THE CEDPA TRAINING MANUAL SERIES

PROJECT DESIGN FOR PROGRAM MANAGERS

cedpa

The Centre for Development and Population Activities

PROJECT DESIGN FOR PROGRAM MANAGERS

Conducting a Workshop on Planning Community-Based Projects

The CEDPA Training Manual Series
Volume II

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INTRODUCTION

Project Design for Program Managers is the second volume in The CEDPA Training Manual Series. It has been developed by the Training Division of The Centre for Development and Population Activities (CEDPA) with support from the United Nations Population Fund (UNFPA). It compiles training activities that CEDPA has used in many programs to strengthen the training capacity of health, family planning, and other development organizations.

Rationale

In a time of scarce and uncertain resources, carefully designed projects are crucial to an organization's effectiveness. This manual approaches project design as an ongoing process within an organization. This process encompasses needs assessment, problem identification, development and implementation of solutions, assessment of outcomes, and planning for the future.

This manual enables trainers to conduct a workshop in all phases of project design. The workshop content is applicable to managers in any sector. The projects designed by participants may be in any field. The manual also provides exercises that will be helpful to managers in improving their skills in planning, implementing, and managing projects.

Trainers are provided with all the necessary information to conduct a project design workshop including materials, content, teaching and training methods, handouts, and activities. The sessions can be used together in one five-day workshop or individually.

Purpose

This manual is intended for use by trainers of project managers in non-government organizations and in government ministries. CEDPA has used versions of these sessions to train managers and trainers all over the world.

Methodology

Sessions are designed according to the process of experiential learning. Each session engages participants in some type of **experience** and allows them an opportunity to **reflect** on the experience to draw out key concepts and lessons, develop **generalizations** about the lessons learned, and **apply** the new material. The trainer's role is to facilitate this learning process. Care has been taken to respect the principles of adult learning in every session.

It is important for the user of this manual to remember that every training situation is different and that each training program must address the special needs of the participants. Trainers using this manual are encouraged to assess the training needs of an individual group and adapt and modify the sessions presented here as necessary.

Experience Base

CEDPA is a non-profit international development organization founded in 1975. Its mission is to empower women at all levels of society to be full partners in development. CEDPA's comprehensive development strategy includes training, innovative community-based projects, partnerships with local organizations, and collaboration with training alumni in project implementation and institution building. Most programs are designed and managed by women to promote positive change for women.

CEDPA's Washington, D.C., and regional training programs have enabled more than 3,700 women and men from over 100 countries in Africa, Asia, Eastern Europe, Latin America, and the Middle East to develop new skills in leadership, management, and institution building. Alumni include leaders of private voluntary organizations and governmental and non-governmental agencies and medical professionals, youth workers, and educators.

The Washington-based workshops are conducted annually in English and either Arabic, French or Spanish. "Institution Building: Strategic Management for the '90s" (IB) focuses on management skills such as strategic planning, resource expansion, and financial systems and includes a mentor program. "Women in Management: Leadership Training for the '90s" (WIM) focuses on women's roles and challenges and includes sessions on gender awareness, leadership styles of women and men, and strategies for managing groups. Regional workshops are conducted in collaboration with alumni organizations and have included training in project design, supervision, gender issues, evaluation, policy advocacy, strategic planning, and training of trainers (TOT).

This manual compiles training activities used in CEDPA's Washington-based and regional training programs into a six-day curriculum to train project managers to design community-based projects in health, family planning, and other development areas. It provides a systematic approach to the process of project development, considering the organizational environment within which the project is developed and the external environment within which it is implemented. The curriculum also strengthens participants' skills in planning, implementing, and managing projects.

ACKNOWLEDGEMENTS

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Washington, D.C.
December, 1993

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Stacey Lissit

HOW TO USE THE MANUAL

The manual is organized into a series of 11 sessions which build upon each other. Each session has the following components:

Title - identifies the main topic of the session.

Learner Objectives - describe what the participant will be able to do by the end of the session to demonstrate increased knowledge, improved skills, or attitudinal change.

Time - indicates the approximate amount of time the session will take.

Session Overview - provides a breakdown of the session into sub-topics, including the time allocation for each sub-topic.

Materials - lists all the materials that will be required for the session.

Handouts - indicates all the handouts that will be required for the session. Handouts are included at the end of each session.

Steps **-** provide specific instructions to the trainer about how to conduct the session. Sessions are designed to move participants through the four components of the Experiential Learning Model: **experience**, **reflection**, **generalization**, and **application**. The **experience** is an exercise or participatory presentation in which useful information is brought forth for discussion and learning. The **reflection** component helps participants ponder and analyze new information and develop their ideas about a topic. **Generalization** allows participants to draw broader conclusions and lessons about the new information, while **application** enables them to apply the generalizations to a new situation, or think about how they might apply their new skills or use their new knowledge in the future. Often, components of the cycle are repeated within sub-topics in a session. For more information on this learning process, please refer to CEDPA's training manual "Training Trainers for Development."

Tasks - describe small group activities and appear in boxes within each session. A task provides the instructions participants need to do their group work. The trainer may copy the tasks on a flipchart.

Trainer's Notes - are written in italics. They may include expected or possible responses to a question, definitions, or other key points that the trainer should try to elicit during the session. In some cases, they refer the trainer to a handout that provides more detailed information on a particular topic.

Special Preparation **-** indicates any arrangements that the trainer needs to make prior to the session.

WORKSHOP OVERVIEW: PROJECT DESIGN

Goal: *By the end of the workshop, participants will be able to develop a project proposal and apply basic skills related to effective project implementation and sustainability.*

Day	Sessions	Purpose	Time
1	1. Overview of the Project Life Cycle	To introduce the Project Life Cycle as a process for systematically identifying problems, developing and implementing solutions, assessing outcomes, and planning for the future.	2 hours, 30 minutes
	2. Community Needs Assessment	To examine needs assessment techniques that can be used in problem identification and project planning to assist participants in a needs assessment plan.	3 hours, 45 minutes
2	3. Developing a Problem Statement	To enable participants to formulate a focused problem statement based on the results of a needs assessment.	3 hours
	4. Goals and Objectives	To emphasize how goals and objectives focus and guide the development of project activities and to allow participants to practice writing them.	3 hours
3	5. Project Implementation Plan	To introduce an implementation plan as a tool for project development, organization, and monitoring.	3 hours
	6. Job Descriptions, Staffing Patterns, and Training Plan	To enable participants to determine project staffing and training needs based on project activities.	3 hours
4	7. Monitoring and Evaluation	To examine the reasons for observing and measuring progress and to provide participants with specific tools and strategies for doing so.	4 hours, 20 minutes
	8. Recordkeeping and Reporting	To design systems for collecting the information needed to monitor project progress.	2 hours, 30 minutes
5	9. Field Visit	To visit community-based projects and assess project implementation; to apply observations and lessons to project design process.	8 hours
6	10. Budgeting	To provide participants with practice in estimating costs, preparing a budget, and using a budget as a monitoring tool.	3 hours
	11. Project Sustainability	To explore strategies for achieving institutional, financial, and political sustainability and to assist participants in developing a plan for sustainability.	3 hours

SESSION ONE

OVERVIEW OF THE PROJECT LIFE CYCLE

Learner Objectives

By the end of this session, participants will be able to

1. Develop an organizational vision and a mission statement
2. Identify the components of the Project Life Cycle

Time

2 hours, 30 minutes

Session Overview

A. Developing an Organizational Vision . . . . .1 hour
B. The Project Life Cycle . . . . .1 hour, 30 minutes

Materials

Flipchart
Colored markers for flipchart
Small ball or similar object
Optional: Overhead projector, transparency of Handout 1A, transparency pens

Handouts

1A The Project Life Cycle

Special Preparation

Prepare a transparency of Handout 1A or copy it onto a flipchart.

A. Developing an Organizational Vision (1 hour)

Step 1 Greet participants and read aloud the posted learner objectives for the session.

Step 2 Ask the participants to stand in a circle for a game called hot potato. The rules of the game are as follows:

- The "hot potato" (any small ball or similar object) is passed around until the leader says the word "vision." Whoever has the "hot potato" must then say the first thing that comes to mind about the word "vision."
- The person who has spoken leaves the circle and the game continues until everyone has had a chance to speak.

Step 3 Introduce the following task:

TASK #1

1. Individually, visualize the kinds of programs you would like your organization to be providing five years from now.
2. Draw a picture of your vision without using any words. Let your imagination run wild.

Time: 10 minutes

Step 4 After participants have completed the task, tell them to find a few other participants with similar drawings. Explain that each small group will become an organization, providing a context for the project design activities.

Step 5 Once the groups have been formed, introduce the following task:

TASK #2

1. Pretend each group member is now part of the same organization.
2. Based on your individual visions, develop a common organizational vision on paper.
3. Using this vision, prepare a short, simple mission statement for your organization.
4. Prepare to present your pictorial vision and mission statement to the group.

Time: 30 minutes

Step 6 Ask each organizational group to present its vision and mission statement, and ask the following questions:

- What did you find difficult or easy about drawing your joint visions?
- What did you find difficult or easy about writing your mission statement?

Allow other organizations to comment on and/or ask questions about each presentation.

Step 7 Assure participants that organizations sometimes spend weeks developing a mission statement and that they should not be disappointed if their statements are not perfect. Explain that the purpose of the exercise is not to learn how to write a mission statement but to bring the group together around a common purpose. The development of a common vision and mission will enable each organization to plan a project that is consistent with the organizational objectives.

During the remainder of the session, the participants will be introduced to the Project Life Cycle.

B. The Project Life Cycle (1 hour, 30 minutes)

Step 1 Ask participants the following question: "What are the questions/issues that your organization needs to address before implementing a project?" Allow participants to brainstorm, recording their responses on a flipchart. Ask probing questions until all components of the Project Life Cycle are listed.

Step 2 Present the Project Life Cycle using an overhead projector, if available, or draw the cycle on a flipchart. Ask questions to ensure that the following key points are made:

The Project Life Cycle:

- must begin with a needs assessment.
- is an ongoing process in which the results of monitoring and evaluation should feed back into problem identification.
- is sequential; therefore, certain activities such as developing project objectives, indicators and activities, financial planning, and establishing recordkeeping systems must be completed before project activities are undertaken.

Step 3 Introduce the following task:

TASK #3

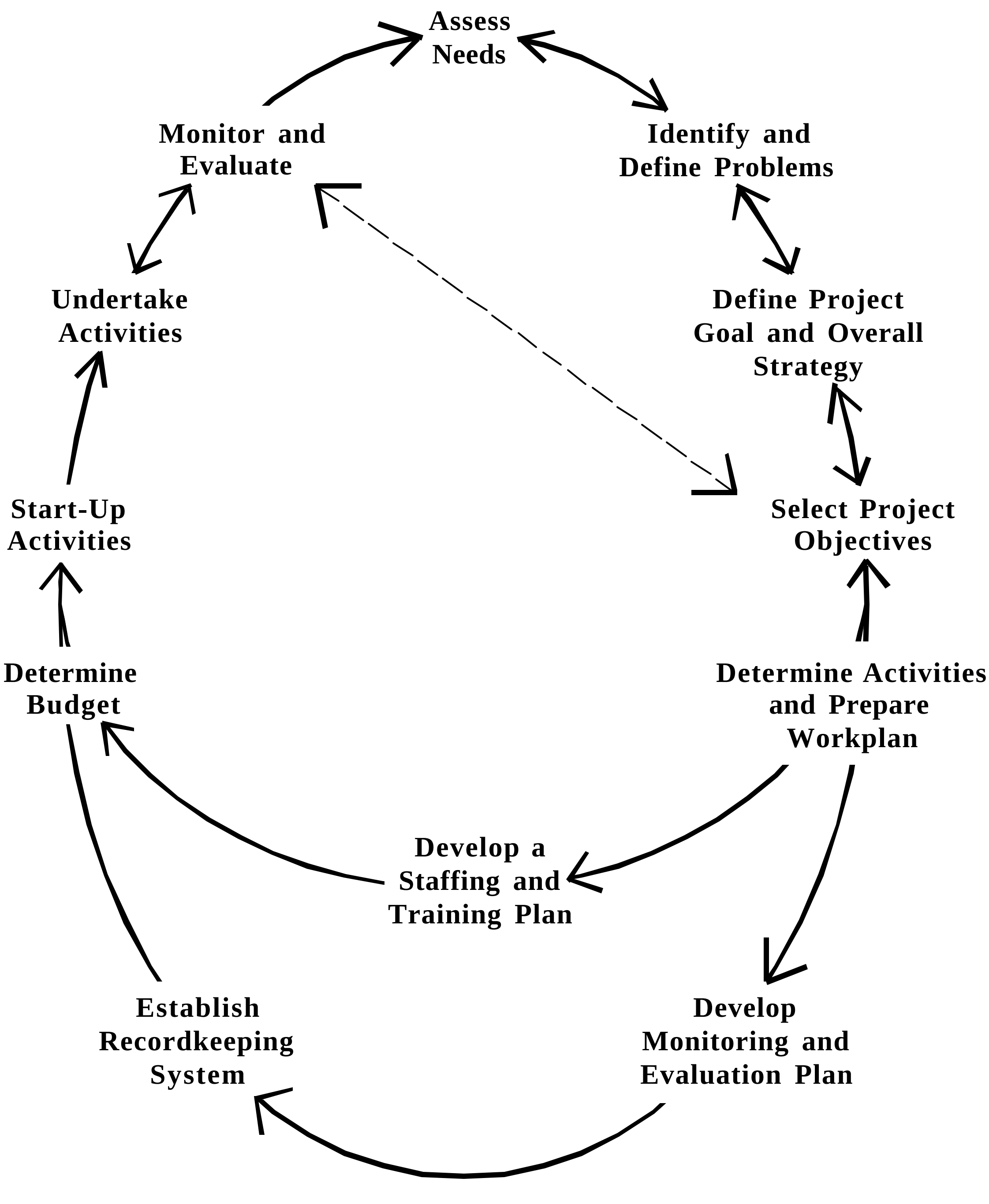
1. Select the component of the Project Life Cycle with which you are most familiar.
2. Divide into groups and discuss your understanding of the component. (The groups should be formed so that all components are represented.)
3. Prepare to report to the group.

Time: 20 minutes

Step 4 Ask each group to present its component. Invite other participants to add to the group's presentation.

Step 5 Explain that each of the components of the Project Life Cycle will be discussed in depth over the following days and that this was an introductory session to provide an overview of the whole project process.

THE PROJECT LIFE CYCLE



SESSION TWO

COMMUNITY NEEDS ASSESSMENT

Learner Objectives

By the end of this session, participants will be able to

1. Explain the purpose of conducting a community needs assessment
2. Describe the type of information that should be collected in a needs assessment and identify various methodologies for collecting the information
3. Develop a needs assessment plan

Time

3 hours, 45 minutes

Session Overview

A. Rationale for Needs Assessment . . . . .45 minutes
B. Data Collection Methods . . . . 1 hour, 30 minutes
C. Planning a Needs Assessment . . . . 1 hour, 30 minutes

Materials

Flipchart
Flipchart markers
Role Description Sheets

Handouts

2A Role Descriptions: Lulu and Zuzu
2B Assessing Needs
2C Learning From, With, and About the Community
2D Needs Assessment Techniques
2E Assessing Needs - Blank Form
2F Collecting and Analyzing Data

A. Rationale for Needs Assessment (45 minutes)

Step 1 Greet participants and read aloud the posted learner objectives for the session.

Step 2 Ask for two volunteers to act in a role play. Brief each volunteer separately on her or his role and give each a copy of the appropriate role description (Handout 2A). Introduce the role play to the group as follows:

"Two project managers, Zuzu and Lulu, are relaxing at the end of a long, hard day. Zuzu, an agricultural project manager, is older than Lulu and has about ten years of experience in the field. Lulu recently completed University and is working in the area of community health. Lulu is telling Zuzu about a nutrition project for which she has just completed the design."

Step 3 Have the volunteers act out their roles, while the others observe.

Step 4 When the role play is finished, thank the volunteers and ask them if they enjoyed role playing. Ask the observers the following questions:

- What happened?
- What mistakes did Lulu make?
- What do you think will be the results of her mistakes?
- What could she have done differently?

Possible responses: Lulu failed to conduct a needs assessment in the community to discover the cause of their problems (and whether or not they had other problems); she designed the project based on assumptions and incomplete information. The results will be that the project might not be accepted by the community, and it will not address their real needs. To avoid this situation, she could have met with community leaders and talked to community members before designing the project.

Step 5 Initiate a discussion on the purpose and importance of conducting a needs assessment.

- Why is it important to perform a needs assessment?
- How can you use the information gathered through the assessment?

- Is the process of needs assessment limited to defining the problem to be addressed in the project?

The purpose of the third question is to get at different levels of needs assessment:

- *A needs assessment might be conducted to identify a broad range of problems within a community and decide which need a project will address.*
- *Needs assessment is also used to gather information once a specific problem has been identified, in order to design a project that will effectively address the problem.*

Refer to Handout 2B, Assessing Needs, for additional key points and concepts.

Step 6 Ask participants to brainstorm on the type of information they might collect during a needs assessment. Remind participants that no organization can address every problem in a community. The mission of their organization defines and limits the type of problem they can address and thus the type of project that will be developed. Therefore, they do not need to collect detailed information on every problem or need in the community.

Possible responses: Number and type of health services available, knowledge of community members, cultural beliefs and practices, resources available, health status.

Refer to Handout 2C, Learning From, With, and About the Community, for additional responses.

B. Data Collection Methods (1 hour, 30 minutes)

Step 1 Ask participants to divide into their organizational groups to perform the following task:

TASK #1

1. List as many methods as possible for gathering information about project communities (10 minutes).
2. For each method, list:
   - Advantages of using the method
   - Constraints to using the method
3. Prepare to report to the group.

Time: 1 hour

Step 2 Ask each group to present one method only. Continue in this manner until all the groups have presented and all the methods have been discussed. For each method, ask the following questions:

- Is this technique likely to encourage participation from the community during the process of needs assessment?
- To what extent is the method subject to the biases of the project? Is it open to new information from the community?
- What are some difficulties typically encountered with this method?
- Is the method conducive to women's involvement?
- Why should women participate?

Refer to Handout 2D, Needs Assessment Techniques, for other key points and concepts.

Step 3 Explain that different methods are appropriate in different situations. The methods used must meet the needs of both the implementor and the community. The following questions should be kept in mind when planning and conducting a needs assessment:

- Whose needs are being assessed? By whom? For whom? Why?
- Whose needs do the findings reflect?

C. Planning a Needs Assessment (1 hour, 30 minutes)

Step 1 Ask participants to remain in their organizational groups to carry out the following task:

> **TASK #2**
>
> 1. Determine what information you will need about your project community(ies) in order to design and implement a project.
> 2. Fill in the matrix on Handout 2E, Assessing Needs, to determine possible information sources, the method(s) you will use to obtain the information, the rationale for using those particular methodologies, and any other comments.
>
> Time: 1 hour

Step 2 Have each group present its plan for needs assessment. The following questions can be used to generate discussion:

- What are the strengths and weaknesses of the chosen technique/ method?
- Why did you choose the technique/method?

Step 3 Wrap up the session by discussing the following questions:

- How will you use what you learned today when you go back to your organization?
- What technique(s) will you use in the future to increase beneficiary participation?

Refer to Handout 2F, Collecting and Analyzing Data, for key points and concepts.

ROLE DESCRIPTIONS: LULU AND ZUZU

LULU

You are a new project manager and have put the finishing touches on a nutrition project for Kazimba District. The project includes a strong emphasis on nutrition education and preparation of proper weaning foods, promotion of breastfeeding, and promotion of fluids available in the home to prevent dehydration from diarrhea. You developed the project after discussions with the health clinic staff and a review of their records, which indicate a high prevalence of malnutrition in the community. It is now the end of the day, and you are relaxing with your friend, Zuzu, proudly describing your new project.

ZUZU

You are an experienced agricultural project manager. Your friend Lulu is telling you about a nutrition project she has designed for Kazimba District. You yourself were in Kazimba District last month meeting with the village leaders. They told you about a problem they have been having with elephants. The elephants have been passing through their fields to get to the river. The problem has been escalating for over a year since the development of a resort lodge displaced the elephants' usual drinking spot. As a result, the village crops have been destroyed, food supplies are insufficient, and children are suffering from hunger. You are concerned that Lulu has not met with community members in the design of her project.

ASSESSING NEEDS

Successful projects are those which have been designed on the basis of a good understanding of the project setting. Project success is rarely the result of chance or luck—it is almost always related to good planning.

Consider the following examples of problems in development projects:

- A project to introduce new, fast growing, drought resistant varieties of vegetables fails because agricultural extension services are directed to men. In the project country, men grow only cash crops and women grow food crops such as this new vegetable crop.

- A project to increase women's income through the production of handicrafts results in high losses because the women charge less for their finished products than they paid for raw materials. The project developer, who does not live in the village, assumed the women understood basic principles of costing and sales.

- A family planning project attracts very few clients because women are embarrassed to go to the clinic, which only provides family planning services. The project developer knew that the same women had expressed interest in family planning and that they regularly take their children to monthly clinics for weighing, immunization, and nutrition lessons. She had assumed the women would also be willing to attend a monthly family planning clinic.

- A project to provide child health and nutrition education classes to mothers is poorly attended and results in minimal improvements in child health. When asked, mothers had told the project developer that they were interested in their children's health. However, they had not indicated that they had little time for an activity such as a class or that they preferred a project to provide opportunities to earn income. The project developer had not asked specific questions to determine this need.

Each of these projects was designed by people with good intentions but limited understanding of the project setting. They failed because they did not address local needs in a realistic way.

Before beginning a needs assessment, it is helpful to make a list of the pieces of information you require to understand both needs and resources, the source of each piece of information, and the means of gathering each piece of information. Formats for lists like these are shown on the next pages. Such lists allow you to summarize all the information you want to collect from a particular source, making information collection more efficient. They also pinpoint gaps in the information that you need.

If there are critical gaps in existing information, you may have to develop a questionnaire or survey to gather specific bits of information. The development of questionnaires should be avoided if possible because it can be a long, involved process and is very costly. However, if a questionnaire is necessary, you may wish to refer to guides for project pre-implementation surveys or request technical assistance from appropriate agencies.

All of the information you gather is valuable. You will use it as a basis for defining the problem and needs to be addressed and determining the goal, objectives, and appropriate activities for your project.

LEARNING FROM, WITH, AND ABOUT THE COMMUNITY

The main job of a health worker in a community-based program is not to deliver services. And it is not simply to act as a link between the community and the outside health system. It is to help people learn how to meet their own and each other's health needs more effectively.

In order to do this, the health worker needs a deep understanding of the community's strengths, problems, and special characteristics. Together with the people in the community, the health worker will want to consider:

NEEDS

- local health problems and the root causes
- other problems that affect people's well-being
- what people feel to be their major problems and needs

SOCIAL FACTORS

- beliefs, customs, and habits that affect health
- family and social structures
- traditional forms of healing and problem solving
- ways people in the community relate to each other
- ways people learn (traditionally and in schools)
- who controls whom and what (distribution of land, power, and resources)

RESOURCES

- people with special skills: leaders, healers, story tellers, artists, craftspeople, teachers
- land, crops, food sources, fuel sources (firewood, etc.), water
- building and clothing supplies
- markets, transportation, communication, tools

This looks like a lot of information, and it is! But fortunately, a health worker who is from the community already knows most of the important facts. She or he does not need to run around collecting a lot of data. All she or he needs to do is sit down with a group of community people and look carefully at what they already know.

People in a village or community already know most of the essential facts from their own experience. (Not exact numbers, perhaps, but these are usually not needed.) What they need to do is ask themselves:

- How do the combined facts of our situation—needs, social factors, and resources—affect our health and well being?
- How can we work with these facts—using some, changing or reorganizing others—to improve our health and well being?

The process of looking at these questions in a community group is sometimes called community analysis or situation analysis.[1] At best, this means not an analysis ***of*** the community but a self-analysis ***by*** the community.

Handout 2D-1

[1] *Training for Women Project Managers: A Trainers' Manual.* Module Four: Situation Analysis and Needs Identification. FIT and ICOMP, December 1989.

NEEDS ASSESSMENT TECHNIQUES

Let us examine some of the techniques more closely.

1. STRUCTURED DISCUSSIONS

A structured discussion can be used to guide beneficiaries in discussing and analyzing a problem.

Beneficiaries begin with a problem and state why a solution is needed. The causes of the problem are listed and then a solution is proposed. Possible solutions may be discussed with the development worker, who should take into account both the causes of the problem and the reasons why a solution is wanted. The solution is examined to determine who will benefit, what problems will remain, and whether new problems will be created. A decision is made as to whether the new problems are acceptable or alternative solutions are required. The process will normally be repeated three or four times before people feel they have fully analyzed the situation. The depth of analysis of the problem usually increases with each cycle.

2. POPULAR THEATER

Popular theater has been used as an effective tool for non-formal education in developing countries. It has a number of purposes:

- as ***entertainment*** it can engage and hold the interest of large numbers of people;
- as an ***oral medium in local languages*** it can involve many people who are left out of development activities because of their literacy level and/or language barriers;
- as a ***means of cultural expression*** it can be understood by everyone in the community;
- as a ***public or social activity*** it can bring a community together and create the context for cooperative thinking and action.

3. QUESTIONNAIRES

The questionnaire is a common technique used in needs assessment. While designing a questionnaire, you need to think about the following:

Handout 2D-2

- Will any of the questions be seen as threatening? Why? How are people likely to respond to these questions?

- What are the advantages and limitations of questionnaires?
- Would women and men respond differently to any of the questions?

4. OBSERVATION

Observation is another technique often used in needs assessment. When conducting an observation you need to think about the following:

- What are the skills required for good observation? Are these skills readily available? Do we have the resources to train people in observation techniques?
- Will taking notes or recording conversations offend anyone? How might they affect the results of observation? What might be done to minimize these effects?
- To what extent can beneficiaries carry out the observation of their own situation? How could this affect the selection of observers?
- What are the strengths and weaknesses of observation? How can project beneficiaries become involved in the observation process?
- What gender issues can arise in observation?

General instructions for observation/interviews using questionnaires:

- Aim for a representative cross section of ALL community members: by age, gender, economic status, ethnic grouping, etc.
- Try to reach people where they are, for example, in the fields, at home, in the local market, at a tea shop, a village well, a local factory, etc.
- If you made information contacts earlier, begin with them.
- Discuss matters with those who may have a potential or active role in the project; for example, district government officers, extension workers, and volunteers.
- Find out what government and private agencies have done and to whom their programs are targeted.

5. GAMES

Playing a board game can help beneficiaries decide how to distribute limited resources to priority activities. It provides a non-threatening environment in which players can express their feelings and opinions relating to issues in their own community.

Handout 2D-3

Following is an example of such a game:

A list of possible development projects or activities is prepared and the costs or resources required for each are estimated. Squares are drawn on the board in a checkerboard pattern. Draw enough squares so that each square represents 1% of the total cost or resources for the activity. Beneficiaries then cover the number of squares equal to the proportion of the resources they wish to allocate to each activity. Discussions take place around moving resources from one activity to another. This process can be effective with individuals or groups. Beneficiaries might wish to increase the budget for recreation. If such a decision were made, what other budget category should be reduced? What rationale would be used to justify moving resources from one category to another? Thinking back to the different priorities of women and men, what gender issues can arise from using this technique?[2]

Handout 2F-1

[2] *Training for Women Project Managers: A Trainers' Manual.* Module Four: Situation Analysis and Needs Identification. FIT and ICOMP, December 1989.

ASSESSING NEEDS

INFORMATION REQUIRED	SOURCE OF INFORMATION	MEANS OF GATHERING INFORMATION	COMMENTS

COLLECTING AND ANALYZING DATA

Having developed an understanding of the overall needs and having selected the particular problems your project will address, you are ready to collect more detailed information about these problems, about the community, and about the resources available. This is important because you need facts in order to plan further.

The information required will vary according to the particular problems you are addressing. For example, if the decision is to undertake a family planning project, the information needed includes the following:

- Family planning and other health services: What is available, where, at what cost?
- Family composition: What is the average number of children/ages?
- Beliefs and culture: What do people believe about family size and composition? Are there cultural restrictions regarding the use of family planning?
- Knowledge of family planning: How much do women and men already know?
- Health status and practices: What are the major causes of infant and maternal mortality? What are the weaning practices?

There are many sources of information that can be used when planning a project. Here is a list of some valuable sources:

- Census records and data
- Written material that describes a community or region, from ministries or international organizations
- Descriptions and reports on projects in the area sponsored by other agencies, including government agencies, voluntary agencies, and international organizations
- Descriptions and reports on projects elsewhere that are similar to the one you wish to undertake
- Community leaders, local residents, or specific segments of a population
- Records at clinics, hospitals, and schools
- Observations of the community and knowledge of similar communities

Here are some of the elements that together make up the setting of a project and that may have an effect on project success:

- **People** - numbers, relationships, ages, sex

Handout 2F-2

- **Infrastructure** - hospitals, schools, clinics, water and sanitation systems, roads
- **Resources** - material and human resources, whether they exist or are lacking
- **Environment** - health conditions, weather conditions

- **Beliefs and Practices** - religious, cultural, political, social beliefs
- **Economics** - amount of money, distribution and source
- **Opinions, Ideas, and Preferences** - people's opinions about their needs and the options available to them

If the first step in the project development process is to broadly define what kind of project is needed and wanted in a particular village or setting, you will want to gather ***basic information*** related to:

- overall problems and needs
- existing resources
- people's preferences

You will not require detailed information on every area of activity (e.g., agriculture, education, health) or every problem or need (e.g., lack of water, child malnutrition, high rates of maternal death in childbirth), since your project will not address all of these issues.

SESSION THREE

DEVELOPING A PROBLEM STATEMENT

Learner Objectives

By the end of this session, participants will be able to

1. Identify problems that their organizations could address
2. Identify elements of a good problem statement
3. Write a problem statement based on a case study

Time

3 hours

Session Overview

A. Definition and Characteristics of a Problem Statement . . . . 45 minutes
B. Writing a Problem Statement . . . . 2 hours, 15 minutes

Materials

Flipchart
Flipchart markers
Optional: Overhead projector, transparencies, and transparency pens

Handouts

3A Criteria for a Good Problem Statement
3B Identifying and Selecting Problems
3C Stoneland Case Study
3D Example of a Good Problem Statement

A. Definition and Characteristics of a Problem Statement (45 minutes)

Step 1 Greet participants and read aloud the posted learner objectives for the session.

Step 2 Begin a general discussion around the word "problem" by asking the following questions:

- As a manager, what comes to your mind when you think of a problem?
- How would you define a problem?

Generate suggestions for definitions and record them on a flipchart.

Step 3 Write the following problem statement on a flipchart:

The number of adolescent pregnancies is increasing in the Washington, D.C., area.

Ask the participants to pretend that they are donors who receive this problem statement. What more do they need to know about the situation? Record all the responses on a flipchart.

Possible responses: How much has it increased? Over what time period? Among all adolescents, or among specific groups? What is the cause? What are some of the attitudes and beliefs of the adolescents about sex? About pregnancy? What type of sex education is included in the schools? In what part of Washington is it a problem?

Step 4 Ask, "What is the purpose of a problem statement?"

Possible response: A problem statement provides focus and direction for a project. It looks beyond symptoms to clearly define the problem and state specific areas for change.

Refer to the list developed in Step 3 above. What are the elements or characteristics of a good problem statement?

Refer to Handouts 3A and 3B, Criteria for a Good Problem Statement and Identifying and Selecting Problems.

B. Writing a Problem Statement (2 hours, 15 minutes)

Step 1 Distribute Handout 3C, Stoneland Case Study. Introduce the following task, to be carried out in the organizational groups formed in Session 2:

> **TASK #1**
>
> 1. Take a few minutes to read the case study. As a group, select the problem/s that your organization wishes to address based on the mission and focus of your organization.
> 2. Write a problem statement.
>
> Time: 1 hour

Step 2 After the organizations have developed their problem statements, introduce the next task:

> **TASK #2**
>
> 1. Exchange your problem statement with another organization and critique each other's statements.
> 2. While critiquing, check to see if all the elements of a good problem statement are present. Make recommendations to your "sister" organization to improve the statement.
> 3. Incorporate the recommendations into your organization's problem statement.
> 4. Prepare to report to the larger group using transparencies or handouts.
>
> Time: 40 minutes

Step 3 Ask each organization to present its problem statement to the larger group. Ask other participants for comments and suggestions.

Step 4 Wrap up the session by asking the following questions:

- How did you find the experience?
- What difficulties did you have in writing the statement? in critiquing it?
- What did you find useful about the experience?
- How will you use this experience when you go back home?

CRITERIA FOR A GOOD PROBLEM STATEMENT

The Statement

A good problem statement does the following:

- Concisely states a situation that needs to be changed.
- States who/what is affected.
- Quantifies the problem (how many).
- Addresses an issue related to the organizational needs/purpose.

Causes

Consider the following:

- Why does the problem exist?
- Is there more than one cause?
- Are the causes interdependent?

Consequences

Consider the following:

- What are the consequences of the problem?
- How many people does it affect?
- Are there political, cultural, and economic effects?

IDENTIFYING AND SELECTING PROBLEMS

The overview you get from your basic needs assessment will help you to determine major needs and problems. You can then select the problem or problems your organization has the skills to address. This is important because a project will be most successful if it is concerned with a small number of specific problems. Everything cannot be done at once, and a project should be limited to something that can be done in a relatively short time by your organization.

Once the problems to be addressed by the project have been identified and selected, more detailed information is gathered on the local circumstances surrounding the particular problems.

For example, your organization has decided to undertake a project in one town. Your organization works mainly in the areas of health, nutrition, and family planning and has a staff of nurses, midwives, and family planning educators. Thus, you already know that you are not qualified to do an irrigation project, an agriculture extension project or a project to teach women handicraft production.

Interviews with the town residents reveal that there are many maternal deaths in childbirth and that this concerns the community as a whole. By direct observation, you see many malnourished children under the age of five, whose mothers are either pregnant or have new babies. You learn that another voluntary agency has just begun a project to educate mothers about child nutrition, to initiate regular weighing of children, and to provide high protein foods to the most severely malnourished.

All of the basic information leads your group to support a project that addresses problems of maternal/child health in a village through family planning education and service delivery. A spot check of village leaders and residents confirms that there is an interest in this.

STONELAND CASE STUDY

Stoneland is a crowded conglomeration of villages located close to the center of the universe. The collective population of this conglomeration is about 90,000. While occupations vary from village to village, the whole area lacks the infrastructure for basic amenities, educational facilities, and economic opportunity. The majority of the community members are employed as mining and quarry workers and daily laborers. Some of the more fortunate ones are owners of small household industries.

One primary health care center serves the entire population. This center has a doctor who comes in two times a week, and health workers who come in everyday but do not go out into the villages. Negligible health services and weak health and family planning education programs have resulted in high child mortality and morbidity rates.

Stoneland has co-educational primary schools, but the students must leave Stoneland to attend middle and high schools. Parents willingly send their boys to these schools. However, most parents are reluctant to send their daughters, believing that they should not be exposed to the outside world. Some girls do leave for higher schooling but they often have to drop out because they get no support from their parents (who are not educated themselves). Girls are married at an early age of 14-16 years without any preparation for adult life. The elders of the community believe that women are not capable of accomplishing anything beyond marriage.

Most of the people are impoverished. Most men and women work in the quarries that are located in the villages. The men earn less than the minimum wage and the women fare even worse, receiving a pittance for the same work. There are serious environmental and health hazards in this work, but the workers have no knowledge of their legal rights and the stone crushing contractors do not provide safeguards such as masks. As a result, pulmonary problems such as tuberculosis and silicosis are rampant.

Housing facilities are sub-standard, with many families sharing one small room; as a result, people often just sleep outside their homes. The houses do not have any toilets or baths, and so the people use the fields. There is an acute shortage of safe drinking water and women must walk 3-4 kilometers and wait in long lines to fetch a pail of water. Many children die from diarrhea.

Your organization, which is located in the center of the universe, has heard about the situation in Stoneland and wishes to design development programs for the area.

EXAMPLE OF A GOOD PROBLEM STATEMENT

AIDS in Ghana

The rapid spread of HIV/AIDS in Ghana is a major national concern. Between 1986, when the first AIDS case was reported, and 1990, the number of cases reported annually increased from 26 to 1,011.[1] Eighty-five percent of the 2,237 cases reported during this four-year period occurred in 1989 and 1990.[2] HIV/AIDS transmission in Ghana occurs primarily through heterosexual sex and contaminated blood supplies, as it does in much of sub-Saharan Africa. As in the rest of the world, HIV/AIDS predominantly affects young adults ages 20-49, the most vital segment of the population in terms of economic and social development. Men and women ages 20-39 account for 74% of all AIDS cases in Ghana. The epidemic thus has the potential to "create massive economic problems stemming from losses of productivity, training, and diversion of funds from development to crisis health care,"[3] in addition to the human costs in pain and suffering.

HIV seroprevalence is high among groups involved in high-risk behaviors, such as long-distance truck drivers and prostitutes. Among urban high-risk groups, the seroprevalence rate is 25.2%, while in urban low-risk groups the rate is 2.2%.[4] Although 78% of all cases are found in three regions of the country containing only 42.5% of the population, AIDS cases have been reported in all ten regions. The number of AIDS patients continues to increase all over the country. Moreover, WHO/GPA estimates that for every reported AIDS case, there are 50 unreported cases. The incidence of HIV, therefore, is probably even higher than the death and seroprevalence rates indicate. (See Appendix 1 for further statistics on AIDS in Ghana.)

Several factors have contributed to the rapid transmission of HIV/AIDS in Ghana. An internationally mobile prostitute population contributed to the early spread of the epidemic. While a majority of these early cases had a history of recent residence or extended visit abroad, it is now believed that local transmission is occurring. The Ghanaian population is young, and multiple partner behavior common, facilitating the spread of the infection into the general population.

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[1] Dr. Asamoah-Odei. *HIV Surveillance in Ghana*. February, 1991.

[2] Ibid.

[3] Bledsoe, Caroline. *The Politics of AIDS and Condoms for Stable Heterosexual Relations in Africa: Recent Evidence from the Local Print Media*. Dept. of Anthropology, Northwestern University.

[4] U.S. Agency for International Development. *HIV Infection and AIDS: A Report to Congress on the USAID Program for Prevention and Control*. May 1991.

Between 1986 and 1990, there has been a four-fold increase in the number of AIDS cases in individuals without a history of travel outside the country. Frequent travel between cities and rural areas will probably result in an increase in rural prevalence.

Women are in an especially vulnerable position in regard to contracting HIV/AIDS. Social and economic pressures can force women to engage in high-risk behaviors. According to the Ghana Medium Term Plan (MTP) for the Prevention and Control of AIDS, 1989-1993, “a major contribution to the spread of HIV is the lack of employment for young women, which forces them to travel to other areas for prostitution.” In fact, the higher cumulative incidence rates of HIV/AIDS in Ghana are found in the two regions where socio-cultural practices promote young girls becoming commercial sex workers. Approximately 80% of the reported AIDS cases have been in women between the ages of 15 and 45, with an initial ratio of 7:1, female to male cases. Traditionally, women have had little power to negotiate sexual behaviors or to control or influence behaviors that directly affect their own health.

Government Response

In response to the threat of a national HIV/AIDS epidemic, the Government of Ghana adopted its Medium Term Plan (MTP) for the Prevention and Control of AIDS in 1989. The goals of the MTP are “to prevent further transmission and spread of HIV and to decrease the impact of AIDS on the affected individuals, family groups, and communities at large.” In the absence of a vaccine or cure, the plan emphasizes prevention of sexual transmission of HIV by discouraging casual sexual relationships, multiple sexual partners, and “prostitution-like” activities. Strategies focus on intense public information and education programs and counseling of high-risk groups and HIV positive individuals, utilizing a multi-faceted approach designed to ensure maximum coverage of the population. The plan emphasizes implementation of project activities at community and district levels.

The National AIDS Control Programme (NACP) of the Ministry of Health (MOH) has collaborated with NGOs to provide education to specific target groups and the public in general. For example, the MOH has conducted workshops in the provision of psychosocial support for people with AIDS for both MOH staff and some nongovernmental organizations (NGOs). The YWCA participated in these workshops.

International Donor Initiatives

USAID budgeted $31,591 for interventions in Ghana targeting high-risk groups, such as prostitutes, long-distance truck drivers, and the military. In collaboration with the Ministry of Health, USAID expanded the scope of a pilot education and condom distribution program to educate more than 2,000 women about sexual transmission of HIV and its correlation to untreated Sexually Transmitted Diseases (STDs). USAID is also assisting the Ghana Armed Force in its AIDS/STD prevention program. The program aims at encouraging men to take more responsibility in preventing HIV transmission.

SESSION FOUR

GOALS AND OBJECTIVES

Learner Objectives

By the end of this session, participants will be able to

1. Define goals and develop a goal statement from the Stoneland case study
2. Define objectives and develop objectives that meet the "SMART" criteria

Time

3 hours

Session Overview

A. Developing Goals . . . . 1 hour, 20 minutes
B. Writing Objectives . . . . 1 hour, 40 minutes

Materials

Flipchart
Markers

Handouts

4A Case Study: Nita's Dream
4B Goals
4C Objectives

A. Developing Goals (1 hour, 20 minutes)

Step 1 Greet participants and read aloud the posted learner objectives for the session.

Step 2 Pass out Handout 4A, Case Study: Nita's Dream, and read it aloud. Initiate a brief discussion using the following questions:

- How would you describe Nita's problem?

Possible responses: Desire to leave her village, desire for a career, desire to live in the city.

- What is the solution to Nita's problem?

Expected response: Attend university, or something similar. Try to focus participants on this endpoint, attending university, rather than the specific steps Nita has outlined to reach that endpoint.

- How would you state this in terms of a goal?

Possible response: "To attend university in the capital city and study business."

Write the group's goal statement on a flipchart.

Step 3 Ask the group to define a goal statement.

See Handout 4B, Goals.

Step 4 Divide the participants into their organizational groups and introduce the following task:

TASK #1

Using the case study and the problem statements developed in the last session, write a goal for your project. Make sure your goal is:

- the solution to the problems that you described
- realistic

Time: 20 minutes

Step 5 As each group presents its goal, ask other participants to assess whether or not the goal meets the two criteria mentioned above. Help each group to refine their goal statements as necessary.

Step 6 Wrap up with the following questions:

- What was it like to develop a goal statement?
- Was it difficult to come up with a focused statement?
- Was it difficult to word the goal so that it described what the project setting would be like after the project was completed?

Develop a list of tips for writing a goal statement. The tips can be listed on a flipchart and hung on the wall for reference.

B. Writing Objectives (1 hour, 40 minutes)

Step 1 Refer back to the Case Study: Nita's Dream. Remind participants of Nita's goal. Ask participants how they would describe the list Nita developed.

Possible response: A list of steps or activities Nita will carry out in order to achieve her goal.

- What other activities could be included on this list?
- Do you think this list will be helpful to Nita? How?

Step 2 Ask participants to define what is meant by an objective. What are some of the characteristics of Nita's objectives?

Refer to Handout 4C, Objectives.

Step 3 Introduce the concept of SMART objectives by having participants re-examine Nita's objectives and the objectives added by the group to ensure that they are SMART. The objectives can be rewritten if necessary. Record these objectives on a flipchart.

Step 4 Ask participants to return to their organizational groups to carry out the following task:

TASK #2

1. Write some objectives for the goal developed by your group during Task 1. Use Handout 4C, Objectives, as a reference.
2. Be sure that your objectives meet the SMART criteria.

Time: 45 minutes

Step 5 As each group presents its objectives, ask other participants to review the objectives to ensure that they meet the SMART criteria. Objectives should be revised as necessary.

Step 6 To wrap up, discuss the difference between goals and objectives and list the differences on a flipchart for reference.

CASE STUDY: NITA'S DREAM

Nita is a 16-year-old girl who lives in a small village. She has grown up in this village with her brothers and sisters, cousins, aunts, and uncles. She goes to school fairly regularly, and helps her mother in the house and the garden. Although Nita has never left her village, she dreams of attending the university in the capital city where she can study business and have a career, like her cousin Nafta. Nafta visits a few times a year with stories of city life. This dream of going to the university has been with Nita for many years, but lately it is all she can think about, especially as her family begins to talk about marriage for her.

One hot and quiet evening, Nita is lying restlessly in her bed, tossing and turning and trying to sleep. Her mind is whirling with images of the city and school and life outside her village. She abruptly gets up and quietly finds a candle. She tears a sheet of paper from her school notebook. At the top she writes, "University." Then she begins to make a list:

1. Talk to school counselor by March about different universities and scholarship opportunities.

2. Write to four different universities to request information within two months.

3. Study mathematics at least one hour per day for the next term.

4. Apply for university entrance examination before spring deadline.

5. Discuss plans with mother and aunt.

She rereads what she has written and, satisfied with her plan, crawls into bed to sleep.

GOALS

A project goal briefly describes what you expect the project setting to be like after your project has completed its intervention.

- A goal is the solution to the problems you described earlier. Your problem statement was limited to those specific problems that could be solved by the project. Your goal statement represents the solution.

- A goal is realistic. Do not state that your project will accomplish more than it possibly can.

It is important to develop a goal statement in order to define the scope of the project activity.

OBJECTIVES

Definition Project objectives are a series of specific accomplishments designed to address the stated problems and attain the stated goal. An objective is an ***endpoint***, not a ***process***. It is a description of what will exist at the end of a project.

The clearer the objectives, the easier it is to plan and implement activities that will lead to attainment of these objectives. Writing clear objectives also makes it easier to monitor progress and evaluate the success of projects.

When writing objectives, avoid "process" words; instead, use "endpoint" words:

Process Words	Endpoint Words
assist	train
improve	distribute
strengthen	increase
promote	reduce
coordinate	organize

Objectives must be ***specific*** (what and when) and ***measurable*** (how much) and must describe what is ***desirable*** (suitable and appropriate for the situation) and ***obtainable*** (realistic).

Checklist:

S	Specific	Is the objective clear in terms of what, how, when, and where the situation will be changed?
M	Measurable	Are the targets measurable (e.g., how much of an increase or how many people)?
A	Area-Specific	Does the objective delineate an area or population (sex, age, village)?
R	Realistic	Is the project able to obtain the level of involvement and change reflected in each objective?
T	Time-Bound	Does the objective reflect a time period in which it will be accomplished (e.g., during the first quarter or mid-point of the project period)?

SESSION FIVE

PROJECT IMPLEMENTATION PLAN

Learner Objectives

By the end of this session, participants will be able to

1. Develop a list of activities to achieve each of their group project objectives
2. Complete a draft project implementation plan for their group's project

Time

3 hours

Session Overview

A. Activities . . . . .1 hour
B. Developing a Plan . . . . 2 hours

Materials

Flipcharts
Flipchart markers

Handouts

5A Construction of Liberty Hospital
5B Project Implementation Plan

A. Activities (1 hour)

Step 1 Greet participants and read aloud the posted learner objectives for the session.

Step 2 Introduce the concept of an implementation plan by reminding participants that they have discussed goals and objectives as the framework and foundation of a project. They have seen the importance of developing clearly stated goals and objectives in the project design process. Next, they will see how they can develop an implementation planning tool, building on the project's goals and objectives.

Step 3 Distribute Handout 5A, Construction of Liberty Hospital. Ask participants to imagine that they have just been appointed building supervisor for construction of a new hospital, after the unexpected and sudden departure of the previous supervisor. The only information left by the former supervisor was the list of activities that appears on the handout.

Initiate a brainstorming exercise on the information that would be needed in order to properly oversee and manage the building process. Ask the following questions:

- Are the activities in the correct order?
- Do they provide enough information?
- What else would you want to know as a supervisor?

List responses on a flipchart.

Possible responses: Who is responsible for each of the activities? When will each activity be done? How long will it take? Are adequate resources available?

Step 4 Refer to the flipchart with the objectives for Nita's dream from the previous session and select one objective. Ask participants to list the tasks that need to be carried out in order to accomplish that objective. List all responses on a flipchart. This can be repeated for another objective.

Step 5 Ask participants to define and/or list characteristics of "activities." Write characteristics on a flipchart.

Expected responses: Activities are a series of specific steps or tasks carried out in order to achieve an objective. They require resources, have a sequence, and have someone responsible for carrying them out.

Step 6 Divide participants into their organizational groups to carry out the following task:

TASK #1
For each objective developed by your group during the previous session, develop a list of the activities needed to accomplish that objective.
Time: 30 minutes

Step 7 Ask each group to select one objective and present the list of activities it has developed for that objective. Ask other participants if they can think of any other activities that could be listed under the objective.

B. Developing a Plan (2 hours)

Step 1 Ask participants what the components of an implementation plan should be, keeping in mind the information required by the hospital building supervisor.

Possible responses: Project objectives, activities, person responsible, timeframe (starting and ending point), necessary resources.

Step 2 Ask, "What is the purpose of an implementation plan?"

Possible responses: Planning, monitoring/supervision, allocation of resources, evaluation.

Step 3 Distribute Handout 5B, Implementation Plan, and review it to make sure participants understand the format. Introduce the following task:

TASK #2

1. In your organizational groups, organize your objectives and activities into an implementation plan, using the framework provided.
2. Prepare to report on the activities for one objective.

Time: 1 hour

Step 4 Ask each group to present a section of its plan. For each group, discuss whether:

- the activities are sequenced correctly
- the timeframe for completion of the activities seems reasonable
- any activities are missing.

Step 5 To wrap up, ask the group the following questions:

- How did you find the process of developing an implementation plan?
- Did the process of developing the plan make you think of activities that you had left out in the initial planning process?
- Did it give you a clear picture of how the project would progress?
- What happens to the implementation plan once it is developed?

CONSTRUCTION OF LIBERTY HOSPITAL

Activities to Be Done

1. Order medical supplies and equipment
2. Obtain building materials
3. Meet with community
4. Select site
5. Draw up plans with architect
6. Identify staff
7. Begin construction
8. Order office supplies

PROJECT IMPLEMENTATION PLAN

OBJECTIVE: ____

Activities	**Project Month**												**Resources Needed**	**Person Responsible**
	1	**2**	**3**	**4**	**5**	**6**	**7**	**8**	**9**	**10**	**11**	**12**		

SESSION SIX

JOB DESCRIPTIONS, STAFFING PATTERNS, AND TRAINING PLAN

Learner Objectives	By the end of this session, participants will be able to 1. Develop a staffing pattern for their project 2. Develop a training plan for the project staff
Time	3 hours
Session Overview	A. Job Descriptions and Staffing Patterns . . . . .1 hour, 30 minutes B. Developing a Training Plan . . . . .1 hour, 30 minutes
Materials	Flipchart Flipchart markers
Handouts	6A Developing a Training Plan for an Organization

A. Job Descriptions and Staffing Patterns (1 hour, 30 minutes)

Step 1 Greet participants and read aloud the posted learner objectives for the session.

Step 2 Initiate a discussion on job descriptions using the following questions:

- How many of you have a written job description?
- Does it describe what you really do? If not, why not?
- Who benefits from having a written job description?
- What purposes can it serve?

Step 3 Ask participants to return to their organizational groups to carry out the following task:

> **TASK #1**
>
> 1. Refer back to your objectives, activities, and workplans and determine the number and kind of project staff you need to accomplish the plan successfully.
> 2. Develop an organigram indicating supervisory relationships for the project.
> 3. List the responsibilities of key personnel in relation to project activities.
>
> Time: 1 hour

Step 4 Ask each group to present its staffing plan (number and kind of project staff). Discuss any difficulties participants may have had with the task.

B. Developing a Training Plan (1 hour, 30 minutes)

Step 1 Ask participants to return to their organizational groups. Distribute Handout 6A, Developing a Training Plan for an Organization. Introduce the following task:

TASK #2

1. Take one job position and identify likely training needs.
2. Develop a training plan for that level of personnel using Handout 6A, Developing a Training Plan for an Organization.
3. Prepare to report to the group.

Time: 1 hour

Step 2 Have each group present its training plan to the rest of the participants (5 minutes per group). Solicit further recommendations or clarifications from the group.

Step 3 Facilitate a wrap-up of the session by asking the following questions:

- What have you learned during the session?
- What is the importance of having a training plan as part of the project design?
- How will you use this information when you return to your organization at home?

DEVELOPING A TRAINING PLAN FOR AN ORGANIZATION

- Who will be trained?

  ____

  ____

- How will you determine what their training needs are?

  ____

  ____

- When will they be trained?

  ____

- What will they be trained in?

  ____

  ____

- How long will the training last? (Duration)

  ____

- Can any project staff be trained by other organizations? In what areas?

  ____

  ____

  ____

  ____

- Who will do the training?

  ____

- What resources and materials are required to conduct the training?

  ____

  ____

SESSION SEVEN

M O N I T O R I N G   A N D   E V A L U A T I O N

Learner Objectives

By the end of this session, participants will be able to

1. Describe the purposes, processes, and components of monitoring and evaluation within the project design/ management cycle
2. Develop measurable indicators for monitoring and evaluating progress toward objectives
3. Identify and select appropriate monitoring and evaluation activities and tools
4. Design a monitoring and evaluation plan based on stated objectives, activities, and indicators for measuring progress

Time

4 hours, 20 minutes

Session Overview

A. Monitoring/Management Information Systems (MIS) . . . . 1 hour, 50 minutes
B. Evaluation/Selecting Indicators . . . . . . 2 hours, 30 minutes

Materials

Flipchart
Markers
Optional: Overhead projector, transparencies

Handouts

7A Monitoring
7B Information for Monitoring Program Operations
7C Information for Monitoring Program Operations (example) and Performance Information That Can Be Used to Measure Family Planning Program Results and Impact
7D Evaluation
7E Indicators
7F Sample Indicators for Objectives
7G Developing a Monitoring and Evaluation Plan

A. Monitoring/Management Information Systems (MIS) (1 hour, 50 minutes)

Step 1 Greet participants and read aloud the posted learner objectives for the session.

Monitoring

Step 2 Ask participants the following questions about monitoring. Record responses on a flipchart. (You may want to prepare the expected responses on an overhead projector transparency before the session.)

- What is monitoring?

Expected response: Monitoring is the process of routinely gathering information on all aspects of the project.

- Why do we need to monitor project activities?

Expected response: Monitoring provides managers with information needed to analyze the current situation, identify problems and find solutions, discover trends and patterns, keep project activities on schedule, measure progress towards objectives, formulate/revise future goals and objectives, make decisions about human, financial, and material resources.

- When do we monitor?

Expected response: Monitoring is continuous. A monitoring system should be in place before project start-up. Monitoring activities should be scheduled on the project workplan.

- Who monitors?

Expected response: The first level of monitoring is done by project staff. Supervisors are responsible for monitoring the staff and tasks under them, and the project manager is responsible for monitoring all aspects of the project. The second level of monitoring is done by the donor(s). Through field visits and routine reports from the project manager, the donor monitors progress and measures performance.

- How do we monitor?

Possible responses: Field visits, review of service delivery and commodities records, management information system (MIS).

Step 3 Ask participants to brainstorm about what type of information a project should monitor. List responses on a flipchart.

Possible responses: Information on the use of time, people, money, and other material resources, as well as results and impact; staff/supervision; budget and expenditures; commodities; workplan activities, e.g., service delivery, training, IEC activities.

Distribute Handout 7A, Monitoring, for reference.

Management Information Systems (MIS)

Step 4 Explain that in order to ensure access to complete, timely, and accurate information for monitoring a project, a management information system (MIS) should be established. Ask participants to define MIS.

Possible definition: A system designed to collect and report information on a project and project activities to enable a manager to plan, monitor, and evaluate the operations and performance of the project.

Step 5 Present the following steps for designing a Management Information System:

a. Examine the indicators of change identified for the project. Indicators show whether progress has occurred; they will be covered later in the session.

b. Identify the categories of information needed to plan, monitor, and evaluate the project.

c. Determine the frequency of information collection.

d. Identify the persons who will use each type of information.

e. Design or revise formats and procedures for collecting and recording and reporting data.

f. Create a manual or computerized system (database) to tabulate, analyze, and report information in its most useful form for managers and donors.

g. Train/supervise staff in use of MIS.

Depending on the type and size of the project and the skills and experience of project staff, the MIS can be formal or informal, extensive or small. It should always be simple and efficient to use. It can be a manual system or it can be computerized. It should not be time-consuming to use and should fit comfortably and naturally with staff's other activities.

Step 6 Ask participants to brainstorm various ways information can be collected for an MIS.

Possible responses: Client records/cards, daily logs/registers, feedback sheets, checklists, surveys and questionnaires, interviews, focus groups, observation.

Step 7 Ask participants to return to their organizational groups to carry out the following task:

TASK #1

Complete at least two rows of the chart in Handout 7B, Information for Monitoring Program Operations.

Time: 30 minutes

Step 8 Have each group present its monitoring plan. Distribute Handout 7C, Information for Monitoring Program Operations (example), for participants to compare with their answers.

B. Evaluation/Selecting Indicators (2 hours, 30 minutes)

Step 1 Initiate a discussion on evaluation using the following questions:

- What is evaluation?
- How does evaluation differ from monitoring?
- What is the purpose of evaluation?
- When do we evaluate?
- Who evaluates?
- What should we evaluate?

See Handout 7D, Evaluation.

Step 2 Explain that our discussion of evaluation will focus on measuring achievement of project objectives, since measuring the progress of workplan activities was covered under monitoring. Remind participants that while there is no set formula for evaluating a project, there are certain procedures and steps that may be helpful to follow. Explain that one of the first steps in planning an evaluation is to select the **indicators** you will use. Your monitoring and evaluation plan should describe these indicators of change.

Ask participants to define "indicators." List responses on a flipchart.

See Handout 7E, Indicators.

Step 3 Write the following objective on a flipchart:

"To train 300 mothers in the correct preparation and use of Sugar-Salt Solution (SSS) to prevent dehydration in children under five by the end of the year."

Ask, "How do we know if this objective has been achieved?" Ask participants to brainstorm indicators for achievement of this objective. Categorize their responses according to the three categories of indicators: input, output, and impact.

Expected responses:

Input indicator - *Number of trainings conducted in correct preparation and use of SSS.*

Output indicator - *Number of mothers trained in SSS. Number of mothers correctly using SSS to prevent dehydration.*

Impact indicator - *Number of under-fives suffering from dehydration in the last month; number of cases of dehydration treated at the health center.*

Step 4 Help participants to define each of the three types of indicators. What are the advantages and disadvantages of each type?

Step 5 Distribute Handouts 7E, Indicators, and 7F, Sample Indicators for Objectives, for reference.

Step 6 Introduce the following task:

TASK #2

1. Develop indicators for one of your objectives. Refer to Handout 7F for examples.
2. Develop a monitoring and evaluation plan for your project using Handout 7G as a framework.
3. Prepare to report back.

Time: 90 minutes

Step 7 Have each group present their indicators and monitoring and evaluation plan. Discuss each presentation.

Summarize by asking what each group found difficult about the task and discussing.

MONITORING

Monitoring is the process of routinely gathering information on all aspects of the project. Monitoring provides managers with information needed to:

- Analyze current situation
- Identify problems and find solutions
- Discover trends and patterns
- Keep project activities on schedule
- Measure progress towards objectives and formulate/revise future goals and objectives
- Make decisions about human, financial, and material resources.

Monitoring is continuous. A monitoring system should be in place before project start-up. Monitoring activities should be scheduled on the project workplan.

The first level of monitoring is done by project staff. Supervisors are responsible for monitoring the staff and tasks under them, and the project manager is responsible for monitoring all aspects of the project.

The second level of monitoring is done by the donor(s). Through field visits and routine reports from the project manager, the donor monitors progress and measures performance.

Monitoring can be carried out through field visits, review of service delivery and commodities records, and management information systems (MIS).

INFORMATION FOR MONITORING PROGRAM OPERATIONS

CATEGORIES OF INFORMATION	WHAT TO MONITOR	WHAT RECORDS TO KEEP	WHO COLLECTS DATA	WHO USES DATA	HOW TO USE INFORMATION	WHAT DECISIONS CAN BE MADE
1. Workplan Activities						
2. Costs and Expenditures						
3. Staff and Supervision						
4. Commodities						
5. Results						

Source: *The Family Planning Manager's Handbook*. Editors: James A. Wolff, Linda J. Suttenfield, Susanna C. Binzen. Management Sciences for Health, Boston.

INFORMATION FOR MONITORING PROGRAM OPERATIONS

CATEGORIES OF INFORMATION	WHAT TO MONITOR	WHAT RECORDS TO KEEP	WHO COLLECTS DATA	WHO USES DATA	HOW TO USE INFORMATION	WHAT DECISIONS CAN BE MADE
1. Workplan Activities	• Timing of activities • Availability of personnel, resources	• Monthly/quarterly workplans • Work schedules	• Project Manager • Supervisors	• Project Manager • Donor agency	• Ensure staff and other resources are available	• Reschedule activities and deployment of resources as needed
2. Costs and Expenditures	• Budgeted amounts, funds on hand and expenditures • Balance in budget by approved cost categories	• Ledger of expenditures by budget category • Receipts • Bank transactions • Reports to donor	• Financial officer/ accountant	• Project Manager • Auditor • Donor agency	• Ensure funds are available to execute activities • Ensure compliance w/funding regulations • If fee for service, determine fee structure	• Authorize expenditures • Make budget and project revisions • Determine need for other funding sources
3. Staff and Supervision	• Knowledge, attitudes and skills of staff • Educational level of staff • Salaries and benefits • Job performance	• Performance reviews • Job descriptions • Resumes of staff • Feedback from training attended	• Supervisors • Personnel director • Trainers	• Supervisors • Project Manager • Personnel Director	• Motivate staff and resolve employment problems • Advise staff on career	• Placement • Training needs • Promotions • Disciplinary action
4. Commodities	• Stock • Ordering and shipment status • Procurement regulations	• Stock registers • Invoices • Field worker reports	• Logistics manager	• Project Manager • Donor agency	• Ensure availability of commodities in stock and distribution to field • Ensure good condition of commodities	• Quantity to order • When to order • Amount to keep in reserve for emergency
5. Results	• No. and type of services provided/ commodities dispensed • Characteristics of persons served/ educated	• Client cards/forms • Clinic registers • Field worker reports	• CBD Workers • Clinic nurse • Field supervisors	• Field supervisor • Project Manager • Donor agency	• Ensure objectives are realistic • Assess quality of services provided • Assess appropriateness of services	• Revise objectives • Retrain staff • Revise IEC strategy • Revise project strategy and approach

Source: *The Family Planning Manager's Handbook*. Editors: James A. Wolff, Linda J. Suttenfield, Susanna C. Binzen. Management Sciences for Health, Boston.

PERFORMANCE INFORMATION THAT CAN BE USED TO MEASURE FAMILY PLANNING PROGRAMS RESULTS AND IMPACT

Information categories	Data to gather	Using the information	Making decisions
Socio-economic characteristics of target groups	· Income levels. · Rural-urban breakdown. · Educational levels	· Managers can determine what influences acceptance of family planning and utilization of services.	· Allocation of effort and resources to maximize demand for and utilization of family planning services.
Factors influencing fertility	· Age of marriage. · Parity when contraception begins. · Years married prior to contraception.	· Managers can determine whether the current users will influence population growth.	· Formulation of objectives and selection of target groups for maximum program impact.
Demand for and use of contraceptive methods	· Ratios of permanent to temporary methods. · Sources of supply for each method. · Unit costs for delivering the different methods. · Reasons for choosing contraceptives. · Reasons for using family planning.	· Managers can determine whether the contraceptive supply and distribution system is compatible with user needs.	· Selection of contraceptive mix to achieve program objectives and satisfy users.
Discontinuation of use and contraceptive failure	· Discontinuation rates per contraceptive. · Failure rates per contraceptive. · Side effects and complications related to contraceptive use. · Reasons for discontinuation. · Results of discontinuing a method.	· Managers can determine how satisfied users are with the family planning program.	· Formulating best method mix. · What types of personnel to assign. · How to balance clinic and community services.
Quality of services	· Application of clinical protocols. · Behavior, competence, and experience of staff. · Physical environment of clinic.	· Managers can take action to improve existing services.	· Formulating best method mix. · Training and supervising staff.
Characteristics of community participation and support	· Level of community participation. · Amount of community financing. · Approaches to follow-up.	· Managers can use this information to decide on the best strategy to increase community involvement and motivation.	· Choosing most effective delivery systems. · Assess prospects for community self-financing of family planning program.

Source: *The Family Planning Manager's Handbook*. Editors: James A. Wolff, Linda J. Suttenfield, Susanna C. Binzen. Management Sciences for Health, Boston.

EVALUATION

What is evaluation?

Evaluation is the process of gathering and analyzing information to determine 1) whether the project is carrying out its planned activities and 2) the extent to which the project is achieving its stated objectives through these activities.

How does evaluation differ from monitoring?

- Timing
- Focus
- Level of detail

What is the purpose of evaluation?

- To find out how effective the project is
- To see whether objectives have been achieved
- To learn how well things are being done
- To learn from experience so future activities can be improved

When do we evaluate?

- Periodically
- Mid-term
- At the end of the project (final evaluation)

Who evaluates?

- Internal evaluation can be carried out by the project manager and/or project staff
- External evaluations are carried out by donor(s) or by consultants

What should we evaluate?

- Progress in workplan
- Establishment of systems
- Implementation of planned activities
- Achievement of objectives
- Effectiveness of project
- Impact of project
- Efficiency/cost-effectiveness of project

INDICATORS

Indicators are quantitative or qualitative criteria for success that enable one to measure or assess the achievement of project objectives. There are three types of indicators:

- **input indicators** - describe what goes into the project, such as the number of hours of training, the amount of money spent, the number of contraceptives distributed;

- **output indicators** - describe project activities such as the number of community workers trained, the number of family planning acceptors, the number of women enrolled in mothers' clubs;

- **impact indicators** - measure actual change in health or other conditions such as reduced infant mortality, reduced rate of population increase, and reduced number of adolescent pregnancies.

Input and output indicators are easier to measure than impact indicators, but they provide only an indirect measure of the success of the project. They assume that the achievement of certain activities will result in change, but they don't prove it.

Checklist

Indicators should be:

- explicit
- pertinent
- objectively verifiable

SAMPLE INDICATORS FOR OBJECTIVES

GOAL: *To increase the access of women in Tokara Village and neighboring communities to reproductive health services.*

Objectives	Indicators
1. To provide 3,000 women from Tokara Village and neighboring communities with information on reproductive health and family planning by the end of one year through educational sessions and home visits.	A. Number of women attending each weekly educational session. B. Number of home visits by the family planning educators.
2. To distribute contraceptives to 1,500 new family planning acceptors in Tokara Village and neighboring communities by the end of one year through a program of community-based distribution.	A. Number of new family planning acceptors each month. B. Number of women continuing to use contraceptives supplied through the project each month. C. Number of contraceptives supplied by the project each month.
3. To refer all women requiring special gynecological treatment to the municipal hospital.	A. Number of women identified as requiring special treatment. B. Number of women from Tokara Village and neighboring communities receiving treatment at the municipal hospital. C. Percentage of women identified as requiring treatment that actually received treatment.

DEVELOPING A MONITORING AND EVALUATION PLAN

A monitoring and evaluation plan should be included in each project document and monitoring activities should be scheduled on the annual implementation/workplan.

I. OBJECTIVES	II. ACTIVITIES	III. INDICATORS	IV. DATA SOURCE	V. METHODS/TOOLS	VI. PERSON RESPONSIBLE	VII.TIME FRAME

SESSION EIGHT

RECORDKEEPING AND REPORTING

Learner Objectives

By the end of this session, participants will be able to

1. Describe the types of records their project must keep
2. Design key recordkeeping forms
3. Identify characteristics of effective reporting

Time

2 hours, 30 minutes

Session Overview

A. Recordkeeping . . . . .2 hours
B. Report Writing . . . . 30 minutes

Materials

Flipchart
Markers

Handouts

8A Establishing a Recordkeeping System
8B Reporting on Progress

A. Recordkeeping (2 hours)

Step 1 Greet participants and read aloud the posted learner objectives for the session.

Step 2 Open a discussion on recordkeeping by asking the following questions:

- How do most people feel about recordkeeping?
- Where do some of the difficulties come from?

Expected responses: Filling out forms is time-consuming; forms are difficult to understand; information on the forms is not used; no feedback on information recorded.

- What is the purpose of recordkeeping?

Expected responses: Document important information; provide information to manager about use of commodities, provision of services; can highlight problem areas.

- Given the purpose of recordkeeping and the difficulties mentioned above, what sort of guidelines can you suggest to keep in mind when developing a recordkeeping system?

Expected responses: Forms must be simple and easily understood; the records should be kept for a specific and definite purpose; the individual keeping the records should receive feedback on the information recorded.

Step 3 Ask participants to return to their organizational groups and introduce the following task:

TASK #1

1. Refer back to your objectives and indicators and make a list of all the specific information/data you need to collect before, during, and at the end of your project to confirm that objectives have been met.
2. Determine how, specifically, the project will collect the above information in a way that makes it accessible and easy to interpret.
3. Determine who will be responsible for keeping each of the records.
4. Develop a sample recordkeeping form for one of the records your project will keep.

Time: 1 hour

Step 4 Ask each group to report to the larger group on the types of records its project will maintain.

During the presentations, ask questions such as the following:

- Why are you recording this particular information?
- How will you use this information? What does it tell you?
- How does this relate to the objectives and indicators of the project?

At the end of each presentation, check with the other groups for clarity and further suggestions and recommendations.

While the groups are presenting, record on a flipchart all the types of records mentioned by participants so that one comprehensive list is developed.

B. Report Writing (30 minutes)

Step 1 Remind the group that even though most donors provide their own formats for reporting, there are some general guidelines that managers can keep in mind when preparing reports. Initiate a brainstorming exercise by asking the participants to identify characteristics of a good report.

Refer to Handout 8B, Reporting on Progress.

Step 2 Wrap up the session by asking the participants the following questions:

- What did you find easy or difficult to do during this session?
- How prepared do you feel to develop a recordkeeping system for your projects back home?
- What tips would you give to other managers who are about to establish a recordkeeping system?

Handout 8A-1

ESTABLISHING A RECORDKEEPING SYSTEM

A section of the previous chapter discussed choosing indicators to measure progress in achieving project results. These indicators were developed as part of the project planning process and included in the project proposal. One purpose of the project recordkeeping system is to collect the information needed to document the progress being made.

As you develop your project's recordkeeping system, consider the following suggestions:

- ***Be complete***. Examine your indicators of change. Make a list of all the specific bits of information/data you need to collect before, during, and at the end of your project to confirm that objectives have been met. Be sure your system ensures that you collect all the necessary data. For example, consider the third objective of the Tokara Women's Association project, "to refer all cases requiring special gynecological treatment to the Dando City Municipal Hospital." You may keep a list of all women who have been told they require special treatment. But, unless your recordkeeping system also keeps track of whether these women actually go to the Dando City Municipal Hospital and receive treatment, you will not know if this objective is being met.

- ***Remember data are interrelated***. The recordkeeping and data collection for one indicator of change may involve several interrelated parts or forms. Be sure the data being collected fit together and are comparable. Consider the example of referrals to the Dando City Municipal Hospital. The recordkeeping and data collection system might include these three interrelated parts:

    - **A register maintained by the Tokara Women's Association** at the health post where family planning educational sessions are conducted. The ledger would record important information on each woman who attends sessions. Included in this information would be any referral for treatment at the Dando Hospital.
    - **A card for each woman** who participates in the project, which would record information on the contraceptives received during home visits, as well as the date she was referred to the Dando Hospital and the date she actually received treatment at the Dando Hospital.
    - **Dando City Municipal Hospital records**. Hospital records provide a way of verifying that treatment was received.

Handout 8A-2

- ***Make the system and forms as simple as possible***. If a recordkeeping system is too complicated, there is a risk people will be overwhelmed by the forms, will not understand exactly what is required, or will be unwilling to put in the time and effort needed to complete them. Simplify as much as you can and still gather the data that is essential.

- ***Test forms before making many copies***. After you are satisfied with the system you have developed, use forms with real people. See if they are understandable. Use them to gather information. Examine the resulting data to see if it is complete, meaningful, and comparable.

- ***Assign responsibility for recordkeeping***. Determine who are the logical people to maintain the various forms and registers you have developed. Be sure these people understand their responsibilities. Clearly define how often, when, and how the forms are to be used.

- ***Practice using the forms***. Provide training to those who will be responsible for keeping the forms and registers. Let them practice completing them in a workshop or classroom setting. Bring them together to compare results and problems after they have used them for a short time within the project. Visit them at work to observe the use of forms and registers and to provide any needed assistance.

- ***Begin gathering data as soon as possible and keep records up-to-date***. Remember, you are measuring progress over time. You need to be able to clearly state what the situation is like at the beginning of a project, as well as during project implementation. Gather important data that documents the situation that existed before you started activities, then gather comparable data along the way. Keep records current, because it is extremely difficult to reconstruct data at a later point. For example, what would happen if a referral to the Dando City Municipal Hospital is not recorded in the register maintained by the Tokara Women's Association? It is likely that no one will later remember that it occurred. Or, the hospital records will be different from the register maintained at the health post, and you will not know if the hospital treatment was a direct result of a referral made by the project.

Handout 8B-1

REPORTING ON PROGRESS

The donor who funds your project will normally require you to submit reports on your progress at various points during project implementation. Reports every four to six months are common. Generally, your grant agreement will outline reporting requirements and provide guidelines related to content and format.

An extremely important point to keep in mind as you report on project progress is that **actual work and achievements must be compared to the planned work and objectives that were stated in your grant agreement**. In this way you will see which activities are progressing on schedule, which are ahead of schedule, and which are behind schedule. This comparison helps you to focus attention both on achievements and on the areas where there are problems to be addressed.

SMART objectives, well planned and scheduled project activities, well chosen indicators of change, and effective, accurate recordkeeping and data collection are key to assuring you will have complete information for reporting on your project's progress.

Although content of a progress report may vary somewhat from one project to another or from one donor to another, your report should be as detailed and specific as possible. In general, the following questions should be answered:

- What is the period covered by the report?
- What were planned targets (objectives) and activities for this period? Your time/task chart will be a valuable reference for answering this question.
- What were the actual achievements and activities for this period and what indicators of change have you used to determine these? Here you will discuss numbers of people involved, what they did or learned, and results.
- What resources were used? Were they adequate? Financial reports should be submitted to account for expenditures made during the same period covered by the progress report. However, don't forget to discuss other resources that have been used, including community participation and any in-kind contributions.

Handout 8B-2

- What lessons have you learned during this period of project activity and how will this learning be applied to continued project work? Any changes you have made to the project time/task chart will guide you in answering this question.

- What problems did you encounter during this period? How did you or will you solve these problems?

- What are your plans for the next period of project activity? Do these plans involve any changes in the project's objectives, schedule of activities or necessary resources? Again, the time/task chart will be helpful here.

The following steps will guide you in writing your progress reports:

1. Review the reporting requirements from your grant agreement.

2. Decide which actions, concrete facts, and observable evidence (indicators of change) best document your progress.

3. Organize your data and identify gaps that need to be filled.

4. Select the most appropriate format for presenting your data.

5. Draft your report and ask another knowledgeable person to review it for completeness.

SESSION NINE

F I E L D   V I S I T

Learner Objectives

By the end of this session, participants will be able to

1. Develop information collection tools for a field visit
2. Assess the functioning of an ongoing project
3. Apply lessons learned during a field visit to improve the design of their own project

Time

8 hours

Session Overview

A. Preparing for the Visit . . . . 2 hours
B. Conducting the Field Visit . . . . 4 hours
C. Processing the Field Visit . . . . 2 hours

Materials

Flipchart
Flipchart markers

Handouts

9A Observations During Field Visit

Special Preparation

Identify a community-based project to visit. Arrange for the project director to provide an overview of the project to the participants the day before the visit (if possible). The overview should cover the following topics:

- Background of the geographic area of the project
- Goals and objectives
- Project starting and ending dates
- Implementation logistics and methodologies
- Staffing patterns, including managerial and supervisory responsibilities
- Issues that have arisen in the design and implementation phases
- What to expect during the visit

If the project director cannot address the group the day before the visit, the overview can be given on the day of the visit at the project site. In this case, the trainer should gather enough information to give a brief overview of the project to participants prior to the visit.

A. Preparing for the Visit (2 hours)

Step 1 Greet participants and read aloud the posted learner objectives for the session.

Step 2 Introduce the project director to provide a brief overview of the project to participants. (If project director is unavailable, present some basic information about the project to participants).

Step 3 Ask participants to brainstorm about the types of things they want to observe during the field visit, based on their experience in project implementation and what they have learned during the previous few days about project design.

Try to fit participant responses into the following categories:

- Community participation
- Staffing, training, and supervision
- Accountability: financial, programmatic, and logistical
- Technical content

Step 4 Divide participants into four groups (these should be different from the project design groups in which participants have worked all week).

Assign each of the four components listed above to one group. This can be done randomly or through negotiation with the groups. If several different project sites are being visited, ensure that all components will be covered at each project site. Introduce the following task:

TASK #1

1. Design a data collection instrument that will help you to assess how your assigned component is functioning in the project.
2. Prepare to report to the larger group.

Time: 1 hour

Step 5 Have each group present its data collection instrument. Encourage other groups to offer suggestions to improve each instrument.

Refer to Handout 9A, Observations During Field Visit.

B. Conducting the Field Visit (4 hours)

The field visit should last approximately one-half day (four hours).

C. Processing the Field Visit (2 hours)

Step 1 Ask participants to convene in their groups. Introduce the following task:

> **TASK #2**
>
> Prepare a 20-minute presentation of the information gathered during your field visit. During the presentation, be sure to address how the information gathered relates to your group's topic and the project design process as a whole. Your presentation should include:
>
> a) Findings: What information did you get about the project?
>
> b) Conclusions: Based on your findings, what lessons have you learned about project design and implementation?
>
> Time: 1 hour

Step 2 Have each group make its presentation. Ask the other groups if they have any questions or comments.

Step 3 Facilitate a discussion drawing on lessons learned during the field visit compared to lessons learned during the rest of the workshop by asking the following questions:

- How do the various aspects of project design manifest themselves during implementation?
- What tips can you give to improve project planning?
- In light of what you observed during the site visit, what modifications will you make in your project?

OBSERVATIONS DURING FIELD VISIT

Community Participation

- How was the community involved during the needs assessment?
- How is the community involved in the implementation of the project?
- What is their contribution to the project?
- How does the community support the project?
- Is there a difference in the way men and women participate in the project?
- Does the project impact women differently than men?

Staffing, Training, and Supervision

- Do staff have job descriptions? Do staff seem to clearly understand their responsibilities?
- How were training needs identified?
- What are the channels of supervision and feedback?
- Was there an initial training?
- What other training has taken place under this project?
- Is the workload of the staff appropriate?
- What motivates the staff to provide quality services?
- What is the staffing breakdown by gender? Might that have any impact on the project's success?

Accountability

<u>Financial</u>

- What kind of financial records are maintained? By whom?
- How are financial reports/records used to monitor the project?
- Who reviews the financial reports?

<u>Programmatic</u>

- Are the project goals and objectives clear to program staff?
- Are the objectives SMART?
- Is there an evaluation plan?
- What kinds of records are maintained on activities?

- Are there clear indicators to monitor and evaluate the project?
- Is there an evaluation plan?

Logistical

- From where does the project get stocks and supplies?
- How are commodities stored? Who is responsible?
- Does the project have vehicles? How are they used?
- What types of systems are there to monitor the use of supplies?
- What kinds of records are maintained for stocks, supplies, vehicle use, and other material use?
- Are there adequate supplies?

Technical Issues

- What are the different types of IEC activities conducted?
- Is the technical content of the project accurate? Appropriate? Complete?

(Further questions should be developed according to the type of projects being visited.)

SESSION TEN

B U D G E T I N G

Learner Objectives

By the end of the session, participants will be able to

1. Describe the role of budgets in project proposals and during project start-up and monitoring activities
2. Estimate project costs and prepare a budget

Time

3 hours

Session Overview

A. Purpose of Budgets . . . . 30 minutes
B. Budget Categories . . . . 30 minutes
C. Costing and Preparing a Budget . . . . 2 hours

Materials

Optional: Overhead projector, transparencies

Handouts

10A Definition and Purpose of a Budget
10B Guidelines for Preparing a Budget
10C Budget Categories
10D Sample Budget: Management Training Workshop
10E Costing Exercise
10F Financial Monitoring

A. Purpose of Budgets (30 minutes)

Step 1 Greet participants and read aloud the posted learner objectives for the session.

Step 2 Ask the participants to define budget and record responses on a flipchart. Present the following definition on a transparency, if possible, or flipchart:

"A budget is a financial plan providing donors, project implementors, managers, and others with financial information on how much it will cost to carry out a particular project."

Step 3 Ask participants to explain the purpose of a budget. Record responses on a flipchart.

See Handout 10A, Definition and Purpose of a Budget.

Distribute Handout 10A.

Step 4 Brainstorm with participants on details that need to be kept in mind when preparing a budget.

See Handout 10B, Guidelines for Preparing a Budget.

B. Budget Categories (30 minutes)

Step 1 Ask participants to refer back to their project activities and staff requirements and list budget categories for the resources they will need. Record responses on a flipchart.

At the end of the discussion, present categories typically included in budgets.

See Handout 10C, Budget Categories.

C. Costing and Preparing a Budget (2 hours)

Step 1 Explain that estimating costs can be one of the most difficult parts of budgeting. Ask participants to list some rules for costing.

Expected responses: Need to identify items/expenses; determine prices/ salaries/rentals/fees accurately; may need to do research prior to developing a budget, i.e., airfares, operating costs, etc.; allow for inflation/price changes; allow for delays and annual salary adjustments.

Distribute Handout 10D, Sample Budget: Management Training Workshop.

Step 2 Ask the participants to assemble in their organizational groups and introduce the following task (you may need to go through some examples with the group first):

TASK #1

Using the sample budget format provided (Handout 10E), develop a budget for your project. Adjust line items as necessary to reflect the costs associated with your project. You may estimate costs if you are not sure of the actual costs.

Time: 1 hour

Step 3 Reassemble the group and ask, “What did you find easy about preparing budgets? What did you find difficult?”

Step 4 To summarize, review the points in Handout 10F, Financial Monitoring.

DEFINITION AND PURPOSE OF A BUDGET

Definition

A budget is a financial plan providing donors, project implementors, and managers with financial information on how much it will cost to carry out a particular project.

Purpose

- To ensure that resources are available to carry out objectives as stipulated in project proposal
- To determine how much it will cost to implement your project
- To ensure that available and possibly limited resources are used in the most effective and efficient way possible
- To provide a monitoring tool that compares actual costs and budgeted costs

Management Functions of a Budget

1. Planning Tool

    - Financial plan covering a period of time
    - Budget should be supported by a plan

2. Basis for Costs

    - Costing out products and services

3. Basis for Control

    - Compare estimates with actual figures over time to determine whether the project is achieving program/institutional objectives

GUIDELINES FOR PREPARING A BUDGET

1. A budget becomes a part of your project proposal.
2. Prepare your budget ***after*** you write your project proposal.
3. Know you donor's budget requirements.
4. Budget should have accurate/realistic financial data. Obtain necessary information about costs.
5. Define budget timeframe.
6. Prepare for delays and inflation.
7. Develop simple comprehensive budget format with line items, unit costs, and totals.
8. List other sources of funding, including local contributions.
9. Have your budget reviewed by colleagues.

BUDGET CATEGORIES

I. PERSONNEL (Salaries and Wages)
- professional staff
- administrative/support staff

II. FRINGE BENEFITS (Percentage of salary)

III. CONSULTANTS
- honorariums/fees
- volunteers

IV. TRAVEL AND PER DIEM
- airfare
- ground transportation
- per diem/hotel/meals

V. DIRECT COSTS
- office rent
- office supplies
- telephone/telegraph
- postage/shipping
- reproduction/printing
- utilities
    - electricity
    - water
- outside services

VI. EQUIPMENT
- vehicle
- computers
- fax machine
- photocopier

VII. SUBCONTRACTS/SUBAGREEMENTS

VIII. TRAINING

IX. INDIRECT COSTS

X. FIXED FEE

SAMPLE BUDGET: MANAGEMENT TRAINING WORKSHOP

BUDGET CATEGORY		UNIT COST	# OF UNITS	AMOUNT
I. PERSONNEL				
Training Coordinator		$1,000.00	1	$1,000.00
Administrative Assistant		500.00	1	500.00
	SUBTOTAL	**1,500.00**	**1**	**1,500.00**
II. FRINGE BENEFIT		1,500.00	15%	225.00
III. CONSULTANTS				
Management Specialist		100.00	14	1,400.00
	SUBTOTAL	**100.00**	**14**	**1,400.00**
IV. TRAVEL & PER DIEM				
International Airfare		1,500.00	1	1,500.00
In-Country Air		200.00	4	800.00
Ground Travel		75.00	6	450.00
Misc. Transportation		10.00	11	110.00
Per Diem		60.00	11	660.00
Hotel		80.00		880.00
	SUBTOTAL	**$ 1,925.00**		**$ 4,400.00**
V. OTHER DIRECT COSTS				
Office Rent		1,000.00	0.5	500.00
Office Supplies		70.00	1	(700.00)
Paper		2.00	12	24.00
Binders		1.50	12	18.00
Cassettes		1.00	4	4.00
Pens		0.50	20	10.00
Markers		0.75	5	3.75
Easel Pads		3.00	3	9.00
Telephone/Faxes/Telegraph		250.00	0.5	125.00
Printing/Reproduction		100.00	0.5	50.00
Postage/Shipping		75.00	0.5	37.50
Utilities		30.00	0.5	15.00
Outside Services		25.00		12.50
	SUBTOTAL	**1,558.75**		**108.75**
VI. TRAINING				
Tuition		1,000.00	10	10,000.00
TOTAL BUDGET		**$ 7,583.75**		**$17,633.75**

COSTING EXERCISE

	BUDGET LINE ITEMS	UNIT COST	# UNITS	AMOUNT
I.	**PERSONNEL**			
	SALARIES AND WAGES			
	Trainer			
	Administrative Assistant			
	SUBTOTAL			
II.	**FRINGE BENEFITS**			
	____(% of salaries)			
	SUBTOTAL			
III.	**CONSULTANTS**			
	Consultant A			
	Consultant B			
	SUBTOTAL			
IV.	**TRAVEL AND TRANSPORTATION**			
	Air Fare			
	Per Diem			
	In-Country Air Fare			
	Ground Transport			
	SUBTOTAL			
V.	**OTHER DIRECT COSTS**			
	Office Rent			
	Office Supplies			
	Telephone/Telegraph			
	Printing/Reproduction			
	Utilities			

	BUDGET LINE ITEMS	UNIT COST	# UNITS	AMOUNT
	Outside Services			
	SUBTOTAL			
VI.	**EQUIPMENT**			
	Vehicle			
	Computer			
	Fax Machine			
	Photocopier			
	SUBTOTAL			
VII.	**SUBCONTRACTS/SUBAGREEMENTS**			
VIII.	**TRAINING**			
	Tuition			
	SUBTOTAL			
IX.	**INDIRECT COSTS**			
X.	**FIXED FEES**			
	TOTAL COSTS			

FINANCIAL MONITORING

- Financial reporting is important for providing information on the status of project finances and progress. Financial reports should be part of progress reports submitted to donors. A report should compare actual expenditures against planned budget to see if the project is meeting its targets.

- Your approved budget becomes the basis for spending. Tracking expenditures against the approved budget monitors progress in relation to cost. Monitoring is an ongoing process.

- Individuals designing a project should be part of the budgetary process. They know the program needs better than finance personnel do. Finance needs to work closely with managers.

- Sound financial management will increase possibilities of additional and future funding with new donors.

SESSION ELEVEN

P R O J E C T   S U S T A I N A B I L I T Y

Learner Objectives

By the end of this session, participants will be able to

1. Describe three components of project sustainability
2. Develop a plan for sustainability as part of their project design

Time

3 hours

Session Overview

A. Elements of Sustainability . . . . 1 hour, 30 minutes
B. Developing a Plan for Sustainability . . . 1 hour, 30 minutes

Materials

Flipcharts
Flipchart markers

Handouts

11A Strategies for Sustainability
11B Sustainability Plan

A. Elements of Sustainability (1 hour, 30 minutes)

Step 1 Greet participants and read aloud posted learner objectives.

Step 2 Introduce the issue of sustainability by asking the group to define project sustainability. Write the participants' ideas on a flipchart. After a few ideas have been recorded, present the following definition:

"Project continuity or sustainability refers to the capacity of a project to continue functioning, supported by its own resources (human, material, and financial), even when external sources of funding have ended."

Work with the group to reach a consensus on a definition.

Step 3 Ask participants to brainstorm a list of inputs that lead to project sustainability.

Possible responses:

- *community participation in the project planning process*
- *community recognition of real need*
- *varied funding sources*
- *technically competent staff*
- *budget within reach of community*
- *progressive growth of project*
- *properly phased activities*
- *politically feasible*
- *appropriate collaboration with other agencies*
- *support of community leaders*
- *use of appropriate technology in intervention*
- *revolving funding*

Group these elements of sustainability into three primary categories:

- Programmatic/institutional sustainability
- Financial sustainability
- Political sustainability

Step 4 Divide the participants into three groups and introduce the following task:

TASK #1

1. Choose one of the components of sustainability.
2. For the chosen component, think of organizational strategies for achieving that kind of sustainability.
3. Prepare to report out.

Time: 30 minutes

Step 5 Allow each group to report. After the presentation, distribute Handout 11A, Strategies for Sustainability, and discuss some of the points that may not have been mentioned.

B. Developing a Plan for Sustainability (1 hour, 30 minutes)

Step 1 Have participants sit in their organizational groups. Distribute Handout 11B, Sustainability Plan, and introduce the following task:

TASK #2

1. In your organizations, develop a plan for organizational sustainability, using the framework provided (Handout 11B).
2. Prepare to report out.

Time: 45 minutes

Step 2 Ask each group to present its sustainability plans. Try to elicit further ideas on sustainability strategies that can be incorporated into each group's plans.

Step 3 Ask the whole group the following questions to wrap up the session:

- How has the session helped you?
- How will you use this experience to design projects when you go back to your organizations?

Handout 11A

STRATEGIES FOR SUSTAINABILITY

FINANCIAL SUSTAINABILITY

- Set up a system of fees for services.
- Approach other donors—national and international.
- Initiate income-generating projects.
- Get in-kind services from other organizations and form networks to conduct collaborative interventions.
- Have cross-subsidies between projects. For example, money raised for MCH services can be used for family planning interventions.
- Initiate self-sustaining activities.
- Provide technical assistance to other organizations to raise funds for your own organization.
- Solicit in-kind support. For example, the community might provide an activity center.
- Obtain project support from the corporate sector.
- Initiate fundraising campaigns.

INSTITUTIONAL/PROGRAMMATIC SUSTAINABILITY

- Develop an institutional vision, mission, and values.
- Develop technical competency among staff.
- Develop institutional evaluation systems.
- Conduct performance reviews.
- Be flexible and adapt to the changing internal and external environments.

POLITICAL SUSTAINABILITY

- Gain government support for the project and the organization.
- Gain community support and participation for the project.
- Complement and supplement long-term policies.
- Network and collaborate with other organizations.
- Form pressure groups in collaboration with other organizations.
- Lobby for the cause.
- Hold advocacy meetings for the issue and contact the media to publicize project activities.

Handout 11B

SUSTAINABILITY PLAN

Develop a sustainability plan in a narrative form by responding to the following:

1. How do you plan to obtain long-term programmatic/institutional support?

2. How do you plan to get the community's support?

3. What will the in-country support be: Salaries of government officials participating in the project? Commodities? Office space? Furniture? Volunteers from the project site for outreach? Other volunteers? IEC materials? Community raised funds? Income-generation projects? Fee-for-services?

4. At what time will the above be introduced to the project?

5. How does the organizational plan to get political support for the project? Government support? Does the program complement government policies? What about other organizations? Is there a consortium working for the same goal?

6. Describe plans for continued financial support. Will the organization be contacting other donors or the local government for further support? What other donors? How solicited?

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