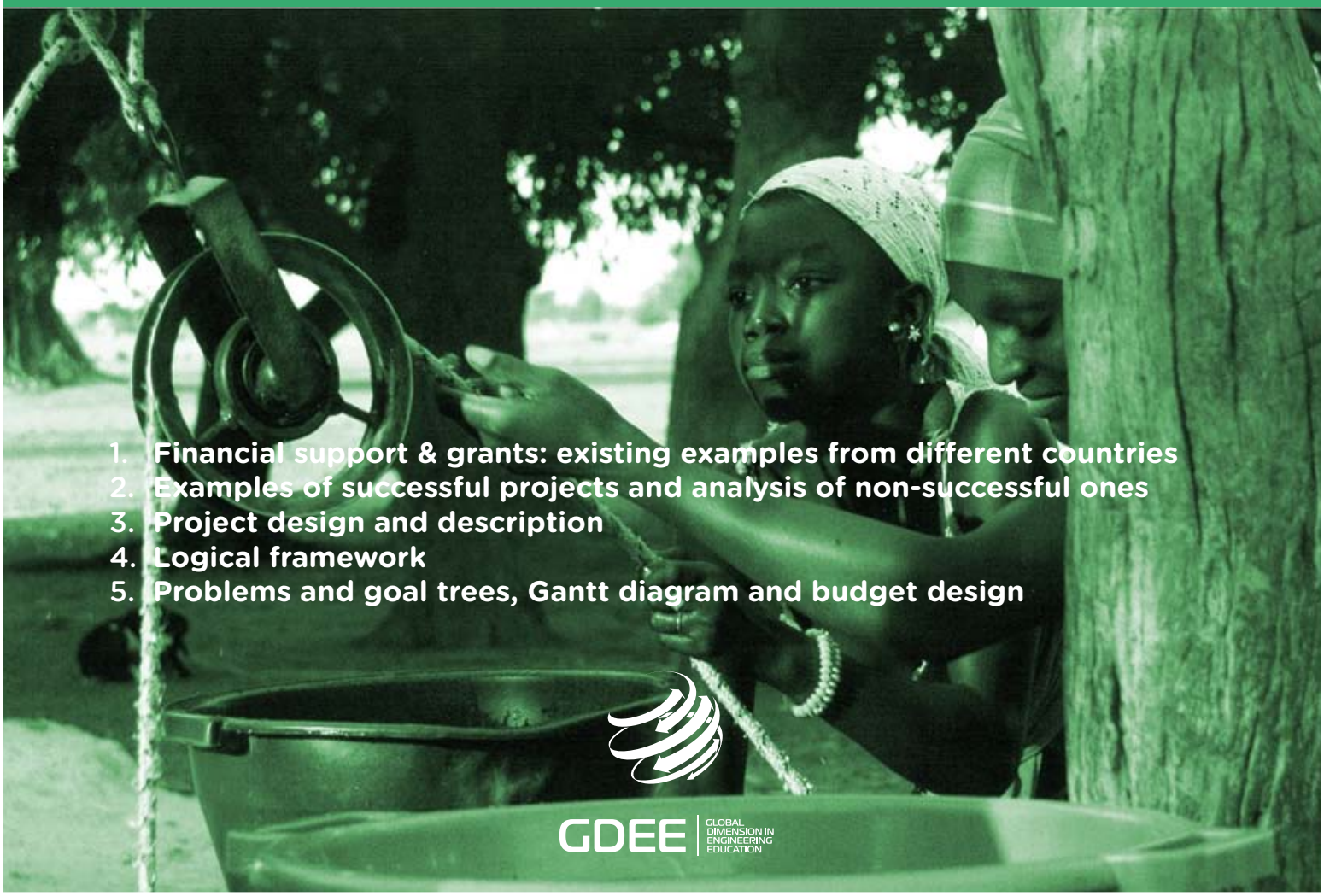
Block B

SUPERVISING BS/MS THESIS WITH FIELDWORK

B.6

Knowing International Cooperation



1. Financial support & grants: existing examples from different countries
2. Examples of successful projects and analysis of non-successful ones
3. Project design and description
4. Logical framework
5. Problems and goal trees, Gantt diagram and budget design

GDEE GLOBAL DIMENSION IN ENGINEERING EDUCATION

B.6 Knowing International Cooperation

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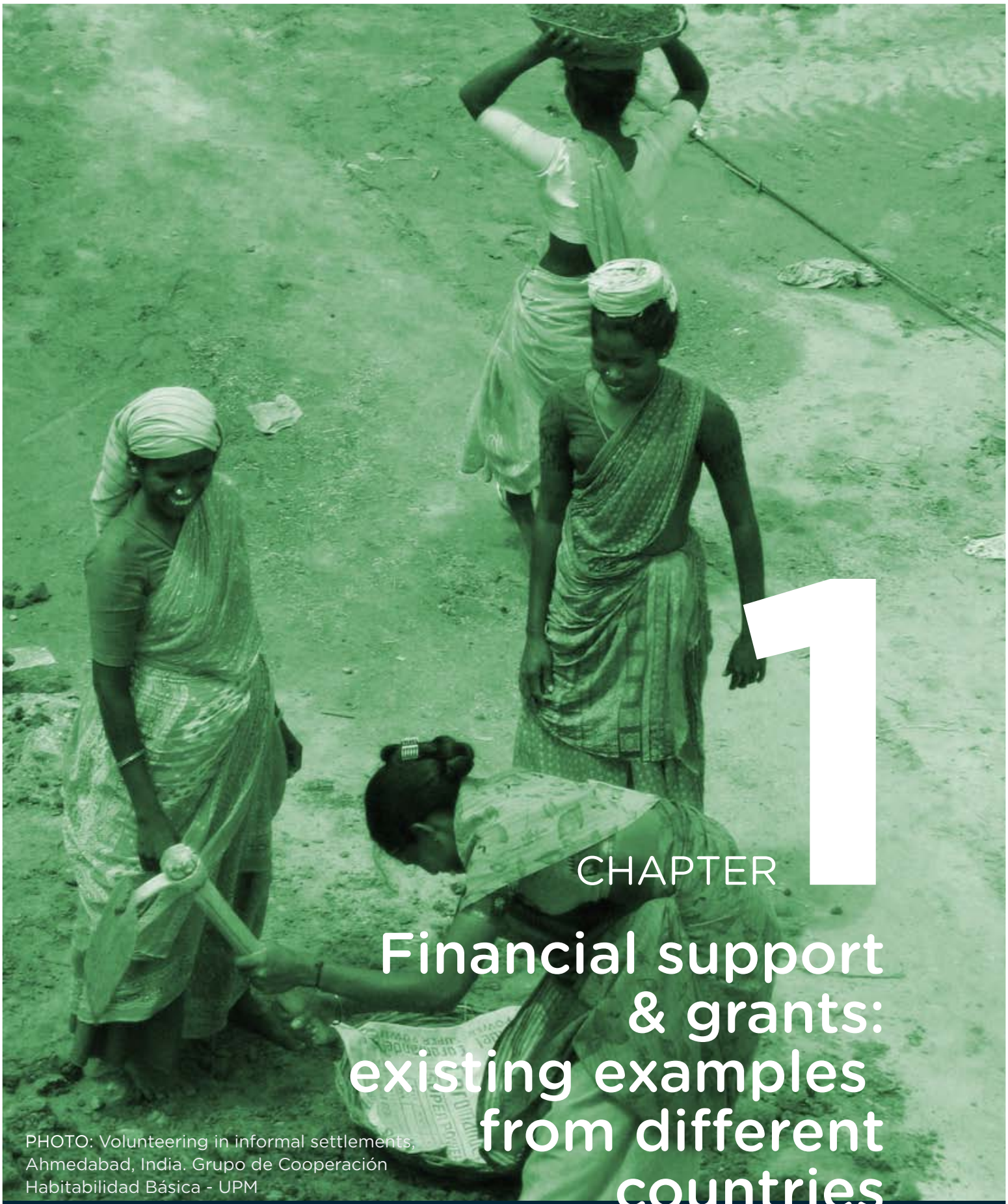

CHAPTER 1

Financial support & grants: existing examples from different countries

PHOTO: Volunteering in informal settlements, Ahmedabad, India. Grupo de Cooperación Habitabilidad Básica - UPM

1

CHAPTER 1. Financial support & grants: existing examples from different countries

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1 FINANCIAL SUPPORT & GRANTS: EXISTING EXAMPLES FROM DIFFERENT COUNTRIES

Gabriella Trombino, Università degli Studi di Trento

EXECUTIVE SUMMARY

Working in Development Cooperation means not only to own technical skills essential for the implementation of actions, interventions or specific activities but also to hold a deep knowledge of the ways to get financial sources and to be able to get funds through the preparation of suitable projects.

This chapter introduces the major financing programmes for cooperation, policies and international agreements that define priority actions, the relevance that projects have in the frame of international cooperation and finally a brief description of key steps for drafting a project proposal.

LEARNING OUTCOMES

After you actively engage in the learning experiences in this module, you should be able to:

- Understand the importance of preparing projects that are consistent with the policies and international programs of intervention.
- Communicate this importance to students.
- Improve the ability of orientation in choosing suitable calls for proposal.
- Improve the ability of drafting a project proposal coherent with those calls.

KEY CONCEPTS

These concepts will help you better understand the content in this session:

- European Commission Development and Cooperation policies
- Partnership Strategies with Developing Countries
- Cross Cutting Issues
- The Project Approach
- Financing Instruments

GUIDING QUESTIONS

Develop your answers to the following guiding questions while completing the readings and working through the session:

- What is the role of funding opportunities in cooperation development?
- What are the key documents necessary for the preparation of a proposal?
- What are the tools to be used for the preparation of a proposal?

INTRODUCTION

Article 208 of TFUE of the European Union (EU) sets out the guidelines for European Community (EC) development cooperation:

1. Union policy in the field of development cooperation shall be conducted within the framework of the principles and objectives of the Union's external action. The Union's development cooperation policy and that of the Member States complement and reinforce each other. Union development cooperation policy shall have as its primary objective the reduction and, in the long term, the eradication of poverty.
2. The Union shall take account of the objectives of development cooperation in the policies that it implements which are likely to affect developing countries. The Union and the Member States shall comply with the commitments and take account of the objectives they have approved in the context of the United Nations and other competent international organizations.

The EC has three principal means of action to pursue its development objectives: political dialogue, development cooperation and trade. Significant emphasis is being placed by the EC on ensuring that these dimensions are ‘Coherent, Complementary and Coordinated’.

The starting point of a new direction in Development Cooperation policy was November 2000, when the European Parliament and the Council of Ministers approved the communication of the Commission on the ‘Policy of the European Community for Development Cooperation’.

This sets out a new strategic direction for the programming and management of EC development assistance, based on lessons learned from both EC and other international agencies evaluations of donor funded programmes and projects. Guiding principles behind this policy include:

- Ownership by developing countries of their own development process.
- Increased attention to the social dimension of growth and development, including giving priority to poverty reduction and the needs of vulnerable groups (including children, women and the disabled).
- An increased focus on ‘results’.

The main challenges to implementing these principles are:

- Adjusting intervention modalities to promote ‘local’ ownership and the effectiveness of aid.

- More effectively focusing programmes and projects on poverty reduction.

To address these challenges, the EC is giving particular attention to:

- Streamlining aid delivery instruments.
- Promoting the use of Sector Policy Support Programmes and Budgetary Aid.
- Increasing decentralization of responsibilities to the EC's Delegations.
- Promoting harmonization with Member States and other donors.
- Irrespective of the sector focus, delivery modality (e.g. budgetary aid or projects) or geographic location of EC development assistance, there are a number of critical cross-cutting development issues which must be appropriately addressed throughout the project (table 1).

Table 1 *Cross-Cutting Issue*

CROSS-CUTTING ISSUES	DESCRIPTION
Good governance and human rights	Good governance is defined as: 'The transparent and accountable management of human, natural, economic and financial resources for the purposes of equitable and sustainable development, in the context of a political and institutional environment that upholds human rights, democratic principles and the rule of law'. In order to give further focus to this broad definition, the EC has established six essential elements of good governance, which should be applied to the design and implementation of EC-funded programmes and projects in third countries. These are: • Support to democratization including support to electoral processes and electoral observation (with an emphasis on participation and accountability) • Promotion and protection of Human Rights (as defined in the international covenants and conventions, respects of norms and non-discrimination) • Reinforcement of the rule of law and the administration of justice (as to the legal framework, legal dispute mechanisms, access to justice, etc.) • Enhancement of the role of non-state actors and their capacity building (as a partner in public policy making and implementation) • Public administration reform, management of public finances and civil service reform; and • Decentralisation and local government

Gender equality	The United Nations Fourth World Conference on Women held in Beijing in 1995 established gender equality as a basic principle in development cooperation. Gender equality refers to equality of opportunity, rights, distribution of resources and benefits, responsibilities for women and men in private and public life and in the value accorded to male and female characteristics. Promotion of gender equality is not only concerned with women's issues, but also covers broader actions to be taken by both women and men. An essential requirement for gender equality is that women should participate in decision-making and political processes on an equal footing with men. Gender disparities are deeply entrenched in policies, institutional and legal practices, households and social relations. Gender is therefore a cross-cutting issue that needs to be built into all aspects of policy formulation, programme and project planning, institutional structures and decision making procedures. The process of integrating gender equality concerns across all these areas is known as gender mainstreaming.
Environmental sustainability	Sustainable development is development that meets the needs of current generations without compromising the ability of future generations to meet their needs. In this context, environment and natural resources are a capital that must be maintained in order to support sustained economic activity. Protecting the environment thus preserves the very basis for development. Environmental sustainability refers to the need to protect biological and physical systems that support life (e.g. ecosystems, the hydrological cycle and climatic systems). Environmental sustainability is a cross-cutting principle which needs to be integrated across all areas of decision making. This requires development planners to assess the environmental impact of all proposed policies, programmes and projects, and to take action to minimize the adverse environmental impacts and to take advantage of opportunities for environmental improvement.

The quality of dialogue with partner countries (government and civil society representatives) is key to establishing effective development cooperation policies and their successful implementation. Partnership, ownership of development processes by the target population, and strengthening of institutional and administrative capacity to effectively manage change, are principles which are now largely shared by all donors.

Two issues are given emphasis in the EC's development policy in this regard, namely:

- **Role of civil society.** Close cooperation with and promotion of civil society provides the conditions for greater equity, inclusion of the poor in the benefits of economic growth and helps strengthen the democratic fabric of society. The Commission will therefore continue to cooperate with a wide range of civil

society actors, including human rights groups and agencies, women's associations, child-protection organisations, environmental movements, farmers' organisations, trade unions, consumers' associations, and other development support structures (e.g. NGOs, teaching and research establishments).

- **Harmonisation.** There is an urgent need to streamline and harmonise donor procedures to reduce the significant administrative burden that these can place on partner countries. The insistence on using donor specific procedures can have high transaction costs and works against the principle of promoting partner ownership of project ideas, documentation and decision making/management processes.

The Rome 'Declaration on Harmonization' of February 2003, states that: 'We in the donor community have been concerned with the growing evidence that, over time, the totality and wide variety of donor requirements for preparing, delivering and monitoring development assistance are generating unproductive transaction costs for, and drawing down the limited capacities of, partner countries' and that 'donor practices do not always fit well with national development priorities'. The EC will therefore play its part in promoting harmonisation of policies and practices. At an operational level, this will require some changes to, inter alia: (i) the way that EC staff work and communicate with third country partners and other donors, (ii) the type of information required to support effective decision making, (iii) documentation and reporting requirements; and (iv) financing modalities and conditions. The overall aim is to promote local ownership and to reduce any unnecessary duplication of administrative and reporting procedures.

THE PROJECT APPROACH

A project is a series of activities aimed at bringing about clearly specified objectives within a defined time-period and with a defined budget.
A project should also have:

- Clearly identified stakeholders, including the primary target group and the final beneficiaries.
- Clearly defined coordination, management and financing arrangements.
- A monitoring and evaluation system (to support performance management).
- An appropriate level of financial and economic analysis, which indicates that the project's benefits will exceed its costs.

Development projects are a way of clearly defining and managing investments and change processes. Development projects can vary significantly in their objectives, scope and scale. Smaller projects might involve modest financial resources and last only a few months, whereas a large project might involve many millions of Euro and last for many years.

Examples of projects could include:

- A health service reform and expansion project, implemented primarily by the Ministry of Health of the partner government and with financial support of other donors, costing Euro 30m over 10 years.
- An emergency relief project, coordinated by the UN and implemented through International NGOs, costing Euro 5m over one year.
- Business promotion projects, providing grants to non-profit organisations of up to Euro 200,000 over a maximum time line of 2 years.
- A road and bridge building project, using a contracted project manager, costing Euro 50m over 5 years.
- A regional food security training project, focused on the provision of technical assistance and training services, costing Euro 2m over 3 years.
- An election monitoring project, conducted primarily by staff from the EC and its member states, costing Euro 600,000 over 5 months.

In order to accommodate this kind of diversity, it is important that project cycle management systems support the application of standard working modalities/rules in a flexible manner.

Relationship between projects, programs and policies

A well-formulated project should derive from an appropriate balance between the EC's development policy priorities and the partner's development priorities.

Within the scope of these policy priorities, the executive arms of government or non-governmental agencies formulate the broad areas of work required to implement policy decisions. These broad areas of work are often called programmes, which, like projects, may vary significantly in scope and scale.

The definition of what a programme is depends essentially on how the responsible authority(ies) choose to define it.

For example, a programme may:

- Cover a whole sector (e.g. Health Sector Programme).
- Focus on one part of the health sector (e.g. a Primary Health Care Programme).
- Be a 'package' of projects with a common focus/theme (e.g. ASEAN-EU university links programme).
- Define what is essentially just a large project with a number of different components.

The general relationship between policies, programmes and projects is illustrated in Figure 1

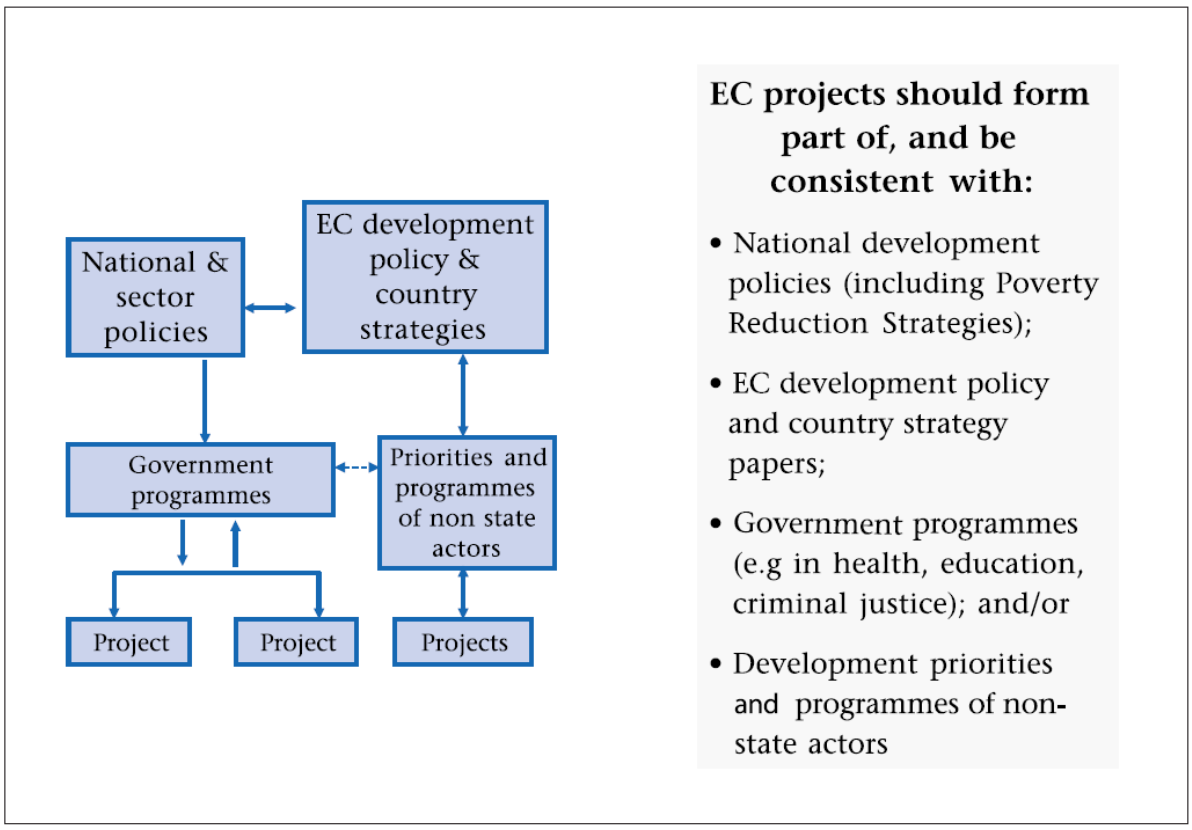

Figure 1 *The general relationship between policies, programmes and projects.*

Project objectives should therefore contribute to national and sector policies wherever a public sector activity is being supported.

When non-state actors are implementing projects, a distinction needs to be made between activities fully outside the realm of the public sector and activities undertaken on behalf of government. In the latter case, non-state actors typically deliver services of a public nature as if these services had been 'contracted out' by government. Even if a formal 'contracting out' process has not occurred, it is important that such functions should be consistent with government policy to ensure their relevance and promote prospects for sustainability. For fully private activities, the framework for judging a project or programme's relevance is provided by the Commission's development policies (i.e. as articulated in a Country Strategy Paper) and the demonstrated needs of beneficiaries.

The project approach has been at 'the cutting edge of development' for many years, primarily because it has helped meet the accountability requirements of donors. However, significant problems with the 'classical' donor-controlled project approach have also become increasingly evident, namely:

- Inadequate local ownership of projects, with negative implications for sustainability of benefits.
- The huge number of different development projects, funded by different donors each with their own management and reporting arrangements, has resulted in large (and wasteful) transaction costs for the recipients of 8 development assistance.
- The establishment of separate management, financing and monitoring/reporting arrangements has often undermined local capacity and accountability, rather than fostering it.
- The project approach has encouraged a narrow view of how funds are being used, without adequate appreciation of the 'fungibility' issue.

As noted by the World Bank in 1998: "Aid agencies have a long history of trying to 'cocoon' their projects using free-standing technical assistance, independent project implementation units and foreign experts – rather than trying to improve the institutional environment for service provision. They have neither improved services in the short run nor led to institutional change in the long run" The concept of fungibility of aid resources highlights the fact that donor funded projects can simply allow partner governments to re-direct their own financial resources to other purposes (assuming that governments would have spent their own money on the project(s) even if the donor funding was not available).For example, donor funding of Euro 100m to the Health Sector of a particular country could allow the partner government to then use (or 'divert') .

Hundred millions euros of its own resources (which it otherwise would have had to allocate to Health) to fund other uses (e.g. internal security or military expenditures). The total effect of donor support therefore depends on how government uses these freed resources (in an economic sense the 'marginal use') and not on the specific project or programme against which the development assistance is specifically earmarked. Reaching agreement between the partner government and donors on overall public expenditure priorities (i.e. having a donor/partner government policy dialogue on overall objectives and expenditure planning) is thus a way of helping to ensure that fungibility does not compromise the development objectives that donors specifically want to promote/support. It is as a result of such issues that the EC and member states have decided to significantly increase the use of sector programme and budgetary aid approaches, and to progressively decrease the overall level of funding using the project approach.

Drawing on international experience, the EC has established the definitions described below. The Sector Approach simply involves working together with partner governments, donors and other relevant stakeholders in pursuit of these three objectives. As a result of following a sector approach, partner governments may produce an updated programme of policy and

spending for the sector. This is classified as a Sector Programme, where and when it includes three components:

- An approved sectoral policy document and overall strategic framework (such as a Poverty Reduction Strategy Paper).
- A sectoral medium term expenditure framework and an annual budget.
- A co-ordination process amongst the donors in the sector, led by Government.

When funding is made available by the Commission, the purpose is to support the Government's Sector Programme or some agreed sub-set of activities within that Programme. The decision on whether to provide funding will depend upon an assessment of the quality of the Programme. There are seven key assessments which need to be undertaken in order to judge the quality of the Programme, decide on the appropriate EC operating modality and finalise the design of the EC contribution to the Programme. The Sector Policy Support Programme (SPSP) is the programme of the European Commission by which financial support is provided to the partner Government's Sector Programme. An SPSP may follow three types of operating modalities:

- Sector Budget Support – which is the modality of choice, wherever appropriate and feasible.
- Financial contributions to Common Pooled Funds (or "common basket funds") which fund all or part of the Sector Programme.
- Commission-specific procedures (European Commission budget or EDF).

Typical components of a Sector Programme Building on international experience, 6 key components of a Sector Programme can be identified:

1. A clear sector policy and strategy to know what government is aiming to achieve in the sector and how – distinguishing government's regulatory role from its service delivery role, specifying the roles of non-government agents and outlining any necessary institutional reforms.
2. A sectoral medium term expenditure programme, based on a comprehensive action plan, to clarify what is the expected level of available internal and external resources and how these resources will be utilised in pursuit of the policy.
3. A performance monitoring system to measure progress towards the achievement of policy objectives and planned results, distinguishing between male and female beneficiaries and ensuring the needs of vulnerable groups (disabled, young/old) are assessed. Sector Programmes also often aim to correct distortions specific to contexts where there is a high level of aid dependency. These distortions arise in particular where many of the activities in

the sector are financed from external funds and where these external funds are not programmed and managed in the same way as government funds.

There are two crucial components of a Sector Programme which aim to correct these distortions:

- A formalised process of donor coordination.
- An agreed process for moving towards harmonised systems for reporting, budgeting, financial management and procurement.

FUNDING OPPORTUNITIES

This section reports an overview of funding opportunities for development cooperation initiatives, especially project interventions**.**

1. EuropeAid Programmes

EuropeAid Development and Cooperation is responsible for designing European development policy and delivering aid throughout the world. EuropeAid delivers aid through a set of financial instruments with a focus on ensuring the quality of EU aid and its effectiveness. As active and proactive player in the development field, EuropeAid promote good governance, human and economic development and tackle universal issues, such as fighting hunger and preserving natural resources. The financial instruments of this programme are the following:

On a geographic base

- European Neighbourhood and Partnership Instrument (ENPI).
- European Development Fund (EDF).
- Development Co-operation Instrument (DCI).

On a thematic base

- European Instrument for Democracy & Human Rights (EIDHR).
- Nuclear Safety Co-operation Instrument (NSCI).
- Environment and sustainable management of natural resources including energy.
- Non-state actors and local authorities in development.
- Food security.
- Migration and asylum.
- Investing in people.

- EU food facility.
- Instrument for Stability.
- Restructuring of sugar production.

2. European Neighbourhood and Partnership Instrument- ENPI PROGRAMME

The European Neighbourhood and Partnership Instrument (ENPI) has been operational since 1 January 2007. The ENPI is the main source of funding for the 17 partner countries (ten Mediterranean and six Eastern European countries, plus Russia). The ENPI replaces the co-operation programmes TACIS (for the Eastern European countries) and MEDA (for the Mediterranean countries). In this light, the ENPI appears as the strategic continuity with enlarged objectives of the former TACIS and MEDA programmes. The main purpose is to create an area of shared values, stability and prosperity, enhanced co-operation and deeper economic and regional integration by covering a wide range of co-operation areas.

The overall allocation for the ENPI instrument amounts to almost €12 billion for the seven-year period 2007-2013. This represents an increase of 32%, in real terms, compared with the amount available over the period 2000-2006 for the MEDA and TACIS programmes.
Around 90% of ENPI funds will be used for bilateral actions, i.e. country-specific initiatives and for regional actions involving two or more partner countries. The remaining 10% are reserved for specific new areas of joint activity, namely cross-border co-operation (CBC), and specific initiatives like the Neighbourhood Investment Facility (NIF).

Three innovative features of the ENPI need to be highlighted. The first innovation is the CBC component, under which the ENPI finances joint programmes, bringing together regions of Member States and partner countries sharing a common border. The second innovation is the introduction of a Governance Facility which provides resources to creative partners which have shown the will to carry forward essential reforms related to improving good governance. The third innovation is the Twinning, the TAIEX and the SIGMA instruments. The first two can be defined as a cooperation tool between a public administration in a partner country and the equivalent institution in an EU Member State. The third one, SIGMA, is a joint initiative of the OECD and the EU. These instruments which aim to upgrade and modernise the institutions of the beneficiary eastern and southern neighbouring countries were created in the framework of the Acceding countries and were successfully adapted to the Neighbourhood region in 2004, 2006 and 2008 respectively.

Particularly relevant for the Mediterranean area was the ENPI-CBC Programme
The Operational Programme, approved on August 14th 2008 by European Commission decision C (2008) 4242, establishes a strategic framework of Priorities jointly defined by the participating countries:

- Promotion of socio-economic development and enhancement of territories.
- Promotion of environmental sustainability at basin level.
- Promotion of better conditions and modalities for ensuring the mobility of persons, goods and capitals.
- Promotion of cultural dialogue and local governance.

3. Horizon 2020 - Societal Challenge

Horizon 2020 is the biggest EU Research and Innovation programme with nearly €80 billion of funding available over 7 years (2014 to 2020). Established according to EU Reg. 1291-2013, Horizon 2020 reflects the policy priorities of the Europe 2020 strategy and addresses major concerns shared by citizens in Europe and elsewhere. A challenge-based approach will bring together resources and knowledge across different fields, technologies and disciplines, including social sciences and the humanities. This will cover activities from research to market with a new focus on innovation-related activities, such as piloting, demonstration, test-beds, and support for public procurement and market uptake. It will include establishing links with the activities of the European Innovation Partnerships.

Funding will focus on the following challenges:

- Health, demographic change and wellbeing.
- Food security, sustainable agriculture and forestry, marine and maritime and inland water research, and the Bioeconomy.
- Secure, clean and efficient energy.
- Smart, green and integrated transport.
- Climate action, environment, resource efficiency and raw materials.
- Europe in a changing world - inclusive, innovative and reflective societies.
- Secure societies - protecting freedom and security of Europe and its citizens.

4. The World Bank Group funds for poorest

The World Bank Group consists of five organisations:

1. The International Bank for Reconstruction and Development (IBRD) lends to governments of middle-income and creditworthy low-income countries
2. The International Development Association (IDA) provides interest-free loans — called credits — and grants to governments of the poorest countries. Together, IBRD and IDA make up the World Bank.
3. The International Finance Corporation (IFC) is the largest global development institution focused exclusively on the private sector. They help developing countries achieve sustainable growth by financing investment, mobilising capital

in international financial markets, and providing advisory services to businesses and governments.

4. The Multilateral Investment Guarantee Agency (MIGA) was created in 1988 to promote foreign direct investment into developing countries to support economic growth, reduce poverty, and improve people's lives. MIGA fulfils this mandate by offering political risk insurance (guarantees) to investors and lenders.
5. The International Centre for Settlement of Investment Disputes (ICSID) provides international facilities for conciliation and arbitration of investment disputes.

Within the World Bank Group it is worth describing the International Development Association (IDA)**.** IDA is one of five World Bank Group's entities. Established in 1960, IDA aims to reduce poverty by providing loans (called "credits") and grants for programs that boost economic growth, reduce inequalities, and improve people's living conditions. IDA complements the World Bank's original lending arm—the International Bank for Reconstruction and Development (IBRD). IBRD was established to function as a self-sustaining business and provides loans and advice to middle-income and credit-worthy poor countries. IBRD and IDA share the same staff and headquarters and evaluate projects with the same rigorous standards. IDA is one of the largest sources of assistance for the world's 82 poorest countries, 40 of which are in Africa. It is the single largest source of donor funds for basic social services in these countries. IDA-financed operations deliver positive change for 2.5 billion people, the majority of whom survive on less than $2 a day. IDA lends money on concessional terms. This means that IDA charges little or no interest and repayments are stretched over 25 to 40 years, including a 5- to 10-year grace period. IDA also provides grants to countries at risk of debt distress. In addition to concessional loans and grants, IDA provides significant levels of debt relief through the Heavily Indebted Poor Countries (HIPC) Initiative and the Multilateral Debt Relief Initiative (MDRI). Since its inception, IDA has supported activities in 108 countries.

5. Regional Development Bank

- Inter-American Development Bank (IDB) supports efforts by Latin America and the Caribbean countries to reduce poverty and inequality. It aims to bring about development in a sustainable, climate-friendly way. Established in 1959, it is the leading source of development financing for Latin America and the Caribbean, with a strong commitment to achieve measurable results, increased integrity, transparency and accountability. IDB has an evolving reform agenda that seeks to increase our development impact in the region. It is a regular bank in many ways, it is also unique in some key respects. Besides loans, it also provides grants, technical assistance and do research. Its shareholders are 48 member countries, including 26 Latin American and Caribbean borrowing members, who

have a majority ownership of the IDB. Its Fund for Special Operations (FSO) provides concessional financing to most vulnerable member countries.

- Asian Development Bank (ADB) aims for an Asia and Pacific free from poverty. Since its founding in 1966, ADB has been driven by an inspiration and dedication to improving people's lives in Asia and the Pacific. By targeting our investments wisely, in partnership with our developing member countries and other stakeholders, we can alleviate poverty and help create a world in which everyone can share in the benefits of sustained and inclusive growth. Approximately 1.7 billion people in the region are poor and unable to access essential goods, services, assets and opportunities to which every human is entitled. Whether it be through investment in infrastructure, health care services, financial and public administration systems, or helping nations prepare for the impact of climate change or better manage their natural resources, ADB is committed to helping developing member countries evolve into thriving, modern economies that are well integrated with each other and the world. The main devices for assistance are loans, grants, policy dialogue, technical assistance and equity investments.

6. United Nation development Programme (UNDP)

Since 1966 UNDP partners with people at all levels of society to help build nations that can withstand crisis, and drive and sustain the kind of growth that improves the quality of life for everyone. It focuses on helping countries build and share solutions in four main areas:

- Poverty Reduction and Achievement of the MDGs.
- Democratic Governance.
- Crisis Prevention and Recovery.
- Environment and Energy for Sustainable Development.

In 2013, programmes helped:

- Create 6.5 million jobs, Broaden access to justice in 117 countries.
- Build resilience in 14 crisis-affected regions.
- Conduct elections with 43 million newly registered voters.
- Make social protection inclusive for 15 million people.
- Balance natural resource use for 250 million hectares.

7. Thematic Fund in ONU area

The Fund for Global Health is a philanthropic donor agency that seeks social benefit rather than monetary profit, but like a business corporation, it tracks its results in terms of a

measurable bottom line. In its case the bottom line is improved health outcomes. It works in a collaborative spirit with other agencies and organisations, seeking to ensure sustainable improvements in health. Tracking results and ensuring cost-effectiveness are central to our approach. Its current areas of concentration are:
(1) rural health in developing countries, including bringing health care to under-served villages and (2) reducing the number of people killed or disabled by road accidents, especially through enhanced enforcement of road safety laws and strengthened minimum safety standards for road construction.

United Nation Framework Convention on Climate Change. The contribution of countries to climate change, and their capacity to prevent and cope with its consequences, vary enormously. The Convention and the Protocol therefore foresee financial assistance from Parties with more resources to those less endowed and more vulnerable.

The Convention, under its Article 11, states that the operation of the financial mechanism is entrusted to one or more existing international entities. Currently, the operation of the financial mechanism is partly entrusted to the Global Environment Facility (GEF) on an on-going basis, subject to review every four years. The Kyoto Protocol also recognises, under its Article 11, the need for the financial mechanism to fund activities by developing country Parties. In addition to providing guidance to the GEF, Parties have established four special funds: the Special Climate Change Fund (SCCF), the Least Developed Countries Fund (LDCF), both managed by the GEF, and the Green Climate Fund (GCF) under the Convention; and the Adaptation Fund (AF) under the Kyoto Protocol. Funding to climate change actvities is also available through bilateral, regional and multilateral channels.

8. FAO Funds

Voluntary Contributions Governments are the main contributors to FAO's voluntary resources. Other UN agencies, international financing institutions, the private sector and local authorities also make significant contributions, while the general public can also fund the Organization through its Telefood programme. Voluntary resources are channelled through different funding modalities.

Earmarked funding modalities: (i) The Government Cooperative Programme or tripartite agreements with bilateral donors and recipients. Assistance is provided by bilateral donors and is directed to either an individual recipient country or a group of countries. (ii) Unilateral Trust Fund agreements whereby recipient countries finance technical assistance projects from their own national resources or from loans, credits and grants provided by international financing institutions.

Unearmarked funding modalities which are provided on the basis of relatively flexible strategic partnership agreements (programme approach funding). This includes:

1. **The FAO Multidonor Mechanism (FMM)**. The novelty of this mechanism is that the voluntary contributions are no longer tied to a specific programme or project but go right into the FAO integrated budget along with the assessed contributions from member countries.

2. **The Special Fund for Emergency and Rehabilitation Activities (SFERA)**, which is used for setting up emergency coordination units and for the advance funding of emergency projects.

The FAO Trust Fund Programme also includes the FAO Trust Fund for Food Security and Food Safety, established in follow-up to the World Food Summit with an initial target of US$500 million.

This list should be completed with opportunities deriving from privates such as Fondations and international Associations. One example is the Bill & Melinda Gates Fondation. Finally, CROWDFUNDING is an innovative tool that can be used to support no-profit organisation into implementing initiatives.

9. National Funding

An important source of funding is national funding that is related to country legislation and initiatives. In this context it is neccessary to mention the activity of the Italian Ministry of Foreign Affairs. It plays an important role in cooperation with foreign countries. As a part of topical policies, the Ministry promotes and supports cultural, scientific and technological initiatives as well as development cooperation initiatives through specific instruments. The intergovernmental protocols define the main activities and financial arrangements relating to cultural, scientific and technological cooperation. Development cooperation allows "relations aimed at economic, as well as social and human, growth, respectful of the environment and the various cultures and capable of safeguarding common assets such as water, food and energy, so as to ensure the growth and well being of populations and the pursuit of peace among people".

SUPPORTING STUDENTS IN THE PREPARATION OF A PROPOSAL

The preparation of a proposal should be performed keeping clearly in mind the five criteria used by the EC to evaluate the success of projects:

1. Relevance

2. Efficiency
3. Effectiveness
4. Impact
5. Sustainability

In the context of the quality frame's key quality attributes, the word '**Feasibility'** is used to describe the expected **efficiency**, **effectiveness** and **impact** of the project prior to the start of implementation. Effective and well managed describes the actual efficiency and effectiveness of the project during implementation, while the issue of impact can only be assessed through final and ex-post evaluations. As already noted, the factors promoting sustainability are throughout the attributes of Relevance, Feasibility and Effectiveness & Well-management.

Project Development Phases

Phase 1. Identification of the project idea

During this phase brain-storming and long discussions on possible themes and actions to be implemented are necessary. The project idea is identified starting from the know-how of the group.

Phase 2. Partner search

This activity is performed by collaborating with international office of Universities or by using network such as LinkedIn, or finally using a tool i.e. 'partner search' utility available on the home page of several Funding Programme.

Phase 2. Formulation

This phase includes the preparation of a draft of project proposal. Project structure is composed by the following elements:

- The Overall Objective
- Specific Objectives
- Methodology
- Expected results
- Target Groups
- Gantt Diagram
- Budget

These elements can be defined by developing the problem tree and the logical framework.

Phase 2. Feasibility of Project

The project is feasible if is well designed and will deliver tangible and sustainable benefits to target groups.

The Table 2 reported below, shows the indicators that can be used to test the feasibility of a Project. After the formulation of the proposal this list should be the 'check list' to be used after drafting a proposal.

Table 2 *Feasibility indicators.*

	FEASIBILITY INDICATORS
1	The objectives (Overall objective, purpose and results/outputs) and the work programme (activities) are clear and logical, and address clearly identified needs
1.1	The project's Overall Objective is clearly linked to a relevant policy or sector objective, and thus demonstrates how the project will contribute to a long term development outcome
1.2	The project's purpose clearly specifies a direct benefit(s) that the target group(s) will derive from the implementation of the project, and is consistent with the analysis of problems facing the target group(s)
1.3	The project's results describe tangible improvements to services, facilities or knowledge that will directly support the achievement of the project's purpose
1.4	A feasible work programme (set of activities) is described which will allow project results to be delivered over a realistic time-frame
1.5	The project design is not overly prescriptive, and allows for necessary changes to operational plans to be made during implementation
2	The resource and cost implications are clear, the project is financially viable and has a positive economic return
2.1	The resources (such as staff, equipment, materials etc.) required to implement the project are clearly described, including an analysis of resource contributions from each of the primary stakeholders (e.g. local communities, partner government institutions, other donors and the EC)
3	Management responsibilities are clearly defined

4	Financial management arrangements are clearly specified (in particular for providing an adequate level of overall Internal control) and promote accountability and transparency
5	The monitoring/evaluation and accountability system is clear and practical

Phase 4. Fiche and documents

Each Funding program adopts an official fiche and defines its own procedure for the submission of a project proposal. Fiche and supporting documents should be downloaded from the home page of the programme and carefully compiled according to guidelines because mistakes into the preparation of documents such as a missing signature or a missing date or place on official application are the most common reasons of exclusion by the first level control.

Phase 5. Submission

Submission procedure is the final step. Each Funding Programme defines the submission procedure that should be electronic or paper copy printed and signed in 'Original'.

Implementation of a Project

In order to complete the framework on funding and grants opportunities it is necessary to mention some key concept on Implementation phase of the Project. Project implementation (or project execution) is the phase where visions and plans become reality. This is the logical conclusion, after evaluating, deciding, visioning, planning, applying for funds and finding the financial resources of a project. The implementation stage of the project cycle is in many ways the most critical; as it is during this stage that planned benefits are delivered.

The purpose of the implementation stage is to:

- Deliver the results, achieve the purpose(s) and contribute effectively to the overall objective of the project.
- Manage the available resources efficiently.
- Monitor and report on progress.

Delivery of results is related to a realistic implementation of activities described in your work plan. Even projects that are well designed, comprehensively planned, fully resourced and meticulously executed will face challenges. These challenges can take place at any point in the life of the project and the project team must work to continually revisit the design,

planning and implementation of the project to confirm they are valid and to determine whether corrective actions need to be taken when the project's performance deviates significantly from its design and its plan.

This is the purpose of the Project Monitoring. Progress Monitoring tracks the operational work of the project. It answers questions like "Have activities been completed as planned?" "Have outputs been produced as anticipated?" "Is the work of the project progressing as projected?" At a fundamental level it is a passive process, it changes nothing. Instead, it tells the project manager where the project performance is in terms of money, time, risk, quality, and other areas of project progress.

These activities are intended to occur continuously and continually, taking place through the entire life of the project. The output of monitoring activities can be used to compile Progress Reports of the Project.

A critical phase of project implementation is the financial management. It includes the statement costs. This activity is performed by the management team and requires specific knowledge. In this phase all project activities should be related to sustained costs. Thus, financial reports are produced according to specific guidelines of Programme or Donors.

CONCLUSIONS

The improvement of the quality of life in developing countries is related to the mechanisms of financing. In this Chapter an overview of Grants and Financial opportunities was performed giving particular attention to the main Donors, International Organisations and the mechanism of assistance. This list is not exhaustive, but it gives an idea of how the International and national scenario is structured and who are the actors that finance the cooperation for development. A short description of the critical phases and key concepts of preparation and implementation of a project are provided aiming to summarise phases starting from in field experience and not from a theoretical point of view. Further and more detailed description of this concept will be provided in following chapters.

There are numerous successful projects. So we need to inspire students, especially engineers, to approach the funding programmes and opportunities in a systematic way, in to capitalise the results of their research and to develop solutions for developing countries.

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FURTHER/SUGGESTED MATERIAL

- Development and Cooperation – EuropeAid: capacity4dev.ec.europa.eu/
- SIGMA programme: http://ec.europa.eu/europeaid/where/neighbourhood/overview/documents/final_report_sigma_final_version_en.pdf

PHOTO: Project studying non-timber forest products in the forest of El Merendón, Honduras. Grupo de Cooperación al Desarrollo Forestal - UPM

CHAPTER 2

Examples of successful projects and analysis of non-successful ones

2

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2 EXAMPLES OF SUCCESSFUL PROJECTS AND ANALYSIS OF NON-SUCCESSFUL ONES

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EXECUTIVE SUMMARY

Numerous studies on the impact of International Cooperation (IC) actions in terms of human development continue to reveal considerable deficiencies in the definition of these actions or in their ability to adapt to changes in the context (World Bank, 2011; Chambers et al., 2009). It is essential to delve more deeply into the most relevant issues that are at the root of those deficiencies in order to support the IC organisations and their managers and teams in their efforts to improve the effectiveness and efficiency of their work.

It is not impossible for a well-designed and well-managed program or cooperation project to partially fail because of circumstances that are difficult to foresee. However, it is far less likely that a badly-designed and managed project will produce good results.

As is the case in other sectors, IC interventions need to be continuously adapted to the context, to the requirement to plan activities and predict resources and to structure and plan actions in a way that will lead to satisfactory management. On the one hand, the uncertainty that is inherent to this kind of intervention requires a high degree of adaptation and flexibility. On the other hand, the interventions need to mobilise actions with foresight and coordination based on work plans that are shared and have the mutual agreement of all the different players.

In this session, we will present different cases of International Development projects where researches from UPM have participated. Some cases have been a success, others have not. First of all we will define what a success means regarding IC projects. The analysis will try to show the critical success factors for those projects and to share the lessons learned.

Three cases will be presented and all were developed by Madrid Technical University's group for co-operation in organisation, quality and environment and the Innovation and Technology for Development Centre (itdUPM). They are all very different and the most important issues will be highlighted. The first one had the objective to promote cooperative systems as a means to incorporate smallholders and coordinate them for improving the standard of living in rural parts of the world. The project objective was to certificate a sesame production plant with international quality standard ISO 9001 in order to be able to introduce the product in the international market.

The second one sets out the design of a diagnostic tool that detects the needs and identifies areas for improvement with a view to achieve sustainability in the market, measuring advances in this direction. The tool has been designed for producers who market under Fair Trade rules and has been validated testing its implementation in one Fair Trade organisation in Peru.

The last one, analysed in the framework of a bigger study charged by the Multilateral Investment Fund of the Inter-American Development Bank (MIF-IADB), shows how an NGO called "Water for People", has encouraged in the suburban area of Cochabamba, Bolivia, an ecosystem for market-driven sanitation services that boosts demand through social marketing campaigns and the creation of a quality low-cost service offer via local entrepreneurs.

LEARNING OUTCOMES

After you actively engage in the learning experiences in this module, you should be able to:

- Recognise and explain critical success factor for International Cooperation Projects.
- Identify Project success criteria for International Cooperation Projects.
- Describe possible reasons why International Cooperation Projects fail or are a success.

KEY CONCEPTS

These concepts will help you better understand the content in this session:

- Critical success factors.
- Lessons learned for International Cooperation Projects.
- Project management for Cooperation Projects.

GUIDING QUESTIONS

Develop your answers to the following guiding questions while completing the readings and working through the session:

- Should we be afraid of failure?
- Can we learn from the successes and mistakes of our own projects? How?
- How to integrate these learnings into the design of subsequent projects?

INTRODUCTION

The social and humanitarian goals of development projects are usually less tangible with deliverables and results that are harder to perceive and measure compared to other public or private sector projects. The intangibility of the project goals presents a considerable challenge with regard to managing and evaluating development projects and requires the use of new tools and concepts for defining, controlling and measuring the scope of these projects.

Ignoring this important issue may mean that only resource allocation and effort is measured rather than the actual development results obtained. A consequence of this may be an inefficient use of the funding intended for development and a lack of transparency in accounting and accountability. The ultimate goal of all development projects is to produce positive and significant changes that will be sustainable over time.

As some authors point out (Chambers, 1994; Blackburn et al., 2000; Fowler, 2000; Kwak, 2001; Muriithi and Crawford, 2003; Youker, 2003), the ultimate goal of international cooperation projects is forgotten at the risk of ignoring the beneficiaries and focusing solely on the execution of the project as an end in itself. To avoid this risk the following measures should be taken:

- The beneficiaries must play a central role in the program or project at all times, not only for reasons of efficiency and effectiveness regarding the project, but also for ethical principles.
- The project must not only keep in mind the circumstances of the individual and the community but must also consider the political, cultural, technical, economic, environmental and social aspects, including corruption.
- Human development is a process that demands participation as a requisite for widening capabilities (Sen, 2009), which is why cooperation programs and projects must inevitably form the basis of inclusive and participatory processes.

Keeping in mind these specific issues, this paper analyses three case studies looking for critical criteria for international cooperation projects to be successful.

THE SUCCESS OF INTERNATIONAL COOPERATION PROJECTS

One of the most polemical concepts in the literature on project management is project success. Numerous authors, such as Dvir et al. (2003), Westerveld (2003), Crawford et al. (2006), Fortune and White (2003), Cleland and Ireland (2004) between others, propose distinguishing between direct measurement using quantifiable criteria and the indirect

evaluation of contextual factors in order to measure the success of a project. In this respect, a distinction must be made between:

- Success Criteria (SC): those that allow measuring the success of a project's goals.
- Critical Success Factors (CSF): human, organisational and social aspects that have a significant influence on the development of a project, and therefore, on the satisfaction with their success criteria.

In general, in the research mentioned concerning this matter, the identification of SC and CSF is based on expert opinion and on case analysis. As research into this area has advanced, the number of criteria and factors and how they are related has gradually become enriched.

The group of experts from the DAC (2006), when evaluating aid performed a systemisation of the evaluations made by member countries to identify and synthesise the feasibility and sustainability factors of a project, it being widely accepted by a large majority of the players involved in cooperation. A list of these factors is shown in Table 1.

Table 1 *Success of development intervention design*. Source: OECD-DAC, 2006

SUCCESS OF DEVELOPMENT INTERVENTION DESIGN
1. Ownership by the beneficiaries
2. Appropriate technologies
3. Socio-cultural issues
4. Equality between men and women
5. Environmental protection
6. Institutional and management capability
7. Economic and financial sustainability

These factors will be used to evaluate the case studies presented in this analysis in order to help to structure and facilitate the learning of the experiences.

We must not forget that these factors may have a favourable influence in so far as they are taken into consideration and integrated into the design, but are no guarantee of success. However, not taking them into consideration increases the likelihood of failure.

In 2010, the DAC presented its evaluation criteria for development programs and projects to ensure there has been a contribution to the achievement of results. These criteria are set out in Table 2.

Table 2 *Criteria for evaluating cooperation for development programs and projects.* Source: DAC, 2010

CRITERIA	DESCRIPTION
EFFICIENCY	Associating the tangible results obtained with the unit costs of those results and comparing the option chosen for the project with other possible alternatives.
EFFECTIVENESS	Stating to what extent the Specific Goal of the project has been reached as a consequence of the results set for the project. To evaluate a project's effectiveness the Specific Goal and the results need to be accurately formulated and have the corresponding indicators associated with them.
IMPACT	Analysing the consequences, whether or not positive, negative, or predicted, had by the project in the different areas of community life and the context in which it was implemented
APPROPRIATENESS	Was this the best project that could have been implemented? Were its goals properly identified? And with a view to the future: given the situation reached, is it advisable to maintain, modify or abandon the line of work set?
SUSTAINABILITY	Are the conditions right for the achievements of the project to be maintained indefinitely in the future without external aid?

Now the case studies will be presented. One of them has been considered as a failure and the other two as a success. Lessons learned will be highlighted for the three cases.

CASE STUDY ONE: PROMOTING RURAL COOPERATIVES AND QUALITY SYSTEMS AS A STRATEGY FOR CREATING, ENHANCING AND MANAGING FARMING PRODUCTION CHAINS IN NICARAGUA

Identification

The majority of agricultural workers in Central America live below the threshold of poverty. They are mostly small-scale producers and smallholders. In Nicaragua, for instance, they comprise three quarters of all the households in the rural environment (UNDP, 2006).

In the case under study, several problems were detected: The average output for each producing unit of the farming sector has not grown considerably during the last thirty years. Only in plains and the most fertile regions is this output reasonably high thanks to the intensive use of fertilizers and phytosanitary products (MAGFOR, 2003). The lack of certified seeds and access to technical assistance and financial resources for improving lands, are the principal causes of these low outputs.

Although a farming industry of better prepared products has a great potential for creating added value, the units involved in this sector are few and with low levels of capitalisation, mainly due to the inexistence of sector policies to promote such and a lack of business capital and initiative.

The project Objective was to certificate with the ISO 9001 standard the sesame production plant in order to introduce this product in the international market more easily.

Implementation and development

Nicaracoop is a cooperative with the following features:

- “Second storey” or, what amounts to the same, a cooperative that provides services to a set of rural producer cooperatives (or cooperative unions).
- Auxiliary, since the member cooperatives’ degree of integration is partial (they do not depend exclusively on Nicaracoop).
- National implementation (since their associated cooperatives are to be found in different regions of Nicaragua).
- Multiactive or multifunctional (since it provides member cooperatives with different types of services).

One of the services that Nicaracoop offers to its members is technical assistance in certifying organic or ecological products, registering products.

The first stage in implementing the management system consisted in making a diagnosis report (Ortiz-Marcos et al. 2012). This report was structured so that each area of the Posoltega plant (sesame production plant) that existed could be compared to what there should be in order to meet the requirements of standard ISO 9001:2000: the improvements to be implemented were proposed as well as the necessary documentation. This documentation would be used to set up and maintain a Quality Management System to enable processes to be more easily standardised, to serve as a way to measure quality, to promote continuous improvement and lead to a Quality Management System Certification. To this end, members of the organisation in technical, administrative and managerial areas were interviewed.

With this map completed, some procedures were developed on different levels. At a general level: procedure for preparation and control of documentation, procedure for the accomplishment of internal audits, procedure Revision of the Quality Management System, procedure for controlling records, procedure for measuring client satisfaction, procedure for dealing with non-conformities, corrective and preventive actions, procedure for dealing with complaints, suggestions and claims, procedure for the control of indicators and procedure for actions of continuous improvement. At operative level: procedure for equipment maintenance, procedure for verifying and calibrating measuring equipment. procedure for new products development, procedure for warehouse management, procedure for administrative management, procedure Management of Staff Training and Qualification, procedure for product marketing, procedure management of purchase and supplier selection and procedure for critical control points management.

After this phase, some gaps were identified: to improve environmental aspects (entrance water analysis, exit water treatment…); to protect several aspects in the workers' environment (a spring-clean of the equipment, to use a uniform, mask, and a noise prevention system…); to establish preventive support for machines to avoid stops during the production process; to calibrate and test of measurement machines; and to have and keep records of everyone involved in plant performance.

The Quality Manual was also developed which sets out the quality policy, plant organisation, job descriptions and responsibilities as well as the management system designed.

After identifying the needs for the management system to work properly, contact was made with the National University of Engineering in Nicaragua (UNI) so a study could be carried out to optimise energy and fuel consumption as part of the planned continuous production and environmental improvement process.

Another important contribution made by the UNI was to examine the Record Taking and Inventory System for Production control. The object of this component was to set up a record

taking method to enable the company to generate information for making decisions by analysing production behaviour, such as any control indicators considered relevant. It would also lead to an improvement in administration and the creation of equipment maintenance record files, the ultimate aim being to create a basis for handling essential information for optimising the production process.

Evaluation and closure

Although Nicaracoop has been operative for scarcely one and a half years, it has shown itself to be an efficient tool for opening up markets to rural production.

A designing and implementing management system has enabled to demonstrate:

- The ever increasing demands of the market itself to facilitate the introduction of these products (Muterbaugh, 2004). Certifying both the products and management systems of production companies and organisations is becoming increasingly important. It has been precisely this requirement that has given rise to the need to approach this initiative.
- A need for training in quality and certification systems in these developing countries has been identified.
- These tools are demanded by organisations that have attained a certain degree of maturity. We can underline the managerial capacity of the counterpart with whom the project was developed as one of the strong points.

When organisations demand that these quality systems be implemented, these systems become efficient tools for improvement that help them plan, run, and manage their processes by changing people's attitudes towards continuous improvement (Renard, 2003). The interest in these tools has been demonstrated by the length of time this initiative has been running.

Also evaluated have been the improvements obtained when different management systems are integrated and good use is made of the synergies between them (Oyarzún, 2001), in this case by integrating the ISO 9001:2000 quality management systems and the Hazards Analysis and Critical Control Points System (HACCP).

Lessons learned

Table 3 *Success factors for case study one.* Source: Authors

SUCCESS OF DEVELOPMENT INTERVENTION DESIGN	1-5	DESCRIPTION
Ownership by the beneficiaries	3	The project was cancelled (explained in social cultural factors) but the beneficiaries went on with the proposal. This highlights their interest even when it was not possible to obtain the certification required because of financial issues.
Appropriate technologies	5	The improvements obtained when using quality management system integrated with Hazards analysis and Critical Control Points System (HACCP) and Environmental management system were: ✓ Identify and document responsibilities. ✓ Reducing implementation, certification and maintenance costs. ✓ Reducing time and resources devoted to audits. ✓ Cutting down on the documentation and records needed, given that a lot of information is common to both systems; there is a single management manual and general procedures are not duplicated. ✓ To attain greater efficiency in making up systems. ✓ To facilitate the integration of other standardised systems (for instance, environmental ones). ✓ To enhance the organisation's image. ✓ To endow the organisation with global vision and strategy. ✓ It is an opportunity for change that will enhance the organisation's management.
Socio-cultural issues	1	During the project there were elections and a change of political party in government. This made change the priorities leading to project cancellation. This risk should had been considered.
Gender equality	4	This was properly considered during the identification, implementation and development of the project.
Environmental protection	3	Some gaps were identified: to improve environmental aspects (entrance water analysis, exit water treatment…); to protect several aspects in the workers' environment (a spring-clean of the equipment, to use a uniform, mask, and a noise prevention system…); to establish preventive support for machines to avoid stops during the production process; to calibrate and test of measurement machines; and to have and keep records of everyone involved in plant performance.

Institutional and management capability	5	As it has been presented Nicaraocoop is a very strong organization. Nicaraocoop five member cooperatives grow annual crops (sesame, bean, corn, and rice), perennial (coffee, pearly) and others (medicinal plants honey). While first need grains are distributed to local markets, production from ecological crops is sold in foreign markets. Biolatina certifies Nicaraocoop ecological products. The German agency DAR ensures that Biolatina's certifications meet EU standards.
Economic and financial sustainability	2	The certification of the production plant was not finally obtained.

CASE STUDY TWO: A DIAGNOSTIC TOOL DESIGN FOR COOPERATIVES AND FAIR TRADE ORGANISATIONS

Identification

In recent decades Fair Trade has consolidated as a useful cooperation tool for small producers in the South. However, it has been observed that it gives rise to the risk of a certain degree of dependence on the organisations that market their products in developed countries. To avoid this situation of dependence the producer organisations need to be able to move forward and develop themselves into more solid and sustainable organisations even in the conventional market outside the protection of Fair Trade networks. Therefore it is evident that there is a clear need for tools that identify the shortcomings of producer organisations.

The objective of this project was to design a diagnostic tool that detects the needs and identifies areas for improvement with a view to achieve sustainability in the market, measuring advances in this direction. The tool was adapted to the idiosyncrasies of producers who market under Fair Trade rules and has been validated testing its implementation in one Fair Trade organisation in Perú. The test has shown the pertinence and usefulness of the tool as well as some weaknesses that have been addressed (Ortiz-Marcos et al., 2011).

Implementation and development

In order to reach the proposed goal, the research team has developed a diagnostic tool based on the philosophy of continuous improvement established by the EFQM Excellence Model (EFQM, 2010). It is true that although the tool is based on this philosophy as to the principles set out (continuous improvement and clearly established criteria) we have made a

considerable effort to adapt the tool to the context (Garengo, 2009; Westlund, Klastrom and Parlmer, 2008) where it will be implemented: small producers who market their production through the Fair Trade network. All producers' procedures have been studied in order to analyse their appropriateness for identification of problematic situations and, based on that, for identification of problems (Rusjan, 2005; Dijkstra, 1997).

It should be pointed out that these groups are usually made up of women who live in a situation of poverty, smallholders, and community and cooperative groups. The majority are located in marginalised urban or rural zones, often distant from communication routes. The management capability of these groups is frequently limited as are their financial resources and training for workers and producers. All this is compensated by the deep commitment of its members as well as by the support of Fair Trade organisations, not only through marketing their products but also by providing training in management and production.

This is the context in which this new tool has been designed and it will be used in the following spheres:

- Diagnosis of the Organisation. This is aimed at providing producer groups with the means to identify their own areas for improvement using a diagnostic system they can apply themselves (either applicable using remote assistance or easy to obtain). A utility tool has been generated for the organisation itself regardless of "what would be useful" for the importers – who usually identify and help to promote those areas for improvement considered useful for their own marketing ends in the developed countries.
- Guidance on how producer groups can strengthen themselves. Intermon Oxfam's Strategic Institutional Plan (SIP) for 2007-12, expresses a wish to convert their support for producer groups into a different kind of Intermon Oxfam Fair Trade model.
- One of the most active lines of this support will be in the projects aimed at strengthening producer groups. The strengthening projects will be identified in various ways and approach various issues: trade partnerships, monitoring the groups and to what extent the group activity is sustainable. An assessment of this last aspect will appear in the results generated by applying the tool. Depending on these results, the strengthening projects may take on several approaches: improving the range of products, guidance on Fair Trade principles, or capacity building.
- Indicators for measuring development purchasing criteria. Intermon Oxfam's Fair Trade purchasing model is based on a balance between the "market" vision and the "development" vision. According to the "market" vision, purchases would be oriented towards those producer groups whose product choice would be most easily marketable. According to the "development" vision, purchases

would be more oriented towards those groups whose characteristics would make them attractive for the organisation. This preference is marked by four criteria and their respective indicators: gender (the more women in the producer group, the better), human poverty index (the higher the HPI of the group's country, the better), identification with the principles of Fair Trade, (the higher, the better), and group sustainability (the less sustainable, the greater the interest of the organisation to purchase from them). This tool contributes to completing this last sustainability indicator in the most objective way possible.

- Quantifying the evolution and development of the groups. If Fair Trade is also considered as a transient or training experience, or a process by which a producer group is capable of developing to a point where it can sell in the conventional market, this evolution needs to be confirmed. By applying this tool decisions can be justified and account taken of the development reached by the producer groups. In this sense, it is preferable that the tool should identify the improvements achieved in the group's development as a result of Intermon Oxfam's support compared to other support received, or the autonomous evolution of the group itself as a way of bringing the results to light and also record areas of improvement in marketing work and the support provided to the groups by Intermon Oxfam.

The initial design of this tool was enriched by the participation of a Fair Trade cooperative in Guatemala, dedicated mainly to marketing coffee and craftwork items. The project team made a trip out in February 2008 to confirm the suitability of the project and also checked the initial development of the tool.

The tool proposes nine criteria for assessment by the producer organisation (Figure 1). Some of these criteria are sub-divided into sub-criteria about which a series of questions are asked in order to analyse how successful organisations achieve total quality through feedback, learning and innovation (Oakland, Tanner and Gadd, 2002). The whole questionnaire has been designed with simplicity and easy understanding in mind.

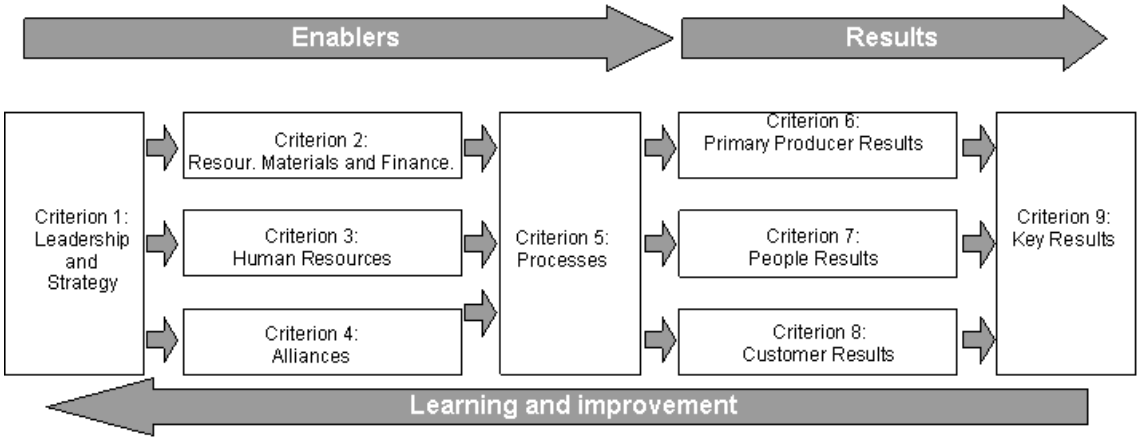

Figure 1 *Tool proposed adapted to Fair Trade Organizations*

As part of the project to draw up this organisational diagnosis, the tool was applied experimentally to a Fair Trade organisation in Peru. Taking part in this diagnosis were the heads of these organisations and the members of the project team from Intermon Oxfam and Madrid Technical University.

This organisation, which was used to validate the tool, is a non-profit making organisation comprising over twenty primary producer groups within the framework of art and craft. It has four main lines of work developed by four organisations that are independent of one another: micro-credits, responsible tourism, Fair Trade and the promotion of caring economies.

Evaluation and closure

A tool has been designed aimed at strengthening organisations that market their production through Fair Trade. This tool is based on the philosophy of continuous improvement and is very simply designed, useful and can be applied by the producer groups for whom it is intended.

The scoring system for each organisation allows detecting the strengths and weaknesses and the aspects for improvement that can lead the organisation to increase its competitiveness. Using this model will promote the improvement of these organisations, and encourage and inspire them to use quality tools that include the paperwork of their activity and the measurements given by basic performance indicators.

The validation performed by the diagnostic tool on the Fair Trade Organisation in Perú has confirmed that it is appropriate and useful. Getting to know organisations better enables us to greatly improve Fair Trade in every way.

It is hoped that these organisations will be strengthened by using this assessment tool, thereby opening up new markets for their production, to which they currently have no access.

Lessons learned

Table 4 *Success factors for case study two*. Source: Authors

SUCCESS OF DEVELOPMENT INTERVENTION DESIGN	1-5	DESCRIPTION
Ownership by the beneficiaries	5	Fair Trade cooperatives have been using the tool since 2008. The results have been shared.
Appropriate technologies	3	The use of the diagnostic tool must be done with external support. It could be desirable to have an auto diagnostic tool to be used without this external support.
Socio-cultural issues	4	The tool was done with the participation of Fair Trade cooperatives considering their social and cultural issues.
Gender equality	5	Gender issues are considered from the beginning of the project. The groups of producers are usually made up of women who live in a situation of poverty.
Environmental protection	4	In the tool the environmental protection has been considered. Some indicators have been designed considering these issues.
Institutional and management capability	5	The tool identifies opportunities to improve and helps the cooperatives to strength their management capabilities. The tool quantifies the evolution and development of the groups showing those improvements.
Economic and financial sustainability	5	The tool is being used at Fair Trade cooperatives. Another similar tool has been designed for another kind of organizations taking into account the success of this one so we can affirm that the sustainability of the project has been proofed.

CASE STUDY THREE: PROMOTING INNOVATIVE SANITATION SOLUTIONS THROW INCLUSIVE BUSINESS IN SUBURBAN AREAS OF COCHABAMBA, BOLIVIA

Identification

Improving living conditions in suburban areas of the biggest Latin-American cities is one of the main duties of many organizations. In District 9 of Cochabamba (Bolivia) where around 120000 people live, only 20% has access to sewerage, and 15% to septic tanks. The other 65% of the population has not access to an improved sanitation device.

The Ecological Dry Toilet (BES for its acronym in Spanish) is a sanitation solution commonly used in areas where conventional sewerage systems are limited or unavailable. A versatile construction, usually conformed by a toilet, a shower and a laundry. Using a specially designed WC, the solids are separated from the liquids, and stored in separate tanks.

There are no aggregate data on the success rate of the BES in Bolivia. However, it is certain that in many interventions this is not very high, because there are programs that have subsidised the installation entirely (favouring the appropriation of technology that has not been very satisfactory) and the relative complexity of the operation and maintenance of the BES.

Water for People, an American based NGO, established a BES implementation program (2009-2013), to encourage access to sanitation by promoting business incentives along the sanitation value chain. The initiative aims to make a range of products and services available to poor families so that they can access sanitation services without having to depend upon government subsidies.

Implementation and development

The promotion model used by WFP for BES can be structured around the strengthening of supply, the work on the demand and the services through micro-enterprises.

BES supply

WFP has developed and validated three basic models of BES (from 730 to 1711 US$) on which adaptations can be made to fit them to the needs of each family. BES is a cheaper alternative to the sewer connection (45% of saving in the maintenance and sewer taxes). Besides, construction is 40% cheaper.

BES demand

In order to stimulate demand for the BES and situate them as a viable alternative to the traditional flush toilet, WFP has engaged in an extensive process of awareness-raising among potential users. As well as presenting the BES as part of a comprehensive domestic hygiene package that includes a toilet as well as a shower and laundry area, WFP has used social marketing to promote domestic sanitation arrangements that suit the particular requirements of different families. Other activities have included connections with individual families to discuss tailored options and costs; and ongoing supervision for up to a year after installation to ensure that the BES are properly used and maintained.

To pay for the BES and ensure their continued use, users are required to make a financial contribution of between 72-85% towards construction costs. The remaining amount is covered by WFP and described as an “intelligent incentive” that enables them to oversee correct installation of the BES and make sure that they are properly used and maintained. Flexible payment options are available for families who are unable to meet these costs, including the possibility of building their own bathrooms with supervisory support from the program.

WFP has also worked to make microcredit services accessible to cover the costs of BES installation. Although this option has been well-received, the fact that lending institutions often require property title deeds to secure loans has been a challenge in the peri-urban areas of Cochabamba where many properties are still not legally registered. To address this situation, some constructors have provided users with loans directly.

Services through microenterprises

The BES program also includes the promotion of small business that can provide some services along the sanitation value chain, as toilet construction, or waste management. WFP has supported both technical and economically SISE (Servicio Integral de Saneamiento Ecológico), which builds the BES, and out and UCCE (Unidospor el Cierre del Ciclo Ecológico), that collect waste (solid and liquid) and transform it into organic fertilizer. As their activities expand, they are also creating local employment opportunities.

Evaluation and closure

The program launched by WFP is strengthening the BES as an alternative for and affordable and sustainable sanitation in suburban areas where there is no sewage system. In this regard, some results can be highlighted:

- Success rate of the toilet use after one year is estimated by WFP to be 95% (of 162 BES installed).
- Economic activity arising from the operation of a service delivery microenterprise around the BES has generated 10 jobs.
- The task to facilitate access to credit has led 12.3% of households to purchase a BES "turnkey".

Other non-tangible results have been achieved, as the “Paradigm Change”: WFP has managed to position new ideas, and to change some established paradigms, such as the evaluation and reuse of human waste as fertilizer, the presentation of sanitation in marginalised zones as a business with a future within the market logic, or the development of a marketing social attractiveness on a theme which was hardly spoken before.

Besides, the role played by WFP is to facilitate certain logics and relationships in complex organisational environments. Instead of providing services, works by generating demand, supporting organisations that can provide these services, and acting as interlocutor with the government. To share the knowledge generated in these processes, it actively participates in the Decentralised Knowledge on Sustainable Sanitation Node.

Lessons learned

Table 5 Success factors for case study two. Source: Authors

SUCCESS OF DEVELOPMENT INTERVENTION DESIGN	1-5	DESCRIPTION
Ownership by the beneficiaries	5	The families included in the program purchased and own their BES; this has contributed to the 95% success rate.
Appropriate technologies	5	There has been a strong technology innovation process that led to reduce the costs, to develop best adapted toilets, and to ensure an appropriate management service.
Socio-cultural issues	4	As BES is not a very spread device, some cultural mistrusts can appear in the use of a desiccant material (like asses) instead of flushing water. However, WFP has worked this issue from the beginning through innovative social marketing techniques.

Equality between men and women	4	Gender issues are considered from the beginning of the project. The family “focal point” are usually the women.
Environmental protection	4	The BES is an alternative with zero impact, if the waste management is done properly. This connects with the growing environmental concern in large social groups and the Administration itself, forming an institutional environment that contributes the adoption of environmentally sustainable solutions, such as BES.
Institutional and management capability	5	WFP is a very solid institution recognized by all its partners, development organisations as UN-Habitat, SIDA (Swedish International Development Agency), Gates Foundation…
Economic and financial sustainability	4	Although the two microenterprises promoted by WFP are still incipient, they have commercial activity one after the end of the project.

CONCLUSIONS

Authors would like to highlight that we must not be afraid of failure. We can continuously learn from our successful and non-successful projects. But how could we take our experience into account to improve our results?

First, we have to dedicate time once the project has finished to analyse what happened. This exercise should be done with the project team and should be systematised. Lessons learned should be documented. This is the way to share the knowledge. And then we must integrate these learnings into the design of subsequent projects.

Regarding the first case study here presented a risk analysis should have been done taking into account the political and social issues in the country (Nicaragua). Then mitigation actions could have been proposed to reduce the impact on the project results. The project had to be cancelled.

The second case study has been considered like a success and the participation of the beneficiaries guaranteed it. The lessons learned in this case make us consider the possibility to look for simplicity in the design (more appropriated “technology”) to have an auto-diagnostic tool.

Finally, the third case study shows the importance to create an enabling environment to introduce innovations in basic service delivering, and the impact in terms of sustainability and beneficiaries’ appropriation.

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FURTHER/SUGGESTED MATERIAL

- Admitting Failure Reading Room: database of systematized failure experiences.
  http://www.admittingfailure.com/reading-room/
- "What's So Great About Failure?": keynote video of Ashley Good.
  http://www.youtube.com/watch?v=HPlDcOMixDI
- Innovation in basic services delivery: itdUPM extended study.
  http://www.itd.upm.es/investigacion-aplicada/innovacion-en-el-acceso-a-servicios-basicos-cinco-casos-de-estudio/

PHOTO: Project identifying habitat issues in the suburbs of Dakar, Senegal. Carola Luna Torres

CHAPTER 3

Project design and description

3

CHAPTER 3. Project design and description

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3 PROJECT DESIGN AND DESCRIPTION

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EXECUTIVE SUMMARY

Development Cooperation Projects are the most widely used tool in the Development Aid sector. From large civil infrastructures to small microfinance initiatives, projects are still the main strategy to support policies and development processes. They are also multidisciplinary, from an economic to a political field, including social, cultural, environmental and technological areas. They can be very generic (aimed at the whole territory's population) or very specific, to more vulnerable groups like children and young people, indigenous minorities or refugees, among others.

This section introduces the concept of projects and their main characteristics, to distinguish them from other tools of Official Development Assistance. Next the Project Cycle will be explained, that is the group of phases ordered by date which carried the complete intervention, and briefly each of the main phases. Finally, the concept of Results Based Management will be introduced as an evolution of projects approach, which is more present currently in the policies of management of Cooperation institutions.

LEARNING OUTCOMES

After you actively engage in the learning experiences in this module, you should be able to:

- Distinguish a project and other tools of the Development Cooperation.
- Describe in orderly manner the Project Cycle's Phases
- Identify key concepts of successful processes of project identification and project design.
- Understand the concept of Results Based Management and relate it correctly with Project Cycle Management.

KEY CONCEPTS

These concepts will help you better understand the content in this session:

- Project Cycle
- Intervention sectors, players, target population
- Identification, diagnosis, primary and secondary source
- Objectives, results, goals, indicators
- Results Based Management

GUIDING QUESTIONS

Develop your answers to the following guiding questions while completing the readings and working through the session:

- What is the difference between an objective oriented project and other cooperation actions?
- Why is it called the "Project Cycle"? Where does it finish, where does it begin?
- Which kinds of sources are used in a diagnosis?
- Can project recipients participate in its design?
- What is more important in a Cooperation Project: reaching the objective or carrying out the task correctly on its deadline and with an appropriate cost?
- What is the difference between monitoring and evaluation in a Project?
- What is the main difference between Results Based Management and Project Cycle Management?

WHAT IS A DEVELOPMENT COOPERATION PROJECT?

Is not easy to define what is a Development Project because of its different terms used in development aid. Nevertheless, there are definitions of development agencies as models. The European Union conceives a Development Project as a *"series of activities aimed at bringing about clearly specified objectives within a defined time period and with a defined budget"*. A similar perspective is presented by German Technical Cooperation Agency (GTZ):

> '*A project is a set of measures defined in functional, geographical, economic and temporally terms, in order to achieve certain objectives.*" From a multilateral view, United Nations[1] defines the concept as "*an organised enterprise consisting of a set of interrelated and coordinated activities to achieve specific objectives within the limits of a budget and a given period.*'

There are two important common dimensions to emphasise: a) a project is a limited action in time, space and resources; and b) a Development Project is oriented towards goals. These two characteristics are fundamental to understand the projects approach, and especially eventual difficulties based on its nature as to fit into development processes.

Agencies do not choose these types of project approaches casually. Intuitively, without any other additional information, a project approach as a delimited neat reality is the perfect model to facilitate the process control from its donor's institutions. These have standard bureaucratic procedures for managing public funds in all its field of action. In this way, the development aid turns into another extension of public services, with the particularity of being intended for citizens outside their home country. This is the basis of most of the difficulties that development interventions find while managing the aid chain.

An example of this is observed in any procedure of public administration that manages Official Development Assistance (ODA). Anyone who has once managed development cooperation funds financed by a donor knows the importance the latter gives to strict compliance on presenting formatted expense receipt details, for instance. This fact alone could be interpreted simply as an over-zealous one. However, it is paradoxical that the importance given to a matter like this (that without diminishing the importance in terms of accountability to the taxpayer, it is clear that for the beneficiaries of the project in the host Country is irrelevant) is practically infinitely larger than the impact of the project on the beneficiary population. This fact can be empirically proven only by taking as indicators the volumes of resources used in management aid systems in both items (check invoices vs. verify changes on the quality of people's life).

[1] Generalist definiton by Cohen, E. and Franco, R. (1993) in *Evaluación de Proyectos Sociales*. Ed. Siglo XXI. Madrid.

Inside of the development cooperation field the term *project* is being used more as being synonymous of *action* than as intervention with its conceptual delimitation and as it was described previously. Maybe this is the reason why actions so unalike such as, for example, a social group of a Northern Country buying a certain equipment (for instance, a 4x4 vehicle) and shipping it to a community in a Southern Country, and the assistance for setting up an agro-industrial activity (for example, a women's cooperative production of organic jam) are both considered as a *project*.

However, it also needs to be clarified what is not considered to be a Development Cooperation Project. The contributions of resources, both monetary and in kind, cannot be described directly as such, if they are not framed by a plan of action. Moreover, in this plan these resources have to serve the achievement of long-term objectives of development, from the accomplishment of goals consistent with them during the period delimited by the plan itself. This way it is also dismissed from this category interventions by Humanitarian and Disaster Relief Assistance, Food Aid, etc. Additionally, measures like the transfer of funds, including non-reimbursable aid, cannot be considered projects in themselves. In this last aspect it needs to reflect about the role of a good number of institutions, mainly private and non-profit ones, when their actions in cooperation projects are limited exclusively to these types of practices.

Therefore, the main distinction of the Development Project is its definition by its objectives. The next section describes methods most widely used in Cycle Project Management on Development Cooperation Projects, which are based on the vision of goal-oriented Cooperation Project Planning. Also, the activities linked with Project Phases, especially monitoring and evaluation; as a consequence derive from a model of change described this way. Far from what it may seem, and previous considerations done about what is really a project, under this paradigm interventions can vary extremely.

It is complex to carry out a typology on a Development Cooperation Project because of the large number of sectors, players, contexts and modalities of intervention that can interact on a determined territory. A first classification, an obligatory reference, is by the Organisation for Economic Co-operation and Development's (OECD) Development Assistance Committee (DAC). It consists of an exhaustive hierarchical list of sectors and subsectors, whose utility is basically statistical.

This list is commonly used by donors to identify projects financed by one or more sectors in which they are engaged, and elaborate afterwards descriptive studies about DAC[2] distribution. However, this classification is exclusively focused in intervention sectors.

[2] Is important to underline that based on its statistics interest, the list also considers a second block of action, the non-sectorial areas imputable to ODA, as emergency aid or foreign debts forgiveness. As previously described,

Table 1 *DAC Sectors Classification. Example: "Services and Infrastructure Sectors, Education Subsector"*

CODES DAC	CODES CR $	DESCRIPTION	ADDITIONAL INFORMATION
100		SERVICES AND SOCIAL INFRASTRUCTURES	
110		EDUCATION	
111		Education, level unspecified	*The educational level in a specific project is unknown.*
	11110	Education policy and administration management	*Programming and planning support to the education sector, support to education ministeries, guidance, institutional strengthening, school curricula development, non-specific activities.*
	11120	Educational facilities and supplemental educational services	*Buildings, facilities, teaching materials, supplemental services.*
	11130	Teacher training	
	11181	Educational research	
112		**Basic education**	
	11220	Primary education	*General elementary school; school materials.*
	11230	Informal education	*Literacy and learning arithmetic, education for a better quality of life for adults and children.*
	11240	Pre-school education	*Kindergarten.*
113		**Secondary education**	
	11320	Secondary education	*General secondary education for all cycles.*
	11330	Professional and vocational training	*Elementary professional training and secondary technical education; on-the-job training; learning.*
114		**Post-secondorary education**	
	11420	University education	*University diploma, higher education diploma, polytechnic diploma; fellowships, scholarships.*
	11430	Advance vocational education	*Advanced vocational training and on-the-job training.*

Ortega's (1994) classification wides the possibilities of inclusion in different project configurations:

A. Sectorial development projects or specific area-oriented projects. Consists in projects with a single sector or field intervention. In ODA, the most common sectors provided under this category are:

- *Health*: building and equipment of health posts, health care centers, hospitals, training of community health actors, health education, installation of epidemiological surveillance systems, HIV/AIDS prevention, etc.
- *Education*: from micro interventions (building and/or equipment of schools, training of trainers) to regional/national plans (educational reforms, school curricula)

these areas are not strictly Development Projects, and therefore the DAC list typology would only be used in its first large block.

- *Infrastructures*: there is a large number of subsectors and their most common actions, as water and sanitation, energy, road management, communication and habitat, among the main ones.
- *Production*: creation and appropriate accompanying business structures (microenterprises, associated work cooperatives), technology transfer and technical training in basic sectors (farming, feeding), promotion and marketing, etc.

B. Specific-groups-oriented projects. Focused mainly in groups designated vulnerable: women, refugees/displaced, children and young people, indigenous people).

C. Institutional development projects. Interventions highly centred on personal and the community development of beneficiaries. In this category *institutional* cannot be confused with the public entity management. It is organising groups, communities and other social forms with a common purpose. This type of project normally applies empowerment-oriented strategies for the group itself, as training in management aspects, strengthening structures of civil society organisations, accompanying development system self-management, etc.

D. Multi-purpose projects. Also known under the category “integrated”, are multisectoral interventions designed to face in a coordinated way different issues from a territorial perspective. In this way, a project’s recipient is not a collective nor addresses a specific issue. Thereby, the planned action aims a geographic area with own entity (the territory of a municipality, for example), and will have direct consequences on different social groups of different public services and/or economic and social areas. In this type of project, the complexity of its design and construction, as its broader scope, forces in many cases the definition of project that underlines the timely and limited character of a planned action. Under this heading projects are normally classified as Rural Development, Regional Development, Local Sustainable Development, etc.

Regarding to the last projects, it is important to clarify the term *integrated* referring to development projects and programmes. During the last decades, the term has been introduced in the language of aid to enrich and modernise the image of any intervention. It is important to consider the project integrity as a strategic design approach, and not as an intervention in any number of sectors or types of beneficiaries.

A Development Cooperation Project is *integrated* as long as it includes in its design the different issues that affect the population target and previews its possible effects on it. Moreover, it needs to assess potential risk assumed for the achievement of a specific objective in its intervention and to preview methods to reduce its effects of these uncontrollable external factors that will not necessarily be addressed by the managing body. That is, a project on cocoa production and commercialisation, for example, will be integrated

as long as complementary aspects are contained in the productive chain. For instance, some hypothetical development factors could be: environmental impact in new agricultural practices, women's conditions for economic and social participation before and after the launching of the project, conditions of means of communication, or educational, health and sociocultural conditions of the direct beneficiaries and of the community. This needs to be carried out with independence on addressing issues but considering its effects on the project and the possibility to minimise its negative influence.

As described previously, a project is inserted within a certain economic, political, social and cultural context, and needs to take into account the particular initial conditions it generates. Additionally, a project cannot be a set of aseptic actions, but is a development strategy itself, under a given model of development. Therefore, it is impossible to carry out a good project design without considering first which models of development want to promote in the territory it had been inserted.

During more than half a century of development cooperation history, projects had been responding, on an operative level, to development models dominant in every period. Hence, is not surprising that in the seventies, at the peak of developmental models that equated economic growth and development (with the stages theory or the Rostow's take-off theory, as it greatest exponent), the largest World Bank projects focused on infrastructure investments, as previous conditions to promote industrialisation processes. Nowadays, although in the international context there are different approaches depending on the type of development stakeholders and economic sectors in which they operate, it could be claimed that the reference model in international cooperation is a Sustainable Human Development paradigm proposed by the United Nations in the nineties. Under this model that prioritises the promotion of action in more vulnerable groups, the intervention is done in sectors that cover the basic needs of the population, with the last purpose of extending its capacities[3] and freedoms.

PROJECT CYCLE

Project Cycle is the group of phases needed to carry out a project. Projects terminology is often confused in the common practice of cooperation interventions, especially in surroundings of the Northern players' management (particularly in NDO). The most usual confusion takes place while identifying a project with a *projects document*, and by extension, the phase in which it takes shape (design phase). However, as will be described later, the project includes a complete life cycle where different tasks are distinguished and which presents diverse types of narrative products, beyond its own formulation.

[3] *Capacities* in the sense set by Amartya Sen according to his approach (Capability Approach). See Sen, A. (2000), Development as freedom. Ed. Anchor.

Although every development agency has been defining its own model of phases, all of them could be grouped in a generic way in four large steps: identification, design, execution, and evaluation.

The *identification* step takes place with an analysis of the situation in the intervention zone. The main objective of this phase is to characterise the focal problem, as well as identify potential beneficiaries of the programme, which are the ones that affect the problem. As a consequence, in the end of this phase the future desired situation could be seen, in terms of reduction or elimination of identified issues, as well as more adequate possible strategies of action. The *design* phase consists in defining in detail the components of the project. Starting from the intervention strategy chosen, a planning of the goals to achieve in the term of the project is required. Additionally, the project tasks are planned, as well as the necessary resources, and the organisational methods set up for its launch. After the closure of these two phases a document is set about the fundamental reference for the execution, monitoring and evaluation of the project.

The *execution* of the project consists in the launching of a programme defined in the previous phase. In this way there is a materialisation of products and/or services estimated through the carrying out of a set of activities programmed with the available resources also forecasted in detail in the design phase. It is the phase which usually extends more over time. Meanwhile, monitoring activities of the programme a priori established are performed in terms of time and costs and, in some cases, in degree of execution and quality of achieved tasks. Finally, the *evaluation* is the process that permits the establishment of a systematic assessment of both, the project management and its achievement with its foreseen deadline. The information obtained in this phase has the main utility to feed actions redesigned for the introduction of improvements.

In the following graphic the Project Cycle of the European Commission is shown [4]:

[4] *COMMISSION OF THE EUROPEAN COMMUNITIES* (2004): Project Cycle Management Guidelines.

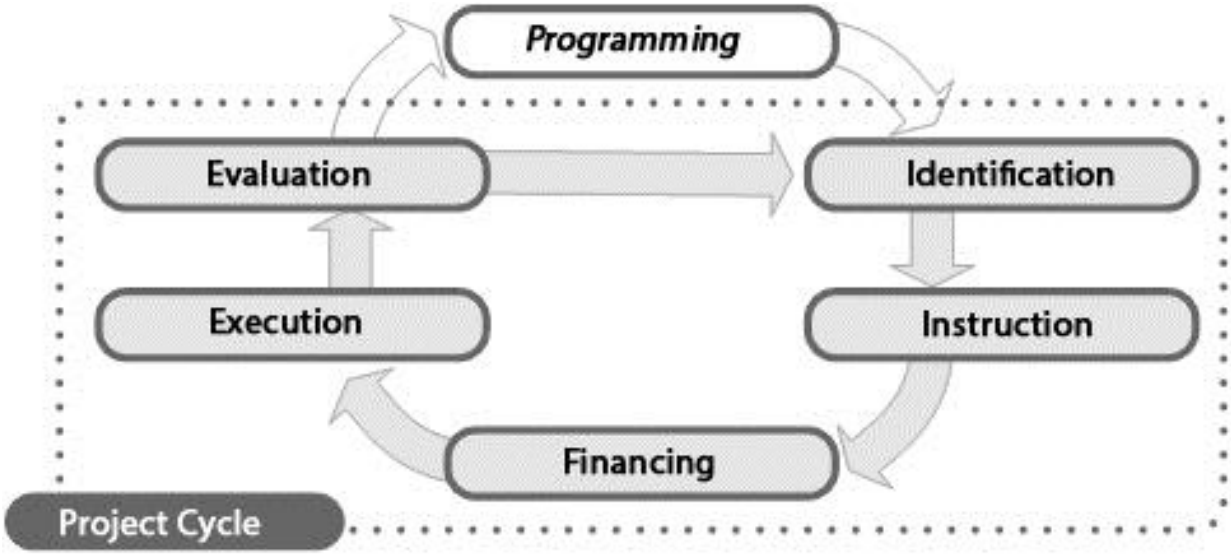

Figure 1 *Project Cycle and Programme on the European Commission PCM model.* Source: Project Cycle Management Guidelines (2004)

In this particular case the EU considers two animated cycles. The project cycle, which finishes in the evaluation phase, feeds back the next editions of the project through learned lessons. Additionally, it serves as a prime input for a high level planning (*Programming*, referred in this nomenclature as the design of larger programmes including projects in a sector and/or a beneficiary group).

IDENTIFICATION

Every project should begin with a diagnosis of the reality that intends to act. Therefore, the identification phase pursues the characterisation of reality: understand the physical, economic, political, social and cultural conditions of the territory, as well as the relations of the social actors present in the territory where the action will take place. This will permit the definition of a basis for future intervention, as well as approaching problems and the way social actors will be affected, some with more benefit than others.

However, this phase has also a strategic nature. It not only attempts to take a picture of the actual reality (static vision) but also intends to define the causes that led the described situation and anticipate what would happen if one external action is not carried out (project) to change this tendency.

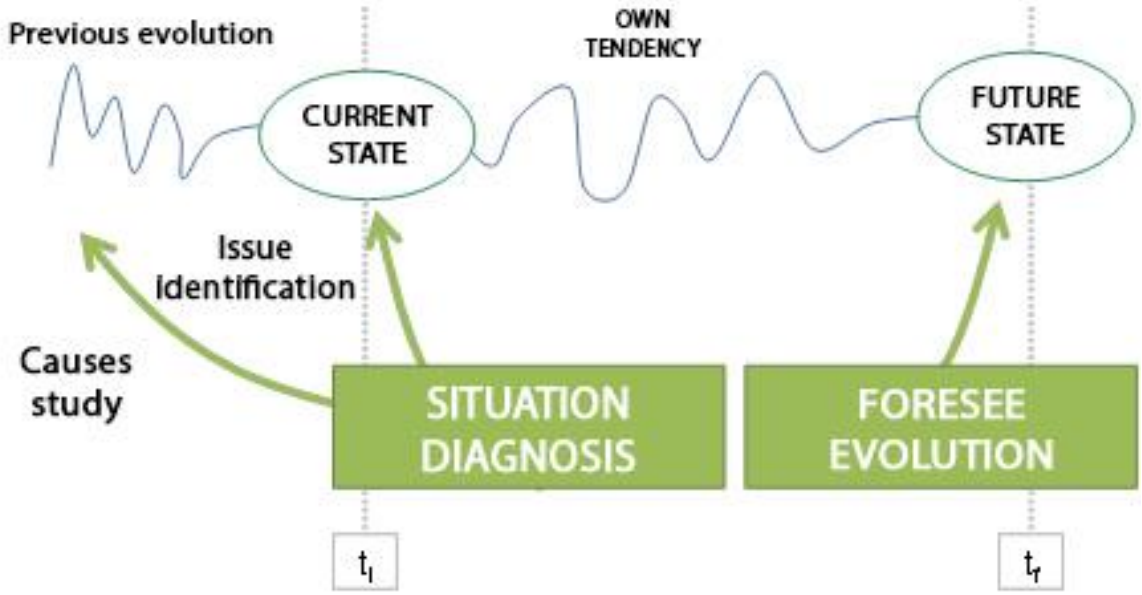

Figure 2 *Diagnosis diagram.* Source: Author

In practice, many projects ignore past events and, curiously, they are factors that often explain many of the reasons why there are development problems in the intended working place. The historical view can be a short-term or a long one, and both perspectives are important.

There are problems with historic origin that come from far away and are usually the most difficult ones to face. An unemployment issue in an area could be recent (previously it was not a problem) caused by relevant difficulties (for instance, an important source of employment a large factory has closed and moved to another Country). However, also shown in a more aggravated way in a certain moment, it is likely that the causes of unemployment could be more related to the local economic structure (less product diversification, products of low added value, poor quality workforce, etc.). This old structure probably comes from far away. If a cooperation project aims to reduce unemployment and observes only the most recent situation (the closing of the factory), the solutions may resolve the issue temporary but the causes of inequality will still remain and the project will not promote sustainable changes in the future.

Another more common and more complex example is the issues regarding the social structures and cultural practices. For instance, many projects intend to influence the inequality between men and women relations and improve their conditions. It is likely that the little political empowerment among women in decision-making moments for the community has been constant for generations. A good diagnosis needs to help understanding that a change in this tendency takes time, since it has been the same for both genders of the

population, and also intends to comprehend the world around them. For this reason the long-term perspective must also be seen onwards, and think that one project can make a small contribution to change the tendency but will not change by itself the way that people relate and understand the world. The same people of the community will lead the change, the ones who will carry out the future after the conclusion of the project.

On the other hand, some questions arise: if the diagnosis is like a photo, who takes the shot? From which angle? During the attempt to identify issue and causes, an important source of information is the only thing that can be seen. For this reason the diagnosis requires both data, primary (produced specially for the project) and secondary ones (already existing information as national statistics, studies from other institutions, public records, etc.).

However, it is important to keep in mind that the process has also a significant subjective dimension. Although the statistics data can be objective, both its interpretation as even the decision to hire or not depends on specific persons. Therefore, according to the people involved and their power in decision-making, the diagnosis can be different, so the project can also be very alike. The Cooperation practice has relied heavily on perspective "technique", thinking that only with certain objective data is enough to justify a project. This leads actually to the technical staff of the cooperative organisation to decide the priority of problems and which way is the best to solve them. Therefore, at this point it is essential to have it clear who is involved in the process and in which way, and as far as possible, attempt to make this activity one which stakeholders have the capacity of making decision, specially to those to which the project affect more directly.

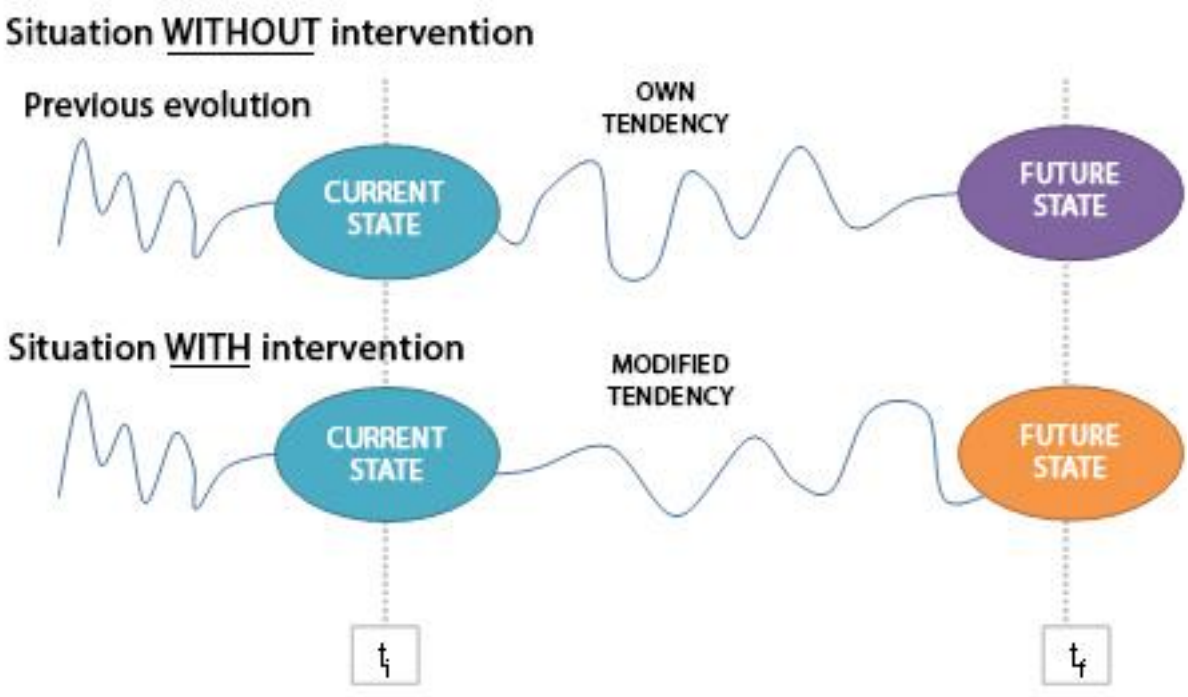

Figure 3 *Identification: strategic vision with and without project.* Source: Author

From this diagnosis it is possible to elaborate the possible objective of the project. The strategic view, therefore, not only aims to observe a future situation if there is no intervention (situation without a project) but also an upcoming state with better conditions where the project will take a role of support to change this tendency (situation with project).

Hence, from the diagnosis of the current situation (same starting point, in the initial point t_i, with and without project) two future scenarios are identified. The project will contribute to this difference, and reach the best conditions possible for the desired situation. Consequently, it can be said that the contribution will make the difference in both situations. This general idea afterwards permits one to identify the concrete goals of the project, and, in certain long-term conditions, measure its impacts.

DESIGN[5]

In this phase the project "takes shape" as such, in which its features are defined in detail: what it intended to achieve (objectives), to what degree (goals), through which means (resources and activities), and within which terms (schedule). Starting from the chosen strategy in the identification phase, it is time to elaborate the necessary studies to define the invention in as much detail as possible. The available information of the previous phase is essential to formulate a good project.

As it will be shown in the next chapter when a Logical Framework Approach is established, design phase key information is delimited in a very compact tool called "Project Planning Matrix" that show the logic structure of projects. This instrument is often used for its intervention capacity of synthesis. It permits to understand in a rapid way the intentions of project activities, as well as how to measure the degree of achievement. For this reason it became a very well-used tool as a means of communication between institutions involved, especially those with project management responsibilities.

During the design phase of the project more than a proposal of how to approach the identified issue is needed. It is also necessary to demonstrate technically that the proposal is a possible reality. This implies to show, for example, that the foreseen activities will have expected results (will produce necessary change to improve the living conditions of people), and not others, that is, show a logical strategy. On the other hand, it will be necessary to demonstrate that the resources required for launching the project (human, material, economic resources) will be available in adequate quantity and quality. The set of these demonstrations is called *feasibility study* of the project.

[5] This phase is also referred in some guidelines as "*instruction*" or "*formulation*". Is preferred to use the term "*design*" because of its extent and includes the previous ideas aimed more to a document composition activity. In this phase there is an important creative activity to consider and that is not reflected directly in the project document.

Although the strategic level of the project (changes in the future), also has an operational level defined in this step. The *programming* is a key task in this sense, and consists in the definition of activities (tasks and subtasks) needed, their sequence in time and it resources that each of them must be carried out, ensuring the availability of the latter in each moment (for instance, avoiding that one technician is carrying out two tasks in two places at the same time).

FINANCING

Cooperation projects are the most widespread practical expression of Development Cooperation, hence, one of the most common ways to channel both public and private aid. For this, it is common that once the objectives are defined, projects have a phase regarding the seeking for resources (fundamentally economic ones) required for its launching.

Therefore the project management leads inform possible donors of their intentions, establishing for this a project design. The donors with their different financing methods decide if the project is a priority and if they can provide their financial support. For this it will be required that the project leads provide certain information depending on the means they are intending to use to finance the proposal.

This phase has an important management burden in which cooperation institutions dedicate many economic and human resources. Since the majority of Development Cooperation Projects depend on the financing of donors, there is the risk that the phase replaces partially the previous ones. Unfortunately, many times projects are formulated in correlation to donors' and/or cooperative institutions' policies, and not much to local actors' priorities that receive the project. It is also complex to combine the donor's Countries' institutions project cycle managements (normally short-term, to one or to two years) with the changing dynamics given on the territory (more a long-term), what in occasions produce a pressure for obtaining results that affects negatively projects objectives, turning it into an end in itself (achieve the agreed goals) and not a mean.

This is the reason why it is so important to take into account two aspects in this regard:

- Separate the project design from its concrete documentation which requires a beneficiary to finance the project, as they are two complementary tasks but different ones.
- Avoid "formulating a project for an announcement", and think more about "searching for donors for the already designed project". First identify and design, finance afterwards. Otherwise, there is the need to face numerous different Planning Matrices, with different goals and formats, among others, which actually means the same intervention reality with the same donors, what creates an unnecessary management burden.

This does not exclude the fact that project managers know the policies, financing conditions and terms of their possible donors. It is essential to have this information to be successful in the launching of the project. An efficient management of this information contributes to define a good financing strategy, adequate for the project's objectives.

EXECUTION

This phase consists in the launching of projects activities. The real situation in the beginning of the working activity could have been changed comparing to the study identification results. The launching of a given Development Project involves an important reality adaptation exercise. For this, it is fundamental that project stakeholders are able to adapt to changes, avoiding being too rigid in the carrying out of programming activities previously forecasted. A good design will also help reduce possible external factors effects that complicate the achievement of predicted objectives. Therefore, during the execution phase it is important to have the elaborated feasibility analysis as reference, as well as the strategies to minimise risks.

A key task often forgotten during this phase is project monitoring. It is important that project leads register progression, the execution of activities and budgetary resources and the achievement of results. Monitoring performance happens more frequently due to the fact that it is often a donor's prerequisite (elaborating bi-annual reports, for instance). Because of this situation it turns regularly into a management task and the gathered information usually is not used internally in decision-making processes.

Good project monitoring practice is taken into account during the initial Planning Matrix and particularly the indicators system expected in it. A correct results-oriented monitoring approach will gradually gather information about the progress and how it is expressed in the project's indicators. This will also provide relevant information about project's life useful for the next phase and not only in its conclusion.

EVALUATION

The evaluation phase intends to assess, in the most systematic and objective way possible, the achievements of the project. This means both in terms of accomplishing agreements when carrying out activities and using funds, as well as and above all, a project's capacity to obtain results and contribute to significant changes in aid beneficiaries' quality of life.

There are different types of evaluation according to the moment they are implemented (before, during and after project execution), according to who elaborated it (external, internal or mixes) and according to the dimension they analysed in the intervention process (design,

management, results, impact, etc.). However, the most frequent one and one that appears more in project management guidelines is the evaluation in the end of the execution. It is also common to have an external evaluation, since many donors impose this task as part of the collaboration agreement conditions. The reason why is it external is to attempt that the assessment be the most independent as possible from all the involved actors.

RESULTS BASED MANAGEMENT

The natural evolution of aid management has gradually brought donors to pay attention to the results and therefore widen their vision of interventions, within the scope of the financial control of funds they have invested. The evolution of the surrounding context contributed significantly to this change of vision, specially the coming into play of some strategies and operational frameworks as Millennium Development Goals (MDGs), or new cooperation instruments as Sector-wide Approach (SWAP) or Direct Budget Support (DBS), among others. On the other hand, part of the non-governmental sector has been focusing on development results long before this intervention of management practice, just maybe not such in a methodological way.

Result Based Management (RBM) is based on setting clear priorities and goals for which it is imperative to install a monitoring and evaluation system to measure this change. This system includes indicators, audits and self-assessment among the most common mechanisms. The approach has two main functions: on one hand to promote among public entities the responsible use of funds easing the tax payment; on the other hand to increase efficiency and effectiveness of aid through learned lessons which feed policies, strategies or development plans redesign. As a consequence of it all, the gathered and analysed information must be useful for the decision-making process.

The need to measure the change and the attribution of the change on the analysed intervention generated an important peak of interest for evaluation processes. The RBM approach, unlike classic projects and planning approaches, includes in a clearer way the evaluation into the Project Cycle[6]. The RBM and the Logical Framework approaches are characteristics of what are called Logic Models. These consist of an intervention description in which the main elements are defined within them, as well as the casual relation that justifies the generation of some certain results in development terms. This way the RBM use casual relation mechanisms to explain the results intended in the planned intervention.

[6] In fact, currently is defined as Results-Based Monitoring and Evaluation System. See, for example, Zall-Kusek, J. y Rist, R. C. (2004), *Ten Steps to a Results-Based Monitoring and Evaluation System: A Handbook for Development Practitioners*. Ed. World Bank Publications

Questions arise, however, of what is understood by *results*. In the DAC/OECD definition, a result is "*the output, outcome or impact (intended or unintended, positive and/or negative) of a development intervention*". Therefore, RBM includes the achievement of operation goals (output), tactics (outcome) and strategies (impact). The causal connection attached to the model is called *results chain*, and is defined as:

> "*The causal sequence for a development intervention that stipulates the necessary sequence to achieve desired objectives – beginning with inputs, moving through activities and outputs, and culminating in outcomes, impacts and feedback. In some agencies, reach is part of the results chain*".

As confirmed the RBM maintains a strong link with Logical Framework Approach. It could be said that the RBM is a more complete and intensive use of the latter if it is compared to how the real project praxis have been carried out, especially from planning elaborated by donor agencies. It can thus overcome the simplistic use of the logical framework which, as discussed in the next chapter, has led to many errors in terms of development.

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FURTHER MATERIAL

Earl, S., Carden, F., Smutylo, T. (2002), Outcome mapping. IRDC.

To complement the chapter with an alternative view of project planning it is suggested to take a look at this new approach. The authors, based on a study by Dr. Barry Kibel (Pacific Institute for Research and Evaluation), developed a method to establish a planning, monitoring and evaluation framework of interventions focused in the institutions learning through changes seen in the intervention context.

Outcome Mapping has emerged from the Evaluation Unit of the International Development Research Centre (IDRC) and recognizes that development is essentially about people *relating* to each other and their environment. The originality of this approach lies in its shift away from assessing the *products* of a program to focus on changes in behavior, relationships, actions, and activities in the people, groups, and organizations it works with directly.

In a first section it is noted the importance of an interesting reasoning about “impact”, its attribution on projects and the scientific and ethics matters that evolves around this relation. In its central part the text the Outcome Mapping is presented in a very easy way and with practical examples. It consists in a first reference to the method, essential for planning its

launch. An important effort by the IRDC authors is also the development of a method practitioners community (http://www.outcomemapping.ca/).

PHOTO: Volunteering in informal settlements, Ahmedabad, India. Grupo de Cooperación Habitabilidad Básica - UPM

CHAPTER 4

Logical framework

4

CHAPTER 4. Logical framework

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Available from: http://gdee.eu/index.php/resources.html

4 LOGICAL FRAMEWORK

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EXECUTIVE SUMMARY

This session aims to present the Logical framework and its role in the context of preparation of Projects and Programs. It is a key tool whose knowledge permits to manage easily the preparation of project proposals or to support the development of Programme of Measures. Thus, this tool should be introduced into engineering programme of study both for the academic and for the students.

LEARNING OUTCOMES

After you actively engage in the learning experiences in this module, you should be able to:

- Understand the importance to use the LFA.
- Communicate this importance to students.
- Improve the ability of students into the preparation of Problem Analysis and Stakeholder Analysis.
- Improve the student ability into structuring Logframe Matrix.

KEY CONCEPTS

These concepts will help you better understand the content in this session:

- Logical Framework Analysis
- Problem Analysis
- Stakeholder Analysis
- Analysis of the Objectives
- Applicability of LFA

GUIDING QUESTIONS

Develop your answers to the following guiding questions while completing the readings and working through the session:

- What is the role of LFA into the development of Project or Programs?
- What are the key Stages for the application of LFA?
- What are the indicators of the development of the Logframe Matrix?

INTRODUCTION

The Logical Framework Approach (LFA) is a highly effective strategic planning and project management methodology with wide application.

The LFA is a very effective analytical and management tool when understood and intelligently applied. However, it is not a substitute for experience and professional judgment and must also be complemented by the application of other specific tools (such as Economic and Financial Analysis and Environmental Impact Assessment) and through the application of working techniques which promote the effective participation of stakeholders. It is particularly valuable for water management and sanitation projects, especially because water — the resource base — has diverse and competing uses. It comprises an integrated package of tools for analysing and solving planning problems and for designing and managing their solutions (the approach).

The product of this analytical approach is the Logframe (the matrix), which summarizes what the project intends to do and how, what the key assumptions are, and how outputs and outcomes will be monitored and evaluated. The LFA is an analytical and management tool which is now used (in one form or another) by most multi-lateral and bi-lateral aid agencies, international NGOs and by many partner governments.

THE LOGICAL FRAMEWORK APPROACH (LFA)

The Logical Framework Approach (LFA) was developed in the late 1960's to assist the US Agency of International Development to improve its project. It was designed to planning and evaluation system and addresses three basic concerns, namely that:

- Planning was too vague, without clearly defined objectives that could be used to monitor and evaluate the success (or failure) of a project.
- Management responsibilities were unclear.
- Evaluation was often an adversarial process, because there was no common agreement as to what the project was really trying to achieve.

The LFA has since been adopted as a project planning and management tool by most multilateral and bi- lateral development agencies. The EC has required the use of LFA as part of its Project Cycle Management system since 1993, and it provides a core set of tools with which to undertake assessments of project quality. Over time, different agencies have modified the formats, terminology and tools of the LFA, however the basic analytical principles have remained the same. Knowledge of the principles of LFA is therefore essential for all staff involved in the design and delivery of EC development assistance.

What is it?

The LFA is an analytical process and set of tools used to support project planning and management. It provides a set of interlocking concepts which are used as part of an iterative process to aid structured and systematic analysis of a project or programme idea The LFA should be thought of as an 'aid to thinking'. It allows information to be analysed and organised in a structured way, so that important questions can be asked, weaknesses identified and decision makers can make informed decisions based on their improved understanding of the project rationale, its intended objectives and the means by which objectives will be achieved. It is useful to distinguish between the LFA, which is an analytical process (involving stakeholder analysis, problem analysis, objective setting and strategy selection), and the Logical Framework Matrix (LFM) which, while requiring further analysis of objectives, how they will be achieved and the potential risks, also provides the documented product of the analytical process. The Logical Framework Matrix (or more briefly the Logframe) consists of a matrix with four columns and four (or more) rows, which summarise the key elements of a project plan, namely:

- The project's hierarchy of objectives (Project Description or Intervention Logic).
- The key external factors critical to the project's success (Assumptions).
- How the project's achievements will be monitored and evaluated (Indicators and Sources of Verification).

The typical structure of a Logframe Matrix is shown in Figure 1.

Project Description	Indicators	Source of Verification	Assumptions
Overall Objective – The project's contribution to policy or programme objectives (impact)	How the OO is to be measured including Quantity, Quality, Time?	How will the information be collected, when and by whom?	
Purpose – Direct benefits to the target group(s)	How the Purpose is to be measured including Quantity, Quality, Time	As above	If the Purpose is achieved, what assumptions must hold true to achieve the OO?
Results – Tangible products or services delivered by the project	How the results are to be measured including Quantity, Quality, Time	As above	If Results are achieved, what assumptions must hold true to achieve the Purpose?
Activities – Tasks that have to be undertaken to deliver the desired results			If Activities are completed, what assumptions must hold true to deliver the results?

Figure 1 *Typical Stucture of a Logframe Matrix*. SOURCE: EC 2004

The Logframe also provides the basis on which resource requirements (inputs) and costs (budget) are determined.

Link to the project cycle and key PCM documents

The Logical Framework Approach (LFA) is a core tool used within Project Cycle Management.

- It is used during the identification stage of PCM to help analyse the existing situation, investigate the relevance of the proposed project and identify potential objectives and strategies.
- During the formulation stage, the LFA supports the preparation of an appropriate project plan with clear objectives, measurable results, a risk management strategy and defined levels of management responsibility.
- During project/programme implementation, the LFA provides a key management tool to support contracting, operational work planning and monitoring.
- During the evaluation and audit stage, the Logframe matrix provides a summary record of what was planned (objectives, indicators and key assumptions), and thus provides a basis for performance and impact assessment. A common problem with the application of the Logframe Approach (particularly the preparation of the matrix) is that it is undertaken separately from the preparation of the other required project documents, such as the Identification Fiche or the Financing Proposal (i.e as an afterthought). This then results in inconsistency between the contents of the Logframe matrix and the description of the project contained in the narrative of the main documents. The application of the LFA should come first, and then provide a base source of information for completing the required PCM documents.

Applying the Logframe Approach

The LFA provides no magic solutions, but when understood and intelligently applied, is a very effective analytical and management tool. However, it is not a substitute for experience and professional judgment and must also be complemented by the application of other specific tools (such as Institutional Capacity Assessment, Economic and Financial Analysis, Gender Analysis, and Environmental Impact Assessment) and through the application of working techniques which promote the effective participation of stakeholders.

The process of applying the analytical tools of LFA in a participatory manner is as important as the documented matrix product. This is particularly so in the context of development projects, where ownership of the project idea by implementing partners is often critical to the success of project implementation and to the sustainability of benefits. Effective team work is critical.

Before starting with the activity design and the construction of the logframe matrix, it is important to undertake a structured analysis of the existing situation. LFA incorporates four main analytical elements to help guide this process:

1. Problem Analysis: involves identifying what the main problems are and establishing the cause and effect relationships which result in, and flow from, these problems.
2. Stakeholder Analysis: having identified the main problems and the cause and effect relationship between them, it is then important to give further consideration to who these problems actually impact on most, and what the roles and interests of different stakeholders might be in addressing the problems and reaching solutions.
3. Analysis of Objectives: objective trees should be prepared after the problem tree has been completed and an initial stakeholder analysis has been undertaken. This will give an image of an improved situation in the future.
4. Analysis of Strategies: comparison of different options to address a given situation.

Drawing up a Logframe has two main stages, Analysis and Planning, which are carried out progressively during the Identification and Formulation phases of the project cycle.

For example, while stakeholder analysis must be carried out early in the process, it must be reviewed and refined as new questions are asked and new information comes to light. In the Planning Stage the results of the analysis are transcribed into a practical, operational plan ready to be implemented. In this stage:

- The Logframe matrix is prepared, requiring further analysis and refinement of ideas;
- Activities and resource requirements are defined and scheduled, and
- A budget is prepared.

This is again an iterative process, as it may be necessary to review and revise the scope of project activities and expected results once the resource implications and budget become clearer.

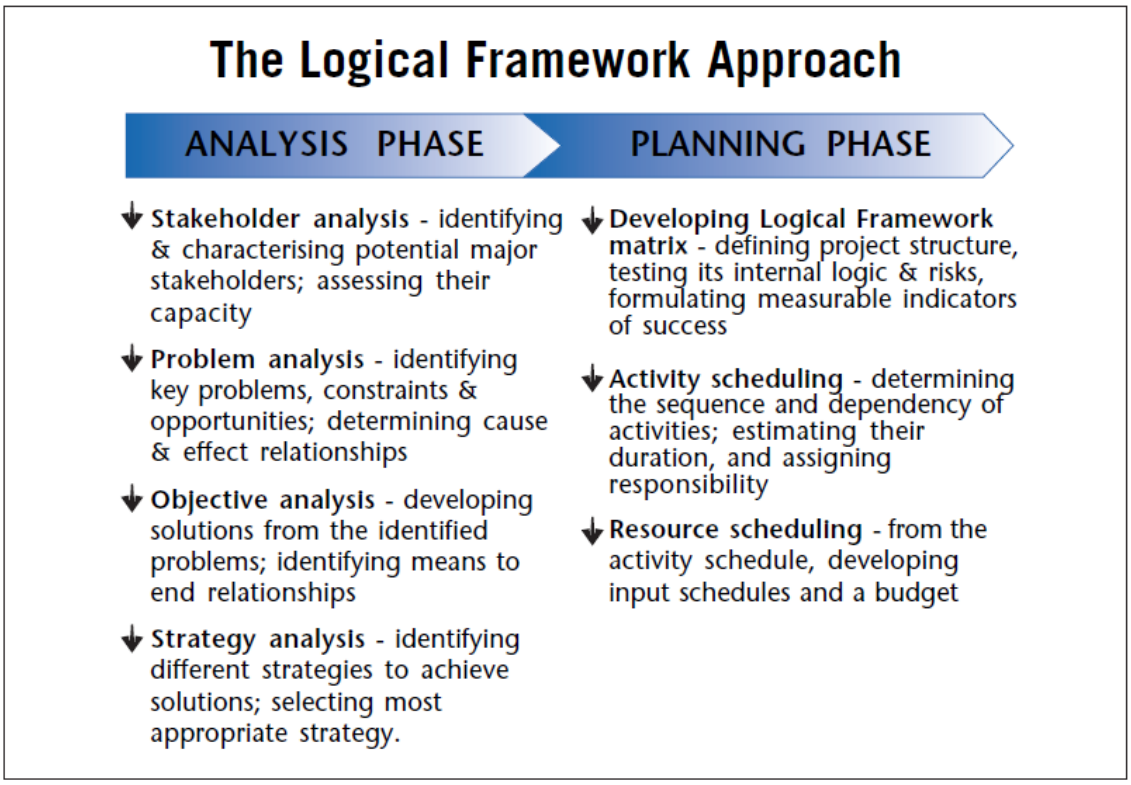

Figure 2 *Summary of the two main phases of LFA.* SOURCE EC:2004

The Logical Framework Matrix (Logframe)

The results of the stakeholder, problem, objectives and strategy analysis are used as the basis for preparing the Logical Framework Matrix. The Logical Framework Matrix (or more briefly the Logframe) consists of a matrix with four columns and four (or more) rows, which summarise the key elements of a project plan and should generally be between 1 and 4 pages in length. However, this will depend on the scale and complexity of the project

Project Description		Objectively verifiable indicators of achievement	Sources and means of verification	Assumptions
Goal	What is the overall broader impact to which the action will contribute?	What are the key indicators related to the overall goal?	What are the sources of information for these indicators?	What are the external factors necessary to sustain objectives in the long term?
Purpose	What is the immediate development outcome at the end of the project?	Which indicators clearly show that the objective of the action has been achieved?	What are the sources of information that exist or can be collected? What are the methods required to get this information?	Which factors and conditions are necessary to achieve that objective? (external conditions)
Outputs	What are the specifically deliverable results envisaged to achieve the specific objectives?	What are the indicators to measure whether and to what extent the action achieves the expected results?	What are the sources of information for these indicators?	What external conditions must be met to obtain the expected results on schedule?
Activities	What are the key activities to be carried out and in what sequence in order to produce the expected results?	Means: What are the means required to implement these activities, e. g. personnel, equipment, supplies, etc.	What are the sources of information about action progress? Costs What are the action costs?	What pre-conditions are required before the action starts?

Figure 3 *Typical logical framework matrix*. (Source BARRETO 2010)

How to Prepare The Logical Framework Matrix?

The first stage of the preparation of the logframe matrix includes the definition of:

- **Goal**: starting at the top and using the information from the Objective Tree write the overall objective of the project. The overall objective may be beyond the reach of this project on its own, for instances: “To contribute to improved family health and the general health of the rive ecosystem”.
- **Purpose**: it describes the desired outcome that the project will achieve. This should be clear and brief. Example: “Improved river water quality”.

- **Outputs**: describe the project intervention strategy. There may be several outputs. Example: “1) Reduced volume of wastewater directly discharged into the river system by households and factories”.
- **Activities**: these are the tasks that are needed to achieve these outputs. There may be several for each output. Statements should be brief and with an emphasis on action words. Examples: “1.1) Conduct baseline survey of households and businesses; 1.2) Complete engineering specifications for expanded sewerage network, etc.”
- **Inputs**: when required to do so provide additional information, such as the means and costs, which are needed to carry out these activities.

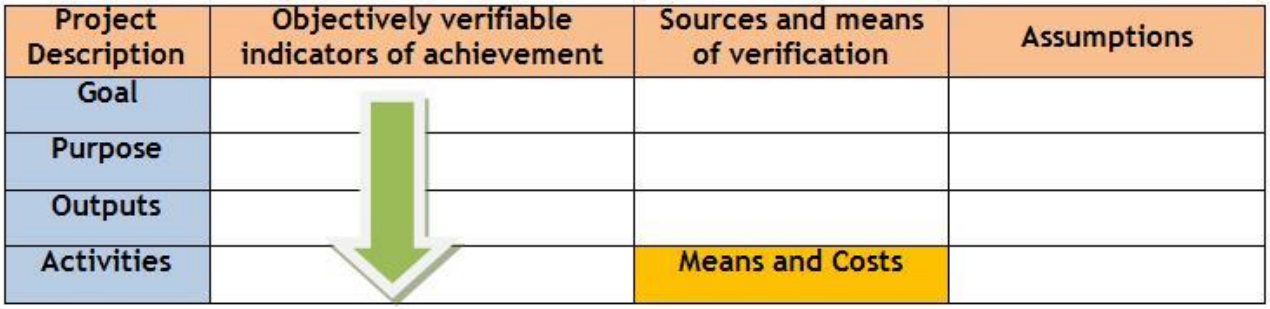

Figure 4 *First Stage TOP DOWN.* Sources: BARRETO 2010

Second stage of the preparation of the logframe Matrix.

Objectively verifiable indicators of achievement: starting from the top to the bottom of the hierarchy of the objectives, begin to work across the logframe identifying the Objective Verifiable Indicators for measuring the progress in terms of quantity, quality and time.

There are two kinds of indicators:

- Impact indicators: related to the overall goal, helps to monitor the achievement and the impact of the project. Example: “Incidence of water borne diseases, skin infections and blood disorders caused by heavy metals, reduced by 50% by 2008, specifically among low income families living along the river”.
- Process (our outcome) indicators: related to the purpose and results. These measure the extent to which the stated objectives have been achieved. Example: “Concentration of heavy metal compounds (Pb, Cd, Hg) and untreated sewerage; reduced by 25% (compared to levels in 2003) and meets established national health/pollution control standards by end of 2007”.

Sources and means of verification: the source of verification should be considered and specified at the same time as the formulation of indicators. This will help to test whether or not the indicators can be realistically measured at the expense of a reasonable amount of time, money and effort. The SOV should specify how, who and when the information will be gathered.

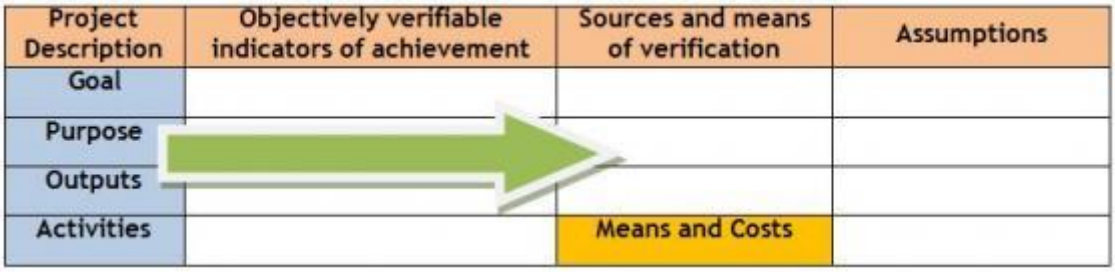

Figure 5 *Second Stage*: Source: BARRETO 2010

Third stage of the preparation of the logframe matrix.

Assumptions: reflecting up from the bottom of the logframe, consider how, if each assumption holds, it will be possible to move to the next stage of the project. Assumptions are external factors that have the potential to influence (or even determine) the success of a project, but lie outside the direct control of project managers. Assumptions are usually progressively identified during the analysis phase. The analysis of stakeholders, problems, objectives and strategies will have highlighted a number of issues (i.e. policy, institutional, technical, social and/or economic issues) that will impact on the project 'environment', but over which the project may have no direct control.

In the case of the river water pollution example, important assumptions might include issues related to: 1. Rainfall and river flow (beyond the project's control, but potentially critical in terms of changes in levels/concentration of pollutants found in the river); 2. Householders and businesses willingness to pay for improved sewerage connexions.

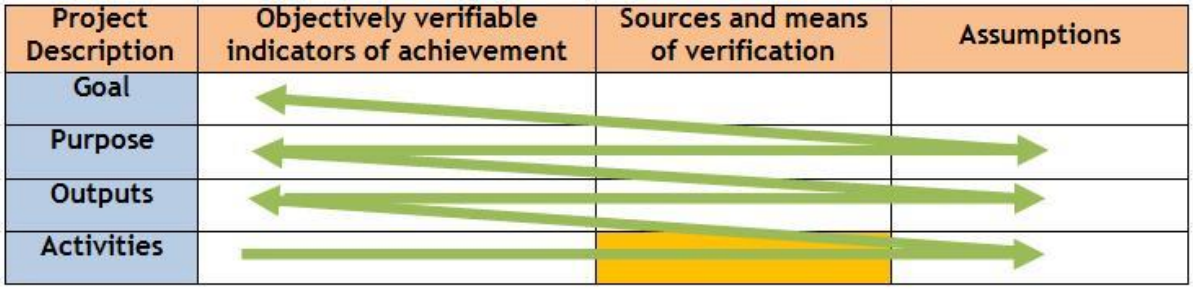

Figure 6 *Third Stage*. Source: BARRETO 2010

APPLICABILTY

The Logframe is applied when planning, implementing and evaluating specific projects and programmes within an action plan. It is valuable for carrying out logical checks during project design as well as for monitoring progress and reviewing activities and output during project implementation (PHILIP et al. 2008).

Using LFA for project or program design imposes rigour in assessing what is to be achieved and the assumptions behind what interventions and activities will be required. Many international donors, such as the Asian Development Bank and the European Commission, require projects they fund to be designed according to an LFA (WAGENINGEN UR 2010).

ADVANTAGES

Majors advantages of LFA are:

- During initial stages, it can be used to test project ideas and concepts for relevance and usefulness.
- It guides systematic and logical analysis of the key interrelated elements that constitute a well-designed project (THE WORLD BANK 2000).
- It defines linkages between the project and external factors.
- During implementation, the Logframe serves as the main reference for drawing up detailed work plans, terms of reference, budgets, etc. (WAGENINGEN UR 2010).
- A Logframe provides indicators against which the project progress and achievements can be assessed (WAGENINGEN UR 2010).
- It provides a shared methodology and terminology among governments, donor agencies, contractors and clients (THE WORLD BANK 2000).

DISADVANTAGES

Majors disadvantages of LFA are:

- Focusing too much on problems rather than opportunities and vision (WAGENINGEN UR 2010).
- Organisations may promote a blueprint, rigid or inflexible approach, making the Logframe a straitjacket to creativity and innovation (THE WORLD BANK 2000).
- Limited attention to problems of uncertainty where a learning or adaptive approach to project design and management is required (WAGENINGEN UR 2010).

- The strong focus on results can miss the opportunity to define and improve processes.

CONCLUSION

This session described the Logical Framework, its meaning and major applications. Some paragraphs are dedicated to explanations of how to develop a Logical Framework matrix and its relationship with Project Cycle Management. An overview of phases necessary to create the Logframe matrix was performed. Particular attention was given to advantages and disadvantages of using LFA. A deep knowledge of this tool can support students into approaching the call for proposal.

Being a tool, using only a technical description of the Logical Framework is not exhaustive because practical application is necessary to complete the know-how provided in the previous paragraphs.

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PHOTO: Setting up procedures for managing water quality, Tanzania. ONGAWA

CHAPTER 5

Problems and goal trees, Gantt diagram and budget design

5

CHAPTER 5. Problems and goal trees, Gantt diagram and budget design

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5 PROBLEMS AND GOAL TREES, GANTT DIAGRAM AND BUDGET DESIGN

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EXECUTIVE SUMMARY

In this chapter we will present some tools to support the LFA approach. First some tools that may help on defining the project through a participatory process will be exposed: stakeholders' analysis, problems and objectives analysis and the analysis of alternatives. These methodologies may allow the common definition of the project between all stakeholders involved, through building a shared understanding of the situation and agreeing the solutions that shall be undertaken. Later, some tools that may help on planning the project implementation, such as the Gantt Diagram, which is used for temporal planning of the activities and the budget, may help not only during project planning but also for project management during project implementation.

LEARNING OUTCOMES

After you actively engage in the learning experiences in this module, you should be able to:

- Conduct a stakeholders' analysis, as also problems and objectives' analysis.
- Guide a participatory selection of the alternative to be implemented.
- Use the Gantt Diagram to schedule project implementation.
- Construct the budget for the project.

KEY CONCEPTS

These concepts will help you better understand the content in this session:

- Logical Framework Approach
- Stakeholders Participation

GUIDING QUESTIONS

Develop your answers to the following guiding questions while completing the readings and working through the session:

- Which are the main steps prior to the construction of the Logframe matrix?
- Which is the relevant information to be collected and from whom before starting the problems' analysis?
- Try to develop, by your own, a problems' tree and an objectives' tree, and think on different criteria to select an activity for a context that might be familiar to you.
- How should be activities planning conducted in order to facilitate project management?

INTRODUCTION

In chapter 4 we have seen the core aspects of the Logical Framework Approach, including the Logframe matrix. But there are other tools that may support the LFA approach. Some of them, such as the stakeholder analysis, the problems and objectives analysis and the alternatives analysis, shall be applied in order to properly construct the matrix. Others such as the Gantt Diagram (which is used for temporal planning of the activities) and the budget may help not only during project planning but also for project management during project implementation.

PARTICIPATORY DEFINITION OF THE PROJECT

In order to construct an agreed Logical Framework between all stakeholders of a project, some tools have been developed to facilitate a together understanding of the present situation. First, a stakeholder analysis should be undertaken, which may help identifying all individuals or organisations affected by the project and analyse, among other issues, their interests, relationships between them, their view of the situation, their potentialities, etc. Once all of them have been identified, a participatory problems' analysis and a later objectives' analysis should be conducted, which may bring, as a result, different alternatives for project implementation. Lastly, conducting an alternatives' analysis will allow to choose which would be the best of them in order to achieve the objectives of the project.

But before conducting all those analysis, it is deemed important to be aware of the policy, sector and institutional context within which the project may take place. The different analysis exposed on this chapter can end up being just analysis at project scale (either local or regional). Analysing policy, sector and institutional aspects may give a wider view, and help achieving sustainable results for the project.

Stakeholder Analysis

Development projects and programmes are normally conducted on a highly complex context, not only regarding global or regional scales, but also at the local scale. Is at that level were most of individuals and groups affected by the project can be found, either if they are political actors, NGOs, entrepreneurs or simple citizens. Analysing all these actors might be crucial to have a much clearer map of the social context surrounding the programme and allow a better preparation of the project formulation.

It should be first defined who are the stakeholders on a project. According to the European Commission (2004) stakeholders can be defined as individuals or institutions that may affect or be affected by a project or a programme, either directly or indirectly, both positively or negatively. Hence, we can normally subdivide the stakeholders group into different distinctions: beneficiaries, prejudiced, excluded as also project partners.

Beneficiaries are those stakeholders who are positively benefited by the project. In this category, distinction can be made among the *Target Group* (or Groups), who are those stakeholders directly positively affected at project's objectives level. On the other hand, *Final Beneficiaries* are those benefited from project in the long term at the level of the society or sector large (European Commission, 2004), as for example, consumers benefiting from improving agricultural markets, or citizens benefiting of a capacity building to government departments, etc. On the other hand, *prejudiced stakeholders* are those that can be negatively affected by project, either during project implementation or at a later stage. Examples could be water re-sellers on a water supply project, or local producers on a clothes donation campaign.

Not to forget the *excluded stakeholders*, those who are neither beneficiaries, nor prejudiced stakeholders, those who due to their individual or group nature are hardly taken into consideration for the project, for example, on a project to improve communication between health centres and communities, excluded would be those surrounding communities that are not targeted in the project. Lastly, project partners are those who implement the project in-country.

Although at this stage the project is not yet defined, some idea of the problems on the area might already be in mind of the project leaders, and those shall be on their area of expertise. Considering this, the first step would be the construction of a preliminary list of the stakeholders related to those aspects (either groups or individuals). There is no predefined list of possible stakeholders, as this is quite context changing aspect, both from the temporal and geographic point of view. But a first approach to a stakeholders list could be defined through the next approach (Grimble, 1998):

- Information disclosed by key informants (including project partners).
- Information disclosed by focus groups, that is, to identify a group of actors who is clearly relevant to the research topic, and after working with that group, identify further actors.

- From secondary data, i.e. such information that can be used to a fairly general level to identify groups, for example, regarding the kind of activities they realize geographic region where they are placed, etc.

Anyway, some non-exhaustive lists can be found from different authors, as the one listed below from FAO (Powell, 2006).

- Individuals and families
- Beneficiaries, those negatively affected and others likely to be affected or able to influence the project
- Government, government agencies and policy-makers
- Community-based organizations
- Non-government organizations
- Donors
- Religious organizations
- Local authorities
- Business and industry
- Utility organizations
- Research institutions and researchers
- Farmers
- Women
- Indigenous peoples
- Science and technology community
- Trade unions and workers
- Consumers
- Small farmers
- Rural poor

As previously outlined, this is not an exhaustive list, although it may help as an initial checklist that may allow the construction of a first list of stakeholders. But this first list cannot be the ultimate list, as it has to be permanently revised in order to try to identify all relevant stakeholders.

The aim of this kind of analysis is to understand stakeholders' interests, their perception of the problems, and their position vis-à-vis and relationships with other stakeholders (Runhaar et al., 2006). But most important, a stakeholder analysis may also assess the reasons behind conflicts and co-operation, increasing understanding of the situation

and allowing the comprehension of the factors that may lead to conflict or successful collective action (Grimble, 1998). Hence, at the end of the analysis we should be able to answer following questions:

- Which are the most relevant stakeholders on the area?
- Which are the main characteristics of each stakeholder?
- Which are the main problems that they identify?
- Which would be their main interests (not only, but also the ones related to the problems the project would like to address)
- How are those stakeholders relevant? Which are their potentialities regarding programme's definition and implementation?
- Which are the relationships between stakeholders?

Different methodologies could be used in order to obtain all these information, but two of them are most relevant: interviews and focus group workshops. Interviews should be done to selected informants, using semi-structured interviews, which allow the interviewer to deepen on relevant aspects that arise during the interview. Working with focus groups, although may not allow deepening on the knowledge of the individuals there presented, may allow a better understanding of the relations between participants. Hence, the proper combination of both methodologies may give a clearer picture of the context.

Problems Analysis

Once the stakeholder analysis has been conducted, among all other relevant information there should be the list of problems identified by all stakeholders. All those problems should now be organised as a problems' tree, which may help later on fixing the objectives of the project.

Problems analysis aims at identifying all the negative aspects of a present situation. The methodology tries to visualise the existing cause-effect relationships between the different problems identified, through the construction of a hierarchical problems' tree. To conduct its construction, first an initial problem may be selected as starting point, and from that on, it shall be connected to other problems listed according to its causality: effects of that problem will be placed on the upper side of the initial problem, while causes will be set on the lower side. If required, new problems can be also identified during the workshop, in order to facilitate a better understanding of the situation. All problems on the tree must be present problems, not forecasted ones, and shall be written on a clear manner.

Problems analysis, as stakeholder analysis, should be done together with the other stakeholders of the project. If different point of views of people and organisations involved on the project are not considered, conflicts of interest may arise during project implementation, endangering its results (Pérez-Foguet et al., 2005). Hence, the best way to conduct the problems analysis should be through a workshop with all stakeholders involved.

The LFA methodology overall, but specifically the problems' tree, are conceptual tools used to improve reasoning, discussion and comprehension of a context, and to help planning our project in an ordered manner. But they are just simplifications of a complex reality. It is important to have this in mind while constructing the problems' tree, as a problem might sometimes be both cause and effect of others. To adequately conduct this methodology, it is important not to start using circular representations: the problems' tree requires a linear and sequential representation. Consensus among the different stakeholders on the workshop shall be reached in order to agree causes and effects on a given context.

Main advantages of using the problems' analysis are that (i) the problem can be broken down into pieces easier to identify, which allows to understand the different contributions from each factor; (ii) there is a deeper understanding of the problem and their inter-connected causes; (iii) it identifies the roots of the problems and arguments behind; and (iv) allows to build a shared sense of understanding of the situation (Hovland, 2005).

In order to facilitate understanding, here we can find a simplified example of a problems' tree. We could imagine it is the tree of some rural communities with some lacks on their access to a proper medical attention, which is causing health problems to their citizens. Notice how the different identified causes are on the lower side, and their effects are on the higher levels.

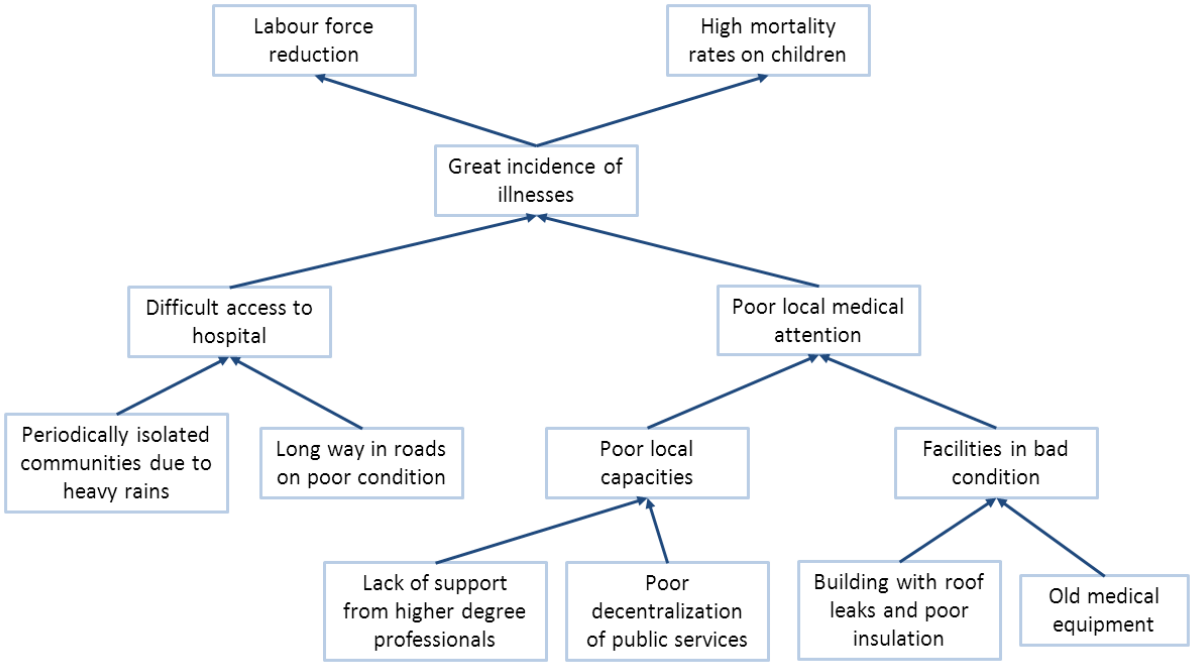

Figure 1 *Simplified example of a problems' tree*

Objectives Analysis

After constructing the problems' tree and selecting the focal problem, it is time to construct the objectives tree. The aim of the objectives analysis is describing the future situation that shall prevail once all problems have been solved, as also to visualise the relationship means – ends between them.

The objectives tree is constructed through transforming all of the problems into realistic positive objectives: "postivising". In other words, the "negative situations" of the problems' tree shall be transformed into "positive situations". For example, a negative situation such as "lack of spare parts in the local markets" would be transformed into "Supply chain of spare parts properly working". It is important to remark that some problems cannot be transformed into realistic objectives, for example problems related to natural resources such as "Highly variable rain patterns", which could not be transformed into a realistic objective, and hence should be set in the objectives' tree as it was written in the problems' tree.

Through this positivisation we obtain a diagram of objectives which shows the logic relationship between means and ends. On that tree some of the objectives may not be easily achievable due to different reasons (lack of expertise on certain issues, situations that may take more time or means available, etc.). All those aspects shall be seriously considered before selecting the main objective that the project wants to address, which will receive the name of Specific Objective.

Following the previous example, in figure 2 we can find the objective tree of the described situation. Notice how means are on the lower parts of the sequences and ends on the upper parts. During the analysis participants agreed that isolation of communities when there were heavy rains was not seen as a feasible objective in the mid-term due to high costs of the required infrastructure. Due to this, the formulation of that problem has not changed the objectives tree. After a thorough discussion among participants, the specific objective would be to have a higher quality on the local medical attention.

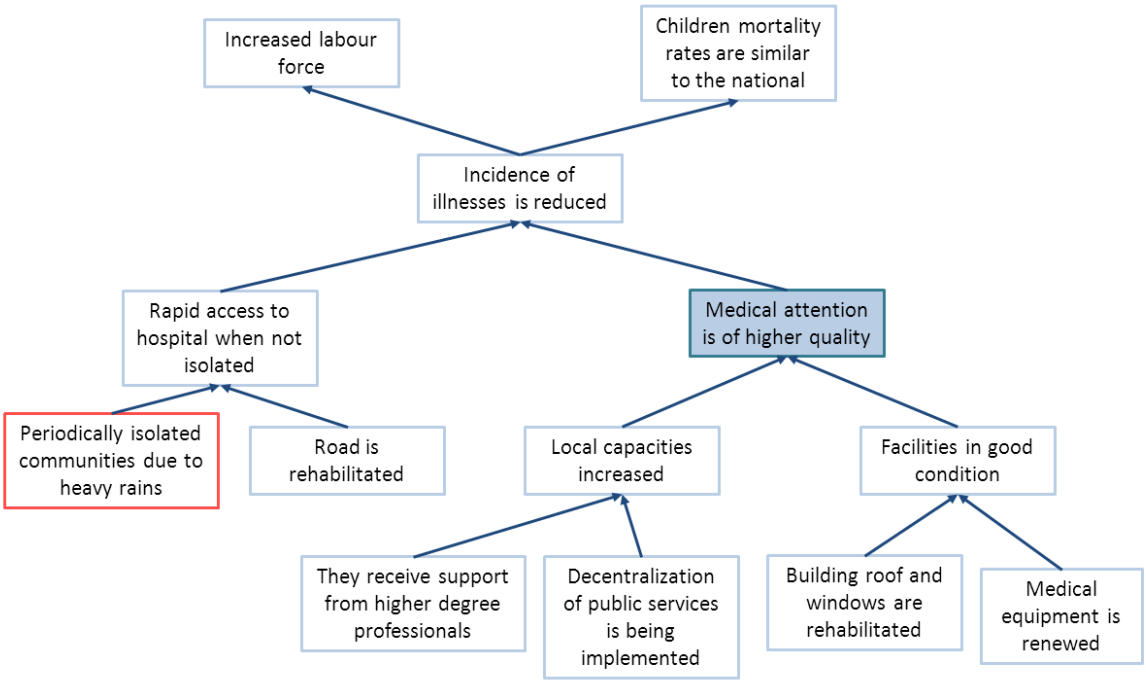

Figure 2 *Example of an objectives tree*

Alternatives Analysis

Once the specific objective has been set, an analysis of the different alternatives shall be done, aiming at selecting the logic line (or lines) of the objectives' tree that will be applied in order to achieve the desired objective. On the tree, the different alternatives are set as a group of objectives logically interconnected. Through this analysis, those objectives that will be faced by the project will be set, and those that won't, will be discarded.

In the alternatives analysis we will need different criteria that shall be used to identify the different alternatives and select among them which one will be implemented. Hence, first step to be conducted is to define those criteria. Some of those criteria could be: the priorities of the different stakeholders involved; chances of success; available budget for project implementation; total costs; relevance of the action; project duration; contribution of the project to achieve inequalities reduction; gender criteria; social risks; local participation, environmental impacts, etc. Criteria should be selected and agreed between all stakeholders participating in the project definition.

Next step is to identify the different existing alternatives to achieve the selected specific objective. As previously exposed, objectives can be grouped according to the causal relationship into nested groups following the means-end relationship. Those groups are represented graphically on the tree as ramifications, being each of those ramifications arriving into the specific objective one of the different alternatives to be implemented. Classifying all the alternatives in such a way allows the construction of a conceptual framework which might be really helpful for managing the project, but as already said, those groups of objectives may also be interrelated, so the application of such a framework shall be somehow flexible.

The last step is the selection of the alternative to be implemented. Each of the alternatives shall be evaluated according to the agreed criteria. The evaluation can be conducted either on a qualitative or on a quantitative way. As a result of choosing the alternative, the part of the objectives' tree on which the project will be based will be set.

On figure 3 the four alternatives of the previous example have been pointed out on the objectives tree.

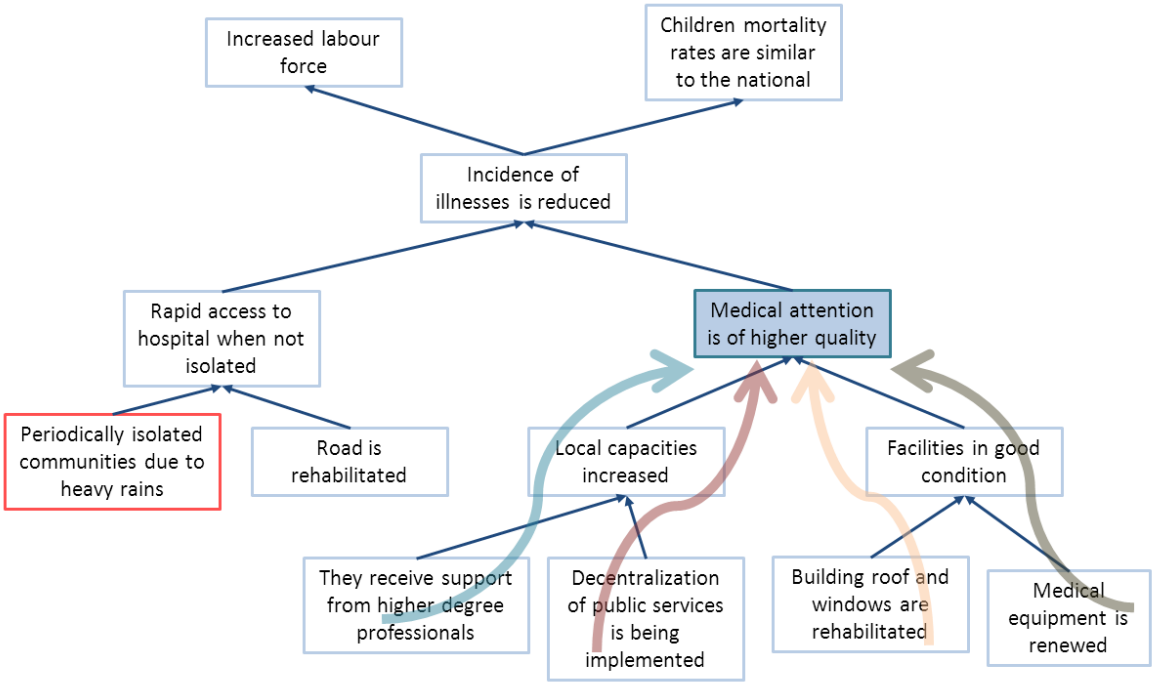

Figure 3 *Alternatives on the objectives' tree*

PLANNING IMPLEMENTATION

Once project implementation strategy has been set and written down on the LFA matrix, it is time to define both project timing and required resources for its implementation. To this ends, now we will expose both, the Gantt Diagram or Activities Schedule, and the budget design. It has to be remarked that both schedule and resources required need to be drafted during feasibility study, in order to conduct a proper assessment which may include economic analysis of different aspects such as general cost-benefit analysis, cost recovery strategies, potential contributions from beneficiaries, etc.

Also during project planning activities should be outlined. Deep development of the activities would not be required as project implementation may start sometime after project design, due to the time it usually takes to approve financing.

Gantt Diagram

The Gantt Diagram is "a format for analysing and graphically presenting project activities. It helps to identify their logical sequence, expected duration, any dependencies that exist between activities, and provides a basis for allocating management responsibility" (European Commission, 2004).

The chart can be adapted to fit the length and activities of the given project, and allows different levels of detail according to needs. For example, it is quite usual to define more precisely activities for the year to come, getting them to a further detail than those left for subsequent years.

The European Commission (2004) sets a list of steps to define the Gantt Diagram which is worth to be presented here. Steps to be followed are: (i) listing main activities; (ii) breaking them into manageable tasks; (iii) clarifying sequence and dependencies of those tasks; (iv) estimating start-up, duration and completion of activities; (vi) summarising the schedule of main activities; (vii) defining milestones; (viii) defining required expertise for each task; and (ix) allocating tasks among team members.

Main activities defined in the Logframe are a summary of what the project must do in order to deliver project results. Hence, this shall be used as the basis for preparing the diagram. But in order to define them on a simpler and more manageable way, it is desirable to break down activities into component sub-activities and then to take each sub activity and break it down into its component tasks.

The breakdown should stop as soon as the planner has sufficient detail to estimate the time and resources required, and the person responsible for actually doing the work has sufficient instructions on what has to be done. This is where individual planning of tasks by project implementers starts.

Once breaking down has been concluded, it is necessary to establish the order on which activities should be undertaken (sequence) and the interdependencies between them (if one activity or task requires of previous ones to be conducted, or if two activities shall be undertaken by the same person).

Later, estimation of the starting up of the tasks, its duration and completion is required. However, it is often not possible to estimate timing with great confidence. To ensure that

the estimates are at least realistic, those who have the necessary technical knowledge or experience should be consulted. Also while timing activities, is important to consider aspects that do not depend on project managers such as the feasibility of conducting field work during rainy season, planning workshops during holiday seasons, etc.

Once each of the tasks has its timing defined, it might also be useful to summarise the overall start-up, duration and completion of the whole activity. Later is advisable to define some milestones, which may help on monitoring project implementation.

Lastly, expertise required for conducting each task should be defined, which may allow a later allocation of each task among the implementing team, defining who is accountable for what. Task allocation should therefore take into account the capability, skills and experience of each member of the team.

Budget Design

Cost estimates is a task that shall be undertaken carefully and achieving the most realistic estimates as possible, as they are a key aspect on deciding investment.

In order to conduct it, work should be initially based also on the list of activities to be conducted. Each activity shall be used as a checklist to ensure that all resources required are taken into consideration. It is important to notice that also management activities shall be considered on the budget design.

From each activity, all resources required to undertake it shall be listed. In order to facilitate later aggregation and summarisation of information costs, resources should be classified according to cost categories (i.e. personnel, trips, materials, etc.).
As normally project financing comes from different donors, it is advisable that budget allows the allocation of the different costs between the different funding sources, so that contributions from each part are clear and traceable.

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