2.3); followed by definition of objectives (2.4) and of activities, inputs and outputs (2.5), and provision for monitoring (2.6) and for an evaluation (2.7).

4.2 LINKING COMMUNITY-BASED PME WITH NGO PME

The co-operation between a CBO and an NGO should count on the willingness of both parties to share information. The CBO should be informed about the NGO's mandate, mission and policies, and be aware of the NGO's interests and priorities. The scope and character of their relationship depends on the

expectations, limitations and priorities of each and eventually on the responsibilities that each is able and willing to assume.

See Appendix 3, section 1.1: NGO mission based on CBO organisational development

Local communities of people are active subjects, not passive objects, of a development project; they should be active subjects of the associated PME system. Therefore an NGO should seek, as far as possible, for CBOs to take the lead in planning processes, facilitated by local NGO staff.

When a CBO is ready to plan a project, NGO staff should use this opportunity to help it develop its own planning, monitoring and evaluation capacity and procedures. In doing so, and through PME training, NGO staff should ensure an optimal space for communities to articulate their own concerns and determine their priorities.

The interconnections between a CBO PME and an NGO PME are ideally established through a bottom-up and participatory planning system involving the communities, in which CBO proposals are presented to the NGO and pass through a process of negotiation and eventually consolidation - locally, then by sector or region and perhaps nationally. When working with poor and marginalised communities, however, NGOs may need to behave in a more pro-active way.

In general, the NGO aims to consolidate diverse CBO plans from the perspective of its own mandate, resources and priorities. The consolidated version is, in turn, shared with each community, with particular attention to the planned activities relating to that community and to the inputs due from the two parties, together with a time-frame and budget. In this way the community is informed of the kind of services and other inputs it can expect

from the NGO and on what conditions. This process establishes the basis for mutual accountability.

See Appendix 3, sections 1.2 and 1.3: participatory planning process involving CBOs with NGO facilitation and consolidation

When an NGO is monitoring, its regular field reports should include information on the CBO's monitoring and evaluation results, based on the CBO's own indicators. In turn, the NGO should inform CBOs of relevant findings from its monitoring and evaluation, including information about the steps proposed to adjust its plan so that it can be articulated with the CBOs' activities and inputs.

See Appendix 3, sections 2.6 and 1.6: links between CBO monitoring and NGO monitoring

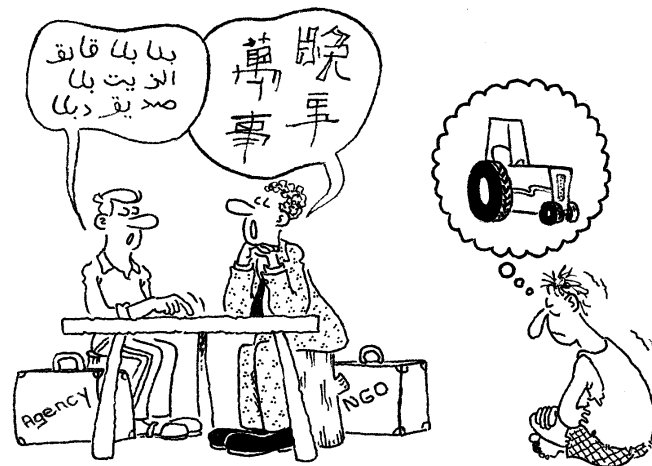
Organisational arrangements that might further the connection between the respective PME systems include:

- Formal participation of CBO representatives on the NGO's board.
- Formalised working agreements such as memorandums of understanding, co-operation agreements or service-delivery contracts.
- Provision of information to the CBOs, at an early stage, about available budgets.

Chapter 5

MAKING PME SYSTEMS TALK TO EACH OTHER:

GUIDELINES FOR INTEGRATION ACROSS CO-OPERATING ORGANISATIONS



5.1 FROM NGO TO AGENCY

Central to the work of a funding agency is the allocation of resources to partner organisations to implement development projects proposed by them. Thousands of funding requests from different organisations may be handled by an agency each year, only some of that can be approved for funding. The decision-making process within the agency typically involves project-by-project assessment against the agency's policies, priorities and available resources, using standardised formats and procedures. For monitoring and evaluation purposes, agencies generally need a steady and formalised flow of information about progress in

implementation of activities, the achievement of outputs and effects, and the use of resources (financial and other), alongside contextual information.

At project level the information needed by agencies should be consistent with the information generated by an NGO's own PME system. When a funding agency is supporting a wider programme - or perhaps the NGO's work as a whole - its information needs will naturally reflect this. Agencies may also require specific information connected with particular aspects of policy, or useful for development education, or relevant to lobbying, advocacy or campaigns in the North (or, sometimes, in the South).

5.1.1 PLANNING

At the planning stage, information submitted by an NGO should enable the agency to assess the relevance and consistency of the NGO proposal in relation to its own policies and priorities. The Logframe approach is often used to facilitate communication about the basic structure of a project.

ELEMENTS FOR ASSESSMENT OF THE PROPOSED PROJECT TO BE FINANCED

- key information about target area(s) and target group(s)
- summary of the situation analysis
- overall goal, with indicators of impact
- specific objectives, with indicators of effectiveness
- activities and intended outputs
- key input requirements
- implementation strategy
- assumptions and risks
- finances: project period, total cost, local contributions, contributions from other donors requested contribution

Besides project information, the NGO should also submit information to enable the agency to make an assessment of the NGO's implementing capacity.

ELEMENTS FOR ASSESSMENT OF THE ORGANISATION

- identity, foundation date, constitution, formal registration, organisational structure, internal regulations
- main activities and track record
- networks and alliances
- composition and role of board (and gender balance)
- staff composition, professional qualifications of key staff (and gender balance)
- internal decision-making systems
- participation of stakeholders, including beneficiaries, in decision-making processes
- Planning, Monitoring and Evaluation procedures and systems
- strengths and weaknesses as perceived by the organisation itself
- overall financial information, and accounting systems

5.1.2 MONITORING

Regular and timely reports are an important instrument for an agency's monitoring. The information generated by the NGO's own monitoring system can provide most of what the agency needs, provided that planned inputs and expected outputs are compared to employed inputs and achieved outputs, with explanations for any discrepancies; and that adjustments to the subsequent planned activities are described, with the reasons for them. (See section 3.3, above).

Financial information should be presented in accordance with accepted auditing and accounting standards. Explanations should be provided for any significant differences between planned and actual expenditures.

In addition to this monitoring information, two other aspects should be mentioned explicitly in NGO reports to agencies:

- Changes in the NGO organisation and in the project context.
- Periodic evaluative assessments made by NGO staff on whether the project, as it is unfolding is likely to achieve its objectives: is it on track?

5.1.3 EVALUATION

The NGO and the agencies concerned should agree during the planning stage of a project on when and how evaluations are to be carried out. An evaluation may well be approached as an NGO's accompanied self-evaluation (see section 3.4, above). Agencies may or may not participate directly, depending on what has been agreed.

Such periodic evaluations tend to focus on effectiveness and efficiency concerns rather than on impact. This is partly because it is methodologically difficult to capture some impacts at one point in time (e.g. empowerment) but also because it is difficult and not always necessary to attribute changes to the activities of any one project or even to the work of a single NGO. However, consideration of impact should wherever possible be included in the terms of reference of an evaluation and methods should be sought for capturing evidence of impact, including participatory methods that enable the perspective of beneficiaries to be registered alongside any external judgements about impact.

5.2 FROM AGENCY TO NGO: ENSURING CONSISTENCY AND FEEDBACK

The adoption and use of PME systems and practices within agencies has inevitable implications for the information requirements placed on the NGOs that they fund. Typically, efforts to systematise project and partner information needs within agencies (such as standard criteria, formats, schedules and procedures for partner proposals and reports) implicitly - if not explicitly - exert pressure on NGOs to do the same, since the integrity of partnership-based agency systems depends on the quality of information that NGOs are able to provide. This can compromise the independence of NGOs' own PME developments. Confusion is added when information requirements differ in substance and detail across a number of supporting agencies.

To minimise distorting effects on NGOs' approaches to PME,

agencies should ensure that the development of their systems is done in such a way that they can be consistent with those of NGOs. Partner NGOs may be consulted when an agency's PME system is created or reviewed; at the very least they should be informed about what happens to the information that they submit at key stages of the project cycle, including who uses it, how and for what purposes. Such 'co-operation' not only increases the likelihood of success with PME systems; it is also an important means of the agency being accountable to partners.

There are a number of practices and determinations that agencies should adopt:

- Ecumenical agencies should use a common set of reporting requirements and agree upon a common terminology. This document is one step towards the latter. Agreement on common information requirements for project proposals and reports has been made between participants in this Joint PME Project (see Appendix 4) and is now under consideration by the Agency Directors.
- Agencies should inform partner NGOs of their receipt of monitoring and evaluation reports, and provide feedback including analytical comments. Where an NGO is in partnership with several funding agencies, this can be done via an agreed 'lead agency'.
- If an agency is interested in commissioning an unplanned evaluation or impact assessment, this should be discussed in advance with the NGO concerned. NGO staff could be invited to help define the terms of reference for any such work.
- An agency should inform its partners promptly about any changes - in its policy, programmes, priorities or resource-base - that might affect an NGO's projects and PME system.
- Agencies should 'institutionalise' their PME systems - integrating them into working procedures, practices and culture - and share them with each other and with their Southern partners. The lessons learnt from the development and use of such systems

should also be shared as they arise, to enable the spread of good practice and the avoidance of bad.

- As with NGOs and all organisations developing PME systems, agencies should maintain a balance in PME between accountability and learning purposes. It is crucial that these twin purposes of PME are communicated to all those involved in the generation or use of PME information, including both agency and NGO staff.
- Agencies should use PME systems not only for assessing the integrity of NGO project proposals, but also, and perhaps more importantly, to help identify strengths and weaknesses in NGOs and their projects for the purpose of directing capacity-building support where it is most needed. In this way, PME information can be used collaboratively between agencies and NGOs as a basis for dialogue on project and programme development and on institutional support.

Chapter 6

PROGRAMME AND INSTITUTIONAL PME

The preceding chapters considered PME at project level, focusing on the NGO as the actor responsible for a piece of work or series of actions carried out over a given period. This 'project PME', we argued, should ideally be connected with, and compatible with:

- a) PME processes of the community-based organisations involved.
- b) The way the funding agencies process their information requirements during the various stages of the project cycle.

Although project PME took up most of the time of the Joint PME Project, we further considered the fact that projects were often grouped in 'programmes', also requiring PME; and that, ultimately, an organisation would wish to plan, to monitor and to evaluate its work as a whole.

6.1 PME AT PROGRAMME LEVEL

Some organisations take into one programme the projects in a certain geographical area such as a province or a region or - in the case of a funding agency - a country. Others define a programme for a specified section of the population - a women's programme, a programme with indigenous or tribal peoples. Yet others focus on a sector, such as health, on a theme, such as gender, or on a particular problem area - a programme concerned with sustainable agriculture, with literacy, or with AIDS. The same organisation may have programmes defined in different ways - for example, a rural development programme, an urban development programme, and a leadership training programme cutting across them and serving other organisations as well. A funding agency may define a programme according to a particular type of partner. Whatever the

basis, a programme should be more than a collection of projects: the responsible organisation normally aims to take a co-ordinated and strategic approach towards them.

However a programme is identified, the organisation should define programme objectives and the wider development goal to which the programme relates. It should be clear about how to monitor progress and about how and when to evaluate success at this more strategic level. In sum, it needs a 'programme PME' system.

In this system, the component projects will be included among the activities and outputs. But there may be other activities - for example, networking actions that bring together people involved in different projects, or joint advocacy interventions. The organisation will be seeking an 'added value' over and above the sum of the separate project achievements captured in project PME. This applies also to the funding agencies that are increasingly specialising so that - through a focus on a geographical area, a sector or a theme - they can do more than merely fund an unconnected collection of projects.

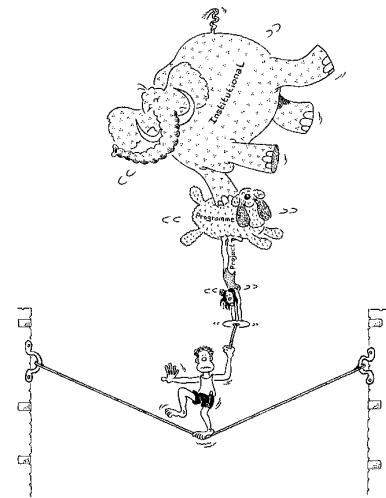
There appear to be few if any established examples to provide guidance in the construction of a programme PME system. Although its essential features must be the same as those of a project system, the process will tend to be more complicated. For a start, the planning will naturally be more difficult, even the definition of objectives more challenging. The subsequent monitoring must consider not only the progress of component projects but also how they fit into the programme. In the case of a funding programme, in particular, the monitoring needs to ask to what extent the funding of projects is consistent with the criteria and priorities determined for that programme. And any evaluation of the effectiveness of a programme must also cover two aspects, the effectiveness of the projects and the effectiveness of the

programme as whole and how it contributes towards wider institutional goals.

Participants in the Joint PME Project did share some experiences, but these were in the nature of 'work in progress', presenting systems still being developed with the difficulties already encountered. It was agreed that efforts in this direction should continue and be extended.

6.2 PME AT INSTITUTIONAL LEVEL

There is also little guidance available on how to construct an institutional PME system - one that refers to an organisation's whole operation in pursuit of its goals. At this level, additional difficulties arise. Even more elements must be considered, including the internal structure of the organisation as well as its external interventions: the PME must look inward and outward at the same time. The internal aspect may embrace relations with those who 'own' an NGO - whether individual members (who



may coincide, in part, with the beneficiaries of projects) or churches or other organisations in civil society. The meaning of accountability is multiple, as is the need for learning

For smaller or more specialised NGOs, both the organisational structure and the PME system can often be simpler. Where it is not found necessary to define programmes, only the institutional and project levels will need to be considered for PME.

In general, both Southern and Northern development NGOs are placing increasing emphasis on long-term strategic planning, usually providing for specification or revision in annual plans. This creates a need and provides the basis for regular monitoring. In the case of funding agencies, monitoring is the most essential function: it depends largely on the quality of information from partners, as was discussed in Chapter 5.

Apart from the evaluation of individual projects, and perhaps of individual programmes, an organisation may need at a particular point (such as when reviewing strategy or preparing to embark on a new strategic plan) to ask how effectively it is fulfilling its intentions through the entirety of the activities that it carries out itself and those of other organisations that it supports. Such institutional evaluations are necessarily complex; outside help will generally be needed.

6.3 ASSESSING IMPACT

It has just been observed that, at both programme and institutional levels, organisations seek to monitor whether what was planned is being done and to evaluate its effectiveness. But the most fundamental question remains: what is the impact of all this, what difference is being made to people's lives?

As was suggested in Chapter 3 in relation to the project level, monitoring and evaluation can usefully embrace evidence of

impact, including the views expressed by participants and beneficiaries, even if some of the evidence may be impressionistic, anecdotal and unsystematic.

However, it may also be useful to make separate and more deliberate assessment of impact over a longer period. Such a study may look at the impact of a programme or of an organisation as a whole, but this can be difficult to isolate from the work of other NGOs. It may be more useful to study the impact of the work of several organisations in a given field, whether geographical or thematic.

6.4 AN INTEGRATED PME SYSTEM?

It may be argued that a reasonable procedure for an organisation would be to start with its institutional PME; then to develop the programmes, each with its programme PME; and finally to develop and implement - and/or to identify, appraise and support, in the case of a funding agency - the component projects, each with its project PME. The three levels should be linked together in a logical hierarchy, with the success of projects building the success of the programme of which they form part, and the success of programmes building the success of the organisation as a whole. The monitoring and evaluation of projects should contribute to the revision and development of programmes, the monitoring and evaluation of programmes should contribute to the revision and development of the organisation's strategy.

In practice, few organisations, if any, can yet establish such a coherent, integrated system. Most, pragmatically, prefer to start at project level, in the way outlined in earlier chapters of this document. Nevertheless, the idea of the three levels of PME, and of the logical relationship between them, should always be kept in mind.

6.5 CONCLUDING REMARKS

We hope that the above considerations will stimulate NGOs and agencies to take up the challenge of elaborating further the concepts and viability of programme and institutional PME. Workshops and seminars are already taking place which provide occasions for sharing experiences about PME 'beyond project level', but we recommend that more effort be invested in this area. We believe that a systematic sharing of experiences about progress made and problems encountered will help to develop guidelines for good practice in PME at programme and institutional levels and for an effective integration between the three levels.

Appendix 1: Glossary of key terms

ACTIVITIES:

Actions or series of actions undertaken in order to produce the planned outputs and thus achieve the intended objectives. They are processes and not - as is the case with outputs - states to be achieved.

ASSUMPTION:

An event which must take place, or a condition which must exist, if a project is to succeed, but over which the project management has little or no control. Conversely, a **risk factor** refers to the possibility that an assumption will not hold.

BASELINE:

The situation or conditions before an intervention starts. **Baseline** data can be compared with the findings of a later study of the situation/conditions to see what has changed, and can be used as part of a monitoring system.

BENEFICIARIES:

The people whose situation the project proposes to improve. It is often useful to distinguish between **direct beneficiaries** (those directly assisted by a project) and **indirect beneficiaries** (those who indirectly benefit from a project).

BENEFITS:

The positive outcomes of the project in the personal, material, economic or social development of the beneficiaries or in the increased capacity of the target group, wider community or implementing partner.

COST-EFFECTIVENESS:

Simply, 'value for money'; or, the degree to which the project will benefit the largest number of people at the lowest reasonable cost. Thus cost-per-beneficiary measure: the total cost of the project divided by the number of direct beneficiaries. At its simplest, cost-effectiveness means being able to achieve objectives at a reasonable cost if not the lowest possible cost.

EFFECTS:

Changes that a project may bring about, during the project period or soon after, usually at the level of its specific objectives.

EVALUATION:

Measures designed to assess the outcome of the project in relation to its stated objectives and intended impact. Traditionally, this assessment is seen as an external, retrospective activity at one point in time. But it also includes 'on-going evaluation', built into the project, and 'self-evaluation' (continuous or 'once off') by the implementing organisation.

GENDER:

Refers to the roles which a society assigns to men and women. Gender roles define who does which work, both inside and outside the household. Gender affects the share of power and influence that men and women have in decision-making at all levels of society.

GOAL OR OVERALL GOAL:

The wider development purpose to which a project or programme should contribute. The goal is expressed as a statement of intended or hoped-for change in relation to the key issue or problem that is addressed. The time frame is usually longer than the project period. Indeed, successful completion of the project may not be sufficient to ensure that the goal is attained. Another term that is sometimes used for goal is **general objective** (see

'objective', below).

IMPACT:

Changes that the project may bring about or contribute towards within the target group and others, usually at the level of the overall goal. **Impact assessment**: the systematic analysis of the lasting or significant changes - positive or negative, intended or not - in people's lives brought about by a given action or series of actions.

INDICATORS:

The quantitative or qualitative evidence which will be used to assess progress towards an objective. An objective may have one or more indicators. Indicators should be important, plausible, sufficient, independent and verifiable; and precisely defined in terms of nature, quality, quantity and timing. Impact indicators are needed to assess what difference the work has made to the target group, usually at the level of the overall goal.

INPUTS:

The set of means necessary for carrying out activities (money, equipment, materials, technical support, etc.).

LOGFRAME (LOGICAL FRAMEWORK):

A tool to reflect on programme/project goal, objectives and activities and the connections between them. In its most simple form it is a matrix with four rows and four columns.

MONITORING:

The systematic and continuous assessment of the progress of a project over time in relation to its planned inputs, activities and outputs. It is known as **participatory monitoring** when it involves beneficiaries and not just project staff. **Impact monitoring** includes assessment of progress towards hoped for impact within the target group.

OBJECTIVE:

What the project is intended to achieve. Objectives are expressed as statements that describe in concrete terms the intended or hoped-for effects to be achieved among the target population, within the project period or soon after it. The term **specific objective** is sometimes used here, to stress the distinction from 'general objective' (see under 'goal', above, for which this is an alternative term). E.g. "To reduce infant mortality (rate per thousand live births) in the Sierra District from 70 to 40 over the next 3 years."

OUTPUTS:

The specific results, during the life of a project, of successful implementation of activities. Specifying outputs in advance helps define the accountability of management, for it is outputs that can be guaranteed by the project and for which the manager(s) responsible may be held to account (unlike objectives). They should be achievable in the short term (e.g. target for one year) so that they can be monitored; over longer periods, beyond the time-frame of an intervention, management is essentially unaccountable. An output should be specified as a measurable product, not merely as the delivery of some input. If outputs are specified in detail the targets are already clear (e.g. 15 oxen trained to plough by the end of June) and there is no need to have separate indicators for outputs.

PARTICIPATION:

Involvement of staff and of people affected by a project in planning and carrying out the activities of a project or in monitoring, reviewing or evaluating the project.

PROGRAMME:

A collection of projects that are executed or supported by an organisation - usually identified in terms of a geographical area, a section of the population, or a theme - to which a co-ordinated

approach is adopted. This may also involve other activities, complementary to the projects. A programme, like a project, may involve collaboration between several organisations.

PROJECT:

A discrete piece of work undertaken by an organisation or by a group of collaborating organisations, usually with a defined target group in a particular location.

QUALITATIVE:

Refers to defining characteristics (e.g. indicators) which cannot be quantified. Implies use of perceptions and judgements.

QUANTITATIVE:

Refers to something measured or measurable by numbers and expressed in amounts or quantities.

REVIEW:

The assessment at one point in time of the progress of a project or programme or of a particular aspect of a project or programme. Generally more informal than an evaluation, it is often internal and periodic.

STAKEHOLDERS:

Those individuals, organisations, categories or groups of people with an interest in a project (e.g. beneficiaries, paid and voluntary workers, donors, partner and other agencies, local government). They include both those who may be affected by the project and those who will be involved in making it work. Hence **stakeholder analysis**: an analysis of the interests and concerns of those who may be affected by a project or may affect its outcome.

SUSTAINABILITY:

The capability of maintaining through time the benefits obtained for the target group or of continuing the generation of benefits.

Appendix 2:

FURTHER INFORMATION ON USING LOGFRAMES (SEE CHAPTER 2)

The Logical Framework (Logframe) is a tool for systematically thinking through the structure of a proposed project, describing it in a simple, logical manner for communicating the project to others, and for reviewing its progress and adapting it.

2.1 PROCESS FOR CONSTRUCTING A LOGFRAME

While a completed Logframe is of particular use to project managers, it is often the case that the process of construction is what is most valuable. This may be carried out with the involvement of project staff, managers, partners and communities affected by the work, or in some circumstances (e.g. in emergency work) with a consultant. Once a plan of work has been prepared, the Logframe can be used to analyse its structure and components and present it in the form of a matrix. The ZOPP method emphasises a participatory approach and the importance of pre-planning research such as participation analysis and problem and objective analysis, usually through workshops involving key stakeholders, before the construction of a Logframe.

The basic principle is to move from the general to the specific. Begin with the narrative summary and several key assumptions, then try to put indicators and targets to the objectives and outputs.

The steps to construct a Logframe are as follows:

- Define the overall goal.
- Define the objective(s) as SMARTly as possible.
- Define the outputs for achieving the objective(s).
- Define the activities for achieving each output.
- Verify the 'vertical logic' with the 'if ... then ...' test (working upwards).

- Define the key assumptions at each level (working upwards).
- Check that the vertical logic still holds given these assumptions - 'if ... and ... then ...'
- Define indicators for the objectives, then for the outputs (or check that these are specified with targets), then for the goal.
- Define the means of assessment at goal, objective and output levels.
- Check the 'horizontal logic' across each row.
- Put inputs and costs to the activities in the bottom row - the budget summary .
- Review the Logframe design in the light of historical experience with similar efforts.

QUESTIONS TO ASK YOURSELF WHEN CONSTRUCTING THE LOGFRAME:

PROJECT STRUCTURE	INDICATORS OF ACHIEVEMENT AND VALUE	HOW INDICATORS CAN BE QUANTIFIED OR ASSESSED	ASSUMPTIONS, RISKS AND CONDITIONS
<p>Goal What are the wider problems that project will help to resolve?</p>	<p>What are the quantitative ways of measuring or the qualitative ways of judging whether this Goal is realised?</p>	<p>What sources of information exist or can be provided cost-effectively?</p>	
<p>Objectives What are the intended short-term effects on the project area or target group? What are the expected benefits (or negative effects) and to whom will they go? What changes will the project bring about?</p>	<p>What are the quantitative measures or qualitative evidence by which achievement and distribution of effects and benefits can be judged?</p>	<p>What sources of information exist or can be provided cost-effectively? Does provision for collection need to be made under Inputs and Outputs?</p>	<p>What conditions, outside the control of the implementing organisation, are necessary if the achievement of the project's Objectives is to contribute to the realisation of the project's overall Goal?</p>
<p>Outputs What outputs (kind, quantity and by when) are to be produced by the project in order to achieve the Objectives? [Note 1]</p>	<p>What are to be produced by the project</p>	<p>What are the sources of information?</p>	<p>What external factors must be present for the Outputs to be likely to lead to achievement of the Objectives?</p>
<p>Activities What activities must be carried out to produce those outputs?</p>	<p>Summary of key inputs, with costs What materials, equipment, etc., are to be provided at what cost over what period, by implementing organisation, other NGOs, donors or beneficiaries? [Note 2]</p>		<p>What external factors must be present if implementation of the Activities is to produce the planned Outputs on schedule?</p>

NOTES:

- 1) Outputs should be specified in detail, with targets; thus, generally, no separate indicators are required.
- 2) Since no indicators are necessary for the realisation of activities, the second and third boxes of this row are used to list the key inputs and summary budget.

2.2 TIPS ON DESIGNING A LOGFRAME

2.2.1 GOAL

- Remember that the goal is wider in scope and/or longer-term than an objective. Thus the goal may not necessarily be reached until well after project completion; indeed, successful completion of the project may be a necessary but not sufficient condition for attaining the goal.
- Beware of the danger of specifying over-reaching goals. This may lead to specifying assumptions linking objectives to goal, which would be so wide-ranging as to be unusable by those managing the project.

2.2.2 OBJECTIVES

- Limit the number of objectives to that which can realistically be managed. Experience suggests that multiple objectives diffuse project efforts and weaken the design.
- Remember that the objectives relate to changes that it is hoped to bring about among the project beneficiaries. Their realisation is outside the control (and therefore beyond the managerial responsibility) of the project implementation team.
- Specify objectives in the infinitive form - “To increase ... To reduce ... To enhance ...”

2.2.3 OUTPUTS

- Remember that it is for the outputs that the project team can be held accountable, having been given resources to produce them.
- Specify outputs in the past tense - “... trained ...completed” - as this will make assessment easier.

2.2.4 ACTIVITIES

- List activities in brief - just enough to outline the strategy for producing outputs and achieving objectives and to provide the basis for a separate, more detailed work plan.
- Specify activities in the present tense - “Construct ... hold ... develop ... distribute ... train ...”

2.2.5 ASSUMPTIONS

- Select assumptions by asking “what conditions, outside the implementing organisation’s control, must exist in addition to the activities (or outputs, or objectives) in order to reach the next level?”
- Check validity of vertical logic, in the form “if (activities) and (activities-to-outputs assumptions) then (outputs)” ; and so on up the Logframe.
- Generally, the significance of assumptions and the degree of uncertainty increases as you move up the Logframe. There should be fewer uncertainties about whether activities will produce outputs than about whether outputs will lead to objectives.
- There are likely to be many uncertainties influencing the achievement of the overall goal and it is usually not necessary to analyse these in detail beyond specifying the existence of major constraints within the project context (e.g political instability).
- Check for ‘killer assumptions’ that are likely to derail the project - that is, those which are very important for project success but unlikely to occur. Where these are identified, project design will need to be re-assessed.
- Include only those assumptions/risks which have a reasonable chance of occurring but which are not almost certain to occur.

2.2.6 INDICATORS

- The basic principle of the indicators column is ‘if you can measure it, you can manage it’. Indicators tell us not only what achievements are necessary but also what will be sufficient to

make it possible to reach the next level. It is best to begin with setting indicators for objectives, for difficulty experienced here may lead to revision of the objectives and so of the outputs needed to achieve them.

- Limit the number of indicators to the minimum required to clarify whether the stated objectives have been achieved.
- Begin with describing the nature of the indicator (qualitative or quantitative), ensure it is numerically quantifiable (even if qualitative, e.g. 50% of participating women's group leaders feel more confident on speaking out at project management committee meetings) then add quality and time dimensions.
- Remember to use proxy (indirect) indicators where necessary (e.g. assets as an indication of income).
- Remember to disaggregate indicators by gender and other significant differences among beneficiaries (such as age, ethnicity or socio-economic group) where relevant and feasible.
- Goal-level indicators may include changes beyond the scope of the project, such as improved standard of living. Such changes may be brought about by the combined efforts of several projects.
- Indicators corresponding to objectives and targets for outputs must be reviewed continuously, during the project, in response to project developments and changes in the external context.

2.2.7 MEANS OF ASSESSMENT

- If the indicators chosen are not assessable by some means (or too costly to assess), find other indicators or develop proxy indicators.
- Remember to add to the project budget the costs of collecting, analysing and presenting information on indicators.

2.2.8 GENERAL

- Cross-cutting themes such as gender, environment and sustainability should be incorporated where appropriate. These considerations should be tracked at all levels of the Logframe

regardless of the overall priority to which the project responds.

2.2.9 ADVANTAGES

The Logframe:

- Allows the feasibility of a project to be checked by setting out explicitly the internal coherence and the external plausibility of what is planned.
- Provides a focussed summary by forcing tight use of language.
- Facilitates communication about the project among stakeholders.
- Promotes objective-led rather than activity-led planning
- Facilitates linkage between micro-planning and macro-planning
- Highlights the limits of control, predictability and therefore responsibility by specifying key assumptions.
- Forces negotiation of consensus among planners by seeking simple statements of a limited number of objectives.
- Facilitates management of diverse activities unified by common objectives.
- Forces those involved to be explicit about the implications of carrying out planned activities, in terms of resources, assumptions and risks.
- Forces planners to think from the outset about how they will monitor and evaluate a project.

2.2.10 LIMITATIONS

- Over-attachment to a Logframe can turn it into an inflexible blueprint.
- The Logframe assumes hierarchical cause-effect logic. It cannot cope with mutual causation.
- The Logframe is neutral in relation to gender and environment issues and may allow planners to ignore them.
- The Logframe emphasises assessment of effects rather than understanding the process of change.
- With participatory approaches to Logframe construction, the inexperience and broad base of participants may lead to the

setting of unrealistic targets or to valuable activities being overlooked.

- The Logframe only seeks indicators for planned/expected effects and ignores evidence of unexpected effects or of events or processes that may threaten the success of the project.

USEFUL SOURCES FOR FURTHER INFORMATION:

Gosling, Louisa: *Toolkits, Development Manual 5, SaveThe Children UK, 1995*

gtz: *An introduction to the ZOPP method, 1988*

Hersoug, Bjorn: *Logical framework analysis in an illogical world, 1996*

Price, Neil: *The Project Framework Approach to Population Project Planning and Management, 1991*

Wiggins, S & Shields, D: *Clarifying the logical framework as a tool for planning and managing development project, 1995*

Appendix 3:

PME IN PRACTICE FOR NGO AND CBO - THE CASE OF CHRISTIAN COMMISSION FOR DEVELOPMENT BANGLADESH (CCDB) AND NAYANTARA FORUM

3.1 CONTEXT ANALYSIS AND PLANNING BY AN NGO

This is an account of the planning process of CCDB.

On the basis of the contextual realities of the poor and their vulnerabilities and keeping in mind the overall vision of CCDB, the following *mission statement* was formulated:

- To empower the poorest of the poor including tribals and aboriginals and their organisations as effective actors in sustainable and participatory development.
- To capacitate Small Local Organisational Initiatives as facilitators in sustainable and participatory development.
- To maintain gender equity at all levels.
- To enhance human and organisational potential at all levels.
- To take care of disaster victims and extend services to them.
- To lobby and seek co-operation for its objectives with partner agencies, government organisations and NGOs.

3.1.1 PLANNING PROCESS

Since 1992 CCDB has been practising a People's Participatory Planning Process (PPP) based on local reference groups such as the Nayantara Forum (see the account given below in section 2).

The reference groups carry out the process with CCDB's co-facilitation. They analyse their past and present situations and consider the priority needs and the activities to address them, taking into account their own resources and those available from CCDB and other sources. These community-based plans are then scrutinised, reviewed and consolidated at CCDB field level with representatives of the reference groups. The final consolidation of the project planning takes place at CCDB, centrally, with

representation of projects. Here the CCDB plans are finalised, reconciling the needs and priorities of the reference groups and with CCDB's mandate and capacities. The plans are then be sub-divided into yearly and monthly operation plans.

3.1.2 CONTEXT ANALYSIS

A crucial element in the planning exercise is to analyse the broader context, national and global, in which CCDB operates, with its challenges, opportunities and threats, looking at the various actors in development - local organisations, NGOs, governmental bodies, bilateral and multi-lateral agencies. The main concerns are the social changes, the struggles of the people, empowerment and justice, and CCDB's role. Views from the local reference groups and people are also considered. CCDB seeks to form a picture of the existing context, the processes of change at work and the trends for the future.

A) TRENDS

The following trends were identified from the contextual analysis:

- Increased poverty.
- Increases in literacy and girls' education.
- Gender discrimination continuing but awareness raised.
- Dowry problem has increased.
- Foreign media threaten local culture.
- The rate of population growth is declining.
- Increased health awareness, immunisation, use of safe drinking-water and slab latrines.
- Arsenic contamination of water has become a silent disaster.
- Quality of life slightly improved.
- Lawlessness, anti-social activities and drug abuse are increasing.
- Tribal and aboriginal people have become further marginalised.
- Increased political violence.
- Globalisation, free market economy and structural adjustment and domination of aid agencies are adversely affecting socio-economic development.

- Rural credit flow has become controversial, victimising the poor.
- Unemployment and income insecurity are increasing.
- City bound migration is continuing.
- Natural calamities have increased.
- Awareness of disaster mitigation and preparedness has increased.
- Tree plantation rate has increased.
- Continued environmental degradation.
- Increased proliferation, competition and duplication of NGO work.
- Uneven conditions of NGOs in credit operation are hindering people's empowerment.
- Genuine and sustainable people's institutions are not emerging.

B) PROCESS AND CHANGES IN THE CONTEXT

Both positive and negative changes can be seen. Despite development efforts by diverse actors, pauperisation continues. The government is subject to outside influence. For example, structural adjustment undercuts employment in a labour-surplus economy, while the free market reduces the supply of essential commodities instead of luxuries. The gap between poor and rich increases; there is growing frustration and unrest. The application of agro-chemicals has damaged soil fertility. Deep tube-wells and excessive extraction of groundwater have caused arsenic contamination; the flow of water has decreased. Environmental degradation has increased the intensity of natural disasters.

Despite difficulties, NGOs have been working with poor people where the government does little for their development. Women are becoming more visible because of NGO interventions. NGOs are challenged over oppressive terms of credit. Since most NGOs in Bangladesh do not practise people-based development, their efforts do not promote people's empowerment or sustainable development.

C) STRATEGIC ISSUES

From this contextual frame of reference CCDB has derived the following *strategic issues*:

- human and organisational development
- environment
- gender equity
- economic empowerment
- health, nutrition and food security
- people's organisations
- natural and social calamities
- tribal and aboriginal people

In deriving the strategic issues CCDB has applied the following *criteria*:

- relevance to the present development understanding, mission, role, programme and organisation of CCDB
- relevance to the strengths, opportunities and capacities of CCDB
- relevance to situation and development perspective of reference groups
- synergetic impact
- potential for successful intervention
- issues not properly addressed by others

3.1.3 PROGRAMME AREA OBJECTIVES

In connection with the above mission the following *programme area objectives* were formulated for the next three years. They should not be considered as discrete and unrelated areas of activity; each should be seen as a component of a holistic development approach:

- To capacitate reference groups and their organisations to be self-managed actors in development with particular focus on participatory planning, implementation, monitoring and evaluation.

- To improve the level of functional education among reference groups and to strengthen the literacy movement.
- To create opportunities for reference people to develop their livelihood skills or enhance skills they already have and to support alternatives in income-generation.
- To enhance food security and increase the satisfaction of basic health and nutrition needs among reference groups and to promote safe motherhood.
- To satisfy more of the basic credit needs of reference groups, for income-generation, through their own institutions.
- To promote environmental conservation and to integrate community-based disaster preparedness into development, as well as to respond to major disasters.
- To empower tribal and aboriginal peoples, with particular focus on upholding their rights and preserving and promoting their culture.
- To bring a contrast to the domination by big NGOs in Bangladesh through the improvement of management and organisational capacities of small local organisations run by women.
- To improve gender sensitivity at all levels.
- To raise awareness and mobilise public opinion in favour of specific priority issues.
- To develop groups of competent facilitators/trainers within CCDB and sister organisations.

To make the objectives operational, CCDB develops a plan of action using the logical framework approach. An example is given below for one programme area.

3.1.4 LOGICAL FRAMEWORK ANALYSIS PROJECT COMPONENT:

HEALTH, NUTRITION AND FOOD SECURITY, PROJECT PERIOD: JULY 1999 - JULY 2001

Goal: To develop improved and sustained health and nutritional status and ensure food security of CCDB reference groups.

OBJECTIVE	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
To enhance food security and increase the satisfaction of basic health and nutrition needs among reference groups and to promote safe motherhood.	<p>Infant mortality rate reduced by X%.</p> <p>Mother mortality rate reduced by X%.</p> <p>Protein Energy Malnutrition reduced by X%.</p> <p>Morbidity rate reduced by X%.</p> <p>X% People practice health and nutrition knowledge gained from training and workshop.</p> <p>X% Pregnant mothers using the services of trained health workers including TBAs for antenatal, prenatal and postnatal care.</p> <p>X% People with access to proper medical treatment facility.</p> <p>Malnutrition rate among the under-fives reduced by X%.</p> <p>Food production increased by X%.</p> <p>Protein and calorie intake increased by X%.</p>	<p>Evaluation report.</p> <p>National statistical data.</p> <p>Impact monitoring report.</p> <p>Half-yearly report</p> <p>Annual report.</p>	<p>Impact sustained in the life of poorest reference groups.</p> <p>No major outbreak of epidemic.</p> <p>Reference groups willing to participate fully.</p> <p>Survey reports govt. co-operation will be available.</p> <p>Favourable weather will prevail for good yields.</p> <p>No devastating natural calamities.</p>

OUTPUTS	INDICATORS	MEANS OF VERIFICATION	ASSUMPTIONS
1. Increased functional awareness of health and nutrition.	<p>1.1 % of people who following norms of primary health care and hygiene</p> <p>1.2 incidence of diarrhea, intestinal and water-borne diseases down by X %</p> <p>1.3 % of families growing vegetables round the year and rearing poultry and livestock for consumption and sale</p> <p>1.4 % of people with access to safe, arsenic-free water sources</p> <p>1.5 % of children immunised</p> <p>1.6 % of eligible couples using contraceptives</p> <p>1.7 % of people with changed food habits</p> <p>1.8 % of children and mothers provided with supplementary food</p>	<p>Quarterly report.</p> <p>Half yearly report.</p> <p>Impact-monitoring report.</p> <p>Monthly progress report.</p> <p>Trend analysis report.</p>	<p>Necessary support will be provided in time.</p> <p>Full community support will be received.</p> <p>Proper use of training knowledge and support by the reference group.</p>
2. Increased awareness of STD/HIV/AIDS.	<p>2.1 Mass gathering on World AIDS Day</p> <p>2.2 % of reference people with greater awareness of STD/HIV/AIDS</p>	<p>Unspecified at time of going to press.</p>	<p>Unspecified at time of going to press.</p>
3. Increased rate of safe deliveries.	<p>3.1 % of deliveries conducted by trained TBAs</p> <p>3.2 Number of TBAs trained</p>	<p>Unspecified at time of going to press.</p>	<p>Unspecified at time of going to press.</p>
4. Increased availability and accessibility to food round the year.	<p>4.1 % of reference families who can have at least two full meals a day</p> <p>4.2 % of families able to store at least 7 days' food</p>	<p>Unspecified at time of going to press.</p>	<p>Unspecified at time of going to press.</p>

ACTIVITIES	PROCESS INDICATORS	PRODUCT INDICATORS	MEANS OF VERIFICATION	ASSUMPTIONS
1.1 Training in health, food and nutrition. 1.2 Workshops on reproductive health and MCH.	1.1 Number of training events and number of trainees. 1.2 Number of workshops and number of participants.	1.1.1 X% trainees able to recall fully what they learnt after 3 months and X% practice it in their day-to-day lives. 1.1.2 X% people using slab latrines. 1.2 X% workshop participants aware of the issues and sharing what was learnt with others.	Monthly progress report. Training register. Forum report. Trend analysis report.	Selection of participants appropriate. Necessary efficient staff can be recruited. Appropriate training and follow-up ensured. Necessary funding available in time.
1.3 Training and support in horticulture. 1.4 Training and support in poultry and livestock care.	1.3 Number of training events and number of trainees who received support. 1.4 Number of training events and number of trainees receiving support.	1.3 X% participants growing fruit and vegetables round the year for consumption and sale. 1.4.1 X% participants rearing at least 10 chickens, 2 goats or 1 cow. 1.4.2 X% participants consume eggs or milk and earning at least Taka 100 per month from poultry and livestock.		Necessary support provided in time, adequate in quality and quantity.
1.5 Training and support in fish culture. 1.6 Support for community health-care service centres.	1.5 Number of training events and number of trainees receiving support. 1.6 Number of new health centres and number of old health centres with extended support.	1.5 X% participants successfully undertaking fish culture and earning at least Taka 300 per month from it. 1.6.1 X% people have access to a community health-care service centre. 1.6.2 X number of people consulting trained personnel for health advice. 1.7 X% people using arsenic-free water sources for drinking and cooking purposes.		
1.7 Awareness training in arsenic contamination and long-term effects.	1.7 Number of training events and number of trainees.			

ACTIVITIES	PROCESS INDICATORS	PRODUCT INDICATORS	MEANS OF VERIFICATION	ASSUMPTIONS
2.1 Observance of World AIDS Day nationally and in communities. 2.2 Workshop at national and community level.	2.1 World AIDS Day observed in X number of project areas. 2.2.1 Number of workshops at national level; number of participants. 2.2.2 Number of community workshops; number of participants.	2.1 Active participation of masses at national and in communities. 2.2 X% of participants aware of STD/HIV/AIDS issues.	Unspecified at time of going to press. Unspecified at time of going to press.	Unspecified at time of going to press. Unspecified at time of going to press.
3.1 Training of TBAs. 3.2 Distribution of safe delivery kits.	3.1 Number of TBA training events and number of TBAs attending 3.2 Number of safe delivery kits distributed and number of TBAs who receiving them.	3.1 X number of TBAs trained and X% of them conducting safe deliveries.	Unspecified at time of going to press.	Unspecified at time of going to press.
4.1 Livelihood skill development training. 4.2 Credit support for initiating IGAs.	4.1 Number of people who receiving livelihood skill development training. 4.2 Number of Forum members in receipt of credit support from people's institutions for IGAs.	4.1 X% trainees engaged in occupations related to training. 4.2 X% of those supported utilising credit for intended purpose and X % of them achieving benefits.	Unspecified at time of going to press.	Unspecified at time of going to press.

3.1.5 MONITORING

CCDB considers Monitoring as a systematic and continuous assessment of the progress of a project over time in relation to its planned activities and inputs. Indicators identified in the Programme Planning Matrix are used for monitoring. The monitoring framework of CCDB includes both process monitoring and product monitoring, with their corresponding indicators. Process monitoring considers only whether the planned activities were implemented; product monitoring analyses the trends as well as the impact of the programme on the life of the reference people and organisations in relation to the stated objectives, outputs and activities.

A) MONITORING TOOLS FOR PROCESS MONITORING AND PRODUCT MONITORING

PROCESS MONITORING

- Forum performance report
- project performance and monitoring report
- field visit
- monthly Forum meeting
- monthly project meeting

PRODUCT MONITORING

- trend-analysis report
- impact-monitoring report
- half-yearly report
- annual report
- issue-based study report
- field visit
- coördination meeting
- zonal meeting

B) PROCESS MONITORING ISSUES

- progress of planned interventions
- arrangement and utilisation of inputs

- process and quality of interventions
- performance of CBOs and staff

PRODUCT MONITORING ISSUES

- effects of interventions in people's empowerment processes
- changing trends of the reference groups in relation to knowledge, attitudes and practice.

3.1.6 EVALUATION

In order to assess the overall effectiveness and impact of programmes on the lives of the reference people, CCDB plans to mount participatory evaluative studies from time to time, based on the needs of the reference people and organisations and of other stakeholders. This will be done internally and externally with the support and co-operation of the agencies concerned. The indicators identified at the purpose/objective level are taken into consideration for evaluative studies. CCDB usually plans for a formal evaluative study in the event of the termination of a project.

Generally the evaluation issues are:

- To assess the overall impact of the development interventions in the lives of the reference people
- To assess the sustainability of the changing trends.

3.2 BASELINE ASSESSMENT AND PLANNING WITH A CBO

This is an account of a baseline assessment and planning exercise conducted in May 1999 with a CBO called Nayantara Forum in CCDB's People's Participatory Rural Development Programme (PPRDP).

Nayantara Forum is one of the 205 CBOs attended by CCDB's PPRDP. This particular CBO was founded in 1994 in Mathurapur village of Tanore district. All 105 members are women. It consists of 19 small functional groups and has a seven-member Executive Committee elected for two years. The Forum members have been

introduced to the “People’s Participatory Planning Process” (PPP). Therefore, members of the Forum were already exposed to the PPP concept and for planning they followed the ‘Action - Reflection - Action’ process.

A) THE BASELINE ASSESSMENT AND PLANNING EXERCISE AND ITS OUTCOME

This required a six-day exercise, held at the Nayantara Forum centre with 28 participants. At the beginning the chairperson of the Forum explained the objectives of the exercise as well as the expected role of the members. One moderator and one facilitator were selected from the Forum. One member of the CCDB field level staff acted as co-facilitator and two record keepers were selected; one was a staff member of CCDB and another was a paid employee of the Forum. Before the exercise CCDB provided training for Forum members on how to moderate and facilitate a session. Training on documentation had also been organised for Forum workers.

B) SITUATION ANALYSIS

In order to know the past and present situation of the village, participants were divided into two groups. One group was asked to discuss the past situation (10 years before) and the other group the present. After some discussion both the groups proposed to draw pictures of their village. It took about five hours to complete these pictures which were amazingly beautiful, not only in how they looked but also because of the volume of information contained. One could easily see the differences between the past and present situations of the village from those drawings.

C) COMPARATIVE PICTURES OF THE PAST AND PRESENT SITUATION

PAST	PRESENT
Most houses with mud walls and thatched roofs.	Some houses with corrugated iron sheet roofing
Availability of safe water.	Arsenic in water.
Ill health.	Awareness increased but still poor health.
Low literacy.	Continuing low literacy and school drop out.
	Landlessness increased.
Poor sanitation.	Awareness increased but sanitation still poor.
Low numbers of poultry and livestock.	Moderate numbers of poultry and livestock.
Low agricultural production.	Low fertility of land and crop failure.
Child marriage, dowry, women in veils.	Dowry problem has increased.
Sick mothers with malnourished children.	Family sizes falling but malnutrition still a problem.
Green surroundings.	Diminished green surroundings.
Fewer devastating flood and droughts.	Frequent devastating floods and droughts.
Dependence on money-lenders.	Dependency on NGO credit.
Practice of traditional culture, age-old rituals.	Traditional village culture and values disappearing

Then an open discussion took place. Participants said that, overall, the present is gloomier than the past. Some new problems were noticed, such as arsenic pollution: about 90% of the village population now have access to tube-wells, formerly a source of safe drinking-water, but it is no longer safe because most of the tube-wells in this village are contaminated by arsenic. The vegetation is gradually disappearing as people cut down trees for fuel or timber. Drought has become more severe and the level of groundwater has fallen. Canals and rivers have lost their navigability and there are devastating floods. NGO credit has taken over the role of traditional moneylenders but is no more friendly. People are more aware of health issues and have cleaner surroundings; intestinal diseases are decreasing. But diseases like hypertension, diabetes, RTIs and STDs are present. Malnutrition is still a big problem.

Participants also identified the existing classes in their village and which people belong to each. The poor are exploited: they must hand half of the crops they grow to the rich landowners. Leaders of religious institutions come from the richer group. The poor have inadequate access to education since they lack the money to send their children to school. Most women are oppressed. The rich and the elite are always the arbiters and they can manipulate justice in their favour. An alien culture is gradually replacing indigenous culture. Day labourers are being denied fair wages. They are used as a vote bank and can seldom exercise their voting power freely.

D) BASELINE INFORMATION

Baseline information of each of the Forum members was recorded at the entry stage. The same is updated every 2 years. Information is collected on the following points:

- marital status
- religion

- age group
- family size
- literacy level of the family
- occupation
- job opportunities in a year
- main source of income
- secondary source of income
- annual income and expenditure
- livelihood skills
- land ownership
- farming equipment
- total debt and to whom owed
- status of housing
- holding of poultry and livestock
- number of fruit and timber trees
- sanitation facility
- source of drinking-water
- disease pattern, access to treatment
- immunisation status
- use of contraceptives
- past training
- gender sensitivity
- association with any institution
- participation in social activities
- utilisation of leisure

E) PROBLEM IDENTIFICATION & PRIORITISATION

The above discussion and analysis brought to light a long list of problems. Considering the nature of the problems participants identified five major issues that are influencing their livelihood and which need to be addressed.

- employment and income
- health, nutrition and food
- education

- women's rights
- environment

After clustering the problems under those five major issues, the Forum members prioritised the most serious problems that required a quicker response. In a matrix ranking exercise, following a group discussion, numbers from 1 to 10 were allocated (the higher the number, the higher the priority). In problem identification and prioritisation CCDB staff had to do more facilitating. For instance, initially, arsenic pollution was considered a low priority, as its effect was not immediately perceived, but after discussion Forum members understood the problem better and gave it a high score.

PROBLEM	PRIORITY	PROBLEM	PRIORITY
EMPLOYMENT AND INCOME		EDUCATION	
- Low income	10	- High drop-out from primary school	9
- Lack of capital for starting IGA	9	- Inadequate access to formal education	8
- Unemployment	8		
- Marketing products	7		
HEALTH, NUTRITION AND FOOD		WOMEN'S RIGHTS	
- Food insecurity (especially in lean season and after disasters)	10	- Dowry	10
- Malnutrition.	9	- Lack of knowledge of women's rights	8
- Arsenic pollution	9	- Violence against women	7
- Ill health	8	- Wife beating	4
- Lack of good seeds	7	- Polygamy	3
- Poor housing	6		
- Lack of storage facility	4		
		ENVIRONMENT	
		- Deforestation	9
		- Drought	8
		- Flood	7

F) CAUSE ANALYSIS

The highly rated problems were analysed further, in another open discussion, and their causes were identified.

ILL HEALTH:

- inadequate knowledge of reproductive health and MCH
- environmental pollution
- inadequate access to government health facilities
- poor income
- poor sanitation
- superstition
- lack of trained midwives and health cadres
- poverty
- illiteracy

MALNUTRITION:

- lack of functional knowledge of nutrition
- gap between knowledge and practice
- superstition
- Childhood diseases
- worm infestation
- insufficient and badly-balanced food
- poverty

FOOD INSECURITY (SPECIALLY IN THE LEAN SEASON AND AFTER DROUGHT OR FLOOD):

- seasonal fluctuation
- low production, increased price of food grains
- low income, less buying capacity
- unemployment
- lack of knowledge of crop diversification
- lack of good seeds
- insufficient storage facility
- poor income
- natural disasters

ILLITERACY:

- too few educational institutions

- lack of awareness of education
- children working for money due to poverty
- inadequate access to the existing institutions
- poverty

DOWRY:

- unfavourable attitude towards women
- lack of social awareness
- male-dominated social system

LOW INCOME:

- lack of capital to start IGAs
- lack of opportunity for alternative income
- lack of self-employment and vocational education
- exploitative NGO credit
- difficulties in marketing products
- unjust wages
- landlessness
- lack of employment opportunity
- poverty

ARSENIC POLLUTION:

- too much use of surface water
- unscientific use of modern technology

DROUGHT:

- deforestation
- less flow of water in summer
- environmental pollution
- destruction of ecological balance

While analysing the problems, the participants found that both the micro and macro level systems were responsible for poverty, exploitation, and environmental degradation. One example is drought. The construction of the Farraka barrage in India reduced the flow of water in summer so drought is experienced almost every year and there are signs of desertification.

G) RESOURCE IDENTIFICATION

At this stage, the Forum members analysed through participatory discussion the resources, capacities and opportunities in their village, first listing them all and then identifying to which they had access.

VILLAGE, FORUM

- cultivable land - 10 acres
- fallow land - 3 acres
- ponds - 8
- grazing land - 5 acres
- ditch (Bil, Doba & Haor) - 4 acres
- bullocks - 20, buffaloes - 8
- agricultural equipment
- organic manure equipment
- family poultry farms - 10
- paddy harvesting machines - 4
- shallow machines - 3
- trees and bamboo gardens
- sewing Machines - 4
- educated and like-minded persons - 6 ◇
- forum centre 1
- forum capital - Tk 456,000 (revolving)
- tailors - 3
- persons skilled on Embroidery - 14
- municipal commissioner - 1
- forum members - 105
- volunteers - 11
- various kinds of need-based training support

CCDB, OTHER NGOs, GOVERNMENT INSTITUTIONS

- financial and technical support
- emergency and rehabilitation support
- good seeds

- support for education
- matching-funds support
- support to mobilisation of resources and facilities from government
- credit facilities
- relief services
- various kinds of training
- eEducation facilities
- medical facilities
- irrigation facilities
- poultry and livestock vaccination
- immunisation facilities
- MCH clinics

3.2.1 DEFINITION OF OBJECTIVES

The Forum members then moved on to the actual planning. Keeping in mind the problems and their causes, and the available resources, they defined objectives, activities, expected outputs and output indicators. This took a lot of time and debate and meant adjusting their requirements to the limited opportunities and resources available. The following objectives were defined:

- To improve health and nutrition.
- To increase food production for consumption and sale.
- To create awareness of arsenic contamination of water and its long-term effects.
- To reduce the practice of dowry.
- To create environmental awareness.
- To create employment opportunities and sources of income.
- To create opportunities for children's education.

3.2.2 ACTIVITY PLAN OF NAVANTARA FORUM (JULY 1999 TO JUNE 2001) [FOR ILLUSTRATION OF THE FIRST TWO OBJECTIVES ONLY]:

OBJECTIVES	ACTIVITIES	OUTPUTS	INDICATORS
To improve health and nutrition.	Training in health care and nutrition. Motivation on hygiene & sanitation. Training of traditional midwives. Providing loans for slab latrines. Participating in immunisation programme.	2 Training courses in MCH and nutrition conducted for 30 members. 3 Traditional midwives trained. 24 Members receive loan to install slab latrines.	Forum members with increased functional knowledge about MCH and nutrition. 55% trainees sharing knowledge with others. 70% Forum members keeping their homesteads clean and using slab latrines. 95% infants immunised. Less incidence of diseases. No bad smell in the neighbourhood. People keeping food covered. Children looking healthier. Mothers in better health. People washing their hands before eating and after defecating. Fewer children with pot bellies.
To increase food production for consumption and sale.	Supply of good seed. Utilising government services for vaccination facilities. Training and financial support in livestock care.	15 Members completed training successfully and shared their learning. 15 Members received financial support to start family-based livestock farming. Members received good seeds in time and planted. Increased availability and accessibility of food round the year.	60% Forum members able to afford at least two meals a day 55% Forum members rearing at least 10 chicken/ducks or 2 goats or 1 milking cow and consuming eggs, milk and meat. Decreased mortality of poultry and livestock. 50% People with changed food habits. Majority of members planting some vegetables in their yards for consumption and sale. 40% of the people storing at least 60 kg of rice.

After making the list of activities, a budget was prepared taking into consideration the availability of resources from their own means, CCDB and others. The Forum also planned the timing of each activity and the key person who would be responsible for ensuring its completion. Several committees were formed: a purchase committee, an implementing committee and a monitoring committee.

3.2.3 MONITORING

A four-member committee was formed including chairperson, secretary and cashier. In addition, the group leaders were assigned to monitor and supervise their own groups.

A) MONITORING TOOLS

It was decided that all group members would get together once a month and report to the monitoring committee about progress made. The monitoring committee would also undertake home visits from time to time. All of this would be done informally, but the Forum worker would document relevant information for the monthly monitoring meetings.

One copy of the monthly monitoring report would be shared with CCDB. In turn CCDB would give regular feedback to the Forum on the monitoring reports.

B) FOCUS OF MONITORING

Process monitoring focused on:

- progress of implementation of different planned activities
- utilisation of inputs
- financial transactions

Product monitoring focused on changing trends in people's lives due to the interventions

3.2.4 EVALUATION

The Forum also planned for a participatory evaluation after two years, to be done in co-operation with CCDB. The following issues were identified for evaluation:

- contribution of the planned activities to their lives
- sustainability
- capacity of the women and their organisation

Appendix 4:

THE KEY INFORMATION REQUIREMENTS OF FUNDING AGENCIES

4.1 INTRODUCTION

The requirements of funding agencies include the information that an organisation is requested to provide so as to enable the supporting agencies to assess a proposal and to assess its implementation (including the utilisation of funds made available by these agencies); but they are not limited to this. In fact, requests for information by funding agencies serve several purposes:

- To take responsible funding decisions.
- To learn from programme experiences.
- To account for programme expenditures, internally and externally (to back donors and the public).
- To be in a position to act on behalf of partner organisations;
- To take up lobbying and advocacy issues.
- To help identify capacity-building needs.

4.2 INFORMATION NECESSARY TO PROCESS REQUESTS FOR FUNDING AND DECIDE ABOUT THEM

All agencies require information about the proposed project (or programme) and information about the implementing (or responsible) organisation.

A) PROJECT INFORMATION

1. Key information about target area and population.
2. Summary of the situation analysis (understanding the problem).
3. Goal and objectives:
 - description of overall goal (or general/long-term objective), with indicators of impact.
 - description of specific objectives, with indicators of effectiveness.

4. Activities, required inputs, and intended outputs with targets.
5. Approach to the work, strategy for implementation.
6. Assumptions or risk factors.
7. Financial information - project period, total cost, local contributions, contributions from other donors, requested contribution.

b) ORGANISATIONAL INFORMATION

1. Identity, date founded, formal registration details, constitution or statutes, organisational structure.
2. A brief 'C.V.' indicating major activities and experiences in various fields.
3. Strategic networks and alliances of which the organisation forms part.
4. Composition and role of board.
5. Staff composition, professional qualifications of key staff.
6. Internal decision-making systems.
7. Participation of target population in decision-making processes.
8. Systems and procedures for Planning, Monitoring and Evaluation.
9. Strengths and weaknesses as perceived by the organisation itself.
10. Overall financial information.

4.3 INFORMATION REQUIREMENTS DURING IMPLEMENTATION PROCESS

Agencies need to receive at least once a year both a narrative report and a financial report.

- a) The narrative report should make clear which of the planned activities have been carried out, how the outputs produced compare with those intended, and what progress has been made towards achieving the specific objectives and overall goal.
- b) The financial report should compare actual income and expenditure to the budget, explaining any discrepancies; with audit attached or following afterwards.

4.4 OTHER INFORMATION NEEDS

Each agency also requires agency-specific information to be able to report on the extent to which funding decisions and implementation of projects relate to policy priorities and/or to be able to provide information for lobbying or advocacy work. For example:

- Most agencies require information about effects of the project with regard to gender issues.
- Some agencies ask for information about environmental aspects.
- Some agencies ask to be informed about progress in relation to other topics that are seen as highly relevant from a policy point of view (e.g. self-reliance of people's organisations).
- In certain circumstances, an agency may ask for specific information in connection with advocacy work in the North and/or with the agency's public relations needs.
- Sometimes a partner organisation is requested to co-operate with an evaluative study initiated by an agency: this may be one of the conditions of the agreement between the agency and its back donor.

4.5 CONCLUDING REMARK

Where there is joint funding by two or more of BfdW, EZE, CA, DCA and ICCO, partners should not accept different formats for standard reporting requirements. If faced with such a demand, a partner should raise the matter with the desk officers concerned, requesting them to come up with a common reporting requirement, considering that these agencies have agreed to the same standard information needs and, more generally, have expressed a serious intention to intensify their co-operation at the institutional level. If the desk officers are not able to arrive at a solution, the matter should be referred to the management of the agencies concerned.

Appendix 5:

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IN MEMORIAM

While this document was being prepared for publication, we were greatly saddened to hear of the death of Enilson Rocha Souza, at the age of 59. He was Executive Secretary of CESE for the first 26 years of its existence and made a notable contribution to the ecumenical movement and its struggle for justice, not only in Brazil but internationally, especially through involvement with the World Council of Churches. Enilson participated directly in the Joint PME Project, only prevented by illness from travelling to Honduras after taking part in the first three plenaries where he earned the respect and affection of his colleagues. We hope that this document – and the bridges we have built – will serve to take forward the work to which Enilson devoted so much of his life.

This publication is also available on the Internet as
Adobe Acrobat Reader file.

This publication is also available in French, Portuguese and Spanish.

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